



# **United Nations Manual for the Generation and Deployment of Military and Formed Police Units to Peace Operations**

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**DEPARTMENT OF PEACE OPERATIONS  
DEPARTMENT OF OPERATIONAL SUPPORT**

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## Preface

Further strengthening the effectiveness of United Nations (UN) peacekeeping remains at the forefront of Action for Peacekeeping (A4P). The efficiency and effectiveness of generation and deployment of uniformed personnel is a vital component of this agenda. Applying a consistent and coherent approach to generation and deployment, including clarifying the roles and responsibilities within the UN Secretariat as well as of field missions and Member States, ensures a more efficient process and, in the end, provides better results. This includes the ability to deploy peacekeepers to the field more rapidly and ensuring that they have the tools as well as operational readiness and performance capabilities according to UN standards for effectively implementing Security Council mandates.

The process for generating and deploying uniformed personnel to UN peace operations is complex and dependent on constructive interactions between the UN Secretariat, Member States and UN field missions. It is shaped by a number of factors, including, pledges made by Troop/Police Contributing Countries, the decision-making process for selection of units within the UN, the relationship between the UN Secretariat and Member States, the assessment of pre-deployment and deployment standards, the Member States-approved reimbursement framework, regulations and policies on the use of UN funds, procurement rules as well as the logistical constraints that influence the strategic transportation of Contingent Owned Equipment (COE) and personnel.

## Purpose and Scope

This Manual provides practical advice to UN Member States, the UN Secretariat and field missions on the process for planning, generating, preparing and deploying military units and Formed Police Units (FPUs) for peace operations. It sets out the procedures and steps, from the strategic engagement between Member States and the UN Secretariat, to deployment of military and police personnel with the adequate competencies, skills and equipment to the area of operations.

The Manual covers the generation and deployment of military units<sup>1</sup> and Formed Police Units (FPUs). These categories make up most deployed personnel and the processes for generating and deploying them are similar. Any differences are clearly pointed out throughout the Manual. However, in regards to FPUs, this manual does not cover the assessment procedures to ensure the efficient and effective selection and deployment of FPUs to peace operations, their conditions of deployment, the role and composition of Formed Police Units, their employment in the field vis-à-vis the scope and limitations of their use, including in regard to the use of force, and the values that underlie the United Nations policing approach, which are set out in DPO/Police Division issued guidance<sup>2</sup>. Similarly, the Manual does not cover the procedures related to individuals (police and military) and administration of police officers and civilian policing experts

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<sup>1</sup> This Manual will also apply *mutatis mutandis* to formed units deployed to field missions under the purview of the Department of Political and Peacebuilding Affairs (DPPA).

<sup>2</sup> DPKO/DFS Policy on Formed Police Units in United Nations Peacekeeping Operations (2016.10) (*under revision*) and DPKO/DFS Standard Operating Procedure (Revised) for Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations and Special Political Missions (2017.9) (*under revision*)

deployed as a part of “Specialised Police Teams” as these have been covered in an already existing set of guidance documents.<sup>3</sup>

The Manual does not replace existing guidelines and documents, including the *Contingent Owned Equipment Manual*, which continue to regulate the interaction between the UN and its Member States on the reimbursements for formed units deployed to field missions. The Manual is subordinate to the normative / superior references as listed in Annex B. The Manual should not be regarded as exhaustive and shall be read in conjunction with other relevant guidelines, policies and procedures for generation and deployment issued by United Nations Headquarters (UNHQ) and outlined throughout the Manual.

<b><u>Responsibility, Authority and Capability for Setting up Uniformed Components of UN Peacekeeping Operations</u></b>	
Security Council	Has the authority to authorize a mission and prescribe its mandate, including its authorized troop ceiling (military personnel, military observers, staff officers, police personnel and personnel in formed police units).
General Assembly	Has the authority to approve funding for a mission, including as it pertains to its uniformed components.
DPO	Has the responsibility for planning, generating and overseeing complex operations, supported by DOS.
DPPA	Has the responsibility for overseeing peace building and special political missions, supported by DOS.
DOS	Has the responsibility for the reimbursement framework and the logistical / administrative requirements associated with formed capabilities.
DMSPC	Exercises system-wide authority over key aspects of staffing, budget, finance and procurement.
Field Missions	Responsible for planning at the operational and tactical level with the aim to deliver mandate implementation, run their operations, and account for the resources with which they have been entrusted.
Host nations	Exercise sovereign authority with important implications for mission deployment and operations.
TCC/PCC	Responsible for providing fully trained and equipped personnel / units ready to conduct and sustain the operations in accordance with the mandate.
Commercial contractors	Can provide essential services to peacekeeping operations, such as providing critical goods, services and works for mission support.

The Manual will be updated regularly to reflect any new or revised guidance on the generation and deployment of military units and/or Formed Police Units. The Force Generation Services (FGS), located in the Office of Military Affairs (OMA), and the Selection and Recruitment Section (SRS), located in the Police

<sup>3</sup> *Roles and Training Standards for UN Military Experts on Mission*, Ref. 2009.8; *Selection, Deployment, Rotation, Extension, Transfer and Repatriation of United Nations Military Experts on Mission in United Nations Peacekeeping Operations (UNMEM Manual)*, 2010; *Standard Operating Procedure on Assessment for Mission Service of Individual Police Officers*, Ref. 2019.19; DPO Guidelines on Specialized Police Teams on Assignment with United Nations Peace Operations (2019.34); *Guidelines for United Nations Police Officers on Assignment with Peacekeeping Operations* (29 June 2007; DPO/PD/2006/00135); *UN Pre-deployment Training Standards for Police Officers*.

Division (PD), both in the Department for Peace Operations (DPO), are responsible for maintaining and updating the Manual. Member States should contact the FGS or SRS if any clarification is needed on the content of the Manual.

## Chapter 1. Introduction

The process for generating and deploying military and formed police units is divided into five phases: *The Peacekeeping Capability Readiness System (PCRS)*; *Planning*; *TCC/PCC Generation*; *Pre-deployment*; and *Deployment*. Each of the five phases is described in a separate chapter of the Manual, starting in chapter three. The chapters describe key activities, outputs and related guidance documents for each phase. An effective and efficient generation and deployment of UN peacekeepers also requires a *Strategic Engagement* between Member States and the UN. Before focusing on the individual phases of the force generation process, the next chapter outlines this strategic engagement.



# Generation and Deployment of UN Uniformed Personnel

## Strategic Engagement

### Purpose

Strategic engagement prepares Member States for UN Peacekeeping through dialogue, capacity building and support. Strategic engagement includes support to assessment of uniformed pledges in order for Member States to be able to more quickly deploy to UN peacekeeping operations once they are launched.

Strategic engagement ensures predictability through sustained and collaborative interaction between the UN and the member States. This means that the process for the generation of uniformed personnel is transparent and allows Member States and the UN to plan and execute peacekeeping operations effectively and efficiently.

### Key UN Entities

Strategic Force Generation & Capability Planning Cell (SFGCPC) in DEPT/DPO. Strategic engagement with Member States on force/policy generation and the PCRS; supports Member States in building capacity and partnerships.

Force Generation Service - Office of Military Affairs (FGS/OMA) and Selection and Recruitment Section - Police Division (SRSPD) in DPO are responsible for the day-to-day interaction on generation of new military/police units and rotation of those currently deployed in the field.

Integrated Training Services (ITS) supports Member States in building capacity and preparing for peacekeeping missions. Develops training standards and training materials for Member States.

Uniformed Capabilities Support Division (UCSD)/MOU and Reimbursement Policy Section (MRPS) is responsible to prepare MOUs and LOA for military and police contingents and liaises with contributing countries on all administrative and logistical issues related to force generation.

Supply Chain Management (SCM)/Logistic Division (LD) in DOS provide support and advice on logistical matters to ensure optimal delivery of services in transportation, infrastructure, medical services, supplies, rations, fuel, vehicles movement of personnel/equipment, and aviation support to all Troop/Police Contributing Countries (TCC/PPCs). Air Transport Service (SCM/LD/ATS) may negotiate Letters of Assist (LOA) within transportation.

### The UN Peacekeeping Capability Readiness System (PCRS)

TCC/PPC Makes Pledges and Registers in PCRS (Level 1)

Member States, Strategic Force Generation & Capability Planning Cell (SFGCPC - DPET/DPO)

Force Generation Services (FGS - DPO), Selection and Recruitment Section - Police Division (SRSPD - DPO), Integrated Training Service (ITS - DPET)

Conduct of Assessment and Advisory Visit - AAV (Level 2)

Member States, Strategic Force Generation & Capability Planning Cell (SFGCPC - DPET/DPO), Selection and Recruitment Section - Police Division (SRSPD - DPO), Logistic Division (LD/SCM - DOS)

Force Generation Services (FGS - DPO), Integrated Training Service (ITS - DPET)

List of Equipment and Cargo Load List aligned with UN Requirements (Level 3)

Member States, Force Generation Services (FGS - DPO), Selection and Recruitment Section - Police Division (SRSPD - DPO), (UCSD/MRPS - DOS), Logistic Division (LD/SCM - DOS), Movement Control Section (MOVCON - DOS)

RDL - Unit ready for deployment to any UN filed mission within 60 days (RDL VV and RDL - Agreement is needed)

Member States, Strategic Force Generation & Capability Planning Cell (SFGCPC - DPET/DPO), Selection and Recruitment Section - Police Division (SRSPD - DPO), Movement Control Section (MOVCON - DOS)

### PLANNING

Assessment and Mission Planning

DPO, DOS, Integrated Task Force (ITF) Various UN actors at HQ and in-field

UN - Member State Dialogue on Potential Contributions

Member States, Force Generation Service (FGS - DPO), Selection and Recruitment Section - Police Division (SRSPD - DPO)

Strategic Force Generation & Capability Planning Cell (SFGCPC - DPET/DPO), Military Planning Service (MPS - DPO) and Police Division (PD - DPO)

Security Council Resolutions

Mandates: Peacekeeping Mission

Security Council

Development of Mission, Police Military and Support Concepts

Military Planning Service (MPS - DPO), Police Division (PD - DPO), UCSD, Integrated Planning Team (IPT) and Field Missions

### TCC/PPC GENERATION

Identification of Potential TCCs/PPCs through PCRS

Member States, Force Generation Service (FGS - DPO), Selection and Recruitment Section - Police Division (SRSPD - DPO)

The UN Requests Contributions from Member States who Respond via Note Verbal

Member States Permanent Missions to the UN, Force Generation Service (FGS - DPO), Selection and Recruitment Section - Police Division (SRSPD - DPO)

The UN Accepts Pledges

UN Under-Secretary General DPO or DPFA, Office of Military Affairs (OMA - DPO), Police Division (PD - DPO), Regional Division, DOS

Integrated Planning Team (IPT), Field Mission (if established)

### PRE-DEPLOYMENT

Mission-specific TCC/PPC Pre-deployment Training, Certification and Verification

Troop/Police Contributing Country (TCC/PPC), Force Generation Service (FGS - DPO), Police Division (PD - DPO), ITS - DPET

TCC/PPC Conducts Reconnaissance Visit to Field Mission

Troop/Police Contributing Country (TCC/PPC) Office of Military Affairs (OMA - DPO), Police Division (PD - DPO), UCSD/MRPS

UN Field Mission (if established)

MOU Negotiations

Member States, UCSD/MRPS, Force Generation Service (OMA/FGS), Selection and Recruitment Section (PD/SRS), UCSD/MRPS, DOS/OSCM

Field Missions

Pre-deployment Visit (PDV), (if necessary), and submits Initial COE Cargo Load List

Troop/Police Contributing Country (TCC/PPC), Force Generation Service (FGS - DPO), Selection and Recruitment Section - Police Division (SRSPD - DPO), DOS, UN Field Mission (if established)

MOU Finalization and Signature

UN MOU/COE negotiation team (OMA, PD, UCSD/MRPS, LD) - MOU signed by USG DOS and TCC/PPC representative

### DEPLOYMENT

TCC/PPC Provides Final Load List

Troop/Police Contributing Country (TCC/PPC), Movement Control Section (MOVCON - DOS)

UN Field Mission (if established)

Movement of Personnel and COE to the Mission Area (Advance Party/Main Body) (Strategic Airlift/Surface transportation)

Troop/Police Contributing Country (TCC/PPC), Force Generation Service (FGS - DPO), Selection and Recruitment Section - Police Division (SRSPD - DPO), Logistic Division (LD/SCM - DOS), Movement Control Section (MOVCON - DOS), UN Field Mission

In-field Verification and Performance

Troop/Police Contributing Country (TCC/PPC), UN Field Mission

Reimbursements

UCSD/MRPS, DMSPC, UN Field Mission

### Key Activity

United Nations

Member States

Field mission

### Lead Actors

United Nations

Member States

Field mission

### Contributing Actors

United Nations

Member States

Field mission

## Chapter 2. Strategic Engagement

### Strategic Dialogue between the UN and Member States

A strategic and forward-looking approach to the generation of military units and Formed Police Units is necessary in order to meet the high demand for operationally capable UN peacekeepers. A continuous dialogue between UN Member States and the UN Secretariat is essential in paving the way for more effective and efficient generation of peacekeepers. Engaging with Member States to gain visibility and develop knowledge about their capacities, as well as practical and political constraints, allows the UN to approach the generation/recruitment of uniformed personnel with a mid to long-term focus. Similarly, strategic dialogue enables Member States who wish to contribute to peacekeeping operations to better plan and prepare their engagements and pledges to fit into UN requirements. In sum, strategic interaction between the UN and potential TCCs/PCCs enables peacekeepers to be deployed in a timely fashion with the right capabilities.

Well-planned force preparation and generation/police recruitment arrangements allow both the UN and TCCs/PCCs to ensure that deployed military and police capabilities meet UN standards and requirements. A full understanding of the peacekeeping capabilities needed by the UN, and the resources Member States can offer, permits steps to be taken towards a capability-driven approach. The products of the Strategic Force Generation and Capability Planning Cell and PCRS, outlined in chapter 3, are the main tools for this engagement. Constructive dialogue between the UN Secretariat and Member States also encourages a greater number of contributors, which, in turn, will strengthen the legitimacy of UN peacekeeping operations and encourage more balanced burden-sharing.

### The Strategic Force Generation & Capability Planning Cell

The main responsibility for mid to long term capability planning regarding the requirements of military units and Formed Police Units and coordinating strategic engagement with Member States lies within the Strategic Force Generation and Capability Planning Cell (the “Cell”), guided by DPET/DPO, OMA and PD. The main objectives of the Cell are:

- 1) to ensure proactive, coordinated, forward-looking and sustained UN engagement with Member States for the generation/recruitment and deployment of necessary peacekeeping capabilities;
- 2) to develop a comprehensive and actionable understanding of individual Member State’s peacekeeping capabilities and their potential to contribute to UN missions;
- 3) to support systematic and consistent planning to respond to future mid to long-term peacekeeping capability needs.

The Cell manages the Peacekeeping Capability Readiness System and interacts with T/PCCs so the pledges made to UN peacekeeping are credible and always updated.

The Cell develops and communicates capability requirements of the UN peacekeeping operations, based on internal planning as well as consultations with Member States. These are detailed in the *Uniformed Capability Requirements Paper*, which informs Member States of current gaps and emerging requirements for UN-led peacekeeping operations. The paper also outlines a range of capabilities that would enhance

the effectiveness of current operations and respond to the changing environment in which they are, or will be, deployed. It is published quarterly and is available on the PCRS website: <https://pcrs.un.org>

The Cell supports and coordinates strategic engagement with current and potential contributors of peacekeeping capabilities. When appropriate, it can assist in facilitating operational and capacity-building partnerships among Member States.

## Capacity Building and Partnering Support

### **Key Guidance:**

- Operational readiness assurance and performance improvement policy, Ref. 2015.16
- Guidelines Operational Readiness Preparation for Troop Contributing Countries in Peacekeeping Missions, Ref. 2016.08
- Military Units Manuals
- Formed Police Units in United Nations Peacekeeping Operations policy (revised), Ref. 2016.10
- Standard Operating Procedure (Revised) for Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations and Special Political Missions (2017.9) (under revision)
- SOP on the Evaluation and Assessment of FPU Performance, Ref. 2019.11
- Peacekeeping Capability Readiness System Guidelines, Ref. 2019.01
- The Rapid Deployment Level of the Peacekeeping Capability Readiness System Guidelines, Ref. 2019.02
- All peacekeeping guidance materials are available to Member States on the Peacekeeping resource hub: <http://research.un.org/en/peacekeeping-community/Home>

For peacekeeping and Special Political missions to be effective, Member States' capabilities must meet UN standards and mission specific requirements. The UN, regional organizations and Member States have initiated various capacity building efforts to strengthen existing and potential TCCs/PCCs to establish and strengthen their peacekeeping capabilities. While Member States are responsible for training their own troops and police for deployment to peacekeeping operations, the Integrated Training Services (ITS) in the Division of Policy, Evaluation and Training (DPET), with OMA and PD, is responsible for setting training standards and providing training materials and related support, in close cooperation with other UN entities providing specialized input<sup>4</sup>. In that role, ITS develops peacekeeping training policies and materials and supports Member States through conducting Trainings of Trainers, deploying Mobile Training Teams, issuing Training Recognition and other assistance. For potential TCCs, the Military Unit Manuals provide important guidance for building capacity. The manuals underpin the shaping of military units for UN peacekeeping operations and give TCCs the tools required for early preparation of their soldiers, provision of equipment and units for deployment, in line with requirements as set out in the PCRS process. For potential PCCs, the *Policy on Formed Police Units in United Nations Peacekeeping Operations* defines the conditions of deployment, the role and composition of FPUs in missions, their conduct in the field, a clear delineation of the tasks, the appropriate use of force, standards of conduct and accountability, including

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<sup>4</sup> This might include specialized inputs concerning the protection of civilians, human rights, child protection, conflict-related sexual violence and gender, among others.

in the most serious cases of misconduct related to the use of force or sexual exploitation and abuse (SEA), and command and control arrangements, amongst others.

ITS also supports peacekeeping missions' Integrated Mission Training Centres in their development and delivery of in-mission induction training and ongoing mission-specific peacekeeping training and incorporation of peacekeeping priorities into their comprehensive mission training plans. Several international fora also offer an opportunity for the coordination of peacekeeping operations training, such as the International Association of Peacekeeping Training Centres (IAPTC) and various national and regional peacekeeping training centres and associations.

The Cell and ITS can assist in identifying potential operational and capacity-building partnerships among Member States through a light coordination mechanism (LCM). For Member States that are looking to contribute but might not meet UN standards in terms of equipment or training, there are several ways to facilitate their support to peacekeeping operations. For example, a more experienced Member State may mentor a new TCC or PCC in the pre-deployment phase, as well as through joint deployments (so-called co-deployment). Member States are encouraged to engage with the Cell and ITS to identify possible partnerships. FGS and SRS can also advise on UN regulations and policies and support mission specific initiatives.

Cooperation between the UN and regional organizations is necessary, in part to meet the demand for various types of peacekeeping operations. Cooperation frameworks and modalities have been institutionalized between the UN and the African Union, the European Union, the Association of Southeast Asian Nations, the League of Arab States, the Organization for Security and Cooperation in Europe, the Organization of American States, the North Atlantic Treaty Organization and the Collective Security Treaty Organization. The UN Office of the African Union leads the partnership dialogue with the African Union in the UN Secretariat. For all other regions, the Partnerships Team within DPET coordinates the dialogue.

The UN can also help identify a Member State that needs specific resources and match that Member State with one that is able and willing to provide those resources. For Member States that contribute FPU, this may be particularly helpful as modern police techniques and tactics used in peacekeeping as well as specialised equipment requirements might differ substantially between UN operations and national tasks. Establishing, cultivating and formalizing timely partnership arrangements will enable Member States to deploy the adequate capabilities quicker when needed.

### **The Coordinating Role of the UN Secretariat**

Effective coordination between Member States and the UN Secretariat, as well as within the UN Secretariat, is necessary for the generation/recruitment and deployment process to function as smoothly and quickly as possible. This requires a seamless synchronization between and within DPO and DOS, and with DPO/ DOS with T/PCC which allows e.g. moving rapidly from generation/recruitment to deployment. It also requires that interaction between TCCs/PCCs and the UN Secretariat is continuous to ensure sustained progress in the processes.

The **Strategic Force Generation & Capability Planning Cell (SFGCPC)** was established in 2015 to act as a central interlocutor for mid to long-term force generation coordination. Importantly, the Cell is a key actor for forward-looking discussions between TCCs/PCC and the UN on the generation of peacekeepers.

The **Force Generation Service (FGS)** in the Office of Military Affairs (OMA) and the **Selection and Recruitment Section (SRS)** in the Police Division (PD) respectively are the lead entities for the selection, generation, recruitment and deployment of military and police of units to UN peacekeeping operations. The respective Desk Officer for each mission in FGS and SRS interacts with Member States in all the steps of the selection/generation/recruitment/deployment process and are the main points of contact for the Permanent Missions to the UN. The FGS or SRS respectively will coordinate with other UN entities and participates in the key steps of generation/recruitment and deployment – from the development of capability requirements to assessment visits and MOU-negotiations.

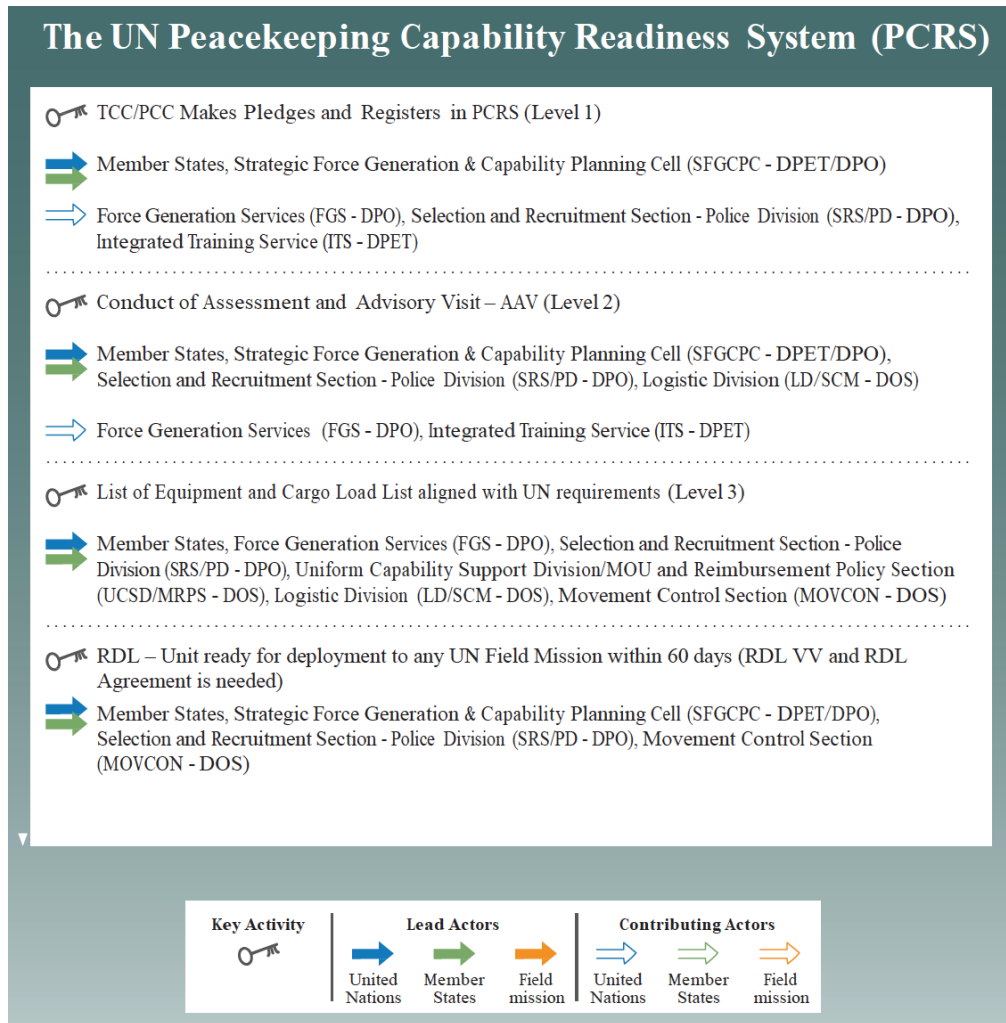
The **Uniformed Capabilities Support Division (UCSD)** within the Department of Operational Support was created as a single point of contact for troop- and police-contributing countries on all administrative and logistical issues related to force generation, memorandums of understanding, contingent-owned equipment and reimbursement.

The **Memorandum of Understanding and Reimbursement Policy Section (MRPS)** within UCSD is responsible for policies and procedures related to the reimbursement to troop- and police-contributing countries and the verification and control of contingent-owned equipment, for support to the triennial meetings of the Working Group on Contingent-Owned Equipment and updating the *Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment* (currently A/75/121) and for undertaking the quadrennial survey of personnel costs established by the General Assembly in its resolution 67/261. The Section also leads negotiations with troop- and police-contributing countries in preparing memorandums of understanding to support the deployment of military and formed police units. MRPS serves as the primary focal point for communications between permanent missions of troop- and police-contributing countries and the Secretariat on questions related to reimbursement and the memorandums of understanding and subsequent amendments, where applicable.

The **Reimbursement Claims Management and Performance Section (RCMPS)** within UCSD is responsible for the calculation, analysis and processing of reimbursement to troop- and police-contributing countries for contingent personnel, major equipment and self-sustainment, as well as death and disability compensation for uniformed personnel. RCMPS also calculates the wet lease, dry lease and maintenance rates applicable for each formed unit in accordance with the decisions of the General Assembly and prepares estimates for the costs associated with reimbursement to troop- and police-contributing countries for inclusion in budget proposals. RCMPS also takes responsibility for adherence to the verification framework by individual field missions, ensuring that appropriate processes and robust controls are in place to measure deployed and serviceable equipment capabilities in field missions.

The **Logistic Division, Office of Supply Chain Management (LD/OSCM)** within the Department of Operational Support are the lead entities for the **Letter of Assist (LOA)** process. The LOA process is required for equipment or services not covered in the COE Manual. Based on the type of service or equipment under LOA, the specific office/service within LD/OSCM will take the main role.

## Chapter 3. The UN Peacekeeping Capability Readiness System



### **Key Output:**

- PCRS pledges level 1 – 3/Rapid Deployment, incl. draft MOUs and draft Load Lists

### **Key Guidance:**

- The PCRS website: <https://pcrs.un.org>
- Policy – Operational Readiness Assurance and Performance Improvement, Ref. 2015.16
- Formed Police Units in United Nations Peacekeeping Operations policy (revised), Ref. 2016.10 (under revision)
- SOP – Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations, (2017.9) (under review)
- SOP – Planning and Implementing Assessment and Advisory Visits (AAVs), (Ref 2020.10)
- Policy – Human Rights Screening of United Nations Personnel, Ref.2012.18



The UN Peacekeeping Capability Readiness System (PCRS)<sup>5</sup> is the **primary tool** for the UN Secretariat and Member States to manage pledges of peacekeeping capabilities. The objective of the PCRS is to ensure readiness and timely deployment of quality peacekeeping capabilities that meet UN standards<sup>6</sup> by enabling Member States to submit pledges of future contributions. The database allows the UN to record prospective TCCs/PCCs in one place, specifying what resources Member States are willing and able to commit for future UN peace operations. As such, it plays a key role throughout the generation/recruitment- planning and deployment processes. The PCRS supports a better-informed unit's selection and decision-making process as it brings detailed information over the pledges made by T/PCCs.

The PCRS categorizes the pledges made at four different levels of readiness and preparedness. An incoming pledge with all supporting documents is initially registered at Level 1. After the status and readiness of the unit(s) pledged have been verified through a successful UN assessment and advisory visit according to established policies and guidance, the pledge is elevated to Level 2. Once a Level 2 pledged capability has its Contingent-owned Equipment and Personnel aligned with a specific or generic UN military/police Statement of Unit Requirement (SUR); and Cargo Load Lists, the desired port of embarkation, and proposed deployment readiness timelines have been provided by the Member State, the pledge is declared as Level 3. Every year, Member States will be invited to pledge units to be placed at the Rapid Deployment Level<sup>7</sup>. The Rapid Deployment Level (RDL) of the PCRS is fully aligned with the UN rapid deployment concept and the Vanguard Brigade. Units at this level must meet all RDL SUR demands and be ready for deployment to any existing or new UN field mission, without any caveats, within 60 days of an invitation to deploy. UN will verify the readiness of the equipment for the pledged unit through physical inspection in RDL verification visit.

## Level 1 - TCCs/PCCs make Pledges and Register in PCRS

### **Key Guidance:**

- The PCRS website: <https://pcrs.un.org>
- 2019.01 Peacekeeping Capability Readiness System Guidelines
- Policy – Human Rights Screening of United Nations Personnel, Ref.2012.18

Member States are requested to submit their pledges for units to peace operations in the PCRS on-line platform (<https://pcrs.un.org>) by filling-out the pledge form and submitting the following documents:

- a) a Note Verbale with the description of the pledged capability,
- b) a table of organization,
- c) a list of major equipment,

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<sup>5</sup> The PCRS replaced the UN Standby Arrangement System (UNSAS) in July 2015 and became operational on 30 September 2015.

<sup>6</sup> The PCRS also supports the requirements of the Department of Political and Peacebuilding Affairs (DPPA) for providing military and police capacities to special political missions.

<sup>7</sup> A fourth level of PCRS, the Rapid Deployment Level is optional for T/PCCs reaching Level 3. The Force Generation Process for Rapid Deployment Level will vary from the typical process as detailed in separate guidelines (2019.01 Peacekeeping Capability Readiness System Guidelines).

- d) a list of self-sustainment equipment,
- e) a certification stating that the Member State making the pledge is not aware of any allegation against any member of the participating unit(s) having been involved, by act or omission, in the commission of any acts that amount to violations of international human rights law or international humanitarian law,
- f) Member States should include in the on-line form, under the description box, any particularities the pledge has, and under the caveats box, any caveats or operational restriction the pledged capability might have.

The Peacekeeping Capability Readiness System Guidelines provide more details on how pledges should be submitted and how they are elevated through the different readiness and preparedness levels.

The Policy on *Operational Readiness Assurance and Performance Improvement*, along with the Military Unit Manuals, provide generic guidance on the requirements for military units as they are being prepared. The *SOP for Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations* and the *Policy on Formed Police Units in United Nations Peacekeeping Operations* provide guidance on the preparation for formed police units. In addition to military and police units, Member States can include vessels, aircrafts, government provided civilian capabilities and offers of specific capacity building, equipping or training assistance. Member States must renew their pledges in the PCRS every year to reaffirm the availability of the capability. If a Member State needs support regarding how to make a pledge, it should contact the PCRS managers. Pledges that do not meet the basic criteria will result in the prospective TCC/PCC being contacted by the Cell to discuss e.g. training and equipment needs and identify potential sources of assistance. Member States that fulfil the basic criteria are registered in Level 1 of the PCRS.

## Level 2 - Pledge is considered eligible for a future deployment after the conduct of a successful Assessment and Advisory Visit (AAV)

### **Key Guidance:**

- 2019.01 Peacekeeping Capability Readiness System Guidelines
- SOP 2020.10 – Planning and Conducting Assessment and Advisory Visits (AAVs)

Assessment and Advisory Visits (AAV) are conducted to facilitate the UNHQ planning and decision-making process and to improve understanding of the ability, preparedness and readiness of Member States wishing to contribute to UN peace operations. For new and emerging TCCs/PCCs, an AAV provides advice on specific UN operational and performance requirements, policies and procedures and serves as an initial assessment of envisaged capabilities for future use in peace operations. For experienced TCCs/PCCs, an AAV determines the actual state of readiness of units and capabilities registered in the PCRS. AAVs also support Member States contributing a new capability in UN peacekeeping missions with guidance on specific UN requirements and assist them in meeting those requirements. AAVs help the UN and Member States to develop mutual understanding of requirements, intentions, and any underlying challenges, for the deployment of pledged unit(s). AAVs will also allow for information to be collected to enable a review



of the suitability of TCCs/PCCs against the provisions of Security Council Resolution 2272 (2016), such information being detailed in Annex A of the Operational Guidance for the Resolution.<sup>8</sup>

AAVs will always be conducted for specialized capabilities such as aviation units (fixed wing, rotary wing and Unmanned Aircraft Systems (UAS) assets), medical units (level II and III hospitals), EOD/IEDD units, Engineer units that contain organic EOD/IEDD capability and Formed Police Units with specialized capacities. Resource constraints (budget and personnel to conduct AAVs or TCC/PCC availability) nevertheless may limit the number of AAVs conducted each year and the conduct of AAVs might therefore require prioritization and a case-by-case decision based on immediate and future needs of UN peace operations.

An AAV is a mandatory step in the force and police generation process. As part of the strategic engagement process, it is conducted to elevate a pledge from level 1 to level 2 in the PCRS<sup>9</sup>. The results of the AAV are recorded in a detailed report and shared with relevant UNHQ entities for selection and generation planning purposes. The report presents a holistic assessment of the Member State's ability to contribute to UN peace operations. It states the existing Member States' structures and national organization to manage contributions to the UN, as well as specific details of the unit that was assessed such as: COE availability and readiness, personnel selection process, training programmes and structure. All these details can be found in the AAV SOP. It also makes a clear recommendation on whether the pledged unit should be elevated to Level 2 of the PCRS or requires additional assistance to meet UN requirements before reaching Level 2.

AAVs must be conducted sufficiently in advance of a deployment to inform the planning and decision-making process. The AAV also enables the Member State to initiate procurement of equipment items not yet available and address gaps in pre-deployment training, accountability structures and other pre-deployment or deployment factors. The fact that an AAV was successfully been conducted or that the recommendations have been solved is not a guarantee of a deployment to a field mission. The Cell, in close cooperation with FGS and SRS, is the primary interlocutor for Member States in the preparations for AAVs.

### **Level 3 - Alignment of Contingent-owned Equipment and Personnel with a specific or generic UN military/police requirement (SUR).**

Once a pledge has achieved Level 2 status, the UN Secretariat and the Member State will discuss the possibility to align the pledge to a mission specific SUR (if applicable) or a generic SUR (based on RDL). The Member State shall provide the SUR used for this preparation, the final list of major equipment, the final list of self-sustainment capabilities, the cargo load list for the unit to be transported, as requested by the Movement Control Section (MOVCON) of the Logistic Division (LD) in DOS, the desired port of embarkation,

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<sup>8</sup> [https://undocs.org/S/RES/2272\(2016\)](https://undocs.org/S/RES/2272(2016))

<sup>9</sup> AAVs should also be mandatory to consider renewed pledges when a TCC/PCC has been listed in the annexes of the annual reports of the Secretary-General on Children and Armed Conflict (CAAC) and Sexual Violence in Conflict (SVC), or has had personnel repatriated due to allegations of having committed serious criminal offenses or violations of international human rights or international humanitarian law, or military units or formed police units for non-compliance with SC resolution 2272 (2016). (SEA?)

and proposed deployment readiness timelines. Once all documents are verified and if considered acceptable, the pledge can then be elevated to *Level 3* in the PCRS.

### **Rapid Deployment Level - A unit is ready for deployment to any UN field mission within 60 days of a formal invitation from the Secretariat**

**Key Guidance:**

2019.02 The Rapid Deployment Level of the Peacekeeping Capability Readiness System

Member State will be invited, every year, to pledge military and police units to the *Rapid Deployment Level*. Pledges will be made through a Note Verbale, stating that the unit can deploy within 60 days after a formal invitation from the Secretariat.

Member States pledging units for registration at the RDL of PCRS should do so through a Note Verbale containing the following information:

- a) Unit type and description,
- b) Commitment by the Member State that the unit will be able to deploy fully equipped, with training conducted and certifications signed within 60 days of a request by DPO,
- c) Certification that the unit personnel have undergone all required UN pre-deployment training as well as all human rights screening and non-mission-specific medical requirements,
- d) Time period proposed to stay on the RDL,
- e) Proposed form of deployment,
- f) Port and/or airport of embarkation for troops and equipment,
- g) Invitation from the Member State for a UN visit to certify that the T/PCC has the required equipment and personnel.

After the analysis and decision to accept the pledges at RDL, a Verification Visit will be conducted to ascertain the readiness of the unit and the availability of COE and to confirm that the requisite pre-deployment training, medical clearance and human rights certification processes are in place according to UN standards. Units accepted in the Rapid Deployment Level will sign an RDL Agreement and be entitled to a financial compensation for the maintenance of its contingent owned equipment (COE). This process is fully described in *The Rapid Deployment Level of the Peacekeeping Capability Readiness System Guidelines*.



## Assessment and Mission Planning

### **Key Guidance:**

- Policy on Integrated Assessment and Planning, approved by the Secretary-General on 9 April 2013
- Integrated Assessment and Planning Handbook, 2013
- Policy on Planning and Review of Peacekeeping Operations, Ref. 2016.09
- Policy on Human Rights in United Nations Peace Operations and Political Missions, Ref. 2011.20

The generation of peacekeepers and capabilities are closely interconnected with mission assessment and planning. In order to ensure quick implementation if and when the Security Council adopts a resolution, the Secretariat initiates the preparatory work for a potential UN presence well before the Security Council issues a mission mandate, following the Integrated Assessment and Planning (IAP) policy, guiding the UN-wide planning for peace operations. The IAP Handbook provides support on how to apply the policy when planning for a new UN peacekeeping operation.

In the early steps of planning a new mission, a broad range of UN entities from the UN Headquarters and the field are brought together to develop a shared understanding of the conflict or post-conflict situation and propose options for UN engagement. An Integrated Task Force (ITF) leads this Strategic Assessment. In cases where a regional organization has peacekeepers deployed, the Strategic Assessment needs to take into account the option of “re-hatting” the regional forces. If re-hatting is an option, the UN needs to assess the readiness and capacity of the Member States deployed as part of the regional forces with regard to complying with UN SURs, UN standards, policies and guidance, including the record of compliance with human rights standards, pre-deployment training standards and other factors. Where a risk assessment was previously conducted under the Human Rights Due Diligence Policy on UN support to non-UN security forces (HRDDP), the outcome of the risk assessment, including the implementation of major mitigating measures, should be considered when assessing the readiness for re-hatting. Benchmarks and timelines for addressing any shortfalls will be identified and agreed between the UN, regional organization and potential TCCs/PCCs.

The host government, potential TCCs/PCCs with pledges registered in the PCRS, the availability of units as part of the vanguard Brigade, and other possible partnering countries, should be closely consulted to inform the development of deployment options on possible UN responses. The Strategic Assessment process produces the Strategic Assessment Report comprising strategic-level options for UN responses, with corresponding broad indicative costs. One option could be a recommendation to initiate planning for a peacekeeping operation.

The conduct of a Technical Assessment Mission (TAM) to the envisaged area of operations is a key activity in the period leading up to a possible Security Council resolution. A TAM is deployed as early as possible to analyse the overall security, political, military, humanitarian and human rights situation on the ground, and its implications for the size, scope, tasks and structure of a possible peacekeeping operation. The TAM also involves assessing support and logistics infrastructure through the participation of DOS subject matter experts. Mission Factors which affect troop cost reimbursements, are also assessed by the TAM.

For current and potential peacekeeping operations, the TAM is usually carried out by Secretariat entities, representatives from the field as well as non-UN experts. Terms of references are drafted for each TAM to define the purpose, scope and participation. A template Terms of Reference for a TAM can be found in *The Integrated Assessment and Planning Handbook*.

The Security Council (SC) can give the Secretary-General a Commitment Authority, which provides financial resources to allow for preparations and the initial key support structures of a new mission. A Commitment Authority can provide financing for significant expenditures, such as TAMs, personnel not included in the rapid deployment team, strategic lift and equipment not in the strategic deployment stocks.

The UN Secretary-General presents the findings and recommendations of the assessment to the Security Council in the Secretary-General report, which lays out options for the establishment of a peacekeeping operation. The report will clearly articulate priorities, options and sequencing of a UN response, estimated required uniformed capacity and the associated cost. The results of the assessment also feed into the draft Mission Concept, Military CONOPS, Police CONOPS and Support Plan, and Unit requirements and draft component plans that may be deliberated on and drafted prior to the Security Council resolution.

The Secretary-General's Report to the Security Council forms the foundation which the Security Council considers in its discussions leading to a resolution. After the report presentation, TCCs/PCCs may also be briefed on the findings of the Strategic Assessment and any technical assessments related to the report. Timely groundwork facilitates a quick mission launch once the mandate has been finalised. The Security Council receives regular updates concerning potential future missions from the Secretary-General.

## **UN – Member State Dialogue on Potential Contributions**

Similar to the broader mission planning process, the preparation for the generation of uniformed capabilities starts before the Security Council establishes a mission mandate. In addition to ongoing strategic discussions between TCC/PCCs and the Cell, this involves informal contacts between OMA/PD and prospective TCCs/PCCs with registered pledges, when a new mission is being discussed. Prior to the establishment of a mission mandate, OMA and PD may also submit requests to individual Member States seeking information or confirmation<sup>10</sup> of when their potential contributions pledged in PCRS, including units part of the Vanguard Brigade at RDL, may be available for the mission being considered/in planning.

Early and effective triangular consultations between the Security Council, TCCs/PCCs and the UN Secretariat is important to forge a common and realistic understanding of the mandate and its execution. The dialogue should ensure clarity on priorities, operational implications and required capabilities through informal discussions and briefings with TCC/PCCs. Discussions may include clarity and understanding of the Mission Concept, component Concepts of Operations (CONOPs) and operational requirements to facilitate decision-making of potential TCCs/PCCs. These efforts also inform planning and development of realistic plans in relation to available capabilities. Potential TCCs/PCCs may be invited by the UN

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<sup>10</sup> Final confirmation to be given following authorisation of the mission by a Security Council Resolution and confirmation through the national authorities of respective Member States.

Secretariat to meetings that serve to inform TCCs/PCCs of the status of mission planning and seeking expression of interest for contributions.

For a Member State interested in participating in a UN peacekeeping operation, besides its pledging in the PCRS, an indication of interest at an early stage is useful to inform the planning and generation processes. Unclear timelines and the fact that important documents such as the CONOPS may only be at the draft stage should not deter Member States from indicating an initial interest in participating. For potential TCCs/PCCs, the overlap between the planning and force/police generation processes provides an opportunity to influence deployment/timelines in mission planning. Member States should make sure to liaise with key entities in the UN Secretariat, primarily FGS and SRS in DPO, when they are interested in participating in a specific mission. Member States can also mitigate information gaps by consulting the UN Military Unit Manuals and/or the *Policy on Formed Police Units in United Nations Peacekeeping Operations* for detailed requirements that will help them prepare for a possible deployment.

The PCRS Rapid Deployment Level is integrated by several types of units with a 60 days' notice to move for deployment. These units mirror the concept of the United Nations Vanguard Brigade, with approximately 4000 troops that can be used as part of an initial quick deployment or as a bridging capability in case their SURs are significantly different from what that mission requires.

## **Security Council Resolution Mandates Peacekeeping Mission**

If the Security Council decides that a UN peacekeeping operation is the most appropriate step to take, it will adopt a resolution that establishes the operation. The Security Council resolution sets out the operation's mandate, size and tasks, specifying the number of troops and police authorised. The budget and resources are then subject to General Assembly approval.

Once the Security Council has adopted a mission mandate, the Secretary-General normally appoints a Head of Mission to direct the peacekeeping operation. The Secretary-General also appoints the Force Commander and Police Commissioner, in most instances of large missions, following a selection process, based on recommendations from PD and OMA through DPO. The process starts with an invitation from the UN to the Member States to nominate senior officers for specific positions in the field. DPO senior management then conduct interviews with candidates following the established procedures and regulations.

As soon as a mandate has been established, an Integrated Operational Team (IOT) is appointed to lead mission planning at UNHQ together with the Head of Mission, if one has been appointed. The IOT consists of representatives from DPO, DOS and other UN entities as appropriate. This joint team ensures that operational and political guidance and support to peace operations, involving issues that cut across more than one area of expertise and fall under different UN entities are fully integrated.

FGS and SRS, the entities primarily responsible for generating and recruiting uniformed personnel and units for UN peace operations, and relevant sections from DPO, including Military Planning Service and Strategic Policy and Development Section, and from DOS also participate in the planning process. The involvement of DOS in the planning process is essential, not least to ensure realistic timelines for deployment. While FGS and SRS provide information on possible military and police contributions, LD and

the Information and Communications Technology Division in DOS give advice on requirements for e.g. logistics and mission support and, importantly, availability and requirements for enabling assets and communication provisions and requirements. Enablers are capabilities that are necessary to build up and support a mission, such as transport, medical and engineering staff. These are often in short supply and can therefore seriously affect the effectiveness of a peacekeeping operation. Delays in the deployment of these enablers during mission start-ups may jeopardize and delay the deployment of the mission. Consulting enabling units registered in the PCRS will provide a clear understanding of levels of preparedness and readiness of these type of units. Careful planning and close interaction between the UN Secretariat and the Member States is therefore key at this early stage to ensure that critical enabling assets are available to the peacekeeping operation.

## Development of Mission, Police, Military and Support Concepts

### **Key Guidance:**

- DPO/DOS and DPA Guidelines on the Mission Concept, Ref. 2014.04
- Policy on Human Rights in United Nations Peace Operations and Political Missions, Ref. 2011.20

The Mission Concept is a statement of intent and strategy on how a peacekeeping operation plans to implement its Security Council mandate. It is a tool for senior mission management to present its vision for mandate delivery, set priorities, and direct mission components to align and synchronize their activities, as well as inform resource allocation. As such, the Mission Concept helps component-level planning and serves as a management tool. Further details on the Mission Concept, including a Mission Concept template, can be found in *DPO/DOS and DPPA Guidelines on The Mission Concept*.

As part of the overall Mission Concept, DOS drafts the Support Concept. The Support Concept is based on the integration of UN-owned, contracted, contingent and-Host Nation provided resources. The right mix and the overall timing of these resources are vital. In cases of shortfalls in contracted resources, additional Member State resources might be made available. It is key that the development of the Military CONOPS, Police CONOPS and the Support Concept are harmonized to ensure coherent and efficient planning of operations.

Similarly, the Military Planning Service (MPS) in OMA and the Strategic Policy Development Section (SPDS) in PD prepare the respective military and police CONOPS, informed by the Mission Concept. The military and police CONOPS state the Military and Police End State and Objectives and the Force/Police Structure, individual police officers and FPU. MPS/FGS then produce a list of specific capability requirements, the Statement of Force Requirement (SFR). The SFR establishes the force's mission, tasks, organization and numbers of units and personnel. The SFR also provides important input for the budget of the peacekeeping operation. The SFR does not specify how the units should be trained or what competencies are required of the personnel. Mission specific requirements for each individual unit in the mission (including tasks, specific capabilities, organization, major equipment and self-sustainment needs) are provided through Statements of Unit Requirements (SURs). Before these are available, the various UN Military Unit Manuals

and the *Policy on Formed Police Units in United Nations Peacekeeping Operations* provide general information for individual units.

The draft Mission Concept and component concepts are discussed and developed during the assessment phase. These documents are finalized as soon as possible after the Security Council has adopted the resolution formally establishing a new mission. TCCs and PCCs may receive briefings that include key elements of the Mission Concept and component concepts at mission specific TCC/PCC meetings.

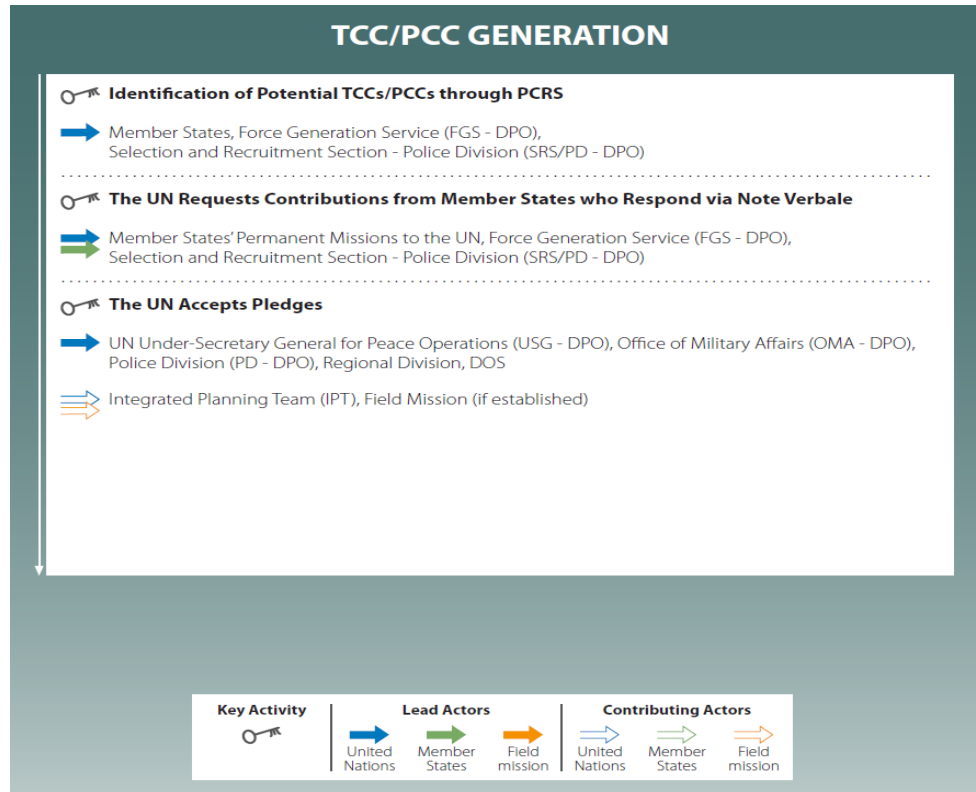
As part of the overall planning efforts, the OMA and PD, in consultation with other UN entities, develop the *Force Generation and Police Recruitment and Capabilities Plan*. When developing this plan, and subsequently the specific unit requirements, planners must consult relevant UN policies and procedures as well as the respective UN Military Units Manuals and relevant guidance for FPU, highlighting the requirements for the different types of units. The *Force and Police Generation and Capabilities Plan* contain the following elements: troop and police contributors' capabilities, availability, priorities, sequencing and modalities for the conduct of pre-deployment and recce visits. If re-hatting a regional or sub-regional force is one of the scenarios, the plan will reflect the specifics of that scenario. It also includes an analysis of how possible human rights-related concerns would need to be addressed, for examples through mitigating measures. The plan enables OMA and PD to identify, plan and formally mobilize the capabilities of troop and police contributing countries in support of the proposed options.

FGS and SRS in DPO, Logistic Division (LD/OSCM) and UCSD in DOS and the field mission (if already established), refine the recommendations made in the SUR (to reflect realities such as equipment and troop/FPU availability) on major equipment and self-sustainment capabilities of units required for the mission and establish a draft MOU/LOA which is then shared with potential TCCs/PCCs to support their planning.

As recommended by the 2017 COE Working Group and further confirmed by the General Assembly, the SUR will be attached as one of the annexes of the MOU/LOA as a foundational reference document.



## Chapter 5. TCC/PCC Generation



### **Key Output:**

- *Note Verbale, Table of Organization and Equipment (TOE), Generation and Deployment Plan.*

### **Key Guidance:**

- The PCRS website: <https://pcrs.un.org>
- UNPCRS Guidelines for Member States, 2015
- Policy – Human Rights screening of UN Personnel, 2012
- Uniformed Gender Parity Strategy 2018-2028
- DPKO/DFS Gender Responsive United Nations Peacekeeping Operations Policy (Ref. 2018.01, January 2018)
- DPKO/DFS Guidelines – Integrating a Gender Perspective into the Work of the United Nations Military in Peacekeeping Operations, 2010
- DPKO/DFS Guidelines for Integrating Gender Perspectives into the Work of United Nations Police in Peacekeeping Missions, 2008
- Formed Police Units in United Nations Peacekeeping Operations policy (revised), Ref. 2016.10 (under revision)
- Policy – Operational Readiness Assurance and Performance Improvement, Ref. 2015.16
- SOP – Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations, Ref.2017.9

## Identification of Potential TCCs/PCCs through PCRS

Once the Security Council has agreed on a mission mandate, the mission-specific generation process can formally start. The identification of Member States that might be interested in contributing military and Formed Police Units to a mission originates from the PCRS, where Member States register and describe in detail what resources they could make available to UN peace operations. In order to ensure that all information on potential TCCs/PCCs is useful for planning purposes, it is essential for Member States to provide the PCRS with precise and timely information on resources available for peace operations, as detailed in chapter 3. Additional information on potential TCCs/PCCs is acquired through FGS and SRS desk officers' and conveyed to the Cell members for their action.

If the PCRS RDL and other generation possibilities are not feasible, as a last resource and in very exceptional cases, the UN may choose, after appropriate considerations, to “re-hat” contingents that are already deployed to the mission area through regional organizations or bilateral initiatives. The processes for re-hatting uniformed contingents are similar to the regular generation phases, and TCCs/PCCs will, as far as possible, need to go through the steps outlined in this manual and other key document. Since the units are already deployed, important activities, such as AAVs, may need to be conducted in the field. In such cases, an Assessment Visit to the contingents already deployed might replace a PDV.

When the FRs and SURs for a mission have been established, DPO presents them to Member States that have indicated an interest in contributing to the mission. OMA and PD normally share the mission CONOPS and SURs with potential TCCs/PCCs pledging to contribute to the mission to make it easier for them to decide on and plan for potential contributions. The Under-Secretary General for Peace Operations approves the list of potential TCC/PCCs that are approached. Priority is given to pledges already registered in the PCRS. Member States who have not pledged relevant resources in the PCRS but are interested in participating in a specific mission must inform the UN Secretariat at an early stage of mission preparatory planning in order to be assessed for possible contribution.

Member States must make sure that their personnel meet UN requirements.<sup>11</sup> This includes training of military and police units and individuals by Member States in order to meet UN standards and, later on in the process, mission specific training and verification and certification on human rights screening, among other factors as indicated above. As such, preparations for deployment to peace operations start well before a peace operation is launched. UN policies, procedures, guidelines and standards for police and military personnel form the basis for Member States' preparations. These documents inform Member States of what is expected of them and minimize the risk of diverging national standards. For military units, the *Operational Readiness Assurance and Performance Improvement Policy* underpins preparation efforts and requests TCCs to formally certify the operational readiness of their contributions. For FPU, the *United Nations Peacekeeping Pre-Deployment Training Standards for Formed Police Units, DPO 2019*,<sup>11</sup> *Standard Operating Procedures for the Assessment and Evaluation of Formed Police Unit Performance (2019)* and the *Policy on Formed Police Units in United Nations Peacekeeping Operations* provide similar guidance for preparations.

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<sup>11</sup> The UN will strive to, in cooperation with regional organisations, harmonize peacekeeping standards to allow for synergy in training and equipment standards and overall capabilities and readiness in line with applicable UN guidance.

Clear guidance on tasks, codes of conduct, and command and control arrangements also enable Member States and the UN to hold personnel accountable for their actions in international service and any form of misconduct or crimes. UN peacekeeping personnel should ensure that human rights are promoted, respected and protected through and within their operations; respect local laws, customs and practices; treat host country inhabitants with respect, courtesy and consideration; and act with impartiality, integrity and tact.

All acts of misconduct, including any act of sexual exploitation or abuse, as well as any violation of host State laws by members of UN military or police components is strictly prohibited and may lead to the repatriation of military or formed police units. Member States are called on to ensure that allegations of misconduct are investigated (for members of military contingents and Military Staff Officers), disciplinary and criminal accountability is enforced. Further detail on preparations, including mission-specific training, certification and verification and accountability structures expected to be in place, is outlined in chapter 6 – Pre-Deployment.

### **The UN Requests Contributions from Member States via Notes Verbale**

After informal discussions on possible contributions between the UN Secretariat and potential TCCs/PCCs, FGS or SRS send a formal request in the form of a Note Verbale to the Permanent Mission of the Member State in question. The Note Verbale could concern a mission specific contribution, a pledge of the TCC/PCC registered in the PCRS or refer generally to the overall force requirements of the mission. General Notes Verbale are often sent to many Member States in the event that the UN has not been able to ascertain a sufficient number of potential TCCs/PCCs through informal dialogue or through the existing PCRS pledges. The UN may also send out general Notes Verbale before the Security Council has adopted a mission mandate in order to get a sense of the general willingness to contribute.

Member States that receive a Note Verbale are expected to respond to the request, stating whether they will be able to contribute for the specific mission. In the event of a positive response, alongside a pledge to contribute, TCCs/PCCs should specify the content and status of the contribution, confirming when it will be ready for deployment and any operational caveats (noting that caveats are not encouraged) that may be applicable. For units not already included in the PCRS, TCCs/PCCs should also certify that the unit(s) personnel have undergone all required UN pre-deployment training as well as human rights screening. The TCC/PCC should take into account the estimated time needed for domestic political processes when informing the UN Secretariat of when its contribution can be deployed. If not already included in the PCRS registration, the TCC/PCC is asked to specify the tasks for which the unit is organized, equipped and trained, and provide a list of COE and personnel – a so-called *Table of Organization*. The more accurate and complete the provided information is, the quicker the ensuing steps of the process will be.

As early as possible, potential TCCs and PCCs should make sure to liaise with key stakeholders in the UN Secretariat. This includes the Cell, OMA/FGS, UCSD/DOS, ITS in DPO as well as PD/SRS, the Air Transport Service (for contributions of any type of aviation assets including UAS/RPAS) and LD in DOS. This will ensure that Member States have all necessary information to start preparing their contributions. It will also alert the UN Secretariat to any shortcomings that need to be addressed. The Desk Officers in FGS and SRS can facilitate such interaction between the Member States and UN entities. These UN entities should similarly seek to engage with Member States as early as possible.

## The UN Accepts Pledges

Once the Member State pledges have been received, the Under-Secretary General for DPO, in close consultation with the Under-Secretary General for DOS makes a final decision on which offers to accept. The decision to accept a pledge is made based on the “*SOP for Selection of Military Units*” criteria and the “*Standard Operating Procedure (Revised) for Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations and Special Political Missions* (2017.9).” Additionally, information is available from AAV reports, OMA’s knowledge of military contingents or units or PD’s knowledge of FPU’s, the OMA Military Adviser or Police Advisor recommendations to support the USG’s decision. Input can also be given by the IOT, DOS, the field mission and other UN offices who may provide relevant information. A detailed response from the prospective TCC/PCC to the Note Verbale helps to take the decision. An offer that deviates too far from the needs expressed in the unit requirements may not be accepted. These deviations may be non-availability of sufficient qualified personnel, lack of major or self-sustainment equipment or overall time to mobilize and/or deploy the unit. Factors such as preparedness and readiness of the TCC/PCC, geographical proximity, regional balance, past TCC/PCC performance and conduct, including suitability against the provisions of Security Council Resolution 2272 (2016), human rights record, host nation approval are taken into consideration in the selection of contributing countries. PCRS helps to make the decision more transparent and reliable by providing information on the preparedness, readiness and available capabilities. The formal acceptance of a contribution is communicated by DPO to the TCC/PCC through a Note Verbale and will initiate the formal negotiation and deployment process

A deployment timeline is agreed through consultations between a TCC/PCC and the UN. The deployment timeline for TCCs/PCCs is prepared by OMA, PD, the field mission and the IOT, and is fully coordinated with DOS. Deployment plans should take into account the absorption capacity of the mission, including factors such as the availability of camp infrastructure (e.g. size of camp, appropriate and sufficient ablution facilities for each gender, lodging facilities), key logistics provisions (water, fuel, rations), accommodation in the area of operations and immediate mission needs (e.g. enablers versus infantry capabilities). The

### **UN Security Council Resolution 2272 (2016)**

#### **Salient provisions**

- *Security Council resolution 2272 (2016) (SCR 2272) requests the Secretary-General to take action, including repatriation and/or replacement of military and formed police units when there is credible evidence of widespread or systemic sexual exploitation or where the troop or police-contributing country in question has not taken appropriate steps to investigate allegations, hold perpetrators accountable or inform the Secretary-General of progress.*
- *The Operational Guidance on the implementation of SCR 2272 sets out the criteria for application of the resolution.*
- *The Operational Guidance also includes an Assessment Tool to determine whether a troop or police-contributing country has met prevention and accountability requirements related to sexual exploitation and abuse for deployment to a peacekeeping mission.*

security situation is also a factor for consideration. In addition, military and police deployment depends on the presence of key mission support staff and service provisions.

### **Generating a Gender-Balanced Peace Operation**

Through the integration of a gender perspective, the UN seeks to improve the effectiveness of peace operations through fostering a more acute understanding of men's and women's experiences, needs, statuses, and priorities as they relate to the mission's mandate. Integrating a gender perspective enhances operational effectiveness by improving conflict analysis and situational awareness and enhancing access to the local population.

In line with Security Council Resolution 1325 (2000) and reinforced through Resolutions 2242 (2015) and 2538 (2020), the UN has adopted a multi-pronged approach towards gender equality, with one area focusing on increasing the number of women in UN peace operations towards equal representation (internal focus), and another area focusing on integrating a gender perspective within these missions for the promotion of gender equality in the host state where the mission is working (external focus).

The Police Division encourages PCCs to sustain efforts to increase the number of women and analyse national strategies for recruitment to make sure that there are no barriers for women's participation and to encourage more women police through motivation, recognition, and promotion of women in UN Police. OMA encourages Member States to increase the number of women participants and is currently implementing "Phase 2" of its Gender Action Plan with the objective to double the numbers of women in military deployments. The Secretary-General has also committed to locating a Senior Gender Adviser in the offices of the Special Representatives of the Secretary-General of peacekeeping missions. In 2011, the Police Division had created the United Nations Woman Police Officer of the Year Award and in the same vein, OMA introduced a Military Gender Advocate Award in 2016 to recognize efforts to bring about a gender perspective in a mission. Further, OMA launched the Women Military Peacekeeping Network to support military servicewomen in peacekeeping.

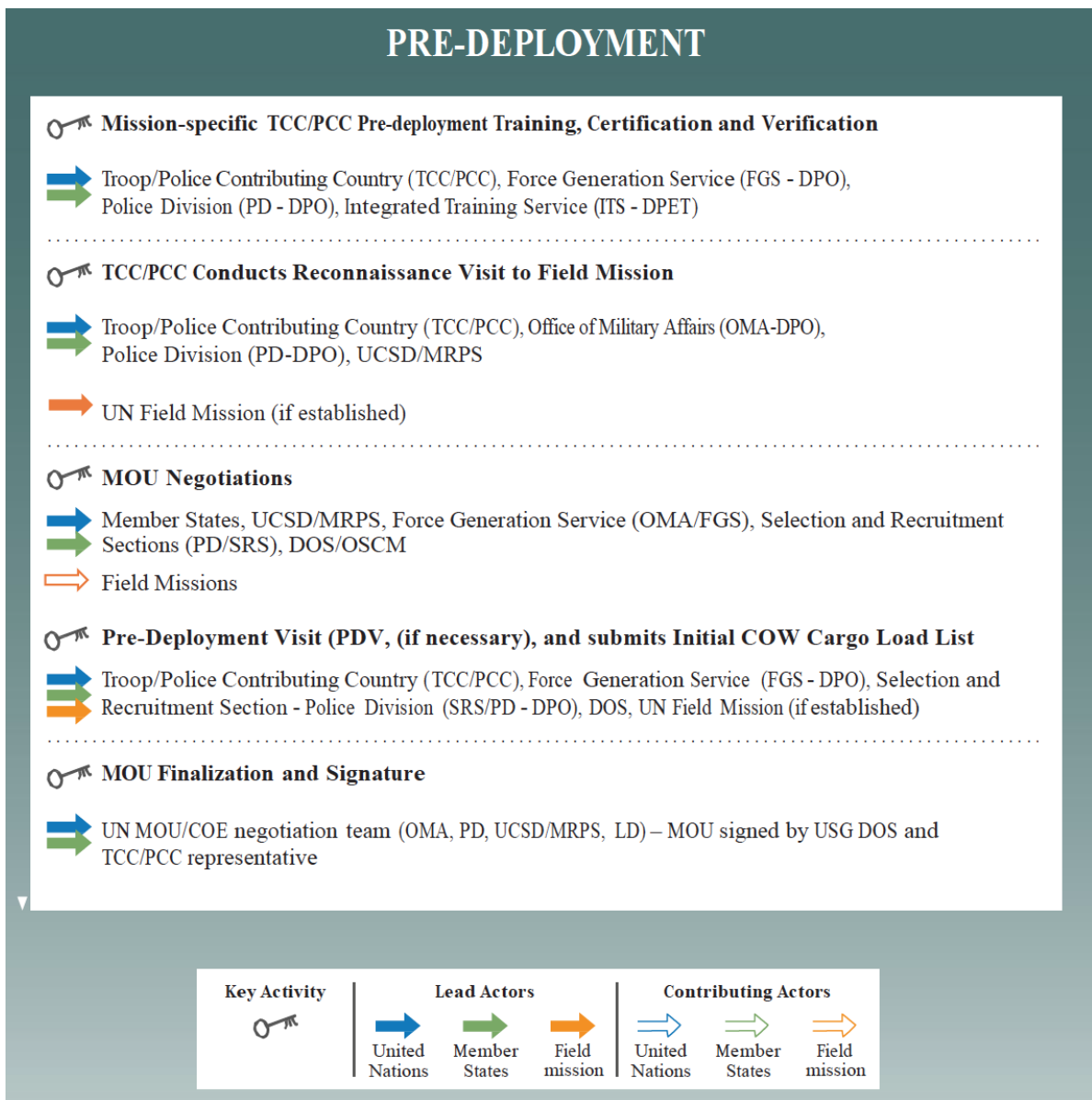
In UNSCRs 2242 (2015) and 2538 (2020), Member States are encouraged to strive to match the level of women military participation in peace operations to the overall percentage of women in their national armed forces. However, the number of personnel that are women remains low: As of November 2020, 5.5% percent of the UN's military and 16.4% percent of police personnel. There is thus a need to continue to strengthen women's participation in peace operations. Member States are encouraged to review national strategies for recruiting women police officers and soldiers and engage with the UN in developing strategies for increasing women's participation.

The Ministerial Communique from the UN Peacekeeping Defence Ministerial held on 8 September 2016 in London supports the United Nations effort and states: *We further call on all Member States to develop and implement National Action Plans on Women, Peace, and Security, and to increase the number of women officers serving in missions as Staff Officers and Military Observers, and attending UN Staff Office and Military Observer Training Courses.* Since then, increasing the number of women in peacekeeping has been a focus of subsequent UN peacekeeping ministerial meetings.

### **Key Guidance**

- *Gender Equality and Women Peace and Security Resource Package 2020*
- *Uniformed Gender Parity Strategy 2018-2028*
- *DPKO/DFS Gender Responsive United Nations Peacekeeping Operations Policy (Ref. 2018.01, January 2018)*
- *United Nations Police Gender Toolkit: Standardized Best Practices in Peacekeeping (Ref. Nov. 2015)*
- *Guidelines for Integrating a Gender Perspective into the Work of the United Nations Military in Peacekeeping Operations, 2010.*
- *DPKO/DFS Guidelines for Gender Advisers and Gender Focal Points in United Nations Peacekeeping Operations (Ref. 2008.11, April 2008)*
- *DPKO/DFS Guidelines for Integrating Gender Perspectives into the work of United Nations Police in Peacekeeping Missions (Ref. 2008.30, June 2008)*

## Chapter 6. Pre-deployment



### **Key Output:**

- *Reconnaissance Visit Report, Certification, COE List, PDV report, MOU and/or LOA*

**Key Guidance:**

- The PCRS website: <https://pcrs.un.org>
- Policy – Training for all United Nations Peacekeeping Personnel, Ref. 2010.20
- UN Military Unit Manuals (UNMUM)
- Policy – Operational Readiness Assurance and Performance Improvement, Ref. 2015.16
- SOP – Assessment of Individual Police Officers for Service in United Nations Peacekeeping Operations and Special Political Missions, Ref. 2011.18
- SOP – Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations, Ref. 2017.9
- Policy – Force Generation/Police Recruitment Visits
- Selection, Deployment, Rotation, Extension, Transfer and Repatriation of United Nations Military Experts on Mission in United Nations Peacekeeping Operations (UNMEM Manual), Ref.2010.30
- Generic Guidelines for TCCs Deploying Military Units to UN Peacekeeping Msns, currently under revision
- SOP – Contributing Country Reconnaissance Visits
- SOP – Planning and Implementing Pre-Deployment Visits
- Manual on Policies and Procedures Concerning Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual), 2020
- Procedures for the use of Letters of Assist (LOAs) to conduct troop and police personnel and/or Cargo movements, 2011.
- Operational guidance on the Implementation of Security Council resolution 2272 (2016) and select related measures in A/70/729 (Draft 2016)

## **Mission-specific TCC/PCC Training, Certification and Verification**

Peacekeeping training aims to equip UN military, police and civilian personnel, both individually and collectively, with the knowledge, skills and attitudes to enable them to:

- a) meet the evolving challenges of peace operations in accordance with UN principles, standards, policies and guidelines, as well as lessons learnt from the field;
- b) perform their specialist functions in an effective, professional and integrated manner and;
- c) demonstrate the core values and competencies of the UN.

Training is delivered in three main phases: (a) the pre-deployment phase; (b) the induction training phase, when further detail mission-specific information is provided; and (c) ongoing refresher training, when substantive/specialized training and cross-cutting training is provided.



## Training Phases

Opportunity	Description	Delivered By
<b>Pre-Deployment Training (PDT)</b>	<ul style="list-style-type: none"> <li>▪ Takes place prior to deployment to a peacekeeping operation</li> <li>▪ Is based on UN peacekeeping training standards and materials.</li> <li>▪ It includes (1) Technical Training to develop individual and collective skills to reach UN standards, (2) Mandatory UN Peacekeeping Training with the Core Pre-deployment Training Materials (CPTM 2017), (3) Missions Specific Scenario Based Training and (4) Integrated Training Exercise.</li> <li>▪ It also includes specialized training related to specific functions or employment category in peace operations (Specialized Training Materials, available at the Peacekeeping Resource Hub)</li> <li>▪ Includes Senior mission leadership (SRSG, FC, PC) induction training</li> </ul>	<ul style="list-style-type: none"> <li>▪ Delivered by Member States to military and police personnel in their home country</li> <li>▪ Delivered by ITS to internationally recruited civilian personnel at the Regional Service Centre in Entebbe (RSCE), prior to their Deployment and to military and police personnel through means of a “Train-the-Trainer” concept.</li> <li>▪ DPO, DOS and the mission (if established) shall ensure that the TCC/PCC is provided with key documents, including relevant Security Council resolutions, the CONOPS, SUR, draft MOUs and TCC and PCC guidelines. The TCC/PCC shall also make effort to collect mission specific information from previous contingents on ground (if available) or the Mission Headquarters, which will assist in Mission Specific Training during Pre-deployment phase.</li> </ul>
<b>Mission Induction Training</b>	<ul style="list-style-type: none"> <li>▪ Additional Mission- and host country-specific training</li> <li>▪ Targets all new individually recruited peacekeeping personnel - military, police and civilians - upon arrival in the mission area</li> <li>▪ Awareness generation or orientation session to complement pre-deployment training and other information packages sent TCC/PCCs prior to deployment, are also conducted for contingent members as needed.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Induction training for individually recruited personnel is coordinated by Integrated Mission Training Centres (IMTCs) or Civilian Training Officers in collaboration with military and police personnel where there is no integrated training structure. Awareness generation sessions for troops are coordinated by their contingent training focal points.</li> </ul>
<b>Ongoing Training</b>	<ul style="list-style-type: none"> <li>▪ Any learning activity for military, police or civilians, undertaken during their duty assignment, subsequent to induction training or Headquarters orientation</li> <li>▪ Includes substantive/technical training, leadership/management and organizational development training, career development training cross-cutting training, also incorporates Table Top Exercises (TTX) and rehearsals.</li> </ul>	<ul style="list-style-type: none"> <li>▪ IMTCs and various components in mission, depending on topic (e.g. Use of Force, Gender, Safety &amp; Security, Human Rights, etc.).</li> </ul>

Member States are responsible for the pre-deployment training of uniformed personnel to UN peace operations, according to General Assembly Resolution A/RES/49/37 (1995). ITS provides information on UN peacekeeping standards, supporting training materials and may, as necessary and on request from Member States, directly assist Member States to design, implement, and improve UN peacekeeping training programs so that military and police units are appropriately prepared for peace operations.

During discussions between the UN and Member States about possible contributions to a specific UN peacekeeping operation, OMA and, in the case of policing issues, PD, provides mission-specific operational advice and information on training requirements to the T/PCCs. During the deployment period, OMA and PD provide operational guidance and advice. Where that guidance needs to be accompanied by training, ITS (supported by OMA and PD) provides operational training guidance.

The main mechanism by which guidance on training is communicated to Member States is through the issuance of UN Peacekeeping pre-deployment training standards and materials. These include the Core Pre-Deployment Training Material, which is mandatory for all military, police and civilian personnel deploying to UN peacekeeping missions; the Specialized Training Materials, which are either role- or subject specific and Re-enforced Training Materials which substantiates training on any key issues like Protection of Civilians. All UN peacekeeping personnel are required to complete pre-deployment training, in accordance with the relevant UN standards, prior to their deployment. For military contingents/units this is highlighted in the policy on *Operational Readiness Assurance and Performance Improvement 2015* and the DPKO-DFS guidelines on *Operational Readiness Preparation for Troop Contributing Countries in Peacekeeping Missions 2018*.

All peacekeeping training materials and related guidance are available on the *UN Peacekeeping Resource Hub* website (<http://research.un.org/en/peacekeeping-community/training>). Member States and their military and police personnel should familiarize themselves with the website. Member States and associated peacekeeping training institutions may also contact ITS/DPET directly by email to [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org) if additional information is needed. Questions can be directed to ITS on any subject related to UN peacekeeping training matters and associated UN support systems and materials.

Furthermore, the UN Military Unit Manuals provide consolidated information on the units' organization, envisaged main tasks and capabilities, training requirements and equipment recommendations. As such, the Manuals form the baseline and foundation for TCC's preparations and evaluation.<sup>12</sup> Specialized Training Materials for United Nations Military Units are available in Peacekeeping Resource Hub at <https://research.un.org/en/peacekeeping-community/training/STM/UNMU2018>, which will assist in the provision of a common basis for preparations, interoperability and operational effectiveness. Besides, specialized training materials related to specific functions or employment category in peace operations and re-enforced training materials to substantiate training on key topics are also available at the Peacekeeping Resource Hub. The *United Nations Peacekeeping Pre-Deployment Training Standards for*

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<sup>12</sup> Manuals include Manuals for UN Riverine Units, Logistics Units, Special Forces, Military Police Units, Military Reconnaissance Units, Military Aviation Units, Military FHQ Support Units, Military Signals Units, Infantry Battalions, Military Engineer Units, Military Maritime Units and Military Transport Units.

*Formed Police Units* and the *Policy on Formed Police Units in United Nations Peacekeeping Operations* similarly underpin the preparation of FPU.

## Training and Verification – Military Units

### **Key Guidance:**

- Policy - Operational Readiness Assurance and Performance Improvement, Ref. 2015.16
- Guidelines Operational Readiness Preparation for Troop Contributing Countries in Peacekeeping Missions, Ref. 2018.29

For military units, the *Operational Readiness Assurance and Performance Improvement* policy provides major stakeholders, including UNHQ, Force Headquarters and TCCs, with a description of the tangible actions required to shape, prepare, deliver and gain lessons learned when deploying military units in peace operations. The policy provides key reference for the UN and TCCs as it offers greater clarity on expectations on the operational readiness of military contributions to UN-led peace operations. Moreover, the DPKO-DFS guidelines on *Operational Readiness Preparation for Troop Contributing Countries in Peacekeeping Missions 2018* provides further specific guidance for organizing pre-deployment training of military units.

TCCs develop and conduct national training programs related to basic military and UN-required skills for all personnel and units preparing for UN deployment. Pre-deployment training is complemented by mission-specific induction and on-going training requirements. This training is based on programmes developed by the Mission/Force Headquarters supported by the Integrated Mission Training Centres (IMTCs) and other relevant mission components. The training addresses the overall political and security situation in the mission area, including human rights and protection issues, as well as the current (and future) role of the military component in the mission, including on conduct and discipline, and environmental management issues.

TCCs are also requested to formally evaluate their military contributions, including through successive rotations, and must certify that personnel and units are operationally ready to deploy, perform and implement mandated tasks. The evaluation can be supported by an AAV/PDV from UNHQ. TCCs are responsible for evaluating and certifying their units/personnel at least six weeks prior to deployment to allow sufficient time for any shortfalls to be remedied<sup>13</sup>. The certification covers operational preparation, including the delivery of UN-required training, among other factors. A template for certification is available in the *Operational Readiness Assurance and Performance Improvement Policy*. TCCs should forward the signed certification through their Permanent Mission to OMA prior to deployment. Should the unit/personnel face challenges in meeting UN-expected standards while in the mission, the UN will engage with the TCC to overcome the performance shortfall. This could involve training, mentoring and can, in some cases, include repatriation of individual staff members or unit(s).

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<sup>13</sup> The United Nations Mine Action Service (UNMAS) can serve as a rapid capability provider to fill any explosive threat mitigation shortfall that may be identified as a result of a TCC failing its evaluation.

## Training and Verification – Formed Police Units

### **Key Guidance:**

- Standard Operating Procedure – Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations, Ref. 2017.9
- Policy (revised) on Formed Police Units in United Nations Peacekeeping Operations, Ref. 2016.10
- Guidelines for Formed Police Units on Assignment with Peacekeeping Operations, DPKO/PD/2006/00015, 2006.
- United Nations Peacekeeping Pre-Deployment Training Standards for Formed Police Units
- Standard Operating Procedure -Assessment and Evaluation of Formed Police Unit Performance, Ref. 2019.11

All FPU that are to be deployed to a UN peacekeeping operation must meet the individual and unit requirements of operational capability as set out in the Policy on Formed Police Units in United Nations Peacekeeping Operations and the United Nations Peacekeeping Pre-Deployment Training Standards for Formed Police Units. A PCC is responsible for ensuring that the personnel it nominates meets the standards established by the UN for service with the mission inter alia with respect to rank, experience, physical fitness, specialization, and knowledge of languages. A PCC is also responsible for ensuring that the personnel it nominates meets all other standards established by the UN, and shall confirm that the requisite pre-deployment training, medical clearance and human rights certification processes are in place according to UN standards. The personnel must be trained on the equipment with which the contingent is provided as well as issues related to good environmental management.

An Assessment of Operational Capability (AOC) visit by a Formed Police Assessment Team (FPAT) to the PCC determines whether the requirements of operational capability have been met. The SOP on Assessment of Operational Capability of FPUs for service in UN Peacekeeping Operations provides guidance on the assessment of FPUs, including on the AOC. SRS informs the Member State about the proposed dates, duration and scope of the AOC. It is the responsibility of the PCC to provide the required pre-deployment training, to conduct pre-AOC exercises, and to pre-screen the FPU and its members so that they meet the requirements of operational capability. PD delivers relevant guidance material to the Permanent Mission of the Member State in question prior to the AOC. If a PDV is conducted, prior to the first FPU deployment from a PCC to a specific peacekeeping operation, the FPAT can be integrated into the PDV team.

Should the United Nations become aware of grave human rights violations which give rise to concerns as to the record and performance of the PCC's police personnel, this may constitute grounds to revoke its acceptance of one or more FPUs for service in a peace operation. In such a case, the PD would not deploy a FPAT to the PCC. Similarly, Should the United Nations become aware of serious allegations of misconduct which give rise to concerns as to the record and performance of the PCC's police personnel, this may constitute grounds to suspend AOC preparations until the United Nations is able to make a determination on the PCC's suitability to contribute police personnel for service in a peace operation.

This Assessment of Operational Capability is conducted by the UN during initial deployment and then in every generation of personnel during subsequent rotations.

A Formed Police Assessment Team (FPAT) determines, in an AOC, whether an FPU meets the requirements of operational capability; makes recommendations on additional pre-deployment training needs; comments on the overall operational readiness of the unit; and makes recommendations about its possible deployment. Only FPUs who have successfully completed this assessment regime – ideally not less than 30 days prior to deployment – are permitted to deploy to a peacekeeping operation. Unsuccessful FPUs have to undergo retraining and retesting.

Among others, the Member State certifies the medical fitness of the FPU members to the SRS after the AOC and shortly before deployment. UN medical standards, including required immunizations, can be found as annexes in the Guidelines for Formed Police Units on Assignment with Peacekeeping operations. In addition, the PCC should, through its Permanent Mission, forward to the Medical Services of the UN Headquarters in New York (DHMOH) the required medical certifications and relevant diplomas of the entire members selected for service in the Mission as part of the staff composing their medical facilities within the Unit.

Following the completion of the AOC, the Formed Police Assessment Team compiles an AOC report, which is addressed to the Police Adviser through SRS and copied to the PCC authorities. On the basis of the AOC, the DPO Police Adviser, in consultation with DPO/DOS leadership, determines the overall operational readiness of the FPU. While the overall process leading to the deployment of an FPU should be consulted with the respective mission, the ultimate decision on its deployment rests with USG DPO, in accordance with the peacekeeping operation's needs.

## Human Rights Screening and Vetting for prior misconduct

### **Key Guidance:**

- Policy – Human Rights Screening of UN Personnel, 11 December 2012

The 2012 Policy on Human Rights Screening of UN Personnel outlines the principles and methodology by which the Secretariat pursues screening. The cooperation of Member States in the effective screening of their personnel prior to deployment or nominations is key in ensuring that UN standards are upheld. Member States bear the primary responsibility for screening their military and police personnel before service with the UN, which includes certifying in writing to DPO that they have not committed, or are alleged to have committed criminal offences, including of a sexual nature, and/or violations of international human rights law and international humanitarian law, and that they have not been repatriated for misconduct during prior service with the United Nations.

It is imperative that Member States conduct screening of personnel with vigilance and do not nominate police or military that do not meet UN standards and regulations. Failing to meet the screening requirements can significantly affect the deployment timeline for replacement personnel or the entire unit's ability to deploy and would present severe reputational risk for the Member State providing the personnel or the unit as well as for the UN.

TCC/PCC is also required to certify that it is not aware of any allegations against its nominated FPU members/Military Unit members that they have been involved, by act or omission, in the commission of any acts that amounts to violations of international human rights law or international humanitarian law. In case an FPU/Military Unit member has been investigated for, charged with or prosecuted for any criminal or disciplinary offence but was not convicted, the TCC/PCC is requested to provide information regarding the investigation or prosecution concerned. TCCs/PCCs are also required to certify that their FPU/Military Unit member/s has/ve not been involved in serious misconduct in a previous United Nations assignment, including in an incident of sexual exploitation and abuse, or has been repatriated on disciplinary grounds and barred from participation in current or future peace operations in connection with an act of misconduct, including sexual exploitation and abuse.

Individually recruited military and police personnel such as UN Military Experts on Mission (UNMEMs), Military Staff Officers and Individual Police Officers (IPOs) as well all members of the FPUs and Military Units, are required to submit self-attestations thereof, and where necessary, provide relevant information, and the UN Secretariat will support the exchange of information on prior conduct of candidates/nominees with regards to criminal offences and/or violations of international human rights law and international humanitarian law for the purpose of screening.

Under the above-mentioned policy, the UN reserves the right, should it discover subsequently that a Member State or individual has made a false statement concerning prior involvement in crimes or international human rights or humanitarian law violations or prior misconduct while in service with the United Nations, to take appropriate action in compliance with established procedures and the applicable regulatory framework. Member States may in such cases be requested to immediately repatriate their personnel at their own expense.

For contracted senior appointments of UN level D2 and above (Force Commander, Deputy Force Commander, Police Commissioner, Deputy Police Commissioner), DPO also seeks the assistance of OHCHR in the human rights screening process and of the Ethics Office for the vetting regarding possible conflict of interest risks.

Vetting of unit personnel will be conducted upon arrival in mission, in cooperation with DMSPC for possible prior misconduct while in the service of the United Nations. Further information on the vetting process is available on the UN PCRS website (<https://pcrs.un.org>).

**STANDARD FORMAT FOR MEMBER STATE NOTE OF CERTIFICATION**

1. The Government of [name of the Member State] certifies that the [designation of the military/police unit], nominated for service in the [name of the peacekeeping operation] peacekeeping operation, is in compliance with the statements of paragraphs 2 and 3 below.

2. The aforementioned unit has been tactically organised in accordance with the UN Force Requirement/Statement of Unit Requirement and is prepared to fulfil its tasks under the provisions of the Mission-specific Concept of Operations, Rules of Engagement/Directives on the Use of Force and Operations Order. It is also certified that the unit has:

- a. The appropriate resources/equipment for the execution of its assigned tasks.
- b. Undergone pre-deployment training to United Nations standards and specifications.
- c. Undergone preparations and testing through self-evaluation and field exercises.
- d. The capability and willingness to operate based on peacekeeping tactics, techniques and procedures, to accomplish the UN Mission's objectives and mandate.

3. More specifically, the Government of [name of Member State] has conducted screening for misconduct and certifies that:

- a. None of the members of the unit have been involved in a criminal offence, including of sexual nature, or have been convicted of, or are currently under investigation or are prosecuted for any criminal offence, or any violation of international human rights law or international humanitarian law;
- b. The Government of [name of the Member State] is not aware of any allegation(s) against the members of the unit that they have been involved, by act or omission, in the commission of any acts that amount to violations of international human rights law or international humanitarian law;
- c. The Government of [name of the Member State] certifies that no unit member to be part of [designation of the unit] has been previously repatriated on disciplinary grounds or otherwise barred from participation in United Nations peacekeeping operations in connection with an act of serious misconduct, including sexual exploitation and abuse;
- d. All unit members deploying to [name of mission] have undergone the required pre-deployment training in conduct and discipline, including on sexual exploitation and abuse, which was delivered in accordance with United Nations standards;
- e. The Government of [name of the Member State] agrees that in cases where, during screening of personnel conducted by the United Nations, it is revealed that one or more unit members to be part of [designation of the unit] would be ineligible from participating in United Nations peacekeeping missions on grounds of any of the elements outlined in sub-paragraphs a) to d), that the Government of [name of the Member State] will bear the full cost of repatriation for such individuals.

4. This note of certification does not apply to a whole contingent but only to the individual unit specified. A separate note of certification is required for each individual unit in a contingent and will be submitted for every rotation of that unit.

Signature

Date

Signature block : Name, position, place, etc.



## TCC/PCC Conducts Reconnaissance Visit

### **Key Guidance:**

- Policy on Force Generation / Police Recruitment Visits, (In process)
- SOP – Troop/Police Contributing Country Reconnaissance Visits to UN Peacekeeping Missions, (in process).

When the UN and a Member State have agreed on a new contribution, the UN approves a reconnaissance visit (often referred to as “recce visit”) to the area of operations. The purpose of the reconnaissance visit is to determine how the mission environment will affect the TCC’s/PCC’s ability to undertake the tasks as set out in the CONOPS and SUR. TCCs/PCCs can carry out similar fact-finding visits in the early stages of the force generation process in order to provide a more detailed response to the Note Verbale. The expenses for the formal reconnaissance visits as invited and agreed upon by DPO, are reimbursed by the UN, if the unit is deployed, but any additional visits are to be funded by the Member State concerned.

TCC/PCC reconnaissance visits must be closely coordinated within the overall process of AAVs<sup>14</sup>, MOU negotiations and related PDVs for the same peacekeeping operation to ensure coherence of the various undertakings. The TCC/PCC is therefore encouraged to nominate the same representatives for participation in all activities such as AAV, reconnaissance visit, formal MOU-negotiations and PDV, where possible. Likewise, UNHQ and field missions should be represented, as far as practicable, by the same staff for the same TCC/PCC. During preparations for the reconnaissance visit, DPO, DOS and the mission (if established) shall ensure that the TCC/PCC is provided with the best operational, logistical and technical information from the mission area and available key documents, including relevant Security Council resolutions, the CONOPS, SUR, draft MOUs and TCC and PCC guidelines.

The process starts by OMA, in the case of military contingents, or PD, in the case of police contingents, sending an invitation for the reconnaissance visit to the Permanent Mission of the contributing country; sometimes as part of the pledge acceptance. The Permanent Mission should respond to the invitation with a written proposal to the DPO lead office (OMA or PD), providing a suggested itinerary for the reconnaissance visit with preferred dates and the names and appointments of the participants. The reconnaissance visit proposal should be forwarded in sufficient time for full consultations and arranging travel and visa entry. The Under-Secretary-General for DPO approves reconnaissance requests. DPO, in coordination with the field mission, retains the right to adjust the proposed composition and duration of TCC/PCC reconnaissance visits to best achieve its purpose.

The TCC/PCC arranges the travel for its participants to the mission area. DPO/DOS, in conjunction with the UN mission, assists in arranging accommodation, travel and other administrative support in the mission area. Contributing country participants should include as a minimum the designated contingent commander and a logistics expert. Larger reconnaissance teams should include expert representatives from force protection and enabling capability areas. The UN reimburses all travel expenses (including accommodation and meals) incurred in the mission area by the approved TCC/PCC reconnaissance team

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<sup>14</sup> If AAV for PCRS was conducted more than 12 months ago, a mission specific AAV might be required.



and subject to conditions detailed in the *Troop/Police Contributing Country Reconnaissance Visits to UN Peacekeeping Missions (also governing and determining the size of the recce party)*.

A reconnaissance visit report documenting the findings must be drafted and agreed by both the field mission and the TCC/PCC. The field mission then submits the report to DPO. After this, and based on the report, the organization of the contributed units and its equipment are fine-tuned and the TCC/PCC submits the revised list of COE. TCCs/PCCs shall also provide a list of personnel, along with required certifications as described above. The reconnaissance visit findings and the COE list form the basis for the subsequent MOU negotiations between the UN Secretariat and the TCC/PCC.

## MOU negotiations

### **Key Guidance:**

- Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual), Currently 2020 version (A/75/121), including its Chapter 9 on the *Model Memorandum of Understanding* for military contingents
- Procedures for the Use of Letters of Assist (LOAs) to Conduct Troop and Police Personnel and/or Cargo Movements, 2011

The MOU between a Member State and the UN establishes the administrative, logistical and financial terms and conditions governing the contribution of personnel, equipment and services by a Member State in support of a peace operation. The MOU is a binding agreement that establishes the responsibility and standards for the provision of personnel, major equipment and self-sustainment support services of both the UN and the Member State in line with General Assembly resolutions. Reimbursements for TCC/PCC contributions to peacekeeping operations are based on the standard reimbursement rates as approved by the General Assembly and detailed in the *Contingent Owned Equipment Manual*. Reimbursement rates and standards for equipment and services are reviewed by the COE Working Group<sup>15</sup> every three years. The COE Manual (Chapter 9) also contains the *Model Memorandum of Understanding* as agreed by the General Assembly. The reimbursement rates for uniformed personnel in formed units are reviewed through a quadrennial *Troop Cost Survey*.<sup>16</sup>

There will be a separate MOU for each formed unit deployed to a peacekeeping mission. The MOU document details the number of troops/police personnel, the quantity and type of major equipment, the areas in which the TCC/PCC is expected to be self-sustaining, respective reimbursement rates, verification principles and guidelines to contributing countries. The MOU also includes the Mission Factors relevant to the field mission. The Mission Factors are applied to the reimbursement rates for major and self-sustainment equipment.

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<sup>15</sup> The 2020 COE WG convened in January 2020 and its decisions took effect 1 July 2020.

<sup>16</sup> The last review was conducted in 2018 with the updated rates taking effect on 1 July 2018. The next quadrennial *Troop Cost Survey* will occur in 2022.

The *Contingent Owned Equipment Manual* is the key reference for MOU negotiations and negotiation teams should be familiar with the document. The MOU negotiations are focused on the UN and a Member State agreeing on a contribution that matches generic requirements for the PCRS, and later on the identified operational mission requirements as per the SUR, to the greatest extent possible and how that contribution will be reimbursed. The negotiations normally include officers from FGS, SRS, and UCSD, sometimes referred to as a “MOU Negotiation Team”. UCSD leads the negotiations and is responsible for the drafting and finalization of the MOU. Specialist officers such as a Medical Support Section/LD officer are invited as required. TCC/PCC participation should include senior national representative and officers commanding the military/police unit, a logistics officer familiar with national equipment and other relevant officers such as an engineer for an Engineering Unit. For new or technically complex units it is important that the TCC/PCC includes personnel in their negotiation team with the relevant technical and operational expertise and understanding of the MOU process in order to avoid delays.

Examples of possible arrangements for the provision of major equipment and maintenance are provided in Chapter 2, Annex B of the COE Manual.

**Major Equipment, Minor Equipment and Self-Sustainment (as defined in the COE Manual)**

**Major Equipment:** Major items directly related to the unit mission as mutually determined by the United Nations and the troop/police contributor. Major equipment is accounted for either by category or individually. Separate reimbursement rates apply for each category of major equipment. These rates include reimbursement for minor equipment and consumables that are used to support the item of major equipment.

**Minor Equipment:** Equipment that is used to support a unit, such as catering, accommodation, non-specialist communication and engineering and other mission related activities. Specific accounting of minor equipment is not required. Minor equipment is divided into two categories: items designed to support major equipment; and items that directly or indirectly support personnel. Personnel related minor equipment is covered by the rates of reimbursement for self-sustainment.

**Self-Sustainment:** A logistics support concept for a unit in a peacekeeping mission whereby the contributing State provides some specific, or all, logistics support to the contingent on a reimbursable basis.

### **Who is responsible for what in the COE system?**

#### **TCC/PCC Responsibilities:**

- Arrive with serviceable equipment that has been agreed as per the MOU
- Report and rectify deficiencies through national channels (at national expense)
- Assist mission staff in conducting inspections and producing verification and other reports
- Provide personnel, equipment and self-sustainment services in accordance with responsibilities under the terms of the MOU

#### **UNHQ Responsibilities:**

- Receive, track and review verification reports
- Provide copy of the verification report to PM of respective TCC/PCC
- Report / clarify contingent deficiencies to the mission
- Report mission shortfalls to responsible UN operational and logistics parties
- Determine levels of reimbursement
- Authorize disbursements to contributing countries based on cash positions.
- Coordinate and address issues related to COE and MOU in context of CMMRB

#### **Responsibilities of the Mission:**

- Conduct Arrival Inspection of the contingent within one month of arrival and forward the Arrival Report to UNHQ; the report forms the initial basis of reimbursements to the contributing country
- Conduct Verification Inspections and forward verification reports to UNHQ, on a quarterly basis; the reports form the basis of on-ongoing reimbursements to the contributing country
- Conduct Operational Readiness Inspections once per mandate or at least each six months of service by the contingent in the mission area and forward reports to UNHQ. In addition to being used to calculate financial reimbursements, the verification reports are used to review the required levels and types of equipment and services detailed in the MOU
- Conduct repatriation inspections and forward reports to UNHQ. The reports establish the termination dates for reimbursement payments
- Provide support to the contingent in accordance with the UN responsibilities under the terms of the MOU

## **LOA Negotiations**

DOS engages with Member States to establish *Letters of Assist* (LOAs), which regulate reimbursements that fall outside the MOU<sup>17</sup>. An LOA is a contractual document issued by the United Nations to a government authorizing it to provide goods or services to a peacekeeping mission.

In support of Field Missions, LOAs may be used only in request of goods and/or services to be provided by a government that are:

- a) Goods with associated services of a strictly uniformed capability nature or use;

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<sup>17</sup> Please see Supply Chain Operational Guidance SR3: *Acquire Through Letters of Assist*

- b) Goods and/or services not strictly of uniformed capability nature or use but unavailable through commercial solutions, existing stock;
- c) Transportation services for the movement of UN uniformed personnel and/or goods to or from a Mission area which are provided by the respective Troop/Police Contributing Countries at the Member States prerogative, subject to compliance with the operational requirements, including timeline and deployment location, and at a rate not to exceed what it would cost the Organization to conduct through commercial, or other competitive means;
- d) Dietary or other requirements unique to a contingent that are available only from the country of the individual contingent, and procurement of which is facilitated or expedited by procurement through the government of the contingent, provided that the cost to the UN of such procurement is not higher than the cost of the same items if procured through commercial sources;
- e) Ammunition, if a commercial solution is not available or feasible.

DOS has the authority to issue LOAs, which must be signed by representatives of the TCC/PCC Permanent Mission and the UN prior to deployment. Under UN Financial regulations, LOAs are contracts and their issuance, amendment and/or extension are subject to the processes outlined in the Supply Chain Operational Guidance *SR3 Acquire Through Letters of Assist*.

## Pre-deployment Visit (PDV)

### **Key Guidance:**

- Policy on Force Generation / Police Recruitment Visits
- SOP – UN Pre-Deployment Visits to Countries contributing Troops to UN Peace Operations
- DPKO/ DFS Standard Operating Procedure (Revised) for Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations and Special Political Missions (2017.9) (under revision)

After the reconnaissance visit and the formal MOU-negotiations, (before the MOU is finalized for signature), UN procedures call for a PDV to the contributing country to verify:

- The major equipment and the self-sustainment capabilities to be deployed are in accordance with the MOU,
- The pre-deployment training is being conducted or has been completed,
- The unit can meet the operational, logistics and readiness requirements detailed in the SUR and MOU respectively.

During the PDV, it is also requested to ensure that the deployment can take place within the planned timeframe. Central to PDVs are exchanges of information regarding personnel and technical requirements that benefit preparations by the TCC/PCC, DPO/DOS and the Field Mission.

For military units the PDVs are led by OMA/FGS meanwhile for Police units the lead role is with PD/SRS. In both cases, the PDV is undertaken by staff from DPO, DOS and other UNHQ entities (as and when relevant).

Participation from FGS for the contribution of a military unit or SRS for the contribution of a police unit is mandatory. The visits shall be closely coordinated with the PCC/TCC to properly sequence the reconnaissance visit, the MOU negotiations and the PDV for the same peacekeeping operation. The DPO Military Adviser or Police Adviser approves PDV requests.

During the PDV, the UN team verifies T/PCC readiness and conduct of pre-deployment training as well as determine possible amendments to respective draft MOU. Shortfalls, if any, are highlighted and the TCC/PCC is asked to rectify any deficiencies within a specific timeframe. The PDV team will provide briefings, clarifications and recommendations to overcome problems identified.

The contributing countries are responsible for supporting and coordinating the PDV. They are also responsible for providing all necessary information regarding the units to be deployed, including status (selection of personnel, human rights screening, training and medical screening) and operational preparedness of the units as well as displaying and demonstrating relevant equipment.

Prior to TCC/PCC deployment to the mission area, the PDV report must be agreed by the TCC/PCC and the UN. The report provides important input for the mission preparations and the finalizing of the MOU. The report should present any unresolved issues and key requirements of the terms of reference. Recommendations, if any, should be made on specific follow-up actions. It should be noted that PDV recommendations are not binding, and any PDV recommendations must still be agreed between the Member States and the UNHQ.

PDVs are particularly important in cases where contingents from a non-UN peacekeeping mission are being re-hatted to serve in a UN mission; where contingents are from emerging TCCs/PCCs or include specialist capabilities being contributed for the first time; where the contribution consists of enabling capabilities; or where the TCC/PCC has had a long break from peacekeeping operations. Through the implementation of the PCRS and the related AAVs, the need for PDVs might be reduced. If an AAV has been concluded successfully within the last 12 months and the TCC/PCC has demonstrated readiness, the PDV might not be necessary. The final decision to launch a PDV lies with DPO.

For the generation of Formed Police Units (FPUs, including with embedded SWAT, Canine or those that will be for specific purposes like Guard Units, Protection Support Units, ), when the AOC is conducted in the context of a PDV, the FPAT will assess the weapons and other operational equipment of the FPU based on the draft MOU and the COE manual to ensure they meet the operational requirements of the peace operation in question. In particular, the FPAT will ensure that the expiry dates on lethal and less-lethal ammunition do not affect the operational capability of the FPU. At least one FPAT member will be familiar with the COE manual and related issues. Their personnel shall be assessed on their individual and unit requirements, in line with the provisions stated in the SOP for Assessment of Operational Capability of FPUs (Ref 2017.9) by a Formed Police Assessment Team (FPAT).

## **MOU and LOA Adaptation and Finalization**

The in-person MOU and LOA negotiations usually take place in New York and generally take between a day and a week. When there is no consensus between the parties, or there is a significant gap between the SUR and the proposed capabilities, negotiations can go on for a longer period. This usually involves one or both parties having to refer to higher levels for approval before moving forward with the negotiations. To

avoid lengthy negotiations, the UN Secretariat and the Member State should engage continuously to ensure that relevant information is available to both parties.



Once the PDV is completed, the MOU is finalized by the DPO/DOS offices in dialogue with the Member State's Permanent Mission. MRPS in DOS circulates the final draft MOU internally and once clearance is complete, concurrence from the Permanent Mission of the TCC/PCC is sought. Finally, the MOU is forwarded to the Under-Secretary-General for DOS for signature and onward transmission to the Permanent Representative of the Permanent Mission of the TCC/PCC for signature.

MOUs and LOAs should be signed by the TCC/PCC and the UN prior to deployment. However, it is not uncommon that an MOU is signed after deployment of a unit. In such cases, the UN Secretariat and the Member States must agree on key aspects of the MOU and LOA prior to deployment.




## Chapter 7. Deployment

### DEPLOYMENT

#### **TCC/PCC Provides Final Load List**

-  Troop/Police Contributing Country (TCC/PCC), Movement Control Section (MOVCON - DOS)
-  UN Field Mission (if established)

#### **Movement of Personnel and COE to the Mission Area (Advance Party/Main Body) (Strategic Airlift/Surface transportation)**

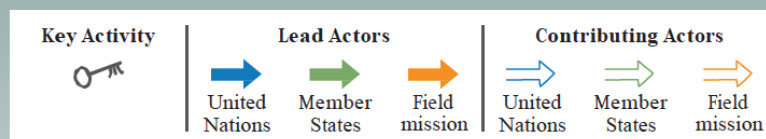
-  Troop/Police Contributing Country (TCC/PCC), Force Generation Service (FGS - DPO),
-  Selection and Recruitment Section - Police Division (SRS/PD - DPO), Logistic Division (LD/SCM - DOS),
-  Movement Control Section (MOVCON - DOS), UN Field Mission

#### **In-field Verification and Performance**

-  Troop/Police Contributing Country (TCC/PCC), UN Field Mission

#### **Reimbursements**

-  Uniform Capability Support Division/MOU and Reimbursement Policy Section (UCSD/MRPS - DOS),
-  DMSPC, UN Field Mission



#### **Key Output:**

- *Load List, Dangerous Goods List, COE Verification reports, Passenger Manifest*

**Key Guidance:**

- Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (Contingent Owned Equipment Manual), (Currently A/75/121, 2020 Version).
- Generic Guidelines for Troop Contributing Countries, Deploying Military Units to the United Nations Peacekeeping Missions, currently under revision
- DPO/DOS Movement Control Manual, 2014.21
- Guidelines for Formed Police Units on Assignment with Peacekeeping Operations, Ref: DPKO/PD/2006/00015
- The PCRS website: <https://pcrs.un.org>

## **TCC/PCC Provides Final Cargo Load List**

To make sure that uniformed personnel and equipment are deployed as quickly and efficiently as possible, TCCs/PCCs and the UN must work closely together. DOS/LD/ Movement Control Section (MCS) coordinates transportation for deployment, rotation and repatriation. The normal mode of transport is air for personnel, and surface for equipment. Field Mission Movement Control Sections (Mission MOVCON) coordinate movements within the mission area between the Airport/Seaport of Disembarkation (APOD/SPOD) and the unit's final destination. Prior to deployment, the TCC/PCC must submit detailed information about personnel and cargo to MOVCON and DPO/OMA/FGS. Regardless of how deployment is organized, a set of the required Passenger and Cargo documentation, including Passenger Manifest, Load List and Dangerous Goods List should be provided to MOVCON along with the official confirmation on the cargo readiness date no later than eight weeks before the planned deployment and/or readiness date (whichever is first). Failure to produce accurate and timely Cargo Load Lists is a common cause of delay for deployments. It may also impede on issuing of diplomatic clearances with the host nation and countries where the cargo is transiting. In the event when delays in the movement occur because of missing clearances and/or cause vessel demurrage, truck detention, cargo storage and other charges, it will be the T/PCCs responsibility and will be offset from the respective COE reimbursement. When issues arise in preparing national contingents, Member States should, in advance, ask DOS/MCS for assistance with developing Cargo Load Lists and associated shipping documentation.

As part of the mission planning process, UNHQ develops an indicative list of required personal equipment for each individual mission (appendix to annex A of the MOU). This list of personal equipment is discussed with each contingent before launching the mission. The list should be available to personnel prior to deployment to support their planning.

The information required from Member States for deployment is outlined in the *Contingent Owned Equipment Manual*. Additional guidance, including templates, is available on the UN PCRS website (<https://pcrs.un.org>). It should be noted that requirements for the deployment of individual officers differ from those of military units and FPU's. More information on the deployment of individual military and police officers can be found in the *Generic Guidelines for Troop Contributing Countries*, the *Generic Guidelines for United Nations Police Officers* and the *UNMEM Manual*.



## Movement of Personnel and COE to the Mission Area

### **Key Guidance:**

- Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (Contingent Owned Equipment Manual), [Currently A/75/121, 2020 Version]
- DPKO/PD/2006/00015 Guidelines for Formed Police Units on Assignment with Peace Operations, Ref. DPKO/PD/2006/00015, 08 May 2006
- Generic Guidelines for Troop Contributing Countries Deploying Military Units to the United Nations Peacekeeping Missions, currently under revision
- Policy – National Support Element, 01 November 2015.
- The Movement Control Manual, Ref. 2014.21
- Procedures for the use of Letters of Assist (LOAs) to conduct troop and police personnel and/or Cargo movements, 2011

Once personnel and equipment are trained and prepared, the UN Secretariat has received all the necessary documentation, procurement and leasing processes are finalized, and mission reception arrangements are in place, deployment can begin.

When the UN is responsible for the deployment, MOVCON will arrange the movement of all associated equipment and personnel from the point of departure to the contingent's camp in the area of operations. If COE is being deployed, the movement is to be assisted by the TCC/PCC providing drivers and operators. On deployment and repatriation, as there is an associated movement of equipment by sea or air, the accompanied personal baggage on the passenger flight is limited to 45 kg (0.27 m<sup>3</sup>) regardless of the unit's tour of duty. If the unit is on a twelve-month tour of duty, the additional 55 kgs of entitlement is to be shipped unaccompanied with the associated COE movement (i.e. in a sea container).

During initial deployment of a unit, if it is operationally required, the UN can move (usually by regularly scheduled commercial airlines) an advance party comprised of up to a maximum of 10% of the unit's strength. The TCC must submit a written request for an advance party to FGS at least 30 days before the required flight date; the PCC must submit the similar request to Police Division. The TCC/PCC must coordinate the travel details of the advance party with FGS/PD, providing all relevant passenger details (name, nationality, date of birth, passport number, etc). For movements into, within and out of a mission's area of operations, the UN is responsible for the coordination of all in-mission movement operations. This includes obtaining the necessary permissions and authorizations for the movement of equipment from the appropriate authorities in the host country.

Alternatively, movements may be arranged by the TCC/PCC under LOA. TCC/PCCs are requested to refer to the UN Procurement Manual and Chapter 4 of the COE Manual for more information. This option essentially means that a TCC/PCC organizes its movement of personnel and/or cargo to/from the field mission using its own transportation assets/contracts. All transportation arrangements/contracting would be the responsibility of the TCC/PCC to arrange. However, TCC/PCCs are still required to coordinate their movement activities through the MCS and apprise the UN of all timings and details to ensure that the field

mission is prepared to properly receive/dispatch the troops and cargo. In this option, a TCC/PCC would be reimbursed for conducting the movement in accordance with Chapter 4 of the COE Manual. As per the manual, the UN can only reimburse to a maximum of what it would cost the UN to conduct the movement. Guidance on deployment under a LOA is available in *Procedures for the use of Letters of Assist (LOA) to Conduct Troop and Police Personnel and/or Cargo Movements* and the *Generic Guidelines for Troop Contributing Countries Deploying Military Units to the United Nations Peacekeeping Missions*.

A combination of the two options is also possible, e.g. where the TCC/PCC deploys the advance party and the UN deploys the main force.

***Who provides what in UN peacekeeping operations?***

**The UN provides:**

- Fuel, water, accommodation (after the first six months of deployment) and rations for contingents;
- In-mission cargo and passenger movement, engineering support, and medical facilities for the whole of a mission

**TCCs/PCCs provide:**

- Major equipment including vehicles, generators;
- Self-sustainment capabilities like catering, laundry, internet, organic medical and engineering

Both Major equipment as well as self-sustainment are agreed as part of the MOU.

A TCC/PCC, after negotiations with the UN, may deploy personnel and equipment in support of its unit, referred to as a National Support Element (NSE)<sup>18</sup>. Such contributions may be deployed to the peacekeeping operation with prior approval of the UN if it is assessed by the TCC/PCC and the UN to be needed for national purposes. These personnel shall enjoy the legal status, privileges and immunities, of TCC/PCC members of the UN peacekeeping operation. The Member State however does not receive any reimbursement in respect of these personnel and equipment, nor does the UN accept any financial obligation or responsibility for the NSE. Any support or services provided to the NSE are recovered from the reimbursement due to the TCC/PCC. In general, NSE components are limited to a maximum 10% of the total size of the unit but no more than 50 personnel. Deployment of NSE requires USG DPO approval.

The UN is responsible, on initial deployment and repatriation, for the cost of inland transportation of authorized major equipment and initial provisioning of associated spare parts from and to its agreed originating location and an agreed port of embarkation/disembarkation. The originating location and the port shall be agreed upon and noted in the MOU. The UN is responsible only for paying the inland transportation costs, on initial deployment and subsequent repatriation of the equipment.

Costs related to the transportation of equipment to meet national operational or maintenance requirements, including third- or fourth-line maintenance, are a national responsibility and not eligible for reimbursement by the United Nations. The reimbursement for inland transportation costs, including

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<sup>18</sup> National Support Element (NSE) are regulated by DPKO/DFS Policy – National Support Element, dated 01 November 2015.

packing and crating material, is assessed and reimbursed using procedures similar to those employed for a LOA. Therefore, TCCs/PCCs intending to request reimbursement for inland transportation are responsible for contacting LD prior to the deployment to discuss arrangements and agree in advance on the conditions and costs eligible for reimbursement.

The PCRS webpage assists Member States prepare for deployment. The TCC-PCC Deployment Planning Resource (available on UN PCRS, <https://pcrs.un.org>) provides online access to key UN documents and guidance, which are essential for national planning staff to prepare their units for deployment. Registered users have access to Mission Specific Guidelines providing details on the UN missions as well as to the Current Deployments timeline management tool. This tool enables TCCs/PCCs to monitor progress of deploying units and upload electronic copies of all cargo load lists to MOVCON.

Host Country support is a key factor in the deployment phase. As the establishment of a peacekeeping operation is a major logistical undertaking, the UN and the host country need to work effectively together to make sure that personnel and equipment reach the mission area as quickly and smoothly as possible. Where such cooperation does not exist, there is a risk that deployments are heavily delayed, impeding the peacekeeping operation's ability to implement the Security Council Mandate. Host nations have the responsibility to cooperate with the peacekeeping operation in line with the mission's mandate. The UN and the host country must, at an early stage of the process, establish procedures<sup>19</sup> for the deployment and rotation of personnel, especially outlining issues regarding visas, entry, transit and transport of COE, customs procedures, and ensuring freedom of movement for UN units operating in the country, enabling them to carry out their mandated tasks. While this is no exhaustive list, these key steps are necessary for a peacekeeping operation to deploy efficiently.

For their part, the Host Country has the responsibility to fully comply with SOFA/SOMA facilitating the deployment of T/PCCs in compliance with its National regulations, in other hand the T/PCCs must provide the necessary documents and information for requesting the necessary customs and personnel clearances in a timely manner and have COE to be transported packed in accordance with the national, international and host nation's regulations. DOS/LD/MOVCON will provide guidance to T/PCCs through deployment of experts prior to deployment (as well as conduct pre-deployment inspections where necessary).

## **Preparations in the Mission Area**

Following consent of the Host Country, the Mission Support Centre is responsible, in coordination with supply, engineering, MOVCON and other partners, to identify the site for deployment, secure the land, as well as any ground preparation (engineering tasks) before contingents typically deploy. This includes the identification of a source for bulk water provision to the contingent and adjustment to the applicable Rations contract.

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<sup>19</sup> Such procedures are part of the Status of Mission Agreement (SOMA) and/or Status of Forces Agreement (SOFA), negotiated and signed by the Host Nation and the respective Field Mission.

### **Rapid Deployment**

The UN Secretariat is often tasked to deploy peacekeeping capabilities within short time-frames. Failure to deploy quickly has plagued the UN peacekeeping system, with early opportunities to prevent conflicts from escalating having been lost. Over the last decade, a number of initiatives have been launched to speed up the deployment of key capabilities.

Standby arrangements represent an important way to increase predictability and shorten deployment times. The PCRS provides the basis for more rapid deployment through its system of pledges, pre-negotiated MOUs and assessments of contingents well in advance of their deployment. Arrangements such as the Standing Police Capacity (SPC), with an operational capacity of 40 staff members and a unique blend of leadership and specialized knowledge, provide the UN with a dedicated and highly skilled resource that can deploy on short notice to help set up the police component of a new peacekeeping operation or strengthen an already existing operation. Strengthened partnerships with regional organizations are also being explored to enable bridging arrangements and improve re-hatting procedures.

Ensuring financial resources is a key aspect of rapid deployment. The Security Council Commitment Authority can provide resources to support the early planning of a mission. Yet another option may be to transfer assets and capabilities from already existing missions (e.g. through Inter-Mission Cooperation). The UN can also use trust funds to purchase equipment in order to facilitate or speed up deployments. Financial incentives such as premiums for rapidly deployed enabling capabilities also facilitate quicker deployments.

In exceptional cases, additional flexibility, in terms of the UN Secretariat's standing operating procedures for generation and deployment, is warranted in order to more rapidly set up critical components of a peacekeeping operation. The UN Secretariat and Member States can consider waiving the requirement of a PDV for example. Another such exception is to negotiate MOUs ex-post facto, thereby avoiding any delays associated with the negotiations. Lastly, MOVCON could be instructed to use commercial contracts for strategic lift rather than initiate a bidding process or compare with Member States providing their own lift. Such exceptions would rely on TCC/PCCs meeting UN standards in terms of training and equipment, while maintaining a high level of readiness, and the UN Secretariat being able to ensure in advance that the TCC/PCC will be able to meet mission requirements.

## **In-Field Verification and Performance Improvement**

### **Key Guidance:**

- 2020 Verification Framework Guidelines (currently under revision),
- Operational Readiness Assurance and Performance Improvement, Ref. 2015.16
- SOP on Force and Sector Commander's Evaluation of Subordinate Military Entities in Peacekeeping Operations, Ref. 2016.02
- DPO 2019.11 Standard Operating Procedures for the Assessment and Evaluation of Formed Police Unit Performance (2019)

After deployment to the mission area, the next step of the verification process begins. This includes in-field verification of COE and management of MOUs. Each field mission with military/police units is required to develop and implement a comprehensive COE and MOU management program to ensure that the capabilities of contingents, their major- and minor equipment, and their self-sustainment capabilities meet the operational requirements of the mission. Field missions are required to verify on a periodic and systematic basis that military and police units meet requirements stipulated in respective MOU.

There are four mandatory in-field inspections:

- a) Arrival Inspection (immediately upon arrival or after agreement);
- b) Periodic Verification Inspections/Spot Checks (Quarterly);
- c) Operational Readiness Inspections (semi-annually);
- d) Repatriation Inspection (upon repatriation).

The aim of the inspections is to:

- a) Verify that the terms of the MOU are met by the UN and TCCs/PCCs and that the MOU remains appropriate to the mandated tasks;
- b) Verify that equipment is serviceable;
- c) Verify that self-sustainment standards are met.

The activities associated with the verification and control of COE, and the management, implementation and administration of the MOU are organized under, and referred to, as elements of a mission's *COE Program*. The COE Program includes the establishment of a Mission COE/MOU management structure, planning and implementation of COE verification inspections and control activities, COE verification reporting and COE capability assessment and performance analysis.

To facilitate coordinated action and decision making in relation to the management of the mission's COE Program, each mission is required to establish a *COE/MOU Management Review Board*.

The Field CMMRB is established as a senior management decision-making mechanism to ensure an integrated and systematic approach in executing COE / MOU management and control functions in the Field Mission. The Field Review Board provides high-level, cross-functional guidance on the assessment of COE and periodically reviews the capability of contingents, their major equipment holdings and their self-sustainment capabilities needed to meet the operational requirements of the Field Mission. The Field Review Board will review and provide Mission's inputs and recommendations to DPO/DOS on COE policy issues, creation/amendment of MOUs, and actions requiring the attention of T/PCCs.

The HQ CMMRB provides a forum for collective and consultative deliberation leading to the development of recommendations on issues related to MOUs, COE and the reimbursement for formed units deployed to UN field missions. The HQ Review Board considers mission-specific capability and reimbursement issues requiring cross-Departmental coordination as well as those systemic issues that cut across missions and require policy /guidance. The HQ Review Board develops advice with regard to MOUs, reimbursement and COE performance and changing requirements based on new mandates or concepts of operations, the associated statement of unit requirements, and proposed or requested changes to MOUs, including the deployment of new units and adjustments to existing units. The HQ CMMRB also reviews Field Mission

CMMRB recommendations, proposals related to the application of the reimbursement framework, and major operational or policy issues of relevance affecting one or more missions with a view to providing recommendations and advice to the relevant decisionmakers in DPO and/or DOS.

Uniformed personnel are also tested and evaluated regularly in-field by commanders at a national and mission-level. The *Policy on Operational Readiness Assurance and Performance Improvement*, and the *SOP for Force and Sector Commander's Evaluation of Subordinate Military Entities in Peacekeeping Operations*, provide guidance on the in-field evaluation of military units and the *Policy on Formed Police Units in United Nations Peacekeeping Operations* and *Standard Operating Procedures for the Assessment and Evaluation of Formed Police Unit Performance (2019)* provide guidance for FPU. The SOP details the assessment and evaluation processes that take place periodically during each quarter of a regular 12-month deployment (or every 3 months in the event of a deployment of longer duration) or at the HoPC's discretion. Given the relatively short duration (twelve months) of a typical deployment, the overarching principle of this FPU evaluation process is one of continuous improvement to both addressing any issues for FPU coming to the Mission in the next rotation as well as to improve overall service delivery. In the event of there being matters that do not meet the Required Standards, they will be addressed simultaneously through a Performance Improvement Plan (PIP), which will make up part of the following quarter's assessment. The accumulation of the quarterly performance reports will determine the overall End of Mission final evaluation of the Unit's performance.

## Reimbursements

### **Key Guidance:**

- *Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions* (Contingent Owned Equipment Manual), [Currently A/75/121, 2020 Version]
- *Guidelines on Premium: Award for members of military and police units having performed well despite exceptional risk*, 2019.15

The Uniformed Capabilities Support Division (UCSD) is the single point of contact for troop- and police-contributing countries on all administrative and logistical issues related to force generation, memorandums of understanding, contingent-owned equipment and reimbursement.

The General Assembly reviews and agrees the reimbursement framework for uniformed personnel (formed units) and contingent-owned equipment. The *Contingent Owned Equipment Manual* consolidates the decisions of the General Assembly on contingent-owned equipment, and provides clarification and explanations, where required, on the implementation of these decisions. The *Contingent Owned Equipment Manual* contains the policies, procedures and actions to be followed by United Nations Headquarters and peacekeeping missions in reimbursing and controlling contingent-owned equipment.

Verification and control procedures are intended to ensure that the terms of the memorandum of understanding between the United Nations and the troop/police contributor are met by both parties at the outset and throughout the period of effect of the memorandum. Major equipment and self-sustainment standards are defined to ensure operational capability. These standards are addressed in greater detail in Chapter 3 of the *Contingent Owned Equipment Manual* - Standards, verification and control of contingent-owned equipment for major equipment and self-sustainment.

TCCs/PCCs are reimbursed for formed personnel on the basis of both the standard monthly rates indicated in Annex A of the agreed MOU and the monthly *Uniformed Strength Reports* (USR) providing actual deployments in the mission-area. Reimbursements for major equipment, provided under wet or dry lease arrangements, are determined, in part, on the basis of the standard monthly rates for specific items of equipment as indicated in Annex B of the agreed MOU. Minor equipment, services and supplies related to the self-sustainment support of contingents are reimbursed on a monthly troop strength basis under the standard monthly self-sustainment rates as indicated in Annex C of the agreed MOU. Field Missions provide monthly *Uniformed Strength Reports* and quarterly *Verification Reports* which form the initial basis of reimbursement calculations. Troop Strength Reports and Verification Reports must be endorsed by the Force Commander/ Police Commissioner (or designee), and the Heads of Mission Support.

In line with General Assembly Resolution 67/261, major equipment that is absent or non-functional may result in proportionate reductions to the reimbursement for uniformed personnel. Missions are required to assess and report on whether the absence or non-functionality of major equipment is considered to have resulted for reasons considered beyond the control of the TCC/PCC.

The General Assembly has also acknowledged that some peacekeeping missions entail a higher level of risks for the troops and other personnel than others do. General Assembly resolution 67/261 further established that the reimbursement system should recognize the different levels of risks incurred by troops in different United Nations missions, with the objective of securing broader and more effective participation in the full range of missions, including the most demanding ones. In its resolution 67/261, the General Assembly approved an exceptional premium payment to individual units that are operating without restrictions and caveats and that have acquitted themselves well despite exceptional levels of risk. This has been referred to as the “risk premium”. The premium shall be no greater than an amount equal to 10 percent of the standard monthly troop reimbursement rate paid per contingent member. The award of 10 percent of the monthly reimbursement rate will include all actions taken within a calendar month. The annual aggregate amount of such awards will be no greater than an amount equal to a 10 percent premium paid to 10 percent of the average number of contingent personnel deployed during a peacekeeping fiscal year. The premium is decided quarterly and is paid at the conclusion of service directly to the relevant individual contingent members. Given the exceptional nature of the award, there would be no expectation that awards would be approved every quarter. More information on the premium is available in *Award of Risk Premium (Formed Units) Guidelines*.

## Personnel Rotations

### **Key Guidance:**

- General Assembly Resolution, A/RES/67/261 dated 6 June 2013
- Rotation on UN Expense, DPKO/OMA fax dated 22 December 2014

General Assembly (GA) Resolution 67/261 approved a standard twelve (12) month rotation period for all contingents at the UN's expense starting on 01 July 2015. As stipulated at Paragraph 4 of the GA resolution, TCCs/PCCs may decide on more frequent rotations for their units at their own expense. These rotations will require the Mission's approval and will be the financial and logistical responsibility of the T/PCC. This includes the movement between the T/PCC camp and exit/entry airport in the Mission Area and tactical movement (from international airport to the unit location in the respective mission). When TCCs/PCCs decide to rotate more than once a year, their luggage entitlement will be reduced as per the Guidelines for TCCs and MOVCON Manual, i.e. 45 kgs. per contingent member. T/PCCs, whose units are deployed to exceptional demanding operational and environment conditions, may request an exemption from the 12 months rotation on UN expense. A formal request needs to be addressed to DPO for evaluation and authorisation. During rotations, only personnel will be moved; equipment/COE will be passed from the previous unit (contingent) to the new contingent in accordance with the MOU/LOA. Normally the rotation should encompass all personnel of the units. In instances where the unit did not deploy together, TCCs/PCCs should plan to adjust the tenure of their personnel in order to meet this requirement.

The personal luggage entitlement is subject to revision from time to time as per the updated MOVCON Manual. Currently rotating military/police personnel, who spend 12 months or above in the mission area, are entitled and limited to 100 kg/ 0.6 m<sup>3</sup> per person. This includes up to four pieces of check-in luggage plus one carry-on hand baggage of  $\leq 8$  kgs. Personnel luggage is to contain personal belongings (only), which are defined as items of clothing and other professional items necessary to the traveller for the safe and effective accomplishment of his/her tour of duty in the mission area. Personal effects shall not include household goods such as large appliances, furniture, televisions, stereo set, kitchen accessories, or any kind of item that is not strictly related to, and/or necessary for the job description to which the traveller in question is assigned for. If applicable individual weapons; weapons shall be included as part of the checked-in baggage. The standard dimension of the check-in baggage: Length +Width + Height = 160 cm (80 cm x 40 cm x 40cm). The total weight of one bag shall not exceed 23 kgs, so as to support the limitations on a tactical level and the narrow body aircrafts and/or rotary wings used in UN peacekeeping mission.

On initial deployment and final repatriation of the Units, as there is an associated movement of equipment by sea or air, the accompanied personal baggage on the passenger flight is limited to 45 kg (0.27 m<sup>3</sup>) (up to 2 x pieces  $\leq 20$  kgs each (0.22 cbm total) +1 x hand carry  $\leq 5$  kgs (0.05 cbm)), the additional 55 kgs of entitlement is to be shipped unaccompanied with the associated COE movement. Other than on initial deployment and repatriation, the transportation of spare parts and consumables associated with major and minor equipment under the wet lease arrangement is a national (i.e. TCC/PCC) responsibility. No cargo (other than personal belongings within the authorized entitlement) is permitted on board UN chartered aircraft unless T/PCC agrees to pay all extra costs incurred during the transportation of self-sustained



cargo, including internal shipment from/to international airport in the mission area and the receiving mission can, and agree to, handle the additional cargo.

In some cases (i.e. smaller units) the UN may arrange for the airlift of the complete unit utilizing only one round trip flight. If it is operationally required, the UN will then move, by regular scheduled commercial airlines, an advance or rear party comprised of up to a maximum of 10% of the unit's strength in order to affect an operational handover of the units. In these cases, the T/PCC will coordinate the travel details of the advance party with FGS/PD and provide all relevant passenger details, airlift arrangements for the rear party is a Mission responsibility and should be coordinated with MOVCON in the mission.

**APPROVAL SIGNATURE:**



**Jean-Pierre Lacroix**  
**Under-Secretary-General**  
**Department of Peace Operations**

**DATE OF APPROVAL: 05 May 2021**

**APPROVAL SIGNATURE:**



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**DATE OF APPROVAL: 16 April 2021**

## Abbreviations

AAV	Assessment and Advisory Visit
AMS	Assessment for Mission Service
AOC	Assessment of Operational Capability
AOR	Area of Responsibility
APOD/SPOD	Airport/Seaport of Disembarkation
C/DMS	Chief/Directors of Mission Support
CAS	Chief Administrative Services
CISS	Chief Integrated Support Service
CMMRB	COE/MOU Management Review Board
COE	Contingent-Owned Equipment
CONOPS	Concept of Operations
DOS	Department of Operational Support
DPA	Department of Political Affairs
DPET	Policy, Evaluation and Training Division
DPO	Department of Peace Operations
DUF	Directive on the Use of Force
FGS	Force Generation Services
FPAT	Formed Police Assessment Team
FPU	Formed Police Unit
HERMES	Human Resources Management System
HOM	Head of Mission
HOMC	Head of Military Component
IAP	Integrated Assessment and Planning
IAPTC	International Association of Peacekeeping Training Centre
IMTC	Integrated Mission Training Centre
IOT	Integrated Operational Team
IPO	Individual Police Officer
ITF	Integrated Task Force
ITS	Integrated Training Services
LOA	Letter of Assist
MCOS	Mission Chief of Staff
MILAD	Military Adviser
Mission MOVCON	Field Mission Movement Control Sections

MLO	Military Liaison Officer
MOU	Memorandum of Understanding
MOVCON	Movement Control Section
MRPS	MOU and Reimbursement Policy Section
NSE	National Support Element
OMA	Office of Military Affairs
PD	Police Division
PDV	Pre-Deployment Visit
PCC	Police Contributing Country
PCRS	Peacekeeping Capability Readiness System
PKTI	Peacekeeping Training Institution
PMCA	Pre-Mandate Commitment Authority
POLAD	Police Adviser
RCMPS	Reimbursement Claims Management and Performance Section
SAAT	Selection Assistance and Assessment Team
SFR	Statement of Force Requirement
SOP	Standard Operating Procedure
SPC	Standing Police Capacity
SPDS	Strategic Policy Development Section
SRS	Selection and Recruitment Section
SUR	Statement of Unit Requirements
TAM	Technical Assessment Mission
TCC	Troop Contributing Country
The Cell	Strategic Force Generation & Capability Planning Cell
TOE	Table of Organization and Equipment
UCSD	Uniformed Capabilities Support Division
UNHQ	United Nations Headquarters
UNMEM	Military Expert on Mission
UNMO	UN Military Observer
UNOE	UN Owned Equipment

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