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Guidelines

The Role of the Head of the Military Component in a United Nations Peacekeeping Operation

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**DPO GUIDELINES
ON
THE ROLE OF THE HEAD OF THE MILITARY COMPONENT IN A
UNITED NATIONS PEACEKEEPING OPERATION**

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A. PURPOSE AND RATIONALE

1. This Guideline specifies the roles and responsibilities of the Head of the Military Component (HOMC)¹ within a United Nations (UN) peacekeeping operation. Additionally, these guidelines attempt to incorporate the recent improvements and adjustments in UN digital tools, data structures, and the evolving need for improved reporting, data analysis, and the efficient management and transmission of information and knowledge between the Field Missions and the Secretariat.
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B. SCOPE

2. This Guideline provides guidance and direction on the organizational responsibilities of the HOMC to exercise his/her authority and command duties as the most senior military officer in a UN peacekeeping operation. This Guideline also includes specific guidance or direction to the HOMC on the achievement of objectives associated with implementing the mandate of the peacekeeping operation. Operational guidance and direction with respect to the employment of the Military Component is provided in other documents such as mission specific military-strategic Concept of Operations (CONOPs) and military Terms of Reference (ToR).
 3. This Guideline is to be understood and applied in conjunction with existing Department of Peace Operations (DPO), Department of Political and Peacebuilding Affairs (DPPA), Department of Operational Support (DOS) and Department of Management Strategy, Policy and Compliance (DMSPC) policies and procedures associated with the management and administration of personnel and resources within UN peace operations.
 4. This Guideline is primarily for the HOMCs of DPO-led missions, but also applies to Senior Military Officers in DPPA and DOS-led missions while communicating through OMA. All military or non-military staff communicating with OMA on matters of technical / mission related matters shall follow these procedures.
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C. PROCEDURES

C.1 Overview of Authority, Command and Control

5. Every DPO-led UN peacekeeping operation is an implementing organ of the UN, established to pursue the implementation of a respective authorizing Security Council resolution. The

¹ The HOMC is the most senior military officer in a UN peacekeeping mission and acts as 'Force Commander', 'Chief of Staff', 'Chief Military Liaison Officer', 'Chief Arms Monitor', 'Chief Military Adviser' or other title created to reflect his/her functional role.

authority, command and control arrangements for the employment of military and police personnel in UN field missions is provided in the DPO/DOS Policy on Authority, Command and Control in UN Peacekeeping Operations. In particular the HOMC exercises “UN operational command and control” over all military units and individually deployed military experts (i.e., military observers, staff officers or military liaison officers) deployed by Member States to the mission. “UN operational command and control” allows the HOMC to assign tasks to individually deployed military experts, units and sub-units within the military component, in consultation with the National Contingent Commander, as appropriate. It also includes the authority to assign separate tasks to subunits of a contingent, as required by operational necessities within the mission area of responsibility, in consultation with the Contingent Commander and Head of Mission (HOM).

6. The UN AC2 Policy also directs the HOMC to maintain a technical reporting and communication link with the DPO Military Adviser at UNHQ. The HOMC, and other military personnel within the mission as approved by the HOMC, are authorized to communicate directly with military colleagues in the Office of Military Affairs (OMA) at DPO/UNHQ. However, any decisions or actions reached through these discussions must be confirmed by formal communications from the HOM and USG DPO as appropriate. Furthermore, this technical reporting link must not circumvent or substitute the command chain between the USG DPO and the HOM, nor should it interfere with executive decisions taken by the HOM in the field.

C.2 Relationship with the Head of Mission (HOM)

7. The Head of a UN Field Mission is appointed by the Secretary-General. In DPO-led missions the HOM is usually a senior civilian official appointed as a Special Representative of the Secretary-General (SRSG). In some cases, a senior military officer may be appointed as HOM for a DPO-led field mission that is predominantly military in nature or limited in mandate. The HOM represents the Secretary-General and speaks on behalf of the UN within the mission area. The HOM leads and directs all mission components and ensures unity of effort and coherence among all UN entities in the mission area.² The HOM provides mission-wide operational direction, including decisions on resource allocation in the event of competing priorities. The HOM is responsible for the conduct and discipline of all personnel in the mission. The HOM delegates the operational and technical aspects of mandate implementation to the heads of the components in the mission and provides direction to mission components.
8. The HOM will generally provide political guidance for mandate implementation and lead UN political engagement in the mission area.
9. The HOMC reports to the HOM and is responsible for implementing military tasks and exercising “UN operational command and control” over all military personnel in accordance with the mission plan, military strategic CONOPs, and UN rules and regulations.
10. For guidance on the mission’s mandate and implications for the employment of the Military Component, the HOMC will need to refer to the relevant Security Council Resolution(s), mission specific military strategic CONOPs, Status of Forces Agreement (SOFA), Status of

² Secretary-General’s Note of Guidance on Integrated Missions (17 January 2006) refers to the authorities of the SRSG vis-à-vis the UN Country Team. United Nations Policy on Integrated Assessment and Planning (2013, revised 2018, 2023) governs UN-side assessment and planning in integrated settings; DPO/DOS Policy on Planning and Review of Peacekeeping Operations (2017) governs assessment and planning processes specific to peacekeeping operations.

Mission Agreement (SOMA), the Mission Plan and mission-specific Rules of Engagement (ROE). In addition, the HOMC will act in accordance with the direction and guidance provided by the HOM but retains “UN operational command and control” over the Military Component in the field level mandate implementation, or mission plan.

C.3 Relationship with the Director or Chief of Mission Support

11. The UN AC2 Policy provides detailed policy guidelines and directions. The Director/Chief of Mission Support (D/CMS) is appointed by the Under Secretary-General for Operational Support and is primarily responsible to the HOM for ensuring the efficient and effective provision of all administrative and logistics support to all mission components. The D/CMS is accountable for all UN owned assets/property and all financial transactions made by the mission on behalf of the UN. The D/CMS is authorized to commit UN financial resources and can enter into contractual arrangements for the use of local resources on behalf of the UN.
12. The consolidation and integration of support services are achieved through the establishment of “Service Delivery Management” (SDM) headed by the Chief SDM (CSDM). Mission Support Centre (MSC) is established within the SDM to coordinate day to day logistics functions. While the primary role of the Chief Service Delivery (CSD) is to ensure efficient, timely and effective logistical support to all mission components, it also deals with aspects of cooperation and mutual assistance between the mission and other UN agencies and non-government organizations. Members of the Military Component may be assigned to the Joint Logistics Operation Centre (JLOC), where a civilian manager will exercise tasking authority, as described in the UN AC2 Policy.
13. All mission support resources, regardless of their provider are considered common to the mission. These resources must be made available on a uniform and equitable basis, depending on priorities determined by the HOM, irrespective of whether the provider of the resource is military, police, UN civilian or contractor³.
14. UN military supporting assets are under “UN operational command and control” of the HOMC, who is authorized to further assign these assets under “UN tactical command and control” to a designated commander for specific purposes and periods. “UN tactical command and control” includes the detailed and local direction and control of movement or maneuvers necessary to accomplish an assigned mission or specific task. However, due to their criticality to civilian as well as military functions, military supporting assets are usually under the “UN tasking authority” of the civilian D/CMS⁴. The HOMC may delegate “UN tactical command and control” of certain enabling units to relevant Sector/Brigade Commanders to accomplish other military responsibilities outside of the tasking authority of D/CMS.
15. D/CMS carries out his/her functions through several principal staff officers, namely CSD and Chief Administrative Services (CAS). The Deputy CSD will usually be a military officer, therefore, a member of the Military Component, employed on a fixed term UN contract. The CSD is the head of logistics in a mission and reports directly to the D/CMS. CSD is responsible for providing logistics support to all mission components including regions/sectors according to the priorities laid down by the senior mission management. CSD usually controls all logistics, non-combat engineering⁵, communications and information

³ UN Policy on Authority, Command and Control in United Nations Peacekeeping Operations, (2019.23), para.56.

⁴ Ibid., para. D6.

⁵ Non-combat engineering includes vertical and horizontal construction units not involved in a tactical military support or combat role.

technology, geographical information services (GIS), supply, air and surface transport resources in the mission, regardless of whether a civilian entity or military unit. The combination of logistics support resources selected for a mission will depend both on the mission's tasks, and on its operating environment. The Chief Operational and Resources Management is responsible for personnel, finance, procurement, general services and medical functions in the mission. Logistics support for a peacekeeping operation is normally provided by a combination of UN civilian, commercial contract, and military resources.

16. The HOMC should keep the D/CMS informed of all operational aspects of current and planned activities of the Military Component as these will likely have administrative or logistical implications. The CSD should be the mission logistics focal point for the Military Component.

C.4 Relationship with the Head of the Police Component

17. The UN AC2 Policy provides detailed policy guidance and direction. The Head of the Police Component (HOPC) and the HOMC each have separate command responsibilities within the UN field mission, and it is essential that they coordinate the activities of their respective components to achieve mission goals and objectives as directed by the HOM in the Mission Plan. The senior leaders within a peacekeeping mission will meet regularly as the Mission Leadership Team (MLT) under the supervision of the HOM. The HOPC and HOMC or their assigned staff should also meet regularly for security related working groups to deliberate on key security, base defense, and rule of law issues, thereby ensuring the necessary integration, coordination and cooperation is achieved within the mission.

C.5 Relationship with Troop Contributing Countries

18. The primary official channel of communication between the UN and troop contributing countries (TCCs) is established in New York, between UN Headquarters and the Member States' Permanent Mission to the UN. Matters of policy or administration may not be taken up directly by the HOMC or any other mission level official, with any TCC government. If TCC governmental officials communicate directly with the HOMC on any issues, the HOMC should refer them to UN Headquarters.
19. The HOMC is required to immediately inform the DPO/OMA Military Adviser if they become aware of any TCC government or their officials, issuing directives to deployed national military personnel in a manner that is outside their national prerogatives or competencies or otherwise contradict UN policy or the mission's operational direction.
20. The contributing Member State retains "administrative control" over non-operational administrative issues (such as benefits, salaries, personnel management, supply and services) of deployed uniformed contingent personnel and units. Administrative control over uniformed contingents and units is exercised by a National Contingent Commander (NCC), who is generally the most senior national officer of a TCC deployed within a mission area. This authority is limited to administrative matters and must not adversely influence the management and conduct of United Nations operations within the mission area⁶.

⁶ UN Policy on Authority, Command and Control in United Nations Peacekeeping Operations, (2019.23), para.53.

D. ROLES AND RESPONSIBILITIES

D.1 General

21. The HOMC, under the authority of the HOM, is primarily responsible for the implementation of tasks assigned to the military component through the operational organization, efficient functioning, and performance and conduct of military personnel within the Field Mission⁷.

Mission Level Military Directives and Orders

22. The HOMC is required to issue a mission level directive to subordinate commanders and key staff within the Military Component. This directive will be in the form of an Operation Order (OPORD) and must comply with specific guidance and direction issued in the military strategic CONOPs and guidance and direction issued by the HOM in the Mission Plan. A draft of the OPORD is to be shared with the DPO/OMA Military Adviser before being disseminated in the mission. The OPORD should be regularly reviewed, particularly following any adjustment of the mandate or significant change in the Military Component's capabilities or functions.
23. The HOMC is required to issue Standard Operating Procedures (SOP) for the Headquarters of the military component, and these should be regularly reviewed and updated as necessary. Military component headquarters'⁸ SOPs must comply with the guidance and procedures contained in the Mission Headquarters SOP. The DMS/CMS will review and comment on any military component administrative procedures concerning financial or support matters. All mission level SOPs must comply with the current DPO/DPPA Policy on Guidance Development.

Observance of the Legal Framework of UN Peacekeeping Operations

24. The HOMC must ensure that all military personnel comply with the legal framework of UN peacekeeping operations which are derived from the UN Charter, customary international law, International Human Rights Law, International Humanitarian Law, International Refugee Law and International Criminal Law. The legal framework further includes the various conventions that address the Privileges and Immunities of the UN and the Safety of UN and Associated Personnel and its Optional Protocol, the Secretary General's Bulletin on Observance by UN Forces of International Humanitarian Law, the Security Council mandate or resolution, Status of Mission or Force Agreements (SOMA, SOFA) with the host nation, mission specific Rules of Engagement (ROE) and agreements or Memoranda of Understanding (MOU) with the TCC and other member states and regional bodies. In addition, UN standards, rules and regulations and the national laws of TCC apply such as criminal law and military justice codes apply to peacekeepers.

Protection of Civilians and Promotion and Protection of Human Rights

25. HOMCs must ensure that the military components contribute to the promotion of human rights and protection against human rights violations, including conflict-related sexual violence (CRSV) and grave violations against children. HOMCs must more broadly ensure

⁷ UN Policy on Authority, Command and Control in United Nations Peacekeeping Operations, (2019.23), provides further amplification of roles and responsibilities.

⁸ Headquarters refers to Force Headquarters, Sector Headquarters and/or Brigade Headquarters.

the protection of civilians from armed conflict. Where peacekeeping operations are issued explicit Protection of Civilians (POC) mandates, HOMCs must also ensure that military personnel understand and fulfill their roles and responsibilities to ensure protection across all three tiers of the DPO POC concept (Tier I: dialogue and engagement, Tier II: provision of physical protection and Tier III: establishment of a protective environment).

26. The HOMC shall ensure that the military component in coordination with the DOS prioritizes support to the Human Rights Component. This includes human rights, women protection advisors, child protection advisors and other mission staff involved in addressing human rights violations, including CRSV and child protection. This will range from the provision of security and route clearance to safe locations for interviews and allocation of sufficient time for the conduct of interviews and investigations during field missions, as well as facilitating engagement with parties to the conflict, as appropriate. In areas where there is limited or no humanitarian access or presence, the military component, with the advice from, and in consultation with the human rights component and humanitarian actors, may provide medical assistance – including MEDEVAC – and other support to victims, including CRSV victims/survivors.
27. In particular, in relation to CRSV, the HOMC must ensure liaison and coordination with the Senior Women Protection Advisor and the Human Rights Component of the Mission to integrate a focus on CRSV into analysis, planning and conduct of operations, including through the participation in the Monitoring and Reporting Arrangements (MARA) working group, and to share information with all stakeholders within the mission in preventing and responding to CRSV⁹. HOMC should advocate with state and non-state actors to prevent and end any use of CRSV and to promote the highest standards of conduct and discipline. The HOMC must ensure that relevant interventions, and those of their subordinates, with any state or non-state parties, are included in reporting to the Security Council, including measures taken to protect civilians, engagement in dialogue to secure commitments and implementation activities, and updates on progress and obstacles experienced.
28. In POC-mandated peacekeeping operations, the HOMC is responsible for developing and implementing strategic and operational plans for the military component to fulfill its responsibilities, in line with the mission plan and POC strategy and in consultation with relevant mission components. Further the HOMC must issue, disseminate and ensure compliance with all necessary orders, directions and guidance to effectively implement the POC mandate, and to ensure that Sector Commanders have incorporated POC into their plans and issued necessary orders. The HOMC must ensure and periodically review the military component's operational readiness and preparedness for POC and identify and address any gaps in capacity, training and resources. The HOMC shall ensure that the military component prioritizes resources for POC tasks.
29. The HOMC must ensure liaison and coordination with the Senior POC Advisor, or POC Focal Point, present within the mission. In support of peacekeeping's integrated and comprehensive approach to POC, military participation in POC coordination mechanisms at strategic, operational and tactical levels is critical to regularly exchange protection information, reach shared analysis and to plan effectively. The HOMC must also ensure systems are in place for response to early warning indicators of threats to civilians.

⁹ United Nations DPO/DPPA/OHCHR/SRSG-SVC – Policy on United Nations Field Missions: Preventing and Responding to Conflict-Related Sexual Violence (2020).

30. The HOMC is responsible for ensuring that threat assessments, situational awareness and operational planning on POC are informed by regular engagement between the UN military and local communities. This includes civil society groups such as youth groups or women's groups, in close coordination with relevant civilian components, while ensuring that such engagement does not expose civilians to risk, in line with the "do no harm" principle.
31. The HOMC is also responsible for implementing systematic Civilian Harm Mitigation (CHM) measures to prevent, track, minimize and address direct and indirect civilian harm before, during and after the planning and conduct of military operations. Before an operation, through consultation with relevant protection actors, including the Senior POC Advisor, a full risk assessment should be conducted with contingency plans established. Following an operation, an after-action review should also be undertaken.

Rules of Engagement

32. The purpose of mission-specific rules of engagement (ROE) is to provide the parameters in which UN military personnel assigned to a UN Peacekeeping operation may use force. In addition, they provide key elements for maintaining political and military control over the UN military personnel on the ground.
33. The ROE is a key document in all UN Peacekeeping Field Missions. Each Peacekeeping operation will have mission-specific ROE, especially designed for the mission, in accordance with the UN Security Council Resolution (UNSCR) and the situation in the mission area.
34. The legal basis for the use of force by UN military personnel resides in the UNSCR of the Peacekeeping operation. The use of force must be exercised in a manner consistent with the UNSCR and in situations in which the mission is specifically mandated. Mission-specific ROE provide the authority for the use of force as well as directions to the HOMC and subordinate commanders delineating the parameters in which force may be used.
35. The use of force in Peacekeeping operations must comply with international laws, including applicable International Humanitarian Law and human rights norms, principles, and standards. At all times, the use of force must be consistent with the principles of gradation, necessity, proportionality, legality, distinction, precaution, humanity, and accountability. Any force must be limited in its intensity and duration to what is necessary to achieve the authorized objective and, commensurate with the threat.
36. In missions with a Chapter VII POC mandate, the use of proactive force is authorized against any source of physical violence as soon as a credible threat against civilians has been identified. The HOMC and Senior Military Commanders are responsible to ensure that all military personnel have a thorough comprehension of POC mandate and are aware of their specific roles to ensure POC, up to and including the use of force. To this end, the HOMC must ensure and periodically review the military component's operational readiness and preparedness for POC and identify and address any gaps in capacity, training, and resources.
37. All UN military personnel should be able to recognize a human rights violation and be prepared to intervene in line with the mandate and in conformity with the ROE, as well as their specific roles, responsibilities and limits of their competence and capacity. Senior

military commanders shall ensure that adequate instructions and procedures are in place from the onset of a peace operation to guide peacekeeping operations when confronted with human rights violations, and to work in close consultation with the human rights component.

38. All UN military personnel operate strictly under the UN chain of command. TCCs are not permitted to augment, restrict, or modify mission-specific ROE according to national interpretation(s), nor should TCCs impose any caveats on the authorization to the use of force that are contained in the ROE, without formal consultation with UNHQ and the express written agreement to the USG DPO. A unit's failure to carry out the ROE may result in repatriation and/or disciplinary actions against the military personnel involved.
39. United Nations Military Experts on Mission (UNMEM) are usually unarmed and not allowed to use force, except in self-defense. The UNMEM can be armed to enhance self-defense in situations where the host nation or peacekeeping force cannot guarantee the security¹⁰. This is an exceptional situation and is only authorized by the USG DPO. In this case, a mission-specific Directive on the use of force for UNMEMs, must be submitted by the respective force headquarters to OMA and utilized in addition to mission-specific ROE.
40. To ensure both compliance and confidence in the mission-specific ROE, scenario-based ROE training is to be conducted with all military units and military personnel on a regular basis.

Safety and Security

41. Notwithstanding the responsibility and legal obligations of host governments, the Designated Official (DO)¹¹ is the UN authority primarily responsible for the security and safety of all UN personnel and assets in a country or region. In the field, the HOM is usually appointed as DO and is responsible for establishing a Security Management System (SMS) to monitor and adapt to the prevailing security situation in a field mission, in accordance with recommendations from UNDSS. In accordance with the Policy on the Applicability of the Arrangements of the UN Security Management System to Individually Deployed Military and Police Personnel, individually deployed military personnel may be included in the mission specific SMS arrangements.¹² Reporting to the HOM, the HOMC is primarily responsible for the security and safety of members of the Military Component.¹³ When members of a Military Component are deployed for duty outside of the mission area, the HOMC is responsible for ensuring that these military personnel are included in an appropriate security arrangement or SMS.

Presence at Principal Level Conferences

¹⁰ 2010.30 DPKO/DFS UNMEM Manual: Selection, Deployment, Rotation, Extension, Transfer and Repatriation of United Nations Military Experts on Mission in United Nations Peacekeeping Operations, Page 20; Para 38.(Document under review).

¹¹ The Designated Official (DO) is appointed by the USG for Safety and Security on behalf of the SG and is routinely responsible for the safety and security of all non-military UN staff, dependents and property in the assigned country. Military personnel in the field may be included under the SMS as agreed within and directed by UN Headquarters. The DO is considered the senior UN security official in any country.

¹² UNSMS personnel include the following (a) persons employed by a UNSMS organization as a staff member; persons engaged by a UNSMS organization to perform services on a non-staff contract. This includes, but is not limited to Military Observers, Military Staff Officers, Military Liaison Officers, and Individual Police Officers.

¹³ The UNSMS does not cover military members of national contingents or members of Formed Police Unit (FPU) when deployed with their contingent or unit.

42. Unless otherwise instructed by the HOM or his/her designated individual, the HOMC shall be present at all principal level conferences, along with the appropriate personnel of the Military Component when held with personnel from UN Headquarters. In circumstances, such as HOMC absence from the mission area or mission headquarters, the HOMC is to designate an appropriate level representative to interact on his/her behalf.

Leave outside or absence from the Mission Area

43. The HOMC is to seek the approval of the HOM, and notify the DPO/OMA Military Adviser, prior to departing the mission area for any purpose. The HOMC and his/her Deputy cannot concurrently be absent from the mission and the HOMC must remain reachable when outside of the mission area. Should there be, exceptionally, a case when both the HOMC and his/her deputy are absent from the mission area, the military officer who has the highest rank and has served in the mission for the longest time (usually a Sector or Brigade Commander) will take over the duties as acting HOMC until the HOMC returns or UNHQ/DPO assigns a designated military officer with these duties.

Strategic Communication

44. Strategic communication is crucial to securing public support for mandated activities, including military operations and engagements. It is a whole of mission responsibility, led by the HOM, and guided by the strategic communications section. HOMCs should participate in communications activities, as required, including being accessible to media and facilitating the activities of journalists reporting on military operations. In addition to traditional media, HOMCs should ensure that the Military Component is proactively promoted across mission communications channels to demonstrate its impact and promote understanding of its role, responsibilities, and capacities. Information held by the military component should be shared with the strategic communications section in a timely manner during crisis situations to assist with risk and reputational management. HOMCs should also establish systems to ensure that Military Public Information Officers work in an integrated manner with the Mission's civilian communications component.

Specific Field Mission Related Guidance

45. The USG DPO or the DPO/OMA Military Adviser will provide additional guidance or strategic direction related to mission specific issues or benchmarks determined to be priorities during the period of HOMC tour of duty. This additional guidance shall be appropriately incorporated by the HOMC with the guidance and instructions listed in this document.

D.2 Conduct of Military Personnel

UN Standards of Conduct for Military Personnel

46. All members of the Military Component in a UN mission, including Staff Officers and UNMEM, are under the authority and direction of the HOMC and are answerable to the HOMC for their personal conduct and performance of their official duties. The HOMC must ensure that all members of military contingents, including Staff Officers and UNMEM comply with the provisions of any Memorandum of Understanding and other respective legislative documents between the United Nations and TCCs. Military personnel deployed with the status of experts on mission must comply with the provisions of the "Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission". Those provisions include, but are not limited to the obligation for all Military Component members

to:

- a. Conduct themselves, at all times (both on and off duty), in a manner befitting their status as a member of the UN Mission and that they carry out their duties and regulate their conduct solely with the interests of the UN in view;
- b. Refrain from any action incompatible with the aim and objectives of the UN as well as with the international nature of their duties;
- c. Comply with all relevant UN rules and regulations as well as policies, procedures and guidelines issued by the UN Headquarters, or by the HOM, the HOMC or the DMS/CMS in adherence to the chain of command laid out in the UN AC2 Policy.
- d. Respect the law and customs of the host country as well as international human rights standards and international humanitarian law and receive adequate training in this area. In this connection, it is imperative that all UN Mission personnel demonstrate respect for the local population, in particular, for vulnerable groups;
- e. Respect the impartiality and independence of the UN and exercise the utmost discretion in respect to all matters of official business. Do not communicate to any person not otherwise entitled, any information known through an official position and do not at any time use such information to personal advantage;
- f. Refrain from engaging in political activity within the mission area, or publicly expressing any preference for any political, religious or ethnic entity within the mission area;
- g. Respond to all requests for assistance in a fair and impartial manner;
- h. Shall neither seek nor accept any instructions regarding the performance of their duties from their respective governments or from any other authority external to the UN;
- i. Decline any gift, award or remuneration from any government or organization other than those entitled to be received from his or her government, unless prior authorization is granted by UN Headquarters;
- j. Avoid participating in exercises/military activities of the armed elements of the host country or exercises conducted by regional organizations on the territory of the host country, unless prior authorization is granted by UN Headquarters;
- k. Abstain from the improper use of a position of influence, power or authority particularly in a working environment.
- l. Refrain from publishing any operationally related information, such as pictures or articles, especially through social media, without prior permission of the HOMC (through the Military Public Information Officer).

Misconduct, including Sexual Exploitation and Abuse (SEA)

47. In accordance with the Memorandum of Understanding between the United Nations and

TCCs, misconduct means any act or omission that is a violation of United Nations standards of conduct, mission-specific rules and regulations or the obligations towards national and local laws and regulations in accordance with the status-of-forces agreement where the impact is outside the national contingent.

48. In accordance with the Memorandum of Understanding between the United Nations and TCCs, serious misconduct is misconduct (including criminal acts), that result in, or is likely to result in serious loss, damage or injury to an individual or to the mission.
49. Similar standards as those contained in the Memorandum of Understanding also apply to military personnel deployed with the status of experts on mission and are detailed, in the Undertaking and Declaration to be signed by each personnel with this status upon deployment to a UN field mission.
50. In accordance with UN rules and regulations, as well as the Memorandum of Understanding between the UN and TCCs, members of the mission's military component are prohibited from engaging in acts of misconduct or any violations of local laws. Any act of sexual exploitation or abuse by members of a UN mission constitutes an act of serious misconduct and is strictly prohibited.
 - a. Sexual exploitation means any actual or attempted abuse of a position of vulnerability, differential power or trust for sexual purposes, including but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another;
 - b. Sexual abuse means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.
51. Acts of sexual harassment by members of a UN mission also constitute an act of serious misconduct and is strictly prohibited, as stated in the Directive on Sexual Harassment in UN Peacekeeping and other field missions.
 - a. Sexual harassment is any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. Sexual harassment may occur in the workplace or in connection with work.
 - b. While typically involving a pattern of conduct, sexual harassment may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.
 - c. Sexual harassment is the manifestation of a culture of discrimination and privilege based on unequal gender relations and other power dynamics. Sexual harassment may involve any conduct of a verbal, non-verbal or physical nature, including written and electronic communications. Sexual harassment may occur between persons of the same or different genders, and individuals of any gender can be either the affected individuals or the alleged offenders. Sexual harassment may occur outside the workplace and outside working hours, including during official travel or social functions related to work. Sexual harassment may be perpetrated by any colleague, including a supervisor, a peer or a subordinate. An offender's status as a supervisor or a senior official may be treated as an aggravating circumstance.

52. Accordingly, the HOMC must ensure that all commanders in the Military Component implement specific preventative measures to prevent misconduct by military personnel under their command and immediately report any acts which may amount to misconduct or violations of local laws. The HOMC must immediately inform the HOM and the Conduct and Discipline Unit of any report received concerning any acts which may amount to misconduct or violations of local laws.
53. In addition to ensuring that the United Nations standards of conduct are strictly enforced, the HOMC shall:
- a. Ensure that the Aide Memoire cards entitled “Ten Rules - Code of personal conduct for Blue Helmets” and “We are UN Peacekeepers” are distributed among all military personnel¹⁴;
 - b. Issue appropriate orders to ensure compliance with the following, the Secretary-General’s Bulletin on Special measure for Protection from Sexual Exploitation and Sexual Abuse, standards of conduct contained in the respective Memorandum of Understanding, the standards of conduct applicable to military personnel with the status of experts on mission and implementation of any other measures relevant to ensure effective prevention of misconduct, in particular sexual exploitation and abuse, as well as sexual harassment;
 - c. Ensure that each Military Component member, employed as an ‘United Nations Military Expert on Mission’ signs, understands and complies with the “Undertaking and Declaration by Experts on Mission”, as stipulated in the Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission;
 - d. Ensure that commanders of the Military Component regularly report to the HOMC on the overall status of conduct and discipline amongst contingent personnel¹⁵;
 - e. In cooperation with the mission’s Conduct and Discipline Team, undertake misconduct risk management and determine the need for and, if necessary, implement a curfew, establish and enforce out-of-bounds places and venues for all personnel under their command; and
 - f. Ensure that all military personnel receive mission induction training on the United Nations standards of conduct, particularly on sexual harassment, sexual exploitation and abuse prevention as soon as practicable upon their arrival in the mission area.
54. In accordance with the General Assembly Resolution 62/214 on the UN Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by UN Staff and Related Personnel, the HOMC is also required to facilitate, coordinate and provide, as appropriate and in consultation with the HOM, assistance and support to victims of sexual exploitation and abuse that may be available through the Military Component, in particular, medical assistance.

¹⁴ TCCs are responsible to translate Aide Memoire cards into respective national language(s) and distribute them to all contingent members prior to deployment. Aide memoires are available in the working language of the Mission through the Conduct and Discipline Team, if necessary.

¹⁵ Sector/Brigade Commander are responsible for reporting the status for Military Staff Officers and UNMEMs under their respective command.

Disciplinary Action

55. Disciplinary actions against members of the Military Component are a national responsibility and remain under the exclusive jurisdiction of Troop-Contributing Countries. To support the national responsibility all military personnel will undergo UN-required vetting; including certification by the Member State that the individual understands and is fully aware of the United Nations standards of conduct, including what constitutes sexual exploitation and abuse and the importance of upholding the “Zero-Tolerance-Policy”. This certification must be made with the understanding, that no individual with a past record of sexual exploitation and abuse or human rights violations will be allowed to serve the UN in any capacity. Member States are responsible for the repatriation, at their own expense, of any person found to have not met Member State provided certification.
56. In response to any allegations of misconduct or serious misconduct made against a member of the Military Component, the HOMC is required to strictly follow UN established procedures for such allegations.
57. The HOMC is responsible for developing and implementing a strategy to prevent, identify and respond to allegations of misconduct and serious misconduct, in particular sexual exploitation and abuse, by members of the Military Component, in coordination with the other components of the mission¹⁶.
58. **Formal Investigative Action.** The HOMC is to ensure investigations into allegations of misconduct by military personnel are conducted in accordance with applicable procedures, depending on the status of military personnel involved, either as members of a military contingent (which for the purpose of this Guidelines shall include military staff officers) or as experts on mission. TCC have primary jurisdiction to conduct investigations into allegations of misconduct and serious misconduct involving members of their military contingents and their military staff officers.¹⁷ The UN has jurisdiction to conduct investigations into allegations involving members of the military component deployed with the status of experts on mission.
59. **Repatriation Action.** In all cases, the decision to repatriate a contingent member within the Military Component shall be made by UN Headquarters based on the recommendation of the HOMC through the HOM. Once decided, repatriation shall be immediate or as indicated in the paragraph below, and the national authorities concerned shall be contacted at once by UN Headquarters through the Permanent Mission concerned in New York. The expenses connected with repatriation and replacement shall be borne by the Member State involved.
60. If the continued presence in the mission area of Military Component member(s) to be repatriated on disciplinary grounds is detrimental to the morale of the staff, the image of the mission or has other negative effects, the objective of the UN shall be to repatriate as soon as appropriate. Where possible, the repatriation of Military Component member(s) should be delayed until the presence of the member(s) is no longer required for the conduct of the investigation into the acts of misconduct or serious misconduct.

¹⁶ For example, in case of an SEA allegation, a Board of Inquiry needs to be established; see DPO SOP for Boards of Inquiry (2020), (2020.10).

¹⁷ DPKO/DFS SOP on Implementation of amendments on conduct and discipline in the model Memorandum of Understanding between the United Nation and Troop-Contributing Countries, March 2011, (Ref. 2011.01).

61. The HOMC may also recommend repatriation on technical grounds if it is determined that a member of the Military Component lacks the requisite skills for the post they have been assigned. For example, when there are poor vehicle driving skills, or lack of specific language skills essential for the performance of assigned responsibilities, a recommendation for repatriation on technical grounds may be made. The HOMC request for repatriation of a military member on technical grounds must be submitted through the HOM to the UN Military Adviser who will act on behalf of the USG DPO.
62. **Standards of Conduct.** The HOMC is to ensure all subordinate commanders are fully informed on the responsibility to ensure UN standards of conduct are observed when exercising command and control over individuals or units in the Military Component. To assist in this requirement, "Guidance to Commanders of UN Military Operations, Standards of Conduct and Performance Criteria" is attached as Annex A.

D.3 Gender Mainstreaming

63. The HOMC, in consultation with the OMA, DPO, shall develop, implement and monitor any strategy, or directives for implementing UN Security Council Resolution 1325 (2000) and subsequent resolutions, and mainstream gender in all functions of the Military Component, in close consultation with the mission's senior Gender Advisor and Military Gender Advisor or the Military Gender Focal Point, as well as the Senior Women Protection Advisor and Human Rights Component of the Mission. The HOMC shall also consistently and actively implement the Uniformed Gender Parity Strategy (2019-2028).
64. In particular, the HOMC shall:
- a. Inform all UN military personnel and leadership to implement relevant provisions of Security Council Resolution 1325 (2000) and subsequent resolutions on women, peace and security, into the work of military personnel in field mission;
 - b. As part of his/her authority and responsibilities as a senior mission military leader, actively promote a conducive, respectful and enabling environment for both women and men that enables full, equal and meaningful participation, through the provision of adequate accommodations and medical facilities, services and supplies for men and women, and establishing mechanisms to ensure protection from and accountability for discrimination, sexual harassment and abuse, including access to reporting mechanisms;
 - c. Promote the role of women military personnel by ensuring that tasks assigned to women have the same professional profile and operational challenges as those assigned to men and provide an equal opportunity for experience in multiple positions within United Nations Peace Operations. Lead internal communication initiatives to promote and provide content for discussions on the necessity of gender parity, highlighting the negative effects of gender discrimination, the positive impacts of diversity, as well as providing suggested messaging on the goals of gender parity. Liaise with OMA and Force Generation Service (FGS) to promote gender parity and increase the number of appointments and representation of women officers at all levels, across all skillsets, in the mission;
 - d. Regularly interact and meet with military Gender Advisors and Focal Points and ensure

that a military Gender Advisor is included in the staff structure of the Force Headquarters;

- e. Ensure that Infantry Units deploying mixed Engagement Platoons composed of at least 50 percent women, are engaging and coordinating with all military personnel to help establish, support and promote sustained dialogue with key influencers and local leaders in communities that reside within the unit's area of responsibility to improve cooperation and situational awareness.

65. In all reports to UN Headquarters the HOMC should ensure sex and age disaggregated data is provided, including reports on Military Component statistics and data. It is also necessary to report any information on men or women's security concerns or issues.

D.4 Military Performance Evaluation

66. **Best Practices and Lessons Learned/Lessons Identified.** The HOMC is required to develop mechanisms for the collection and institutionalization of best practices and lessons-learned by the Military Component in accordance with the Policy on Knowledge Management and Organizational Learning. The HOMC shall designate a military Policy and Best Practices Officer or focal point to serve as knowledge manager in all areas related to the Military Component. The HOMC should encourage the participation of all personnel in knowledge management networks or activities and to disseminate best practice and lessons learned across military components and DPET and to share this information with OMA, DPO.

67. **FHQ Evaluations.** The HOMC is required to facilitate and assist in the evaluation of Force Headquarters (FHQ) in UN peacekeeping operations. Evaluations will be designed to provide an objective assessment of military performance, resource utilization and related effects, policy effectiveness and managerial and structural issues at the mission level. The process will also identify strengths and weaknesses across the FHQ staff functions. The emphasis will be on identifying performance issues of concern to the Force Commander and the evaluation team, thereby allowing corrective action to be discussed and taken. The primary purpose of such evaluations is to utilize accumulated experience to enhance peacekeeping operations which must involve close cooperation between the HOMC and the UNHQ evaluation team.

68. **Evaluation of Subordinate Units.** The HOMC is also responsible for the evaluation of subordinate military entities in peacekeeping operations, including at Sector, Battalion, Company, and independent unit level. Recognizing that casual observation and subjective impressions do not reveal the whole of military unit capability, the Unit Performance Evaluation (UPE) is designed to facilitate objective and systematic military performance evaluation to clearly defined standards, through the use of the Military Performance Evaluation Tool. The HOMC must be cognizant that standards continually evolve in line with changing UN operating environments. Consequently, the UPE methodology will remain subject to change.

69. **Performance Evaluation.** The HOMC is to ensure that all military units deployed for peacekeeping are evaluated during their tour of duty.¹⁸ Performance evaluations should be standardized for the same unit type or military capability. In addition, there should be

¹⁸ For further information, refer to the SOP on Force and Sector Commander's Evaluation of Subordinate Military Units in Peacekeeping Operations.

continuous unit specific training for all military units.

D.5 Training

70. To complement the training, preparation and evaluation conducted for military components during pre-deployment by the TCCs and to ensure uniform training standards, the HOMC shall issue a Force Commander's Training Directive on an annual basis. This is a component of the Comprehensive Mission Training Plan (CMTP), which should cover the following topics (depending on the mission and its requirements, some topics may change):

- a. **Induction Training.** The HOMC shall ensure that all incoming members of the Military Component receive appropriate induction training related to the mission's role and functions, key UN policies and regulations, including the United Nations standards of conduct, human rights situation, protection of civilians, local conditions and customs, and arriving members' obligations and role within the mission. Furthermore, induction training should cover mission-specific threats and risk mitigation. This should include asymmetric threats, like IED and CIED measures but must also include health threats, like malaria and COVID.
- b. **In-mission Training.** In coordination with the Integrated Mission Training Cell (IMTC) – if applicable, the HOMC shall support ongoing in-mission training of Staff Officers and UN Military Experts on Mission (UNMEM) in various areas related to their support and role and the achievement of the Mission's mandate. In-mission training should be a continuous process and mission-critical or life-saving topics (like Counter-IED mitigation) should be repeated regularly throughout the period of deployment.
- c. **Threat Specific Training.** The HOMC is responsible for ensuring that all members of the military component, including Staff Officers and UNMEMs are aware of mitigation measures against mission-specific threats that have been identified. The training should be as practical and realistic as appropriate.
- d. **Learning Workshops.** The HOMC shall encourage frequent workshops regarding standards of conduct including sexual exploitation and abuse, mentoring, safety and security, training, advising, planning, gender equality, diversity, staff welfare, personnel policies, best practices, lessons learned and other issues which have an impact on military performance and mission management.
- e. **Rules of Engagement Training.** The HOMC is responsible for ensuring that mission specific UN approved Rules of Engagement (ROE) are fully understood by all members of the military component. The HOMC is responsible for ensuring specific ROE training is regularly conducted within the military component.

Note: *The requirement to immediately report all occasions when lethal or armed force is used by a member of the component, regardless of the circumstances must be followed.*

- f. **UN Core Values and Competencies.** The HOMC is responsible for ensuring that all members of the military component are informed of UN core values and competencies, which are: Integrity, Professionalism and Respect for Diversity. Competencies refer to a combination of skills, attributes and behavior directly related to the successful performance of personnel assigned within the military component. Competencies are

important for all mission personnel to build and support the Mission's development and meet the organizational and mission objectives. The HOMC must emphasize the UN core values and competencies through respective lessons during the induction training as well as other military component briefings, meetings and forums.

- g. **HIV/AIDS.** HIV/AIDS is both a health problem and a security issue. It is important that all personnel deployed in the mission area avoid practicing unprotected sex and the HOMC is to ensure that all members of the Military Component receive all necessary information, through the medical staff or other qualified personnel, on issues related to HIV/AIDS and sexually transmitted infections.

D.5 UN Military Expert on Mission (UNMEM) and Military Staff Officer (MSO) Skill Validation Requirements

71. Respective Permanent Missions to the United Nations must certify and confirm that their UNMEM and MSO candidates are qualified and suitable for the requested position within the Mission. After arrival in the mission area and during the two-week induction phase, UNMEMs and MSOs must undergo a validation process under the responsibility of the HOMC.

72. The following skills are required:

- a. Working level English language skills (French language skills are desirable in Francophone missions)
- b. Ability to drive 4x4 vehicle
- c. Ability to conduct basic radio communications (HF and VHF radio)
- d. Ability to conduct map reading and use basic GPS location devices
- e. Basic skills in Microsoft Office and computers

73. MSOs or UNMEMs who do not meet the above specified requirements or skills, at a minimum may be repatriated or replaced upon the recommendation of the HOMC to the HOM. The mission must send the request to DPO for approval and repatriation and timely replacement will be conducted at the expense of the respective TCC.

E. Reporting

74. The Secretary-General will normally report to the Security Council on each mission when appropriate or as directed by the Council. Further to the SOP on Integrated Reporting from Peacekeeping Operations to UNHQ, the Policy and the Guideline on Joint Operation Centers (JOC) and the SOP on the Submission of Situation and Special Incident Reports by DPKO Field Missions, the HOM is responsible for reporting regularly to UN Headquarters, through the USG DPO, on developments concerning the activities of peacekeeping missions and the implementation of each mission's mandate. All reports related to conduct and discipline issues to be sent from the HOM to DMSPC.

75. On matters that are predominantly militarily/technical in nature, the HOMC is authorized to communicate directly with the UN Military Adviser at the UN Headquarters. In the same line, Force Headquarters (FHQ) staff/ branches are authorized to communicate directly with the corresponding OMA Services and Teams. All reports related to conduct and discipline issues will be sent from the HOM to DMSPC.

76. **Mission Reporting from different Chain of Command.** The HOM is required to submit regular routine reports to UN Headquarters. The HOMC is to contribute to this reporting requirement as directed by the HOM. In accordance with the SOP on the Submission of Situation and Special Incident Reports by DPKO Field Missions, the HOM is required to submit a special report immediately on any occurrence of importance. Special reporting is submitted in addition to the regular routine reporting requirement. The HOMC is to contribute to this special reporting requirement as directed by the HOM. The HOMC can also be requested to provide a special technical military report to the Military Adviser in UN Headquarters to address or clarify specific military related issues.

E.1 Reporting to Current Military Operations Service (UNHQ/DPO/OMA/CMOS)

77. **Mission Integrated Situation Report:** Integrated SITREPs convey a routine synopsis of events, incidents or developments having a strategic political, operational, security, humanitarian, human rights or logistic impact on the mission within the reporting period.

- a. **Military Daily and Weekly Reporting.** The HOMC, through the Force Chief of Staff (FCOS) or designated FHQ staff, is required to provide military specific SITREPs, on a daily and weekly basis (Daily or Weekly SITREPs), to the UN Military Adviser via Current Military Operation Service (CMOS)..
- b. **Military Monthly Reporting.** The HOMC, through the FCOS is required to provide a technical military report every month to the UN Military Adviser via CMOS, which is to include statistical and evaluative data concerning the Military Component and its operations in the field mission. This report is to reach the UN Military Adviser in UN Headquarters by the fifth day of the following month in the format provided at Annex B.
- c. **Military Annual Reporting.** In January of each year, an Annual Report on the Military Component is sent to the UN Military Adviser, covering the previous 12 months.

78. Significant Incident Reports

a. Flash Report.

- i. Flash Reports (and any updates) are used to provide short and operationally focused information in the event of an incident of foremost urgency, such as a significant and/or critical event, an emergency, crisis, or other rapidly deteriorating situation (e.g., a noteworthy change in the operational situation, a mission-area event that has immediate or potential impact on the mission's operations or preliminary information about a death or serious injury/illness). Flash Reports may be issued following significant incidents or events, including but not limited to, significant political events (e.g., election announcements or results, progress made on peace agreements), operational incidents, safety and security incidents (e.g., aircraft crash or damage), significant medical disease or concern (e.g., Ebola, COVID outbreak), or natural disasters (e.g., earthquake, volcano).
- ii. Flash Reports should be transmitted by the mission's JOC and/or FHQ U3 Duty Officer to UNOCC and/or respective CMOS Desk Officer, as soon as possible following the incident. A verbal report may precede the flash report via email or phone call to CMOS. Flash reports should be supplemented by written and verbal updates provided to UNOCC and CMOS as additional

information becomes available.

- iii. While it is understood that information should be verified to ensure its accuracy, the timely issuance of Flash Reports is vital for DPO to effectively support peacekeeping missions and fulfill their responsibility to keep the Secretary General, the Security Council and countries that contribute personnel informed. Flash Report(s) should be followed by a more comprehensive report.¹⁹ Updates on casualty statistics should be reported to the UNHQ in subsequent updates of the Flash Reports or SITREPs.
- b. **Notification of Casualties (NOTICAS).** In accordance with the SOP on Notification of Casualties (NOTICAS) in Peacekeeping Operations and Special Political Missions, a NOTICAS²⁰ shall be prepared by the Office of the HOMC and submitted to OMA in the event of any of the following incidents involving United Nations military personnel serving in United Nations Peacekeeping Operations or Special Political Missions in the field:
 - i. Death, or
 - ii. Serious injury or illness, defined as an acute, life-threatening, medical or surgical condition that may lead to death or the significant and permanent loss of limb, eyesight or function.
 - c. **Data Collection.** The HOMC shall ensure that data on all incidents, military operations and activities, is collected, verified and safely stored in an authorized mission-wide central situational awareness database, such as the “UN Sage Database” and/or “Unite Aware”, which are usually managed by the Mission JOC or JMAC. This will ensure all incidents, military operations and activities are stored in a comprehensive central database, which will facilitate and enable data visualization, usage and dissemination, trend analysis and mapping in support of the mission’s decision-making process. This responsibility of managing military data shall comply with the Data Strategy of the UN Secretary-General, as well as UN Peacekeeping’s Digital Transformation Strategy.
 - d. **Intermediate Report, Final Report and After-Action Report (AAR).**
 - i. Incident reports and AARs provide accurate military information and analysis for briefings to UN leadership, Troop-Contributing Countries (TCCs) and other relevant stakeholders on an incident. The timing of AARs remains critical to the information flow at the UN Headquarters.
 - ii. Incident reports should be submitted as Flash Reports within an hour of the incident, reporting basic facts even if without (full) verification; Intermediate reports should be submitted during the first 24 hours of occurrence and updated every 24 hours for ongoing incidents, verifying information and accuracy as more information becomes available.
 - iii. Final Reports/AARs should be sent after a comprehensive inquiry into the incident is done with full details involving the military component,

¹⁹ See DPO Policy on Joint Operations Centers (JOC) (November 2019) and DPO Guidelines on Joint Operations Centers (JOC) (November 2019).

²⁰ No later than six hours after receiving the initial notification, enter all mandatory data into the NOTICAS database. See DPKO Generic Guidelines for Troop Contributing Countries deploying Military Units to the UN Peacekeeping Operations (Section D.1).

particularly in cases of the use of force. This would obviate the misinformation, on times received from other sources. The AARs are intended to capture immediate, accurate information and analysis within the military technical channel without prejudice of any future analysis. The Final report can include Lessons Learned, Lessons Identified and recommendations on how to prevent or mitigate associated risks and attenuate potential damages.

- e. **Use of Force Reporting.** On every occasion when armed or lethal force is used by a member of the military component, regardless of the circumstances, the HOMC is responsible for conducting an inquiry into the incident and promptly transmitting a report to the DPO/OMA Military Adviser at the UN Headquarters. A Military Component SOP should be developed and issued to guide these inquiries and reporting requirements.

79. **Technical Reports:** On behalf of the HOMC, the Force Headquarters under the guidance of the FCOS or designated staff are to send the following technical reports to the UN Military Adviser via CMOS:

Monthly Basis:

- a. Force Monthly Situation Report (Sample in Annex B)
- b. Mission Basic Fact Sheet (Sample in Annex C)
- c. Hostile Act Report (Sample in Annex D)
- d. Repatriation State (Sample in Annex E)
- e. Deployment Map
- f. Field Mission Contact List

Quarterly Basis:

- a. Caveats Report (Sample in Annex F)
- b. Road Traffic Accident Report (Sample in Annex G)
- c. Loss of Weapons/Ammunition and Related Equipment Report (Sample in Annex H)

Yearly Basis:

- a. Military Annual Report (See Section E.1 above).
- b. End of Assignment Report. When the HOMC is nearing the end of the Tour of Duty (ToD) in the mission, an "End of Assignment Report," must be submitted to the USG DPO, and the DPO/OMA Military Adviser via CMOS. The report should provide a review of the overall military situation, an assessment of the implementation of the mandated tasks by the military component and any internal matters affecting the

military component, including personnel, administration and logistics. This report should be candid, highlighting what worked well and why, as well as challenges encountered. The HOMC is encouraged to offer suggestions, recommendations to improve the effectiveness of the military component.

NOTE: This report should reach UN Headquarters three weeks prior to the last day of the HOMC ToD. The “End of Assignment Report” will be treated as ‘strictly confidential’ within UN Headquarters. The outgoing HOMC will also be requested to provide a debriefing on completion of the assignment to the UN Headquarters. If the HOMC is also the HOM, then a similar ‘End of Assignment’ report is required but will cover wider mission issues including an assessment on political and administrative issues.

E.2 Reporting to Force Generation Service (UNHQ/DPO/OMA/FGS)

80. **Personnel Reports and Returns.** The OMA/FGS deals with personnel reports and returns required from UN Peacekeeping operations and from all DPPA/DPO and DOS led field missions that include military personnel generated by FGS. To support the monitoring and control of administrative Force Generation related matters within OMA a constant staff check and update through reports and returns from missions is required. The Chief Military Personnel Officer (CMPO) of a mission²¹ is responsible for all personnel reports and returns required by OMA. However, these reports and returns must not become excessive both in terms of details and frequency²².

Daily Basis:

- a. Daily Force Strength Report (Sample in Annex I)

Monthly Basis:

- a. Mission Monthly Strength Report (Sample in Annex J)
- b. SO/UNMEM Arrival and Departure Report (Sample in Annex K)
- c. Monthly Personnel Strength Report (Sample in Annex L)
- d. Monthly Gender Statistics (Sample in Annex M)
- e. Mission Monthly Staffing Table

Quarterly Basis:

- f. Mission Fact Sheet

81. **Individual Performance Evaluation Reports.** The HOMC is responsible for ensuring that performance evaluation reports are prepared for all officers in the Military Component. A Military Component SOP is to be developed and issued by the HOMC to ensure all performance evaluation reports within the Military Component provide the assessment and information necessary for UN Headquarters purposes.

²¹ In DPPA- and DOS-led field missions, this position is usually the Chief Personnel Officer (CPO) or Human Resources Officer (HRO) of the mission, while in DPO-led field Missions the Chief U-1 or DFCOS PET will be responsible for the required reports.

²² In conjunction with the respective Mission, FGS will set the frequency of the respective reporting from the mission.

Respective senior national military officers in a mission should send the evaluation reports on officers, up to and including the rank of Major (or equivalent), to respective national authorities.

Performance evaluation reports for officers in the rank of Lieutenant-Colonel and above (or equivalent) are to be forwarded to UN Headquarters in sealed envelopes, marked for the attention of the Military Adviser's Office. UN Headquarters will arrange for their further transmission to relevant national authorities, through the permanent missions to the UN.

All officers must sign their individual performance evaluation report. Two superiors in the chain of command should endorse all reports. The evaluation report format for military officers in a field mission, where a UN report is required (for example, Force and Sector Commanders, specific unit commanders, staff officers and UNMEM) is attached at Annex P.

The HOMC is also responsible for ensuring that the individual Performance Evaluation Reports of all Military Staff Officers and UNMEMs are uploaded in the Field Support Suite (FSS) before departure from the mission area.

82. **Reporting Unsatisfactory Performance for an Individual.** In the event an officer's performance is assessed as "unsatisfactory", the report must include all relevant facts supporting this assessment and the affected officer should have previously received performance counseling. A copy of all 'unsatisfactory' reports is to be sent to the UN Military Adviser's Office for transmission to the appropriate national authorities. Prior to submission to UN Headquarters, the HOMC is to inform the UN Military Adviser when a performance evaluation report for any officer will be assessed as 'unsatisfactory'.
83. **Performance Appraisal Reporting on the HOMC.** The HOM is responsible for the performance evaluation of the HOMC. If the HOMC is also the HOM, then the USG DPO is responsible for the performance appraisal of the HOMC.
84. **Prevention of Sexual Exploitation and Abuse.** The performance evaluation of the HOMC and subordinate commanders will include an evaluation of their ability to maintain good order and discipline particularly in relation to the prevention of misconduct, including sexual exploitation and abuse, and their immediate reporting of such allegations.

E.3 Reporting to Assessment Team (UNHQ/DPO/OMA/AT)

85. **Mission Integrated Peacekeeping-Intelligence Reports (INTREP) and Peacekeeping-Intelligence Summaries (INTSUM):** Integrated INTREPs and INTSUMs convey a synopsis of events, incidents or developments, to include any relevant deductions made in the time available of trends or threats that could have strategic, political or operational implications on the mission's ability to execute its mandate or have an adverse impact on safety and security of peacekeepers within the reporting period.
 - a. **Peacekeeping-Intelligence Reports (INTREPs).** The HOMC, through the Chief U-2, is required to provide INTREPs to the Military Adviser through the Assessment Team (AT), whenever the peacekeeping-intelligence it contains is likely to require urgent attention and cannot wait for distribution through routine reporting. The INTREPs (template at Annex N) should include any relevant deductions made in the time available.

- b. **Peacekeeping-Intelligence Summary (INTSUM).** The HOMC, through the Chief U2, is required to provide INTSUMs to the UN Military Adviser through AT. The INTSUM (template at Annex O) should be a periodic summary of peacekeeping-intelligence on the current situation, designed to update the current peacekeeping-intelligence assessments and highlight important developments during the reporting period. Reporting periods are daily, weekly and/or monthly, in line with the mission's battle rhythm and as agreed with the DPO/OMA Military Advisor. The INTSUMs should include any relevant deductions made in the time available. For purposes of integration, military specific peacekeeping-intelligence deductions can be included in the mission level daily and/or weekly SITREPs submitted to CMOS at UN Headquarters and copying AT.
- c. **Thematic Reports.** The HOMC, through the Chief U2, is required to provide military specific thematic reports that address relevant aspects of the operational environment, such as a region or town, an armed group, other movements or organizations, sometimes covering longer timescales. There is no fixed format or timeline for a thematic report. It would be produced as the military security situation determines and will normally contain sections for the Situation, Assessment, Details and Remarks.

E.4 Reporting to Military Performance Evaluation Team (UNHQ/DPO/OMA/MPET)

- 86. **Unit Performance Evaluation Reports.** The HOMC, through the FCOS or DFCOS PET, is responsible for ensuring that a minimum of one Performance Evaluation Report of each military unit evaluated is prepared and submitted to MPET (any time after three months of deployment) during their tour of duty. A mission-specific evaluation SOP is to be developed and issued by the HOMC to ensure all performance evaluation reports within the Military Component provide the assessment and information necessary for UN Headquarters purposes. The respective FCOS or DFCOS PET and U-7 should ensure reports (including Performance Evaluation Plans) on all evaluated units are forwarded to MPET through the designated Military Performance Evaluation Tool. UNHQ/DPO/OMA will discuss any adverse reports through integrated meetings with the Permanent Mission of the affected TCC.

E.5 Knowledge Management

- 87. All information and documents issued by the HOMC or generated by the Force should be archived, electronically or otherwise, and maintained in accordance with knowledge management guidance²³ maintaining institutional memory. These military component archives must be kept in the Office of the HOMC and shared with the HOM and UN Headquarters as necessary.

F. TERMS AND DEFINITIONS

- 88. **Caveats:** Any limitation, restriction, condition, or constraint imposed by a TCC on its military contingent deployed in United Nations peace operations that impedes United Nations commanders in deploying and employing assets fully in line with the United Nations strategic and operational guidance documents, including but not limited to the Statement of Unit Requirements (SUR) and Memorandum of Understanding (MOU). Caveats have the potential to adversely impact the effectiveness and efficiency of mandate implementation and decreases the ability of the Force to accomplish its mandated tasks, including protection of

²³ See DPO / DPPA Policy on Knowledge Management and Organizational Learning (ref. DPO 2020.11 / DPPA 2020.2).

civilians or provision of security to UN personnel or facilities.

89. **Declared Caveats:** Declared caveats are those explicitly stated by a TCC prior to a deployment. These become operational limitations once the UN agrees to a variation from the statement of unit requirements (SUR).
90. **Undeclared Caveats:** Undeclared caveats are usually impromptu and unpredictable in nature, brought out when a national peacekeeper, unit or contingent commander acts contrary to orders in such a way that limits their operational employment, having a potential high risk to the safety of peacekeepers and the protection of civilians. These further impede the ability of the Force to carry out its mandated tasks.

G. REFERENCES

Related procedures or guidelines

- A. Policy on Guidance Development [reference DPO 2019.29 / DPPA 2019.08].
- B. Secretary-General Bulletin “Observance by UN Forces of International Humanitarian Law”, dated 6 August 1999 (ST/SGB/1999/13);
- C. UN Security Council Resolution 1325, “Women and Peace and Security”, dated 30 October 2000 and its thematic follow-on resolutions;
- D. ST/SGB/2002/9, Secretary-General’s Bulletins on Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Missions, dated 18 June 2002;
- E. DPKO MD/03/00995, Directive on Sexual Harassment in UN Peacekeeping and other field missions (for military members of national contingents, military observers and civilian police officers);
- F. ST/SGB/2003/13, Secretary-General’s Bulletin on Special Measures for Protection from Sexual Exploitation and Sexual Abuse, dated 9 October 2003;
- G. DPI and DPKO Operational Policy, Policy and Guidance for Public Information in United Nations Peacekeeping Operations, dated 14 July 2006;
- H. DPO POL/2020/06, Policy on Joint Operations Centers (JOC), dated 1 November 2019, and DPO 2019/011, Guideline on Joint Operations Centers (JOC), dated 1 November 2019;
- I. DPKO Standard Operating Procedure, Submission of Situation and Special Incident Reports by DPKO Field Missions, dated 1 September 2006;
- J. DPO/DOS Policy, Authority, Command and Control in UN Peacekeeping Operations, 25 October 2019;
- K. General Assembly Resolution 62/214, UN Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by UN Staff and Related Personnel, dated 7 March 2008;
- L. DPKO/DFS Policy, Applicability of the Arrangements of the UN Security Management System (SMS) to Individually Deployed Military and Police Personnel in DPKO or DPA led Missions, 1 May 2008.
- M. DOS 2020.10 Standard Operating Procedure, Boards of Inquiry, dated 8 June 2020.
- N. ST/SGB/2002/9 Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission
- O. DPO Standard Operation Procedure, Integrated Reporting from Peacekeeping Operations to UNHQ, dated 1 June 2019.
- P. DPKO Generic Guidelines for Troop Contributing Countries deploying Military Units to the United Nations Peacekeeping Operations, 2008
- Q. DPPA/DPKO/DFS Ref. 2015.10 Policy on Accountability for conduct and discipline in field

- missions, 30 July 2015
- R. DPKO/DFS Ref. 2011.01 Standard Operating Procedures on Implementation of amendments on conduct and discipline in the model Memorandum of Understanding between the United Nation and Troop-Contributing Countries, 1 March 2011
 - S. Strategy for the Digital Transformation of UN Peacekeeping, 15 August 2021.
 - T. DPO/DPPA Policy on Knowledge Management and Organizational Learning, 1 September 2020.
 - U. Information Sensitivity, Classification and Handling (ST/SGB/2007/6).
 - V. DPKO/DFS SOP Managing Information on Shared Drives, July 2016.
 - W. United Nations DPO/DPPA/OHCHR/SRSG-SVC – Policy on United Nations Field Missions: Preventing and Responding to Conflict-Related Sexual Violence (2020).
 - X. United Nations Security Council Resolution 2272 (2016) – Prevention of Sexual Exploitation and Abuse.
-

H. MONITORING AND COMPLIANCE

91. This Guideline is primarily addressed to the HOMC in a UN Peacekeeping mission led by DPO. The Senior Military Officers in DPPA and DOS led missions are to follow the procedures while communicating through OMA. All relevant services, teams and focal points in OMA are responsible to ensure monitoring and compliance of the instructions.
-

I. CONTACT

92. This guideline was developed within the Office of Military Affairs. The Current Military Operation Service shall be the focal point for this Guideline. Each CMOS respective mission Desk Officers can be contacted by individual e-mail or CMOS collectively at dpo-oma-cmos@un.org.
-

J. HISTORY

93. This is the second edition of the Directive to the Head of the Military Component in UN Peacekeeping Operation (2008) and modified to the DPO Guidelines format. These guidelines will be reviewed in 2025.
-

APPROVAL SIGNATURE:



Jean-Pierre Lacroix

Under-Secretary-General
Department of Peace Operations

DATE OF APPROVAL: 12 March 2023

**GUIDANCE TO COMMANDERS OF UNITED NATIONS MILITARY OPERATIONS -
STANDARDS OF CONDUCT**

1. The UN embodies the aspirations of all people of the world for peace. In this context, the UN Charter requires that all personnel maintain the highest standards of integrity and conduct. The standards summarized below reflect those articulated in various official documents and policies of the UN, in particular, the UN Staff Rules and Regulations. All participants in a peacekeeping operation must accept special constraints in their public and private lives in order to effectively accomplish the objectives and promote the ideals of the UN.
2. Standards of conduct and effective performance of peacekeeping duties are fundamental to the success of all UN operations. Within the Military Component, the principles that govern these aspects are reliant upon commanders at all levels ensuring good order and discipline amongst their subordinates.
3. The mission's military chain of command has a pivotal role in:
 - a. Establishing the competencies and responsibilities of subordinates.
 - b. Ensuring that subordinates are aware of, and strictly observe, their obligations.
 - c. Ensuring that conduct violations are discouraged and that any instances are promptly and thoroughly reported for possible investigation and, where applicable appropriate disciplinary action and other accountability measures;
 - d. Training subordinates in their responsibilities as part of routine training.
4. The Head of Mission has the authority to take appropriate administrative measures where failure to comply with official guidelines is encountered. This authority may be delegated to senior staff of the UN Mission. The Head of the Military Component is to ensure that national contingent commanders, senior national officers and UN military team leaders exercise responsibility in this respect, over their subordinates.
5. UN military commanders must:
 - a. Ensure compliance with the guidelines on International Humanitarian Law for Forces Undertaking UN Peacekeeping Operations (see reference B). This will take into account the nature of the UN forces, their powers, competencies and mandates.
 - b. Enforce standards for Human Rights for the applicable sections of the Universal Declaration of Human Rights.
 - c. Ensure that all personnel comply with the standards established for the conduct of UN peacekeepers²⁴.
 - d. Ensure that subordinates recognize the needs and interests of the host country and its people and act in accordance with the principles of strict impartiality,

²⁴ For additional references see DPA/DPKO/DFS Policy on Accountability for Conduct and Discipline in Field Missions (2015.10), "We are United Nations Peacekeeping Personnel" (contains a review of UN standards of conduct), Charter of the United Nations, United Nations Operations Principles and Guidelines (2008), and [A/61/19 (Part III)], Article 7 – United Nations standards of conduct.

- integrity, independence and tact.
- e. Establish a clear chain of command to ensure that inappropriate conduct and activities are appropriately and promptly addressed. This requires a clear linkage of the national responsibilities for discipline and the prerogatives of the UN commander to ensure appropriate follow-up of all alleged incidents.
 - f. Monitor and report all alleged incidents of illegal activities and apply appropriate remedial action.
 - g. Ensure that all personnel understand the mandate and mission assigned by the Security Council and that they comply with their provisions.
 - h. Ensure that all personnel understand the POC mandate (where applicable) including their roles and responsibilities for protection.
 - i. Confirm that comprehensive mission preparatory briefings and training include an understanding of local customs and practices and respect for mission regional culture, religion, traditions, highlighting the human rights and gender considerations, in light of international law and UN standards and policies.
 - j. Ensure respect for local laws, customs and practices where they are not in conflict with mandated activities and the privileges, benefits or immunities the UN and its officials enjoy, or which have been further negotiated and incorporated in relevant Status of Forces Agreement (SOFA)/ Status of Mission Agreement (SOMA).
 - k. Ensure that subordinates respect, manage and care for all material and goods supplied by the UN (radios, vehicles and equipment).
6. UN military commanders must immediately report where UN military personnel are involved in:
- a. The exploitation of vulnerable groups in local communities, particularly women and children, either through position or financial status has occurred or alleged to have occurred.
 - b. Excessive consumption of alcohol or the use of drugs has occurred or alleged to have occurred.
 - c. Participation in criminal or illegal activities is detected or alleged to have occurred.
7. UN military commanders must also ensure that military personnel neither seek nor receive instructions relating to the performance of their duties from any unauthorized external source. Therefore, legitimate communications with national authorities and with the media must be within clearly established guidelines²⁵ (including SOP) to avoid inappropriate actions.
8. A clear mechanism must be established for addressing complaints made against UN personnel within the mission and include actions at UN Headquarters and national authority levels. This must include a well-defined process for investigating, reporting and follow-up

²⁵ For further guidance, see ST/SGB/2002/9 "Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission."

TEMPLATE FOR MONTHLY SITUATION REPORTS

UNITED NATIONS

United Nations Mission in the
xxxxxxx



UNxxxx

NATIONS UNIES

Mission des Nations Unies en
xxxxxxxxxxxxxxxxxxxxxxxxxxxx

XXXX (MISSION) FORCE MONTHLY SITUATION REPORT – MONTH /YEAR

TABLE OF CONTENTS

Serial	Contents	Page No
1.	General Overview	X
2.	Operations	X
3.	Trend and Pattern Analysis	XX
4.	Personnel and Administration	XX
5.	Logistics	XX
6.	Conclusion	XX

UNITED NATIONS

United Nations Mission in the
xxxxxxx



NATIONS UNIES

Mission des Nations Unies en
xxxxxxxxxxxxxxxxxxxxxxxxxxxx

UNXXX/FHQ/OIC

FHQ UNXXX

Date/Month/Year

Location:

UN MILITARY MONTHLY REPORT FOR (MONTH/YEAR)

GENERAL OVERVIEW

1. This segment should cover the general assessment of the prevailing security situation of the Mission’s AOR.

OPERATIONS

2. **OPERATION XXX.**

- a. Mission/ Objective(s).
- b. Units/ Sub-units Involved.
- c. Area of Operation.
- d. Outcome/ Progress.
- e. Challenges.
- f. Comments/ Assessment.

3. **Patrols.** A total number of patrols conducted covering visits to villages and visits to IDP camps (if any) during the period under review. Monthly Patrol Summary should be attached as **Annex A**. Outlined below should be addressed as the summary of the patrols conducted.

a. **Protection of Civilian Patrols (PoC).** A total number of PoC patrols conducted in the month of the reporting time as indicated below:

- (1) Short Range Patrols (SRP).
- (2) Long Range Patrols (LRP).
- (3) Night Patrols (NP).

b. **Protection of UNXXX Patrols (PoU).** A total number of patrols were conducted as indicated below:

- (1) Routine Patrols (RP).
- (2) Logistics and Admin Escorts (LAE).

c. **Humanitarian Escorts (HEs).**

- (1) VIP Escorts.
- (2) Support to Humanitarian Actors.
- (3) Comments/Assessments.

TREND AND PATTERN ANALYSIS

4. **General**. List below some details of the incidents, trend and pattern, while further details attached as **Annex B**. Examples are as followings:
 - a. Fatalities.
 - b. Banditry/Crime Activities.
 - c. Tribal Issues.
 - d. Factional Activities.
 - e. Government Forces' Activities.
 - f. Sexual and Gender-Based Violence (SGBV), including conflict-related sexual violence (CRSV).
 - g. Access Denials.
 - h. Hostile Actions against the Mission.
 - i. (Any other issues pertinent to the Mission).
5. **Comments/Assessments**.

OTHER SIGNIFICANT ISSUES

- a. Visits/Meetings. Detailed should be listed below as important visits/meetings and activities conducted during the period under review:
- b. Incidents / Activities involving UNXXX.
- c. Incidents/Activities involving Parties to the Conflict.
- d. Incidents/Activities Involving Civilians/IDPs.
- e. Comments/Assessments.

PERSONNEL AND ADMINISTRATION

6. Check-In/Out
7. Reassignment
8. Extension of TOD.
9. Repatriation.
 - a. Repatriation on Medical Ground
 - b. Repatriation on Disciplinary Ground
 - c. Repatriation of Human Remains
 - d. Repatriation on Ground of Suitability to Work/Failure to Meet Necessary Requirements
 - e. Repatriation of TCC
 - f. Repatriation of Rear Party
10. **NOTICAS**
11. **Staffing** Summary of Force Strength as at current is as follows:

- a. SOs.
- b. LOs.
- c. UNMOs.
- d. TCC members including rear parties (if any).

12. In total, the mission strength stood at (**how many personnel**) as at current, with a gender distribution of (how many percentages) of women and (how many percentages) of men. Details of Monthly Strength Report indicating the contribution of troops by various countries should be attached as **Annex C**.

13. **Visa Issues.**

- a. Approval of Entry Visas for Personnel
 - (1) Visa Requests
 - (2) Visa Being Processed
 - (3) Pending Visa
- b. Approval of Entry Visas for Delegation

14. **Leave**

15. **Medal Presentation Parade**

16. **Incidents/Accidents** A summary should be attached as **Annex D**

17. **Visits Detailed** delegation visit to the mission during the period under review as indicated in the table below:

S/N	Country/Appt	Purpose of visit	No. of Pers	Duration	Remarks
1.					

18. **Gender Matters.**

19. **CDU and SEA Matters.**

20. **BOI.**

LOGISTIC

21. Overview and logistic sustenance status.

- a. Ration
- b. Fuel
- c. COE APC Details of APC/MPV Status should be attached as Annex E.
- d. Logistic Issues Affecting Operational Performance
- e. Military Aviation Status Miscellaneous Facts

22. **Rotations** for the month should be shown below:

Serial	Unit	Date	Strength	Location	Remark
1.					

23. **Redeployment**

24. **Repatriation** for the month should be indicated in the table below:

Serial	Unit	Date	Strength	Location	Remark

1.					
----	--	--	--	--	--

25. **Status of Rear Parties**

26. **Force Deployment Map**

27. **COE Movement Status** The COE movement status of the Units should be shown below

Unit	At Origin (%)	Transit (%)	PZU (%)	Transit to Final Destination (%)	Final Destination (%)

28. **Communication**

29. **Engineering Projects**

30. **Training Activities**

31. **CIMIC Activities**

CONCLUSIONS

32. This segment should include the FC's perspectives on the overall operational picture including major progress/ gains/ loss, performance of the force as a whole, force's contribution towards mandate implementation, any shift in trends noticed, plans for the next month, predictions, and constraints/ impediments and steps taken to address them etc. It should also include any recommendation from the FC for the UNHQ.

Signature of OIC (could be FC or COS)

Rank:

Name:

Title:

Annexes:

- A. Summary of Monthly Patrols.
- B. Trend and Pattern of Incidents.
- C. Monthly Strength Report.
- D. Summary of all Accidents/Incidents.
- E. Monthly COE APC Status.

Distribution:

External:

Action:

Information:

MISSION BASIC FACT SHEET (MM/YYYY)

Started:		SCR:		Chapter:		Mandate:	
BASIC FACTS							
	HQ	Strength		Sectors	Key Agreement	Key Parties to the Conflict	
		Auth	Held				
Key Tasks:							
LEADERSHIP							
Position	Name	Nationality	Appointment		Contact Details		
			From	To	Telephone	email	
MILITARY COMPONENT							
Position	Name	Nationality	Appointment		Contact Details		
			From	To	Telephone	email	
TCCs							
EXPERTS ON MISSION							
Headquarter	Location	Strength					
		MSOs	UNMOs	MLOs	MAs		
MAJOR UNITS							
	Location	Strength	Nationality	Voids	Turnover		
ENABLING UNITS							
	Location	Strength	Nationality	Voids	Turnover		
MAJOR MISSION ISSUES							
MISCELLANEOUS DATA							
TCCs							
Civilian Component					UNPOL		
Approved budget		Fatalities: Police MLO International civilians Local civilians Other TOTAL -			Security Phase		

DEPLOYMENT MAP (if required)

HOSTILE ACT REPORT – MONTH YEAR

Serial	IDX	Mission	Place	Date	Short description	WIA	KIA	Abducted	Nationalities	Type
1										
2										

MISSION REPORT FOR
REPATRIATION DUE TO NON-MEDICAL REASONS - MONTH / YEAR

Ser	Date	Country	Category	Total	Reason (under-performance/SEA)	Rank and Name	Remarks
1							
2							

MISSION REPORT FOR
FHQ REPORTING ON UNDECLARED CAVEATS – QUARTER ENDING MONTH / YEAR

Mission	Date	TCC / Unit	Caveat details	Brief actions at FHQ	Recommendations / remarks (if any)

MISSION REPORT FOR
ROAD TRAFFIC ACCIDENT REPORT – MONTH / YEAR

Ser	Mission	Date	Location	Vehicle(s) involved	Cause of the accident	Casualties UN	Casualties Civil	Vehicle damaged	Outcome of the investigation	Action taken	Remarks
1											
2											

MISSION REPORT FOR
LOSS OF WEAPONS AND AMMUNITION REPORT FOR MONTH / YEAR

Ser	Generic Description of Weapon/Ammunition	Calibre Size of	Serial / Lot Number	Number Lost	Date of Loss	Causes of Loss	Location	Incident	Date of recovery (if any)	Remarks
1										
2										

DAILY FORCE STRENGTH REPORT

<u>(Mission) Force Strength Report (DD/MM/YYYY)</u>																
Srl No	Country	Authorised Strength			Military Observers			Staff Officers			Troops			Total		Total
		Staff Officers	UNMOs	Troops	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	
1																
2																

MISSION MONTHLY STRENGTH REPORT

Mission Monthly Strength Report Template												
This report summarizes the number of personnel physically on duty in the mission at the end of the final day of each month												
Month of Report												
Mission Name												<i>Total</i>
Component												
Country	Military Component											
	Experts on Mission <i>*Military Observers, Military Advisers and Military Liaison Officers</i>			Contingent Troops <i>*Exclude staff officers who are FSS-processed and receiving MSA</i>			Staff Officers <i>*Only staff officers who are FSS-processed and receiving MSA</i>			Military Total		
	Male	Female	Total	Male	Female	Total	Male	Female	Total	Male	Female	Total
XXX												
XXX												

MONTHLY ARRIVAL AND DEPARTURE REPORT OF STAFF OFFICERS and UNMEMs (MONTH/YEAR)

ARRIVALS:

SN	RANK	NAME			DATE	NATIONALITY	APPOINTMENT
		FIRST	MIDDLE	LAST			
1							
2							

DEPARTURES:

SN	RANK	NAME			DATE	NATIONALITY	APPOINTMENT
		FIRST	MIDDLE	LAST			
1							
2							

MONTHLY PERSONAL STRENGTH REPORT FOR (MISSION)
MILITARY COMPONENT - As of (DD/MM/YYYY)

Country	Contingent	Strength	Staff Officers	Country Total

(MISSION) MILITARY GENDER STATISTICS
As of (DD/MM/YYYY)

SERIAL	COUNTRY	STAFF OFFICERS		CONTINGENTS		TOTAL
		MALE	FEMALE	MALE	FEMALE	
1						
2						

PEACEKEEPING-INTELLIGENCE REPORT (INTREP)²⁶ TEMPLATE

An INTREP will be classified as per the content; either as UN CONFIDENTIAL or UN STRICTLY CONFIDENTIAL.

The report should include at a minimum:

- What?
- Where?
- When?
- Why/How?
- Own CoA or response

Classification: UN CONFIDENTIAL		Precedence: IMMEDIATE.
SUBJ:	INTREP 001/00 241200 C DEC 17	
1	DETAILS	<ul style="list-style-type: none"> • What • Where • When • Why/How • Own CoA or response
2	COMMENT	The peacekeeping-intelligence analyst's deduction of the implications of the incident or event.
ORIGINATOR: U2/UN Mission XX.		
Releasing officer:		

²⁶ See Annex A to Chapter 8 of UN MPKI HB.

PEACEKEEPING-INTELLIGENCE SUMMARY (INTSUM)²⁷ TEMPLATE
Classification (Protective Marking)

An INTSUM will be classified per content; either as UN CONFIDENTIAL or UN STRICTLY CONFIDENTIAL.

Classification: UN CONFIDENTIAL		Precedence: ROUTINE.
SUBJ:	UN INTSUM 001/00 FROM 241200A DEC 17 TO 281200A DEC 17	
1	HIGHLIGHTS	A synopsis of significant events within the APIR within the reporting period.
2	THREAT ACTORS	Describes threat actor activity and/or provides updated information for threat actor ORBAT records.
3	FORCE PROTECTION	A synopsis of events that impact, or may impact, force protection. This will include CI-related events.
4	OPPOSITION TO COHA	A synopsis of events that demonstrate opposition to the implementation of the Cessation of Hostilities Agreement, whether intentional or inadvertent.
5	MISCELLANEOUS	A description of events/incidents affecting other factors such as the humanitarian situation, etc.
6	POLITICAL	A description of political events that may affect the mission.
7	UPCOMING EVENTS	Significant upcoming events (e.g., – public holidays, etc.)
8	ASSESSMENT	A synopsis of peacekeeping-intelligence concerns and an overall assessment.
ORIGINATOR: U2/UN Mission XX.		
Releasing officer:		

²⁷ See Annex B to Chapter 8 of UN MPKI HB.

UNITED NATIONS
(Full name of Mission in English)



NATIONS UNIES
(Full name of Mission in French)

**PERFORMANCE EVALUATION REPORT FORMAT FOR
MILITARY COMMISSIONED OFFICERS DEPLOYED
IN A UNITED NATIONS FIELD MISSION**

UNITED NATIONS COMMISSIONED OFFICER INFORMATION	
Last Name:	Rank:
First Name:	Middle Name:
Nationality:	
ID Card No:	

APPRAISAL PERIOD	
FROM:	TO:
APPOINTMENTS HELD AND DUTIES PERFORMED DURING THE PERIOD (with dates)	

REPORTING OFFICER RATINGS 1-5: 1 - Unsatisfactory; 2 - Developing; 3 - Fully Competent; 4 - Highly Competent; 5 - Outstanding;					
CORE VALUES	1	2	3	4	5
Integrity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Professionalism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Respect for Diversity/Gender	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CORE COMPETENCIES	1	2	3	4	5
Communication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Teamwork	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Planning and Organizing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Technological Awareness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JOB-RELATED COMPETENCIES	1	2	3	4	5
1. Military Leadership (where applicable)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Conduct and Discipline	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Staff Work - Staff Competency	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Responsiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

REPORTING OFFICER OVERALL RATING AND NARRATIVE OF PERFORMANCE APPRAISAL
<p>OVERALL RATING</p> <p><input type="checkbox"/> Outstanding - truly exceptional and rare performance which far exceeds reasonable expectations, including of originality, creativity and initiative.</p> <p><input type="checkbox"/> Exceeds expectations - distinctly better performance than reasonably expected, inclusive of consistent willingness to undertake additional work.</p> <p><input type="checkbox"/> Fully competent — competent and adept performance that fully meets reasonable expectations.</p> <p><input type="checkbox"/> Competent - performance basically meets all requirements.</p> <p><input type="checkbox"/> Partially competent - performance meets some or most of requirements but is in need of improvement.</p>
<p>RECOMMENDATION FOR FUTURE UN SERVICE</p> <p><input type="checkbox"/> Not recommended. <input type="checkbox"/> Recommended.</p>

NARRATIVE OF PERFORMANCE APPRAISAL

Reporting Officer

Name:

Position:

Signature and date:

COMMENTS OF COMMISSIONED OFFICER BEING ASSESSED

Military Commissioned Officer Appraised

Name:

Position:

Signature and date:

COMMENTS OF REVIEWING OFFICER

Reviewing Officer

Name:

Position:

Signature and date:

ADDITIONAL REMARKS FOR COMMISSIONED OFFICERS EVALUATED AS
OUTSTANDING

Reporting Officer

Signature and date:

Reviewing Officer

Signature and date:

Evaluation criteria:

1. *Integrity*: Upholds the principles of the United Nations Charter. Demonstrates the values of the United Nations, including impartiality, fairness, honesty and truthfulness, in daily activities and behaviors. Acts without consideration of personal gain. Resists undue political pressure in decision-making. Does not abuse power or authority. Stands by decisions that are in the Organization's interest even if they are unpopular. Takes prompt action in cases of unprofessional or unethical behavior.
2. *Professionalism*: Shows pride in work and in achievements. Demonstrates professional competence and mastery of subject matter. Is conscientious and efficient in meeting commitments, observing deadlines and achieving results. Is motivated by professional rather than personal concerns. Shows persistence when faced with difficult problems or challenges. Remains calm in stressful situations.
3. *Respect for Diversity/Gender*: Works effectively with people from all backgrounds. Treats all people with dignity and respect. Treats men and women equally. Shows respect for, and understanding of, diverse points of view and demonstrates this understanding in daily work and decision-making. Examines own biases and behaviors to avoid stereotypical responses. Does not discriminate against any individual or group. Includes a gender perspective in substantive work.
4. *Communication*: Speaks and writes clearly and effectively. Listens to others, correctly interprets messages from others and responds appropriately. Asks questions to clarify and exhibits interest in having two-way communication. Tailors language, tone, style, and format to match the audience. Demonstrates openness in sharing information and keeping people informed.
5. *Teamwork*: Works collaboratively with colleagues to achieve organizational goals. Solicits input by genuinely valuing others' ideas and expertise; is willing to learn from others. Places team agenda before personal agenda. Builds consensus for task purpose and direction with team members. Supports and acts in accordance with final group decisions, even when such decisions may not entirely reflect own position. Shares credit for team accomplishments and accepts joint responsibility for team shortcomings.
6. *Planning and Organizing*: Develops clear goals that are consistent with agreed strategies. Identifies priority activities and assignments; adjusts priorities as required. Allocates appropriate amount of time and resources for completing work. Foresees risks and allows for contingencies when planning. Monitors and adjusts plans and actions as necessary. Uses time efficiently.
7. *Technological Awareness*: Keeps abreast of available technology. Understands applicability and limitations of technology to the work of the Office. Actively seeks to apply technology to appropriate tasks. Shows willingness to learn new technology.
8. **Military leadership**: *Supports subordinates, provides oversight and takes responsibility for delegated assignments. Is able to inspire and motivate his/her subordinates and distribute tasks in an appropriate manner and perform the necessary control during implementation.*
9. *Conduct and Discipline*: Is a good example for other officers in personal appearance, dress, tact, interpersonal relations and way of life. Meets on time, adheres to deadlines for work and papers, and keeps papers and equipment under control and tidy.
10. *Staff Work - Staff Competency*: Operates in compliance with military regulations and rules. Possesses all the required knowledge and skills related to the job defined in the Job Description of his/her position.
11. *Responsiveness*: Eagerly seeks work and willingly applies the extra effort necessary to see a job well-done.