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Policy

Operational Readiness Preparation

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**DPO and/ DOS POLICY on
[Operational Readiness Preparation]**

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A. PURPOSE AND RATIONALE

1. This policy aims to support the national generation process of military units and individuals and their preparation for deployment to UN field Missions by providing national senior leadership, decision-makers, planners, trainers, and evaluators with clarity on UNHQ and field missions' expectations regarding preparations for deployment. The Policy sets standards, clarifies roles and responsibilities, and provides Member States (MS) particularly Troop Contributing Countries (TCCs) with a description of actions, at the national level, required to generate, prepare, deploy, and rotate military individuals[1] and formed military units to UN field missions[2]. This document also assists TCCs with the readiness of their military contributions and addresses military personnel and equipment readiness as integral parts of the pre-deployment preparation. The Policy outlines the documents that can support pre-deployment preparation, which are available upon request from the Office of Military Affairs/ Force Generation Service (Annex A).

2. The military component (units and individuals) in UN field missions is increasingly operating in underline complex environments requiring improved readiness and preparation to rapidly deliver mandated tasks effectively. Military contributions are drawn from <u>different MS</u>, bringing a wide range of experiences and capabilities to UN field missions, and then challenging interoperability, operational coherence, and integration. Improving the military contribution's readiness is a <u>collective effort</u> involving MS, TCCs, and UNHQ that will be coordinated through this policy.

B. SCOPE

3. This Policy applies to all MS, including TCCs while generating and preparing military units and individuals to deploy in UN field missions. In addition, it sets roles and responsibilities for the UNHQ's stakeholders involved in the generation and preparation process. Compliance with this Policy is mandatory.

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[1] Military Iindividuals refer to Individually Deployed Military Personnel, namely, Military Staff Officers (MSO) and UNMEM (including MILADs, MLOs, and UNMOs)
[2] In addition to DPO- field missions, this Policy will also apply mutatis mutandis to military individuals and formed military units deployed to field missions under the purview of the Department of Political and Peacebuilding Affairs (DPPA).

C. POLICY

4. Generation

4.1. The responsibility to generate and prepare military units and individuals for deployment belongs to each individual Member State; it is solely national.

4.2. The process of Operational Readiness starts by identifying MS interested in contributing military capabilities to UN field missions through the Peacekeeping Capability Readiness System (PCRS)[3]. The PCRS is the only mechanism for MS to register their offered capabilities, including but not limited to military units and individuals. Pledges in the PCRS Level 2 are found capable of deploying to a UN field mission, capturing the resources the MS could make available for deployment in a precise, complete, and verifiable manner.

4.3. The selection decision for military units is made from registered pledges in PCRS found capable of deployment to UN field missions, ideally from Level 2 and above. The criteria used for the selection decision are derived from Advisory and Assessment Visit reports, political inputs from the respective regional divisions, logistic support required, and Contingent-Owned Equipment (COE) requirements from the field missions and other United Nations offices that may provide relevant information, including in relation to the performance of a Member State in previous or current peacekeeping operations. The PCRS helps to make the decision process transparent and reliable by providing information about the levels of preparedness and readiness of pledged capabilities.

4.4. After the selection decision is taken, a formal request in the form of a Note Verbale to the Permanent Mission of the Member State is sent. This Note Verbale will include the Statement of Unit Requirements (SUR), which can be considered as the most important UN document for TCCs in their planning and preparation for a UN field mission deployment.

4.5. The Member State, is expected to send a response specifying whether they will be able to contribute to the specific field mission and when the military contribution could be ready for deployment, taking into consideration the estimated time needed for domestic processes and the preparation/ training of their pledged military contribution ahead of the deployment.

4.6. The formal acceptance of a contribution will be communicated to the TCC upon successful completion of the formal Force Generation steps, which are the recce visit to the field mission when the TCC assesses the operational environment where the unit (s) will be deployed; the Memorandum of Understanding (MOU) and/or Letter of Assist (LOA) negotiations and finally, a successful Pre-Deployment Visit (PDV)[4].

5. Preparation

5.1. Logistics and Medical
5.1.1. The Department of Operational Support (DOS) provides support services to enable UN peacekeeping and political missions to deliver on their mandates by integrating civilian and military assets, in the various categories of logistic support. The Uniformed Capabilities Support Division (UCSD) is the single point of contact for aspects concerning MOUs, COE, reimbursements, and logistic support.

5.1.2. The UN and the TCC sign an MOU for each formed unit. The MOU specifies the numbers of uniformed personnel, COE major equipment, and self-sustainment services to be provided by the TCC, and the sustainment services to be provided by the UN. The terms of the MOU agreed upon are subject to in-mission inspections based on verification and control procedures established in each field mission to ensure they are met by both the UN and the TCC. This would ensure operational capability for the mission, fair

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[3] For further details, please refer to the 2023.10- DPO-DOS Guidelines on "Peacekeeping Capability Readiness System (PCRS).
[4] For all details on the force generation steps, please see the 2021.05 DPO Manual for Generation and Deployment of Military and Formed Police Units.

reimbursement to the Member State, and corrective actions where required.[5]

5.1.3. Preparing logistics and medical support of military units and individuals deployed to in-field missions is a shared responsibility between TCC resources and UN resources. A few important components are as below:

5.1.3.1. <u>Major Equipment.</u> Major equipment consists of items directly related to the performance of a formed unit mission, as mutually determined by the UN and the TCC, in accordance with the relevant MOUs. Major equipment can be provided by a TCC under either a "wet lease" or a "dry lease" arrangement. In a wet lease arrangement, a TCC assumes responsibility for maintaining and supporting deployed equipment. In a dry lease arrangement, however, the TCC provides equipment while the UN assumes responsibility for maintaining and supporting the equipment. All COE major equipment items, including all COE vehicles, shall be prepared before deployment, painted, and marked with the UN identification markings. TCCs must forward details of all vehicles with their chassis and engine numbers to the receiving mission at least 6 weeks before arrival, to ensure the necessary third-party liability insurance and number plates are arranged ahead of deployment[6].

5.1.3.2. <u>Self-Sustainment.</u> Self-sustainment consists of minor equipment and services provided by a TCC or UN to support a formed unit. Only those services specifically agreed on in the MOU for the provision by the TCC will be reimbursed by the UN. Such reimbursement will be based upon a formed unit's actual monthly troop strength, up to the personnel ceiling agreed in the MOU, on the basis that TCCs cannot be partially self-sustaining in any given category, but rather fully self-sustained.

5.1.3.3. <u>Medical support preparation.</u> The operational health readiness of military contributions starts with their medical pre-deployment clearance. Medical examination and clearance of both military individuals and military units' members remain the responsibility of MS. They shall ensure their military contributions meet, at a minimum, the United Nations medical standards laid out in the "UN Medical Support Manual for UN field Missions.[7]" The operational health readiness is also ensured through the pre-deployment medical training delivered by TCCs to the different categories of their military contributions (incl. military contingent, medical personnel, and military individuals) as detailed further in this policy[8]. MS are encouraged to brief deploying medical units on the epidemiological and medical environment in the mission area, including potential disease outbreaks, and ensure that risk mitigations, preparedness, and response plans are put in place to respond to them and other public health emergencies/crises when required. MS are also encouraged to upgrade the knowledge and skillsets of potential medical units being deployed on women's health and delivery of gender-sensitive healthcare in field missions.[9] Furthermore, efforts should be made to ensure streamlined access to essential medicines to address the specific health needs of women peacekeepers as per the COE Manual.[10]" TCCs should also be prepared to deliver medical support, when applicable, to UN peacekeepers in field missions according to the UN principles and performance standards for medical support[11].

5.1.3.4. <u>UN provided support.</u> The UN will arrange a commercial contract for the supply of fresh, frozen, chilled, and dry rations to contingent bases. UN will provide raw water sources for contingents. Contingents will be responsible for water purification and contingent-internal distribution. Hence, TCCs should ensure they make provisions for water purification and

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[5] For more details, please see Chapter 2 of the "Manual on Policies and Procedures concerning the Reimbursement and Control of Contingent Owned Equipment of T/PCC in peacekeeping missions (currently A/78/ 87).

[6] See the 2008 Generic Guidelines for Troop Contributing Countries deploying military units to the United Nations Peacekeeping Missions. para 1.6.1

[7] For more details, see Chapter 5 (page 66) of the 2015 DPKO- DFS UN Medical Support Manual for UN field Missions. Furthermore, Chapter 8 provides technical clearance procedures and minimum professional qualification requirements particularly for contributed medical personnel.

[8] Please see below para 5.3.1.8.1.2.

[9] MS would use their national standards pertaining to Women's Health as well as their learning mechanisms from UN field missions.

[10] This recommendation is formulated by the 2023 Working Group on COE to the 5th Committee (A/ 77/ 736, page 34).

[11] See the 2015 DPKO- DFS UN Medical Support Manual for United Nations Field Missions

distribution for deploying contingents. The UN will arrange a commercial contract for the supply, storage, and delivery of bulk fuel to contingent bases. The fuel provided is diesel, hence all major and minor equipment requiring fuel should be diesel-operated.

5.1.3.5. <u>Weapons and Ammunition Management (WAM).</u> The WAM in peacekeeping operations remains the TCC's national responsibility. TCCs are required to deploy operational ammunition to UN field missions according to the relevant UN standards and requirements. They should also be prepared so that their military contingents in Field Missions maintain appropriate stocks of ammunition for their weapons according to the UN Weapons and Ammunition Management standards[12].

5.1.3.6. <u>Strategic Movements.</u> The DOS, Movement Control Section (MCS) coordinates all strategic movement arrangements for deployments, rotations, and repatriations of personnel and COE for all formed units in all field missions. The normal modes of transport are by air for personnel, and by sea for COE. Rotation of personnel at less than the standard 12-month rotation period will be at TCC's expense[13]. COE is moved at UN expense on deployment to, and repatriation from, the Mission area. Normally the MCS will work with the Procurement Division to arrange commercial contracts for formed units' strategic air and sea movements. Subject to prior UN agreement, a TCC may opt to arrange for its own movements to be conducted on an LOA basis. In such cases, reimbursement by the UN will be limited to the amount it would have cost the UN to arrange the movement using commercial contracts. TCCs should provide accurate Cargo Load Lists to MCS at least 8 weeks prior to a planned movement. Failure to comply with this requirement will likely delay the movement.

5.1.3.7. <u>Environmental and Waste Management</u>. MS should prepare their military contingents to commit to UN environmental management's principles, standards, and objectives[14]. All military contributions are expected to uphold the "do no harm" principle and operate at minimum risk to people, societies, and ecosystems[15]. Upon departure, as a minimum, they must leave their premises and physical environment in the same condition in which it was provided to them.

5.1.3.8. <u>National Support Element.</u> A formed unit may include within its structure a National Support Element (NSE), to deal with the national-specific support tasks. The NSE strength shall not be engaged in SC-mandated tasks. Subject to prior approval by the UN, through official communication with the Permanent Mission, a TCC may deploy additional personnel and equipment, per the MOU, to perform national-specific administrative and logistical functions[16]. The NSE personnel will be part of the contingent and will have the legal status of members of the field mission. However, any such surpluses to the MOU-authorized formed unit personnel or equipment strengths will be wholly a TCC financial responsibility, and not eligible for UN reimbursement.

5.2. Administration
5.2.1. Human Rights Screening and Vetting for Prior Misconduct
5.2.1.1. MS have the primary responsibility to screen and certify their military personnel before nomination and deployment to UN field missions.

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[12] For more details on the UN Standards on Weapons and Ammunition Management, please see the 2019.03 DOS- DPO- DPPA- DSS Policy on Weapons Ammunition and Management, the 2019.04 DOS- DPO- DPPA- DSS SOP on "Loss of Weapons and Ammunitions in PKOs", and the 2019.27 DOS- DPO UN Manual on Ammunition Management.

[13] The Secretary-General's Report A/67/956 sets out the criteria for determining the exceptional circumstances whereby there may be a need for a rotation cycle shorter than 12 months at the expense of the United Nations

[14] For more details, please see the DOS 2022.01 Environmental Policy for peacekeeping operations and field-based special political missions.

[15] The new DOS Environmental Strategy for field missions, to be issued in late 2023, transitions the "Do no Harm" approach to the "Do Good" approach, which aims to contribute something positive to the local community after the UN mission leaves e.g., water infrastructures, energy infrastructures…etc.

[16] For details on different functions/ tasks a Member State may require an NSE to perform, see the 2015.17 DPKO DFS Policy on "National Support Element."

5.2.1.2. MS shall select, for deployment to the UN field mission, individuals, and military units' personnel with the highest sense of professionalism and integrity. All personnel being deployed to a UN peace operation are expected to be trained on and be familiar with the United Nations standards of conduct and to maintain the highest standards of conduct throughout their deployment.[17]

5.2.1.3. MS shall ensure that each military personnel selected for deployment to a UN peace operation has not been convicted of or disciplined for or is not currently under investigation or being prosecuted for any criminal offense, including of a sexual nature, or any violation of International Human Rights Law or International Humanitarian Law. In addition, MS shall ensure that each military personnel selected for deployment to a UN field mission has not been previously repatriated from a peace operation on disciplinary grounds and banned from future participation in field missions.

5.2.1.4. MS should have monitoring and oversight mechanisms established at the national capital to track and respond to misconduct, including sexual exploitation and abuse, and any violation of International human rights law or international humanitarian law.

5.2.1.5. The Conduct and Discipline teams conduct the vetting of units' personnel upon their arrival to Field Missions, for possible prior misconduct while serving with the United Nations.

5.2.2. Member States' Certifications

5.2.2.1. MS shall submit to DPO two kinds of documents certifying that their individuals and military units have been operationally prepared as per UN military standards and conduct requirements and are ready to deploy and implement mandated tasks.

5.2.2.2. Both the certificate for military units and the certificate for individuals should also state that military personnel being deployed to a UN peace operation has not been convicted of or is not currently under investigation or being prosecuted for, any criminal offense, including of a sexual nature, or any violation of International Human Rights Law or International Humanitarian Law and that personnel have not engaged in any form of misconduct if previously deployed in a UN peacekeeping operation. Personnel nominated by a TCC for individual deployment shall also submit to the DPO a document certifying the same. MS certification must be submitted to OMA/FGS at least 6 weeks before deployment.

5.2.3. Mandatory Online Certificates

5.2.3.1. The Department of Management Strategy, Policy, and Compliance (DMSPC) together with Departments and Offices ("program owners"), coordinate the implementation of a global mandatory training portfolio in the UN Secretariat – a compliance training mandatory for all UN personnel, including individual uniformed personnel.[18]

5.3. Pre-deployment Training and Evaluation

5.3.1. Pre-deployment Training

5.3.1.1. According to **UNGA Resolution A/RES/49/37 (1995),** the pre-deployment training of contingents and personnel for UN field missions is the responsibility of the MS, while the United Nations should establish guidelines and performance standards and provide descriptive materials. The UN helps build self-sustaining national capacity to conduct pre-deployment training through the delivery of training of trainers' courses.

5.3.1.2. MS are responsible for conducting PDT for all military personnel contributed to UN peacekeeping operations.

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[17] For more details on online DMSPC mandatory training, including on conduct and discipline, please see para 5.2.3 below.
[18] The DMSPC mandatory online training, including on conduct and discipline and SEA is available at https://hr.un.org/page/mandatory-learning, while such training is to be completed online by individuals. It's included as part of the CPTM delivered to military units by MS.

5.3.1.3. National pre-deployment training should include the training materials developed and disseminated by the DPO and the DMSPC, along with the required certifications[19].

5.3.1.4. To ensure that pre-deployment training has the maximum impact on readiness, MS, as providers of pre-deployment training for uniformed personnel, should adhere to the policy, guidance, and peacekeeping training standards developed and disseminated by the Secretariat[20].

5.3.1.5. MS are responsible for ensuring that their national instructors are updated and properly equipped to deliver the PDT in accordance with the disseminated training materials. MS should have enough qualified instructors to deliver these training packages. When calls for participation in UN-led training of trainers' courses are received, MS should ensure that national trainers are made available to attend these courses. MS should ensure that those who attend these courses deliver training courses in national institutions to build and maintain the capacity to deliver courses to UN standards.

5.3.1.6. MS may request assistance from DPO's Integrated Training Service to establish or improve their PDT's capabilities.

5.3.1.7. MS are encouraged to collect, review, and share lessons learned and good practices, primarily based on in-mission evaluations, and incorporate them into the pre-deployment training for subsequent rotations.

5.3.1.8. The Pre- Pre-Deployment Training Framework (Annex B) consists of four critical steps:

5.3.1.8.1. Step 1: Individual and Collective Technical and Tactical Professional Skills Training.

5.3.1.8.1.1. During this step, MS provide necessary training programs to individuals and collective units, equipping them with the skills required to perform specific tasks in the mission. The content of these training programs varies based on individual functions and units, determined through an initial self-evaluation conducted after a unit generation or individual identification.

5.3.1.8.1.2. Medical personnel's professional and technical training also remains the responsibility of the MS and should adhere to national requirements for registration or certification. Additionally, military contributions should be conversant with some specific aspects of medical training for UN field missions that ensure the operational readiness and medical proficiency of all personnel being deployed to the field. These aspects apply to different audiences:
- All peacekeepers (units and individuals): basic first aid (including casualty transport and evacuation).
- Medical professionals: basic and advanced cardiac life support, and pre-hospital trauma life support (including CASEVAC and immediate action drills).
- Senior medical appointment holders (the Force Medical Cell including the Force Medical Officer (FMO) and other force medical staff officers): UN field missions, medical support structure, planning, policies, and administrative and logistics procedures.
- Military contingents: health education (including prevention of vector-borne diseases, HIV and AIDS, accident prevention, and stress management).

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[19] For more details on this training material, please visit the UN Peacekeeping Training and Resource Hub at https://peacekeepingresourcehub.un.org/en/training and HR Portal at https://hr.un.org/page/mandatory-learning.
[20] These training standards are available at https://peacekeepingresourcehub.un.org/en/training

5.3.1.8.2.   Step 2: UN Peacekeeping Training.

5.3.1.8.2.1. In this step, MS deliver training to their contingents using the materials developed and disseminated by the DPO as Core Pre-deployment Training Materials (CPTM), Specialized Training Materials (STM), and Reinforcement Training Packages (RTP) to their deploying personnel. While the CPTM is mandatory for all categories of personnel, each specialized function or unit, such as UNSO, UNMO, UNIBAT, UN Special Forces Units, etc., has only one corresponding STM (i.e. UNIBAT STM or UNSO STM). Additionally, RTPs are designed to provide training reinforcement on specific priority topics and should be delivered in accordance with the operational requirements of the mission. For example, in this step, an Infantry Battalion should receive the CPTM, the UNIBAT STM, and the RTPs on Intelligence and Force Protection. The CPTM, STMs, and RTPs are regularly updated and accessible in the UN Peacekeeping Resource Hub[21]. Commanding Officers and key personnel of units should attend centralized training at the national peacekeeping institutions. They will subsequently disseminate these materials to their respective sub-units, platoons, or smaller tactical groups. Individual uniformed personnel (UNMEM, UNSO, etc.) must attend national courses where Secretariat-provided materials are delivered. Alongside the CPTM, STMs, and RTPs, military individuals must also complete a list of mandatory online courses and certifications coordinated by the DMSPC and Offices ("program owners") as highlighted above.[22]

5.3.1.8.3.   Step 3: Mission-Specific Training.

5.3.1.8.3.1. Mission-specific training includes participation in Command Post Exercises (CPX), Logistical Exercises (LOGX), or Tabletop Exercises (TTX) by individual peacekeepers, commanding officers, staff, and key personnel. These exercises familiarize them with the Operational Environment (OE), Area of Responsibility (AOR), Area of Deployment (AOD), and Area of Interest (AOI). Participants analyze threats to the force and civilian populations and prepare tactical plans, Operation Orders (OPORDs), and actions mandated to units. To effectively deliver the programs within this step, it is crucial to gather comprehensive information from the deployed individuals and units. This includes obtaining detailed insights about the current situation, ongoing and future tasks, as well as lessons learned and best practices.

5.3.1.8.4.   Step 4: Integration Training.

5.3.1.8.4.1. This step encompasses a pivotal capstone-type multi-echelon Field Training Exercise (FTX) specifically designed to reflect the mission's mandate, environment, and situations. Within this step, units undergo rigorous practice of the most challenging operations they might face in the mission area. This comprises crucial tasks such as defense actions and protection of civilians. Furthermore, routine duties like patrolling, reconnaissance, engagement, and others are given significant emphasis, ensuring comprehensive readiness across all operational aspects.

5.3.2.   Pre-Deployment Evaluations

5.3.2.1. As part of their readiness procedures, national authorities are required to confirm that units and individuals have satisfactorily completed mandatory pre-deployment training, as dictated by the rules outlined in this policy[23]. DPO/DOS and field mission representatives may, when required, observe the national certification exercise which is conducted for pre-rotation visits and pre-deployment visits. This participation is led by the OMA Military Performance Evaluation Team (MPET).

5.3.2.2. MS are requested to establish a national self-assessment system in line with required United Nations military Performance Evaluation Standards developed and promulgated

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[21] https://peacekeepingresourcehub.un.org/en/training
[22] See para 5.2.3. Mandatory Online Certificates.
[23] See para 5.2.2 above.

by MPET/ OMA for each unit and uploaded in PCRS. The Evaluation Standards serve as a ready reckoner for both preparation[24] activities before deployment and subsequent In-mission Performance Evaluation of the deployed Unit. This is intended to identify the training needs for each unit rotation, thereby ensuring the proper preparation and execution of PDT plans. It is recommended to conduct at least one initial and one final evaluation. When applicable[25], these same Evaluation Standards are also used for conducting Military Skills Validation of Units either as part of PDVs/ PRVs or as a stand-alone MSV visit.

5.3.2.3. MS should use the initial evaluation to gauge the readiness of the units or designated individuals and formulate an effective PDT plan. The final self-assessment determines adherence to required training programs and should either recommend certification or highlight the need for additional training to reach operational readiness. Personnel not meeting the PDT standards set by the national evaluation system should consider remedial training or replacement by better-suited candidates.

5.3.2.4. The national final evaluation should employ various assessment techniques to gauge the unit's capabilities. For complex operations, this might include observing how well the unit performs under simulated stress conditions, assessing their decision-making process, and gauging their ability to execute plans effectively. For routine tasks, like patrolling, reconnaissance, engagement, etc., they may be assessed based on efficiency, accuracy, and adherence to standard operating procedures (SOPs) and mission directives. A thorough evaluation of the unit's deployment readiness is crucial to identify both strong points and areas requiring enhancement.

5.3.2.5. Units should also be critically evaluated on their protection of civilian's capabilities and force protection. The quality of their leadership, command, control, and communication, both within the mission and with civilians, are also pivotal evaluation points.

5.3.2.6. Upon completion of the evaluation, the units should receive feedback, potentially through debriefing sessions where performance is analyzed in-depth, identifying achievements and areas needing improvement. It is also essential to provide feedback and actionable advice on how the unit can improve.

5.3.2.7. The national evaluations should not end with the completion of the PDT. Post-deployment, ongoing performance reviews ensure that skills learned during training are retained and effectively utilized in the field. Lessons identified, Lessons learned, and performance shortfalls are reported to national authorities for correction in subsequent rotations.

5.3.2.8. This cyclical process of training, evaluation, and feedback helps ensure that units remain prepared for the complex tasks and situations they may encounter in the mission area. Ultimately, this continuous process helps enhance a unit's overall readiness and ability to succeed in its mission.

5.3.2.9. Once the certifying authority receives the final evaluation report, he/she will be able to endorse the required certification of units or individuals.

D. ROLES AND RESPONSIBILITIES

6. **Member States:** National Governments shall ensure that the commanding officers, troops, and individually deployed personnel are properly generated, trained, equipped, and technically, tactically, administratively, and logistically prepared to discharge their in-mission mandated tasks.

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[24] The Evaluation Standards can be used as a benchmark for the preparation as it will align the preparation of units with the requirements and mandated tasks in UN missions. Ideally, they can be used for both initial and final national assessments.
[25] While MSV visits to TCCs' rotations are usually planned when performance shortfalls are identified during in-mission evaluations of deployed military units, TCCs may also request an MSV visit to receive advice and assistance in the preparation of their military contributions ahead of the deployment.

National authorities are also responsible for planning, resourcing, directing, executing, evaluating, and certifying the pre-deployment process of <u>troops and individuals</u>, based on UN guidance and standards. In addition, Governments shall ensure that a national system is in place to oversee the planning, generation, preparation, training, deployment, support, sustainment, lessons learned, and termination process of national military contributions deploying to UN field missions. The leadership of this system shall be responsible for national self-evaluations and <u>compliance certification for units</u> <u>and individuals</u> deploying to UN field missions. These certificates shall be presented to the Office of Military Affairs (OMA) before the deployment of military units and upon arrival to the field mission for individuals.

7. **MPS/ OMA** should ensure that the Mission Management Working Group (MMWG)/ OMA is maintaining, updating, and making available all preparation documents pertaining to each UN mission (listed in Annex B) to allow FGS to address TCCs' specific requests.

8. **FGS:** leads mission-specific Assessment and Advisory Visits (AAVs) and Pre-deployment Visits (PDVs). During AAVs, FGS shall record TCCs' requests related to the needed preparation documents and address these requests after coordination with MPS.

9. **ITS:** The role of ITS is to provide training guidance, standards, and material to Member States. This material is delivered through training of trainers' programs. The aim is to build self-sustaining Member State capacity to deploy units and individuals that can undertake their tasks within a peace operation. ITS support is based on the DPO/DOS Policy on Training for all United Nations Peacekeeping Personnel (2010.20) and related standard operating procedures.

10. **UCSD:** The Uniformed Capabilities Support Division (UCSD) in the Department of Operational Support (DOS) serves as the single point of contact for troop- and police-contributing countries on all administrative and logistical issues related to force generation, memorandums of understanding, contingent-owned equipment, and reimbursement. UCSD is a core participant in AAVs and PDVs led by DPO. The Division also supports capacity-building in Troop- or Police-contributing countries on various elements of the reimbursement framework for formed units.

E. TERMS AND DEFINITIONS

SUR: The Statement of Unit Requirement describes the capabilities required in the units of new or ongoing missions. SURs are based on United Nations Military Unit Manuals and tailored for the particular mission environment. They specify a unit's role, capabilities, tasks, personnel, and equipment.

F. REFERENCES

Superior References

- UNGA Resolution A/RES/49/37 (1995).
- A/78/87 "Manual on Policies and Procedures concerning the Reimbursement and Control of Contingent Owned Equipment of T/PCC in peacekeeping missions.

Related Guidance

- 2023.10- DPO-DOS Guidelines on "Peacekeeping Capability Readiness System (PCRS)."
- 2023.05 DPO Policy on "The Protection of Civilians in United Nations Peacekeeping"
- 2022.01 DOS Environmental Policy for peacekeeping operations and field-based special political missions.
- 2021.05 DPO Manual for Generation and Deployment of Military and Formed Police Units.
- 2021.03 DPO Guidelines on "Force Protection for Military Components of United Nations Peacekeeping Missions"

- 2020.10 DPO-DOS SOP on "Planning and Conducting Assessment and Advisory Visits (AAVs)."
- 2019.03 DOS- DPO- DPPA- DSS Policy on Weapons Ammunition and Management.
- 2019.04 DOS- DPO- DPPA- DSS SOP on "Loss of Weapons and Ammunitions in PKOs"
- 2019.27 DOS- DPO UN Manual on Ammunition Management.
- 2015 DPKO/ DFS Policy on "Operational Readiness Assurance and Performance Improvement
- 2015 DPKO- DFS UN Medical Support Manual for United Nations Field Missions
- 2010.30- DPKO-DFS UNMEM Manual on "Selection, Deployment, Rotation, Extension, Transfer, and Repatriation of United Nations Military Experts on Mission in United Nations Peacekeeping Operations."
- 2009.21 DPKO-DFS Policy on "Support to Military and Police Pre-Deployment Training for UN Peacekeeping Operations."2022.09 DPO SOP on "Member State-provided Military Mobile Training Teams"
- 2008 Generic Guidelines for Troop Contributing Countries deploying military units to the United Nations Peacekeeping Missions.

G. MONITORING AND COMPLIANCE

11. The Implementation of this policy is monitored by DPO/OMA, DPET; DOS/ UCSD; and DMSPC through AAVs, PDVs, and relevant visits to/ and interactions with MS.

H. CONTACT

12. This policy is developed by the Policy and Doctrine Team at OMA/ DPO/ UNHQ, New York.

I. HISTORY

13. This policy is the second version on this subject. It complements the "Shaping" and "Preparation" phases of the 2015 DPKO/ DFS Policy on "Operational Readiness Assurance and Performance Improvement (ORAPI)." However, it suggests new TCC certification samples that supersede the one annexed to the 2015 ORAPI.

14. This Policy shall be reviewed by 2026.

APPROVAL SIGNATURE

Jean-Pierre Lacroix
USG, DPO
DATE OF APPROVAL
5 March 2024

APPROVAL SIGNATURE

Atul Khare
USG, DOS
DATE OF APPROVAL
13 March 2024

List of preparation documents

❖ **Documents already available at the UNHQ level:**
- Concept of Operations (CONOPS).
- Rules of Engagement (ROE).
- Force Requirement.
- Statement of Unit Requirements.
- Mission-specific scenario-based exercises and mission-essential tasks[26].

❖ **Documents collected from the UN field missions:**
- FC's guidance, directives, and intent on PSEA, Command, and Control, Conduct and Discipline, Strategic Communications…etc.
- Other Mission/Force- specific Guidance upon request
- Mission-specific training guidance, Force Commander's mission-specific training directive.
- OPORD.
- Mission Plan.
- Force Commander's guidance, directives, and intent on POC, Gender, and Human Rights.

❖ **Documents available at the UN Peacekeeping Resource Hub**
(https://peacekeepingresourcehub.un.org/en/policy**):**
- Un Military Units Manuals (UNMUMs): UN Infantry Battalion Manual (UNIBAM), EOD Unit Manual, UN Peacekeeping Missions Military Peacekeeping-Intelligence Surveillance Reconnaissance (PKISR) Unit Manual…etc.
- UN Military Performance Standards for: Infantry Battalion, Quick Reaction Force, Logistics Unit…etc.
- Cross-cutting activities: Protection of Civilians in UN Peacekeeping Handbook, Handbook for Child Protection Staff in UN Peace Operations, UN Engagement Platoon Handbook, Handbook for UN Field Missions on Preventing and Responding to Conflict-Related Sexual Violence (CRSV), UN IED Threat Mitigation Military and Police Handbook…etc.
- Other UN Guidance on relevant thematic operational activities.

❖ **Other useful online platforms:**
- https://www.un.org/preventing-sexual-exploitation-and-abuse
- https://www.un.org/en/victims-rights-first/training-module

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[26] While TCCs are responsible for designing Mission-specific scenario-based exercises necessary for conducting PDT, they should submit them to OMA for clearance and approval.

Pre-Deployment Training Framework

Pre-Deployment Training								
Step #1			Step #2				Step #3	Step #4
Individual and Collective Technical and Tactical Skills Training.			UN-Specific Training				Mission-Specific Training	Integration Training
Individual technical professional Training	Collective tactical Professional Training	Decision-Making Process (DMP) for Commanders and Staff Officers	Core Pre-Deployment Training Materials	Specialized Training Materials	Reinforcement Training Packages	Other UN Compulsory Courses	Command Post, Table Top, Logistical, Computer Assisted Exercises.	Field Training Exercises
TECH	TACT	DMP	CPTM	STM	RTP	Other	CPX, TTX, LOGX, CAX	FTX, FLEETEX

National Responsibility								

Category	Contribution	D-120	D-120 / D-60	D-60 / D-30			D-30 / D-15	D-15 / D-10
Military	UN Infantry Battalions	Generation	Military Training - Individual and Collective	v UNIBAT	List	List	Mission-Specific MDMP **Tactical Planning** CPX TTX	Unit and Sub-Unit Level **Mission-Specific** Field Training Exercise
	UN Military Units	Generation	Military Training - Individual and Collective	v UNMU (12)	List	List	Mission-Specific MDMP **Tactical Planning** CPX TTX	Unit and Sub-Unit Level **Mission-Specific** Field Training Exercise
	UN Staff Officers	Selection	Military Training - Individual	v UNSO	List	List	Mission-Specific **CPX INTEX**	*Not Required*
	UN Military Observers	Selection	Military Training - Individual	v UNMO	List	List	Mission-Specific TTX **Team Site Exercise**	Mission-Specific **Team Site Field Exercise**
	Military Officers on Secondment	Proposal	Military Training - Individual	v UNSO	List	List	*Not Required*	*Not Required*

Example of a TCC Certification for a military unit
(Identifying Particulars of National Authority)

Certificate

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

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

   a. The appropriate resources/equipment for the execution of its assigned tasks.
   b. Undergone pre-deployment training as per the PDT framework provided in the Operational Readiness Preparation Policy and in accordance with the United Nations training standards and specifications with a specific focus on the unit's role and tasks within the receiving mission.
   c. Undergone national initial and final evaluations and field exercises.
   d. The capability and willingness to perform individually and collectively in accordance with the UN peacekeeping performance standards, to accomplish the UN Mission's objectives and mandate.

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

   a. None of the unit's members have been involved in a criminal offence, including of sexual nature, or have been convicted of, or are currently under investigation or are being prosecuted for any criminal offence, or any violation of international human rights law or international humanitarian law.
   b. The Government of [*name of the Member State*] is not aware of any allegation(s) against the members of the unit that they have been involved, by act or omission, in the commission of any acts that amount to violations of international human rights law or international humanitarian law.
   c. None of the unit's members has been previously repatriated on disciplinary grounds or barred from participation in United Nations peacekeeping operations in connection with an act of misconduct or serious misconduct, including sexual exploitation and abuse.
   d. All unit's members are informed about their obligation to comply with the United Nations standards of conduct applicable to UN peacekeeping personnel, as contained in Annex J in the 2020 COE Manual, and their obligation to report misconduct and serious misconduct.

4. The Government of [*name of the Member State*] agrees to bear the full cost of repatriation for any of the unit's members who, during the screening of personnel conducted by the United Nations, reveals to be ineligible for participating in United Nations peacekeeping missions on grounds of any of the elements outlined in para 3, sub-paragraphs a. to d. above.

5. This note of certification does not apply to a whole contingent but only to the individual unit specified in para 1 above. A separate note of certification is required for each individual unit in a contingent and is to be submitted for every rotation of that unit.

Signature Date
Signature block: name, position, place, etc.

Example of a TCC Certification for an Individual

(Identifying Particulars of National Authority)

Certificate

1. The Government of [name of the Member State] certifies that the [name of the selected individual], nominated for service in the [name of the peacekeeping operation] peacekeeping operation as an Individual, is in compliance with the statements of paragraphs 2 and 3 below.

2. The aforementioned military individual has:

   a. Undergone pre-deployment training as per the PDT framework provided in the Operational Readiness Preparation Policy and in accordance with the United Nations training standards and specifications with a specific focus on his/ her role and tasks within the receiving mission.
   b. Undergone and passed national assessments.
   c. The capability and willingness to perform in accordance with the UN peacekeeping performance standards, to accomplish the UN Mission's objectives and mandate.

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

   a. Has never been involved in any criminal offense, including of a sexual nature, and has never been convicted of, or is currently under investigation or being prosecuted for any criminal offense, or any violation of international human rights law or international humanitarian law.
   b. Has not been previously repatriated on disciplinary grounds or barred from participation in United Nations peacekeeping operations in connection with an act of misconduct or serious misconduct, including sexual exploitation and abuse.
   c. Is informed about his/ her obligation to comply with the United Nations standards of conduct applicable to UN peacekeeping personnel, as contained in Annex J in the 2020 COE Manual, and obligation to report misconduct and serious misconduct.
   d. The Government of [*name of the Member State*] is not aware of any allegation(s) against [name of the selected individual] that he/ she has been involved, by act or omission, in the commission of any acts that amount to violations of international human rights law or international humanitarian law.

4. The Government of [*name of the Member State*] agrees to bear the full cost of repatriation/ replacement for [name of the selected individual] if, during the screening conducted by the United Nations, revealed to be ineligible for participating in United Nations peacekeeping missions on grounds of any of the elements outlined in para 3, sub-paragraphs a. to d. above.

Signature Date
Signature block: name, position, place, etc.