



## **Policy**

December 2015

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# **Operational Readiness Assurance and Performance Improvement**

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Contact:	Military Adviser, DPKO
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## DPKO/DFS Policy Document on Operational Readiness Assurance and Performance Improvement

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### **A. PURPOSE**

1. These policies set institutional direction for strengthening the operational readiness of individual military units deployed in UN peacekeeping operations.
  2. This policy provides major stakeholders, including UN Headquarters (UNHQ), Force Headquarters and Troop Contributing Countries (TCCs), a description of the tangible actions required to shape, prepare, deliver and gain lessons learned when deploying military units in peacekeeping operations. This document also clarifies the role of the stakeholders in the various phases of military unit deployment.
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### **B. SCOPE**

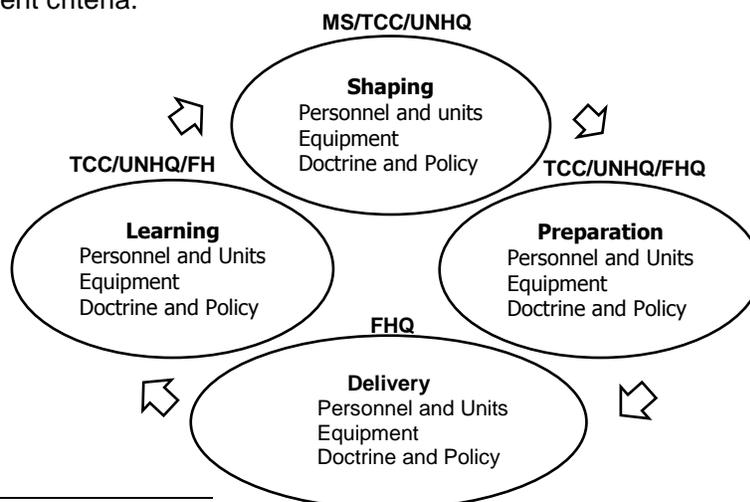
3. This policy applies to all military contributions involved in peacekeeping operations executed under the leadership of the Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS). These policies support the force generation, mandate implementation and operational readiness improvement processes. They provide decision makers, planners and trainers greater clarity on UNHQ expectations regarding the operational readiness of TCC military contributions.
  4. The Operational Readiness Assurance policy contained herein takes into account all relevant DPKO and DFS policies, doctrine, standard operating procedures, command directives and capability development projects.
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## C. RATIONALE

5. Military components in UN peacekeeping operations are increasingly operating in complex environments requiring improved preparation and performance to ensure effective delivery of mandated tasks. Improving military unit performance is a collective effort between TCCs, UNHQ, field missions and Force Headquarters. The coordination of this collective effort is done through the Operational Readiness Assurance policy presented in this document.
6. Military components are drawn from many Member States bringing a wide range of experiences and capabilities to UN missions. This diversity raises challenges to interoperability, operational coherence and performance, but also provides opportunities to leverage the strength of individual contributions.
7. To further strengthen individual military component contributions, the Secretariat has in place a framework to scale and appropriately compensate TCCs/PCCs for deploying contingents based on their level of operational readiness in accordance with published Statements of Unit Requirement, the Contingent-Owned Equipment (COE) Manual and UN Military Unit Manual -specified expectations and standards. Indeed, according to a Report of the Senior Advisory Group, compensation/reimbursement on a unit basis is directly connected to the “evaluation of contingent-owned equipment, and its impact on the ability of the unit to perform.”<sup>1</sup>

## D. OPERATIONAL READINESS ASSURANCE

8. The Operational Readiness Assurance policy is ultimately designed to improve the performance of deployed military units by ensuring a holistic approach by all stakeholders. Operational Readiness Assurance creates a Performance Improvement Cycle as depicted in Figure 1. Annexes A through D provide details on specific actions to be taken and those organizations supporting and being supported. The Performance Improvement Cycle is divided into four distinct phases: Shaping, Preparation, Delivery and Learning. Each phase contains clear procedures and measureable performance improvement criteria.



<sup>1</sup> Report of the Senior Advisory Group established pursuant to General Assembly resolution 65/289 to consider rates of reimbursement to troop-contributing countries and other related issues, A/C.5/67/L.33, 6 May 2013, paragraph 10.

## **D.1 SHAPING**

9. This phase of the Performance Improvement Cycle typically begins well before any military unit is designated for UN peacekeeping operations. Shaping is conducted by Member States and involves in-depth training and preparation in all military unit aspects including personnel, equipment, doctrine and policy. This phase includes basic military skills foundation training (including the capability of operating in an asymmetric environment) upon which peacekeeping competencies can be added. The Shaping Phase is described below and depicted in Annex A.
10. **Personnel:** “Shaping” personnel (key military leaders, officers and troops) are a key dimension of the Performance Improvement Cycle. It implies preparing the mindset, knowledge, physical capability and skills of officers and military personnel intended for deployment in UN Peacekeeping Missions. As these “shaping” dimensions cannot be addressed at the last moment before deployment, ongoing processes, including vetting and screening of personnel primarily undertaken by Member States, can build on UNHQ standards and lessons learned from field missions. Four of these processes are critical:
- Train, Populate and Sustain. It is important that Member States train, populate and sustain units proficient in basic soldier skills, at both individual and collective levels. From this pool of military forces, units can be identified and prepared for future UN training and education.
  - Educate and Train on UN Issues. Member States are expected to prepare their personnel, especially military leaders, to have the proper peacekeeping mindset and understanding before becoming involved in UN peacekeeping operations. To this end, Member State personnel must be educated in the applicable UN rules and regulations, including relevant international legal considerations, for UN operations. UNHQ will support the Member States by providing reference documents and guidance for individual and unit training and education on relevant peacekeeping topics. Additional support can be provided on a bi-lateral basis between consenting Member States.
  - Career Management. The increasingly complex and specialized nature of UN peacekeeping requires that military personnel are equipped with the necessary military and peacekeeping skills, knowledge and experience to match their rank, position and responsibilities. Individuals destined for senior position and/or multiple assignments with UN peacekeeping need to be career-managed to ensure they are capable of fulfilling the demands placed upon them. Member States are encouraged to conduct career-management of their personnel earmarked for UN positions, supported by UNHQ as needed.
  - Guidance, Policy and Doctrine. Guidance and reference documents highlight UN requirements in terms of personnel preparation for future peacekeeping operations. UN Military Unit Manuals (UNMUM), such as those on the UN Infantry Battalion, Aviation, Reconnaissance, Signals and other military specialties, provide general descriptions of the UN’s military unit requirements. More crosscutting areas, e.g., Human Rights, Gender, Protection of Civilians, etc., should also be addressed. For further guidance see the link in Section G., Reference H (page 12).
11. **Equipment:** Member States should ensure that their personnel and units are adequately equipped with standard national equipment as well as specialized, UN peacekeeping-specific equipment. Member States have national procedures to plan, procure and field their standard national military equipment. When doing so, they are

encouraged to procure and field specialized equipment that is also suitable for future UN peacekeeping operations. Member States should consult the UN Military Unit Manuals and the Office of the Military Adviser (OMA), DPKO for further information on specialized military equipment needed by UN missions.

12. **Doctrine and Policy:** UNHQ and missions provide Member States with a number of reference documents. In the shaping phase, Member States should ensure that these documents are known and understood by all personnel designated for UN peacekeeping. If needed, DPKO/DFS stands ready to support Member States with specific training on these documents:

- Global/universal documents:
  - a) UN Capstone Doctrine;
  - b) UN guidelines on cross-cutting issues (Protection of Civilians, Gender, Human Rights, Child Protection, Sexual Exploitation and Abuse, Conduct and Discipline, etc.);
  - c) SOP on Force Commander's Evaluation of Subordinate Military Entities in Peacekeeping Operations;
  - d) COE Manual;
  - e) UN core pre-deployment training.
  
- Mission-specific documents (if the mission for deployment is identified):
  - a) Mission plans;
  - b) Concept of Operations (CONOPS);
  - c) Rules of Engagement (ROE);
  - d) Force Commander's Guidance;
  - e) Operations Order (OPORD).
  
- Functional level documents:
  - a) Force Headquarters Handbook;
  - b) UN Infantry Battalion Manual;
  - c) Various UN Military Unit Manuals;
  - d) Mission-specific standards and skills.

## **D.2 PREPARATION**

13. This phase of the Performance Improvement Cycle usually takes place 3-6 months before deployment to a specific UN mission. TCCs, UNHQ and the Force Headquarters play important roles during this part of the process. Based on the foundation skills established during the Shaping Phase, peacekeeping competencies can be added, shifting the emphasis to UN standards and practices while maintaining and improving basic military skills. The preparation phase ensures that personnel, organizations/units and equipment are operationally ready to deploy. To assist TCCs in this phase of their certification process, DPKO/DFS conducts and sets up Assessment and Advisory Visits (AAVs), Reconnaissance Visits and Pre-deployment Visits in coordination with the TCCs.<sup>2</sup> The Preparation Phase is described below and depicted in Annex B.

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<sup>2</sup> Current DPKO policy directives include *Contributing Country Reconnaissance Visits*, Ref.2400/MIL/POL/0503, and *Pre-deployment Visits*, Ref.2400/MIL/POL/0502, both dated 5 October 2005.

14. **Personnel and Units:** It is essential that TCCs ensure that personnel and units are trained and competent for their intended UN role. If not conducted during the Shaping Phase, personnel screening procedures and certification of units must take place during the Preparation Phase. TCCs must also ensure that pre-deployment training for personnel and units on their way to UN missions is actually conducted and recorded in accordance with national and UN requirements. If TCC personnel and/or units are to be listed in the UN Peacekeeping Capability Readiness System (PCRS), it is important that skills achieved are also recorded in the UN data base. Three specific points are worth noting:

- Develop and Train Basic and Specialized UN Skills: For all personnel and organizations/units preparing for UN deployment; it is a TCC responsibility to develop and conduct national training programs related to basic military and UN-required skills based on documents listed in paragraph 15.
- Pre-Deployment Training: Based on the individual unit's training level, and supported by the Force Headquarters with the required mission-specific guidance (as coordinated with UNHQ), it is a TCC responsibility to plan and conduct pre-deployment training for individuals as well as units and organizations to ensure they are capable to execute mandated tasks in the mission area. Pre-deployment training is focused on mission-specific requirements and is based on programs developed by the Mission/Force Headquarters supported by the in-mission training centers (IMTCS), to include:
  - a) The overall political and security situation in the mission area;
  - b) Current (and future) role of the military component in the mission.
  - c) Additionally, UNHQ core Pre-Deployment Training Materials, and special training materials are provided as needed and requested by the TCCs.
- Evaluation: TCCs are requested to formally evaluate their military contributions, including through successive rotations, and are encouraged to certify that personnel and units are operationally ready "in all respects" to deploy and implement mandated tasks. The evaluation can in some cases be supported by an Assessment and Advisory Team Visit from UNHQ consisting of representatives from DPKO/OMA, DFS, ITS and representation from Force Headquarters. The purpose of this evaluation is to:
  - a) Have all stakeholders including the TCC, UNHQ and Force Headquarters observe the level of unit preparation;
  - b) Foster confidence in and improve interoperability with other UN national contingents as described in the UN Military Unit Manuals and other UN supporting documents.
  - c) Assist the UN by demonstrating that TCCs are ensuring that their personnel and units are at the required level of operational readiness for mandated tasks.

15. **Equipment.** TCCs and UNHQ are responsible for ensuring that the required standard and mission-specific equipment, as specified in the Statement of Unit Requirement and COE Manual, are available and fielded to contingent personnel and organizations/units in a timely manner. This paragraph does not address specific equipment standards as they are already specified in the COE Manual and Statement of Unit Requirement.

- During the preparation phase, all personnel and organizations/units should be equipped with national standard equipment and mission-specific equipment in accordance with the Statement of Unit Requirement, Force Requirement, Letter of Assist and MOU, as applicable.
- For all equipment, TCCs are expected to have in place effective sustainment and maintenance procedures.
- All equipment should also be prepared for deployment. This preparation includes for instance painting in UN colors.
- The TCC, supported by UNHQ, will prepare and deploy equipment in accordance with applicable TCC-UN agreements and the Status of Forces Agreement with the host state.

**16. Doctrine and Policy:** Standards and doctrine must be current and relevant to the specific peacekeeping mission. Building on lessons learned, standards and doctrine must be regularly reviewed and updated by UNHQ in consultation with the Force Headquarters. For improving their preparation, TCCs can request mission-specific and function-specific documents such as:

- Mission-specific documents provided by the UNHQ, e.g.:
  - a) Mission plans;
  - b) CONOPS;
  - c) ROE;
  - d) Force Requirements and Statement of Unit Requirement.
  - e) Core Pre-Deployment Training Materials and Special Training Materials (STM) from DPKO's Division for Policy, Evaluation and Training (DPET)/Integrated Training Service (ITS).
- Mission-specific documents provided by the Force Commander via UNHQ, e.g.:
  - a) OPORD;
  - b) Force Commander's guidance, directives and intent on Protection of Civilians, Gender, Human Rights, Sexual Exploitation and Abuse, etc.;
  - c) Force Commander's mission-specific training directive;
  - d) Mission-specific, scenario-based exercises and mission essential tasks;
  - e) Mission/Force SOPs;
  - f) Mission-specific training guidance.
- At the functional level, UNHQ and mission handbooks, manuals and practical knowledge, e.g.:
  - a) FHQ handbook;
  - b) UN Infantry Battalion Manual;
  - c) Relevant UN Military Unit Manuals;
  - d) Mission-specific standards and skills.
  - e) Mission functional level SOPs/guidance on Protection of Civilians, Gender, Human Rights, Sexual Exploitation and Abuse, etc.

**17. Certification:** TCCs should evaluate their units/personnel for certification at least six weeks prior to deployment to allow sufficient time for any shortfalls to be remedied. The certification covers operational preparation and conduct and discipline:

- Operational Preparation: TCCs should certify that the unit has been:
  - a) Tactically organized in accordance with the UN Force Requirement/Statement of Unit Requirement.
  - b) Prepared to fulfil its tasks under the provisions of the Mission-specific Concept of Operations, Rules of Engagement and Operations Order.
  - c) Appropriately resourced/equipped for the execution of its assigned tasks.
  - d) Trained in accordance with the pre-deployment training to United Nations standards and specifications.
  - e) Prepared and tested through self-evaluation and field exercises.
  - f) Provided with the capability to operate based on peacekeeping tactics, techniques and procedures, to accomplish the UN Mission's objectives and mandate (see paragraph 16 above).
  
- Conduct and Discipline: Additionally, TCCs must certify that they have conducted screening for misconduct and further certify that:
  - a) None of the unit members of the 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) That the TCC 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) No member of the deploying 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 deploying unit members 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) In cases where, during screening of personnel conducted by the United Nations, it is revealed that one or more deploying unit members are ineligible for participating in United Nations peacekeeping missions on the grounds of any of the elements outlined in the bullets immediately above, the TCC will bear the full cost of repatriation for such individuals.
  
- The certification document (see the template at Annex E) should be signed by an official TCC representative prior to deployment. TCCs should forward the signed certification through their Permanent Mission to UNHQ, DPKO/OMA, prior to actual deployment. UNHQ will forward the certification document to the UN mission's Force Commander. The TCC's contingent/unit commander should provide a copy of the certification document to the Force Commander upon arrival in the Mission area. Should the TCC 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 an early rotation of the unit/personnel.

### **D.3 DELIVERY**

18. This phase of the Performance Improvement Cycle relates to the delivery of mandated tasks in mission areas. In this phase, Force Commanders have the main responsibility in terms of operational readiness. This section provides further information on the linkages between TCCs and the Force Commander. More details can be found at Annex C.
19. **Personnel and Organizations/Units.** When arriving in the mission area, it is important that personnel and units receive mission-specific, in-mission training based on programs developed by the Mission/Force Headquarters supported by the in-mission training centers (IMTCS). This training should include three categories:
- **Induction Training:** Individual training on specialist roles and generic tasks are mandatory and should be conducted by the Force Headquarters immediately upon arrival in the mission area. Training programs should be agreed upon by the incoming entity and the training entity before deployment. Induction training should be for all levels including Force, Sector and subordinate units. Training and evaluation on matters such as conduct and discipline, Human Rights, gender awareness, POC must also be covered. If needed, induction training can be conducted outside the mission area.
  - **Refresher Training:** From completion of training during the preparation phase to some time after deployment in the mission area, skills may fade or need adjusting. The Force Commander may decide to develop a refresher training program to reinforce previous individual and collective training as needed.
  - **“On-the-Job” Training:** “On-the-job” and integrated training should be normal, on-going activity taking place at all levels, especially during rotation between units or when the Missions situation and mandate are evolving.
20. **Equipment:** In general, TCCs are responsible for the performance of their equipment in accordance with the Force Requirements/Statement of Unit Requirement and TCC-UN agreements. Equipment must be operational and maintained in accordance with UN regulations stipulated in the COE manual.
21. **Doctrine and Policy:** Most of the doctrine and policy used during the preparation phase is still valid during the delivery phase. However, this phase involves more mission-specific doctrine, policy, orders and guidance. As such, the Force Headquarters:
- Develops the mission-specific Fragmentary Orders, Concept of Operations and directs training of military contingents by providing specific, scenario-based exercises and essential mission training.
  - As required, the Force Commander will update the Training Directive.
  - Supports the TCC’s Operational Advisory Visit and Pre-Deployment Visit.
  - Ensures that its various military units are trained on and thoroughly familiar with function-specific doctrine and guidance including the Force Headquarters Handbook, UNIBAM, UNMUM and SOPs.

## 22. Evaluation When Deployed in the Mission Area:

- The Force Headquarters establishes an in-mission Operational Readiness Assurance program including an evaluation process. Included in the Operational Readiness Assurance evaluation program is the vetting of incoming units.
- Operational readiness at all levels is an ongoing process. As explained in the DPKO/OMA Standard Operating Procedure (SOP), *“Evaluation by Force Commanders of Subordinate Military Entities in Peacekeeping Operations,”* Force Commanders should carry out periodic operational readiness evaluations of all subordinate entities to ascertain gaps in operational needs and performance.
- Contingent Commanders are also expected to conduct their own operational readiness evaluations of their personnel and unit(s), reporting the details back to national authorities and informing Force Headquarters, as appropriate.
- Evaluation by UNHQ entities (including DPKO/DFS) are linked to different performance criteria such as COE MOU Management Review Board reports, COE verification inspections, etc. as governed by the COE Manual.<sup>3</sup> The COE Manual calls for operational readiness inspections to be carried out regularly in accordance with the COE Manual and Guidelines for field verification.<sup>4</sup> The COE Manual also includes references to the roles and responsibilities of all relevant actors to include the contingents and representatives of the Head of Mission, Director or Chief of Mission Support and Force Commander.
- The COE verification process starts with inspection in the field and feeds into the MOU reimbursement process. The verification process is largely a joint effort in the field between Mission Support, the Force and the Contingent Commanders. At the Force Headquarters level, evaluations are linked to the SOP for *“Force Commander’s Evaluation of Subordinate Military Entities in Peacekeeping Operations.”* Other UNHQ-level inspections can include, but are not limited to:
  - a. COE Arrival Inspections
  - b. COE Periodic Inspections
  - c. COE Operational Readiness Inspections
  - d. COE Repatriation Inspections
- *Operational* Readiness Assurance may require additional personnel and materiel resources that should be integrated into Force tasking, training, conduct of operations and After Action Reviews.

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<sup>3</sup>Management Review inspections are governed by the *Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual)*, A/C.5/69/18, Chapter 10, paragraph 43, dated 20 January 2015.

<sup>4</sup>Procedures of the Management Review Board are governed by the *Guidelines for the Field Verification and Control of Contingent-Owned Equipment and Management of Memorandum of Understanding*, Annex A: Terms of Reference of the Mission COE and MOU Management Review Board, September 2015.

#### **D.4 LEARNING**

23. This phase of the Performance Improvement Cycle relates to the learning process. It focuses on how lessons identified are used by the different stakeholders to enable improvement during the shaping, preparation and delivery phases. Utilizing existing DPKO/DFS lessons identified/lessons learned tools, the learning process should inform all domains related to personnel, units, organization, training, equipment, doctrine and policy. Details about the learning phase can be found at Annex D.
24. **Personnel and Organizations/Units:** It is essential that TCCs incorporate into their peacekeeping centers and national military training processes the key findings captured during the complete Performance Improvement Cycle. UNHQ and TCCs must ensure that UN pre-deployment and refresher training of individuals and units remains up-to-date and aligned with the lessons identified. Two specific areas should be noted:
- In compliance with relevant DPKO/OMA SOPs, UNHQ and Force Commanders must conduct evaluations of Force Headquarters and all subordinate entities<sup>5</sup>. These evaluations are a critical source of information for the learning phase.
  - Implementation of the key findings, forwarded by UNHQ to the TCCs via their Permanent Missions, is a collective responsibility. UNHQ and the Force Headquarters should ensure that training materials identified for the preparation and delivery phases are updated. TCCs should reflect the updated requirements in their national training programs to better shape and prepare personnel and unit capabilities.
  - Force Headquarters must ensure that they have a robust and efficient Lessons Learned process operating within the Force.
25. **Equipment.** TCCs and UNHQ are responsible for ensuring that the required standard national and mission-specific equipment are available and updated in a timely manner to remain fit for purpose.
- During the learning phase, national standard equipment and mission-specific equipment should be reviewed to consider their relevance for current and future peacekeeping operations.
  - For all equipment, TCCs are required to adjust their sustainment plans to reflect the latest requirements.
  - UNHQ should also adjust Force Requirements/Statement of Unit Requirement and other TCC and UN agreements to reflect current and anticipated requirement.
26. **Doctrine and Policy:** Documents and standards should be scrutinized against the results of different evaluations. Standards and doctrine must be current and reflect contemporary peacekeeping requirements. Building on lessons learned, UNHQ must regularly review and update standards and doctrine in consultation with Force

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<sup>5</sup> DPKO/OMA's SOP on "Force Commander's Evaluations of Subordinate Military Entities in Peacekeeping Operations."

Headquarters in the learning phase. Updates may affect the following fundamental documents:

- Mission-specific documents provided by the UNHQ:
  - a) Mission plans;
  - b) CONOPS;
  - c) ROE;
  - d) Force Requirements and Statements of Unit Requirement;
  - e) Core Pre-deployment Training Materials and Special Training Materials (STM) from DPET/ITS.
  
- Mission-specific documents provided by Force Commander:
  - a) OPORD;
  - b) Force Commander's guidance, directives and intent on Protection of Civilians, Gender, Human Rights, Sexual Exploitation and Abuse, etc.;
  - c) Force Commander's mission-specific training directive;
  - d) Mission-specific scenario-based exercises and mission essential tasks;
  - e) Mission/Force SOPs.
  - f) Mission-specific training guidance.
  
- At the functional level, UNHQ and missions provide the following handbooks, manuals and practical knowledge:
  - a) Force Headquarters Handbook;
  - b) UN Infantry Battalion Manual;
  - c) Relevant UN Military Unit Manuals;
  - d) Mission-specific standards and skills.

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## E. ROLES AND RESPONSIBILITIES

26. Roles and responsibilities between the different entities involved in the four steps of the Performance Improvement Cycle are described in Annexes A – D.

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## F. TERMS AND DEFINITIONS

**Evaluation:** The structured process of examining activities, capabilities and performance against defined standards or criteria.

**Force/Sector Headquarters Training Branch in UN field missions:** U7

**Military Contribution:** Any given military individual or formed military contingent provided or identified for contribution to a peacekeeping operation with the UN.

**Operational Readiness Assurance:** A structured process of critical examination to verify that a military contribution is mission capable in order to assure the UN and Troop Contributing Countries that the contribution is at the agreed level of readiness.

**Performance:** Performance of a military contribution is often measured by the favorable perception of success in conducting and delivering mandated tasks, as determined by the Security Council, UN Secretariat, Troop Contributing Countries and Members States, Host Nation (host government and population) and other UN Mission stakeholders.

**Quality Assurance:** An overarching process to support continuous improvement, focused on providing confidence that quality requirements will be fulfilled. Quality assurance from a military perspective is a continuous and proactive process aiming at better military outcomes through more efficient and effective use of resources.

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## **G. REFERENCES**

### **Superior References**

- A. United Nations General Assembly Resolution A/RES/49/37, "Comprehensive review of the whole question of peacekeeping operations in all their aspects" (1995)
- B. DPKO Policy on Authority, Command and Control in United Nations Peacekeeping Operations (February 2008)
- C. Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual), A/C.5/69/18, 20 January 2015
- D. Guidelines for the Field Verification and Control of Contingent-Owned Equipment and Management of Memorandum of Understanding, September 2015
- E. United Nations Peacekeeping: Principles and Guidelines, DPKO-DFS (2008) ("Capstone Doctrine")
- F. C34 Reports 2010, 2011, 2012, 2014 and 2015
- G. United Nations General Assembly Resolution A/RES/69/307, "Cross-cutting issues," (25 June 2015)
- H. Report of the Senior Advisory Group established pursuant to General Assembly resolution 65/289 to consider rates of reimbursement to troop-contributing countries and other related issues, A/C.5/67/L.33, 6 May 2013

### **Related Policies and References:**

- A. United Nations Force Headquarters Handbook, November 2014
  - B. Eleven United Nations Military Unit Manuals (UNMUM)
  - C. United Nations Infantry Battalion Manual (UNIBAM), Volumes 1 & 2, August 2012
  - D. Standard Operating Procedure on Force Commander's Evaluation of Subordinate Military Entities in Peacekeeping Operations 2016
  - E. Statement of Force Requirements / Statement of Unit Requirements
  - F. Generic Memorandum of Understanding
  - G. "Resource Hub," recently developed for Member States to access UN documents including the Military Unit Manuals at: <http://research.un.org/en/peacekeeping-community>
  - H. Current DPKO policy directives include Contributing Country Reconnaissance Visits, Ref.2400/MIL/POL/0503, 5 October 2005
  - I. Pre-deployment Visits, Ref.2400/MIL/POL/0502, 5 October 2005
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## H. MONITORING AND COMPLIANCE

27. Implementation and application of this policy document is monitored by DPKO/OMA through evaluation visits, assessment missions, military capability studies, periodic reporting by the Force Headquarters in field missions and feedback from TCCs.

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## I. CONTACT

28. The policy is developed by the DPKO/OMA/Policy and Doctrine Team at UNHQ, New York.

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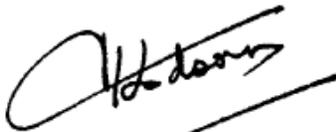
## J. HISTORY

29. This policy document, with its annexes, is the first version on this subject. It will be reviewed in 2020.

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30. This policy document on Operational Readiness Assurance and Performance Improvement and its annexes is effective and implemented as soon as approved. This document shall be reviewed in full no later than two years after approval.

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**DATE OF APPROVAL: JAN 05 2016**



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**DATE OF APPROVAL: 5/1/2016**

# Annex A

## Shaping (MS/TCC/UNHQ/FHQ)

### Personnel

- Train, populate and sustain (MS)
- Educate/train on UN issues (MS supported by UNHQ)
- Career management (MS supported by UNHQ)

### Equipment

- Plan, procure and field standard equipment (MS)
- Plan, procure and field specialist PK equipment (MS)

### Doctrine and Policy

- Global/universal
  - UN capstone doctrine (UNHQ)
  - UN guidelines on cross-cutting issues (POC, gender etc..) (UNHQ)
  - Performance, training and evaluation in the field (UNHQ)
  - COE manual
  - UN core pre-deployment training (UNHQ/ITS)
- Mission-specific
  - CONOPS (UNHQ)
  - ROE (UNHQ)
  - SUR and MOU (UNHQ/MS)
  - FC guidance (mission)
  - Mission-specific OPORDER (mission)
- Function-specific
  - FHQ handbook (UNHQ)
  - UNIBAM and UNMUM (UNHQ)
  - Mission-specific standards and skills

#### Key:

BDE: Brigade  
BN: Battalion  
CPTM: Core Pre-Deployment Training Materials  
FHQ: Force Headquarters  
PDV: Pre-Deployment Visit  
Recce: Reconnaissance  
SOFA: Status of Forces Agreement  
STM: Special Training Materials  
SUR: Statement of Unit Requirement  
TCC: Troop Contributing Country

## Annex B

### Preparation (TCC/UNHQ/FHQ)

#### Personnel and Organizations

- Develop and train basic and specialist UN skills for all personnel and organizations (TCC)
  - National training programs and standards on UN skills (TCC)
- Pre-deployment training for UN personnel and organizations
  - National training programs (TCC)
  - Briefings (TCC/FHQ)
  - Assessment and evaluations (TCC/FHQ via UNHQ)
  - CPTM and STM

#### Equipment

- Field and equip organizations with standard, training and mission-specific equipment SUR/SOFA (TCC)
- Sustainment plans SUR/SOFA (TCC)
- Force Generation/deployment process SUR/SOFA (TCC)

#### Doctrine and Policy

- Mission-specific doctrine and guidance:
  - CONOPS (UNHQ)
  - OPORD (FHQ via UNHQ)
  - ROE (UNHQ)
  - SUR and MOU (UNHQ/TCC)
  - FC guidance, directive and intent (POC, gender, etc.)(FHQ via UNHQ)
  - Force Commander mission-specific training directive (FHQ/U7 via UNHQ)
  - Mission-specific scenario based exercises and mission essential tasks (MET) (FHQ/U7 via UNHQ)
  - PDV/RECCE Command Group/Assessment and Advisory Visits (TCC/FHQ)
  - Mission/Force SOPs (UNHQ)
- Function-specific doctrine and guidance:
  - FHQ handbook (UNHQ)
  - UNIBAM and UNMUM (UNHQ)
  - Mission-specific standards and skills (FHQ via UNHQ)

## Annex C

### Delivery (FHQ)

#### Personnel and Units

- **Induction training**
  - Specialist roles (FHQ U7, BDE HQ, BN and Coy)
  - Generic tasks (FHQ U7, BDE HQ, BN and Coy)
- **Refresher training**
  - Individual performance (FHQ U7, BDE HQ, BN and Coy)
  - Collective performance (FHQ U7, BDE HQ, BN and Coy)
- **On the job training**
  - On all levels (FHQ to Coy)
- **Self-evaluation during the mission**
  - Operational orientation (FHQ/unit)
  - Evaluations (FHQ/unit)
- **Evaluations and measurement of performance (UNHQ, FHQ, BDE HQ, units)**
  - Mission-specific guidance on performance (UNHQ FHQ)
  - Integration training and training for FPU's

#### Equipment

- Field and rotate equipment according to SUR (TCC/FHQ/unit)
- Maintain equipment according to SUR/COE (FHQ/UNHQ)

#### Doctrine and Policy

- **Mission-specific doctrine and guidance:**
  - As for the preparation phase
  - Mission-specific FRAGO's (FHQ)
  - Mission-specific CONPLANS (FHQ)
  - Mission-specific scenario based exercises and mission essential tasks (MET) (FHQ/U7)
- **Function-specific doctrine and guidance:**
  - FHQ handbook (FHQ, UNHQ)
  - UNIBAM and UNMUM (FHQ, UNHQ)
  - SOPs (FHQ)

## Annex D

### Learning (TCC/UNHQ/FHQ)

#### Personnel and Units

- Results (Lessons Identified) from
  - Evaluations of individuals (units/FHQ/UNHQ)
  - Evaluations of HQs and formations (units/FHQ/UNHQ)
  - Comprehensive capturing of incidents and solutions
- Support
  - PDV and visits form TCCs training teams (units/FHQ)
  - Update of documents for training the next incoming unit (units/FHQ/UNHQ)

#### Equipment

- Lessons Identified/Lessons Learned on equipment (TCC/FHQ/UNHQ)
  - General observations (all)
  - COE controls/evaluations (UNHQ)

#### Doctrine and policy

- Global/universal and updates on
  - UN guidelines on cross-cutting issues (POC, gender etc..) (UNHQ)
  - Improving performance in the field (UNHQ)
  - COE manual(UNHQ)
  - UN core pre-deployment training (UNHQ/ITS)
  - LI/LL process (UNHQ/OMA)
    - OM process (OMA)
    - UN process (DPET)
    - National (TCC)
  - Update adjust guidelines from UNHQ based on LI/LL, BP and AAR (UNHQ)
- Mission-specific
  - Mission-specific OPORD (FHQ)
  - ROE (UNHQ/FHQ)
  - SUR and MOU (UNHQ)
  - Update/adjust CONOPS, MOU, SUR, ROE based on LI/LL, BP and AARs (UNHQ)
  - FC guidance on evaluation in mission (FHQ)
  - Mission-specific Lessons Identified/Lessons Learned process (FHQ)
  - Mission debriefs (UNHQ)
  - SITREP (FHQ)
  - AAR (FHQ)
- Function-specific
  - FHQ handbook (UNHQ)
  - UNIBAM and UNMUM (UNHQ)
  - FC guidance on evaluation of individuals , HQ and units (FHQ/U7)
  - Update function-specific doctrine and guidance (UNHQ/FHQ)

**Example of a TCC Certification**

**(Identifying Particulars of National Authority)**

**Certificate**

1. The Government of [name of the Member State] certifies that the [designation of the military 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 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.