



# United Nations Military Manual

First edition

## Credits

Office of Military Affairs  
Department of Peace Operations  
United Nations Secretariat  
405 East 42nd Street, New York, NY 10017

Approved by:  
Jean-Pierre Lacroix  
Under-Secretary-General for Peace Operations

Atul Khare  
Under-Secretary-General for Operational Support

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# **United Nations Military Manual**

First edition

Department of Peace Operations  
Department of Operational Support  
2024



## Foreword

The first edition of the *United Nations Military Manual* is a reference guide developed to assist United Nations military unit commanders to transition their units from a national military entity into an integral part of the United Nations peacekeeping operation. The *Manual* complements the United Nations Infantry Battalion Manual and contains a wide range of different components of peacekeeping operations, including the conceptual elements, policies and guidance that directly impact the planning and execution of mandated tasks.

We encourage the use of the present *Manual* to improve the performance of the military component by understanding and adhering to United Nations standards and procedures and promoting interoperability and coordination in a joint, multidimensional peacekeeping environment in order to enhance the safety and security of troops.

The *Manual* is a living document, and we will continue to refine it to meet changing operational dynamics and evolving peacekeeping landscape.



A handwritten signature in blue ink, reading "Jean-Pierre Lacroix".

**Jean-Pierre Lacroix**  
Under-Secretary-General  
for Peace Operations



A handwritten signature in blue ink, reading "Atul Khare".

**Atul Khare**  
Under-Secretary-General  
for Operational Support

## Preface

I am pleased to introduce the first edition of the *United Nations Military Manual*. The *Manual* is a compendium of standards and procedures provided to guide the actions of military commanders, Member States and staff at United Nations Headquarters to enable the effective conduct of peace operations and the execution of mandates.

The *Manual* is one of many references developed by the Office of Military Affairs and applies to peacekeeping practitioners within and outside the United Nations system. The aim of the *Manual* is to enhance the operational readiness and in-mission awareness of military personnel and contingents.

To this end, I would like to express my gratitude to all United Nations system entities that collaborated and provided substantial contribution for the development of this *Manual*. The Office of Military Affairs will continue to improve and update the *Manual* with our colleagues in the United Nations Secretariat to ensure that it meets the expectations of Member States and aligns with overarching strategic guidance.



A handwritten signature in cursive script that reads "Cheryl Pearce".

**Major General Cheryl Pearce**  
Acting Military Adviser  
Office of Military Affairs  
Department of Peace Operations

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# CHAPTER 1. INTRODUCTION

## 1.1. Purpose

The *United Nations Military Manual* is provided as a reference to guide United Nations military unit commanders, staff and troops in predeployment preparation, planning and the efficient conduct of operations for the effective execution of Security Council mandates. The *Manual* describes relevant aspects of peace operations, including the conceptual elements, policies and guidance that directly impact the planning and execution of mandated tasks. Accordingly, the *Manual* is designed to assist military headquarters and commanders to transition their units from a national military entity into an integral part of a unified United Nations peacekeeping operation.

While enhancing the operational readiness and in-mission performance of military personnel and contingents, it will also guide national and United Nations planners, instructors and trainers. Further, the *Manual* is relevant for civilian and police staff working in integrated and joint structures or otherwise required to coordinate efforts with military components.

This *Manual* is not intended to replace or supersede any rules or regulations of the United Nations, or any guidance (policies and standard operating procedures) issued by competent authorities, including the Department of Peace Operations (DPO). While this *Manual* showcases the main work of the United Nations related to the military, subject-specific guidance (e.g. protection of civilians; and Authority, Command and Control) remains the authoritative source in those areas and should be consulted as required.

## 1.2. Rationale

### 1.2.1. New developments

There are several fundamental and structural reasons for issuing this *Manual*. With the increasing complexity of peacekeeping operations and emerging threat dynamics, military contingents are often confronted with different security challenges, such as asymmetric threats; intra-State armed conflicts; acts of terrorism; civil unrest; violent criminality; movements of population; and widespread human rights violations.

The Secretariat has devised several measures to mitigate these challenges, including developing new policies and guidelines on performance, protection of civilians, human rights, peacekeeping-intelligence, technology, gender, conduct and discipline, as well as the environment. Since these policies affect the preparation, planning and execution of military operations in field missions, they are reflected in this *Manual*.

### 1.2.2. Structural changes

The foundational concepts of United Nations peacekeeping operations for the military components were previously described in the United Nations Infantry Battalion Manual, volumes I and II. The volumes formed the basis for the development of the United Nations Military Unit Manuals, including the Military Engineers Units, Military Special Forces Units, Military Police Units and Military Aviation Units manuals. To complement the United Nations Military Unit Manuals, the present *Manual* summarizes key aspects of related interdisciplinary policies and strategies as a reference to guide the conduct and operations of military components in United Nations peacekeeping operations and enhance interoperability with other mission components.



## 1.3. Structure, new guidance and updates

### 1.3.1. Structure

The *Manual* contains the strategic guidance, operational efforts and tactical activities required for the effective conduct of military components in United Nations peace operations. Chapters 1 to 4 focus on a range of strategic/operational policies and guidelines, and chapters 5 to 9 address the operational/tactical-level efforts procedures and characteristics.

### 1.3.2. New guidance

New United Nations guidance material may become available and supersede parts of this *Manual*. Member States can find up-to-date United Nations peacekeeping guidance on the United Nations Peacekeeping Resource Hub.<sup>1</sup> Permanent Missions of Member States in New York will be advised accordingly so that they can inform their national authorities. Furthermore, the new guidance should be forwarded to deployed national contingents and to relevant national staff and training centres responsible for preparing military troops for United Nations peacekeeping operations.

### 1.3.3. Updates

DPO will update this *Manual* as appropriate in close coordination with the Department of Operational Support (DOS) to ensure that it remains relevant in changing operational environments and continues to meet the aspirations of Member States and the United Nations.

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<sup>1</sup> See <https://peacekeepingresourcehub.un.org/en/policy#s-lib-ctab-29971806-1>.

## CHAPTER 2. PEACEKEEPING OPERATIONS

***United Nations peacekeeping operations have become multidimensional, comprising military, police and civilian sections. Today, more than 90 per cent of United Nations peacekeepers serve in multidimensional missions under civilian leadership.***

### 2.1. Developments in United Nations peacekeeping operations

Peacekeeping is one of the crucial tools at the disposal of the United Nations in response to threats to international peace and security. It has been used at different times by the Security Council to deliver complex, integrated responses in support of countries' transition from conflict to peace. Peacekeeping is also on the front line of efforts to prevent the escalation of or relapse into conflict, and the emergence of lawless regions where insecurity, transnational crime and extremism can flourish.

#### 2.1.1. Political endeavour

Peacekeeping remains a fundamentally political undertaking. Peacekeeping missions are often deployed to create the space necessary for parties to a conflict to come to an agreement in a comprehensive and inclusive political process and to protect civilians from threats of violence. Only political solutions can end conflict and provide the basis for countries to chart a national agenda and take steps towards sustainable peace. The Secretary-General has presented a vision for a comprehensive approach to peace operations that puts politics at the centre of conflict resolution and sustainable peace. The Secretary-General's vision centres around two key principles: (1) flexibility and (2) support for political processes. The approach applies a variable geometry to mission and mandate design, leveraging the diverse functions across the entire continuum of peace operations. Consequently, multidimensional peacekeeping missions are usually led by a civilian, a Special Representative of the Secretary-General (SRSG).

#### 2.1.2. Missions

From the late 1980s, United Nations peacekeeping took on a more complex and multidimensional nature. Peacekeeping operations are composed of a diverse range of functions and components/sections, including, inter alia, military; police; political affairs; rule of law; human rights; demobilization, disarmament and reintegration; elections; security sector reform; and mission support. Peacekeeping operations also work in an integrated manner with United Nations country team (UNCT) partners, which consist of United Nations agencies, funds and programmes involved in developmental and humanitarian work. In addition, United Nations peacekeeping has become more multinational, with an increasing number of troop/police contributing countries (T/PCCs), and extensive cooperation with regional and subregional organizations and arrangements. In some cases, regional organizations have been authorized by the Security Council to deploy troops before or alongside United Nations-led missions. Some United Nations peacekeeping operations commenced by transitioning from a regional operation into a United Nations-led mission.

### 2.2. Legal framework

The legal framework of United Nations peacekeeping operations derives from the Charter of the United Nations, customary international law, international human rights law, international humanitarian law, international refugee law and international criminal law. The framework further includes the various conventions that address the privileges and immunities of the United Nations and the safety of its associated

personnel; the Optional Protocol; the Secretary-General's bulletin on observance by United Nations forces of international humanitarian law; the relevant Security Council mandate or resolution; the status-of-mission or status-of-forces agreements with the host nation; mission-specific rules of engagement (ROE); and agreements or memorandums of understanding (MOUs) with troop-contributing countries (TCCs), other Member States and regional bodies. In addition, United Nations standards, rules and regulations and the national laws of TCCs apply, specifically criminal law and military justice codes that apply to peacekeepers. This section will only address the key sources of the legal framework.

The Charter of the United Nations is the foundation document for all of its work. The United Nations was established to “save succeeding generations from the scourge of war”, and one of its main purposes is to maintain international peace and security. Implicit in this is respect for fundamental human rights and freedoms.

United Nations peacekeeping operations must be conducted with full respect for human rights and should seek to advance human rights through the implementation of their mandates. This has important operational implications for the work of United Nations military components. Military components are expected to respect, promote and encourage respect for international humanitarian and human rights and refugee laws, while performing tasks such as patrolling, observation, liaison with host country military counterparts, and training of local armed and security forces. Therefore, it is important that United Nations forces familiarize themselves with the Policy on Human Rights Screening of United Nations Personnel, in order to encourage compliance by TCCs. It is also expected that immediate action should be taken when military personnel are found to have been involved in a violation prior to or during their deployment. Military components are also expected to comply with the Human Rights Due Diligence Policy on United Nations support to non-United Nations security forces (HRDDP), in order to encourage adherence and compliance with international norms and the rule of law by recipients of United Nations support.

Detention remains one of the major issues having human rights implications. It is for this reason that detentions are governed by both standard operating procedures developed by the Secretariat and mission-specific guidance. The Standard Operating Procedure on the Handling of Detention in United Nations Peacekeeping Operations and Special Political Missions sets out the procedures for the handling, questioning, search, transfer and handover to national authorities or release of persons detained by peace operations.

Every peacekeeper should be equipped with a basic understanding of how human rights apply to internally displaced persons (IDPs), specifically women and children, who constitute the most targeted and vulnerable section of conflict-affected communities.

To reduce the impact of conflicts on both combatants and non-combatants alike, international humanitarian law, also known as the law of armed conflict, restricts the means and methods of armed conflict. It does this by protecting civilian persons who are not or are no longer taking part in hostilities, the sick or wounded, as well as prisoners, and defines the rights and obligations of the parties to a conflict in the conduct of hostilities. United Nations peacekeepers must have a clear understanding of the principles and rules of international humanitarian law and observe them in situations where they apply in accordance with the Secretary-General's bulletin on observance by United Nations forces of international humanitarian law.<sup>2</sup> International criminal law may apply to United Nations peacekeeping operations depending on the mission mandate. Since 1999, when the Security Council authorized the first peacekeeping operation tasked to

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<sup>2</sup> According to section 1.1, the fundamental principles and rules of international humanitarian law set out in the bulletin are applicable to United Nations forces when in situations of armed conflict where they are actively engaged therein as combatants, to the extent and for the duration of their engagement. Hence, besides enforcement actions, the fundamental principles and rules of international humanitarian law apply in peacekeeping operations in situations when the use of force is permitted.

protect civilians under imminent threat of physical violence,<sup>3</sup> the Security Council has further defined the role of peacekeeping in protecting civilians.<sup>4</sup>

Mandates relating to the protection of civilians are a manifestation of the international community's determination to prevent the most serious violations of international human rights, humanitarian and refugee law and related standards.<sup>5</sup> In accordance with the mission mandate and mission-specific ROE, peacekeepers are expected to take all necessary actions, up to and including the use of deadly force, to protect civilians from threats of physical violence within their capabilities and areas of operations.

The mandate may further authorize peacekeepers to apprehend or prevent the escape of persons responsible for possible war crimes and crimes against humanity and indicted by the International Criminal Court, as designated by the SRSG and the Force Commander (FC).<sup>6</sup> The enforcement of international criminal law through apprehension of persons responsible for international crimes is one of multiple activities and tasks that directly and indirectly supports and enhances the protection of civilians. Commanders are to ensure understanding by all military personnel and full compliance with the ROE to prevent and respond to harm to civilians and vulnerable populations.

It is imperative that military commanders have a clear understanding of the shifting patterns of conflict and cross-cutting tasks to be executed by the military component and prioritize situations of greatest concern.

## 2.3. Planning, command and control and organizational structures in peacekeeping operations

### 2.3.1. Secretariat level

The Under-Secretary-General for Peace Operations is responsible for providing political and policy guidance and strategic direction to peacekeeping operations. The Under-Secretary-General also directs policy development and approves guidance materials related to the planning and conduct of peacekeeping missions based on Security Council mandates and General Assembly resolutions.

The Under-Secretary-General for Operational Support is responsible for operational support to Secretariat entities globally, including peace operations. This support includes advisory, operational and transactional support services in the areas of administration, supply chain, logistics, healthcare management, personnel and information and communications technology. The Under-Secretary-General for Operational Support signs all MOUs with T/PCCs in accordance with the model agreed upon by the General Assembly. These MOUs subdelegate authority to the Assistant Secretary-General for Supply Chain Management for all procurement activity, including letters of assist with Member States for the provision of mission military enabling assets.

The Under-Secretary-General for Management Strategy, Policy and Compliance is responsible for managing the administrative framework of the Organization, including the regulations, rules and administrative policies governing conduct and discipline, human resources, budget, finance and property management, as well as monitoring compliance with these policies.

The Under-Secretary-General for Safety and Security is accountable and responsible to the Secretary-General for the executive direction and control of the United Nations security management system

<sup>3</sup> Security Council resolution 1270 (1999).

<sup>4</sup> See the Policy on the Protection of Civilians in United Nations Peacekeeping (Ref. 2023.05).

<sup>5</sup> Ibid.

<sup>6</sup> For example, the ROE for the military component of the United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA) (March 2017).

(UNSMS) and for the safety and security of United Nations personnel and their recognized dependants, both at the Secretariat and in the field, in accordance with the framework of accountability of UNSMS.

A single political-operational regional structure under three Assistant Secretaries-General with regional responsibilities and dual reporting lines to both the Under-Secretary-General for Political and Peacebuilding Affairs and the Under-Secretary-General for Peace Operations is responsible for the entire range of political and operational engagements on peace and security issues, including the provision of strategic, political and operational guidance, analysis and direction. The respective regional areas are organized by regional divisions and further organized into integrated teams, tailored to the specific context, political and operational needs of field presences.

### 2.3.2. Mission level

In United Nations peacekeeping missions, responsibility for mandate implementation and authority for managing resources are both vested by the Secretary-General in the head of mission (HOM). Each mission has a mission leadership team that supports the HOM in the execution of functions and in ensuring coordination and consultative decision-making on strategic and operational issues. While the composition of the mission leadership team is specific to each mission, members typically include:

- HOM
- Deputy Special Representative of the Secretary-General (DSRSG)
- Deputy Special Representative of the Secretary-General/Resident Coordinator/Humanitarian Coordinator (DSRSG/RC/HC), where deployed
- Chief of Staff
- Head of Military Component (HOMC) and/or Deputy HOMC
- Head of Police Component (HOPC) and/or Deputy HOPC
- Director/Chief of Mission Support
- Principal/Chief Security Adviser
- Senior Legal Adviser
- Other senior heads and advisers of the civilian organizational units, including the mission's heads of human rights, civil affairs, political affairs, and disarmament, demobilization and reintegration (DDR); Senior Gender Adviser; and Senior Protection of Civilians Adviser.

Depending on the size and scope of the mission, senior mission leaders should establish and maintain integration and control structures that allow them to develop and disseminate their intent, take and implement decisions, and adjust operations and align the use of resources to reflect changing circumstances and priorities.

### 2.3.3. Head of mission

The responsibility for implementing the mission mandate and authority for managing mission resources are vested in the HOM. To this end, the HOM leads and directs the mission leadership team and ensures unity of effort and coherence among all United Nations entities in the mission area. The HOM assigns responsibility for the operational and technical aspects of mandate implementation to the leadership team and other structures for integration, control and coordination.<sup>7</sup> The HOM may serve as the designated official for security in accordance with the framework of accountability of UNSMS. In missions where the HOM is the most senior United Nations official in the country, or the designated area in which the mission is deployed, the HOM simultaneously serves as the SRSG for the country or designated area. In

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<sup>7</sup> See the Policy on Authority, Command and Control in United Nations Peacekeeping Operations (Ref. 2019.23).

this capacity, the HOM represents the Secretary-General, leads United Nations political engagements and speaks on behalf of the United Nations within the country or designated area.

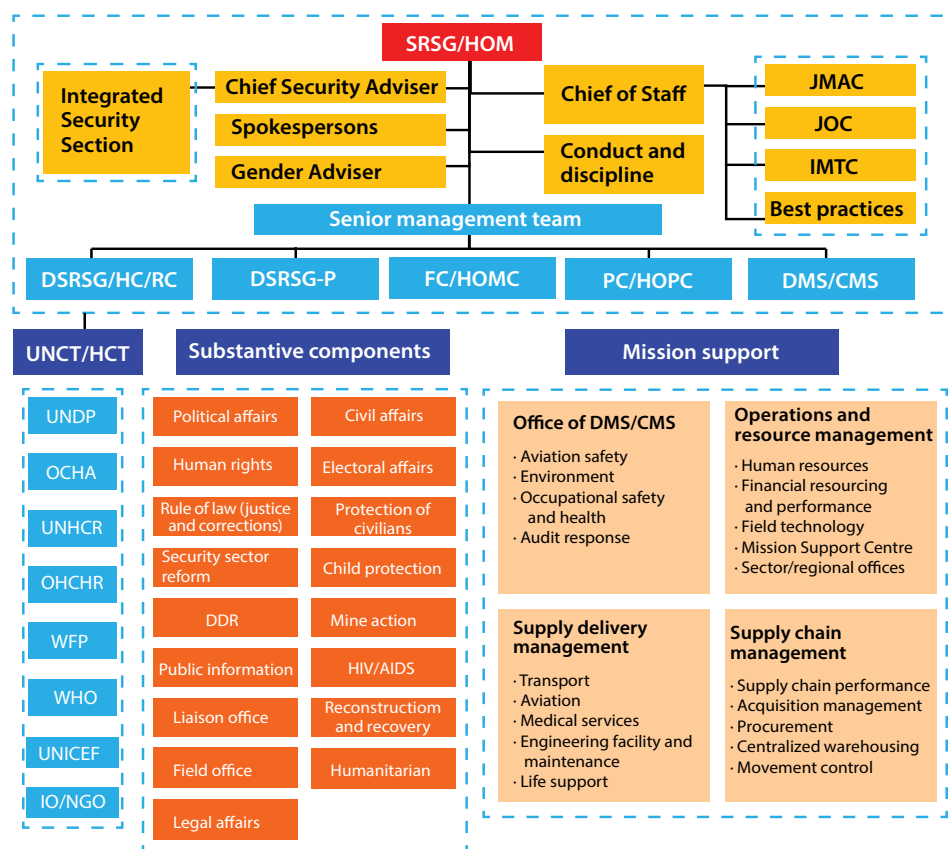
### 2.3.4. Mission organization

The arrangements established by the United Nations to direct and manage its peacekeeping operations are distinct from those of other organizations, particularly those only deploying a military capability. United Nations peacekeeping has evolved into a complex, multidimensional enterprise with an integrated structure, involving personnel from a wide range of nationalities, disciplines and professional cultures pursuing multiple lines of activity. Multidimensional integrated missions include civilian, police and military components under the leadership of a civilian HOM. In some cases, relations exist outside the mission area, such as inter-mission cooperation, which could be of relevance, especially for military formations.

### 2.3.5. Generic mission organization

A peacekeeping mission headquarters is comprised of the senior management team, the integrated decision-making and support structures, and various substantive components. The generic structure of a mission headquarters is shown in figure 1.

Figure 1  
Generic mission organization



*Abbreviations:* CMS, Chief of Mission Support; DDR, disarmament, demobilization and reintegration; DMS, Director of Mission Support; DSRSG, Deputy Special Representative of the Secretary-General; DSRSG-P, Deputy Special Representative for Political Affairs; FC, Force Commander; HC, Humanitarian Coordinator; HCT, humanitarian country team; HOM, head of mission; HOMC, Head of Military Component; HOPC, Head of Police Component; IMTC, Integrated Mission Training; IO, international organization; JMAC, Joint Mission Analysis Centre; JOC, Joint Operations Centre; NGO, non-governmental organization; OCHA, Office for the Coordination of Humanitarian Affairs; OHCHR, Office of the United Nations High Commissioner for Human Rights; PC, Police Commissioner; RC, Resident Coordinator; SRSG, Special Representative of the Secretary-General; UNCT, United Nations country team; UNDP, United Nations Development Programme; UNHCR, Office of the United Nations High Commissioner for Refugees; UNICEF, United Nations Children's Fund; WFP, World Food Programme; WHO, World Health Organization.

### 2.3.6. Military component

The primary function of the military component is to provide a secure environment so other components involved in the peace process can implement the mission mandate. Military components of United Nations peacekeeping operations must work in conjunction with the military forces of other entities, such as regional organizations or international military coalitions and host-nation military forces. Therefore, the increasing number of participating actors and the widening scope of work in multidimensional peacekeeping operations require a broader interface between military and non-military components.

### 2.3.7. Military concept of operations

In the implementation of the Security Council mandate for a United Nations peacekeeping operation, the military strategic concept of operations (CONOPS) developed at headquarters articulates the strategic intent for the utilization of military capabilities to achieve an overall objective. CONOPS is prepared in coordination with other stakeholders within DPO, DOS and the missions. CONOPS should be consistent with the overall mission plan. The mission plan drives the formulation of component-level operational plans. Military capabilities and the composition of units are laid out in the statement of unit requirements (SUR) that are produced for each unit of the force. The SUR includes mission, tasks, organization, equipment and personnel.

The SUR normally consists of one of the following:

- A force consisting of contingent troops with or without United Nations Military Observers and/or military advisers or military liaison officers (generic: United Nations military experts on mission); or
- An observer mission comprising military observers and/or advisers or liaison officers only.

### 2.3.8. Head of military component

The HOMC reports to the HOM. The HOMC exercises operational command and control over all United Nations military personnel and units in the mission and establishes the military operational chain of command.<sup>8</sup> In doing so, the HOMC places military units and individually deployed experts under subordinate commanders, who can assign tasks to forces. When absent, the HOMC designates the Deputy HOMC as officer-in-charge.

In missions with military contingents, the FC serves as the HOMC, whereas in missions to which only military observers are deployed, the Chief Military Observer (CMO) serves as the HOMC.

The HOMC maintains a technical reporting and communication link with the Military Adviser at DPO in the United Nations Secretariat.<sup>9</sup> This technical reporting link must not circumvent or substitute the direct command chain between the Under-Secretary-General for Peace Operations, the HOM and the HOMC.

<sup>8</sup> As described in section D.1.2, paragraph 30, of the Policy on Authority, Command and Control in United Nations Peacekeeping Operations (Ref. 2019.23).

<sup>9</sup> Technical reporting is a secondary reporting line for informational and technical purposes on matters not relating to the command and control of operations or to national administrative control. The HOMC/HOPC is required to refer to the United Nations Office of Military Affairs/Police Division for all matters that may affect the nature or the continued effectiveness of the military or police components, respectively, as well as matters likely to affect the United Nations' relations with the Governments of T/PCCs, while keeping the HOM and the Director/Chief of Mission Support fully informed. See section E of the Policy on Authority, Command and Control in United Nations Peacekeeping Operations (Ref. 2019.23).

### 2.3.9. Military operational chain of command

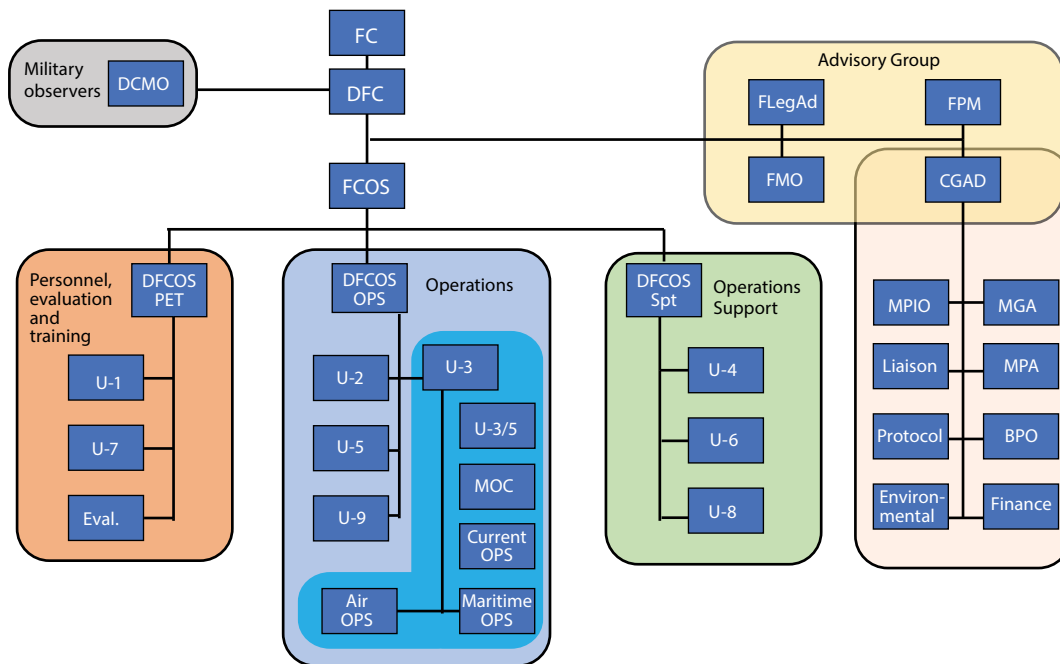
The HOMC shall establish the military operational chain of command, as follows and as needed: the HOMC; sector command, unit command and subunits. This military chain of command for operations is issued as a “field command framework”. The HOMC will ensure that neither individually deployed staff officers nor individually deployed experts are placed in command of formations or units. Units that respond directly to force headquarters shall be designated as such. The framework will include chain-of-command succession arrangements at all levels of command, including force headquarters, sector and unit headquarters, considering internal national contingent procedures for the succession of command.

**Force headquarters.** The fundamental role of force headquarters is the command and control of the mission’s military operations in support of the implementation of the mission’s mandate. A typical generic organization of the force and sector headquarters is depicted in figure 2.

**Sector/brigade headquarters.** In large missions, the force headquarters will have several sector headquarters responsible for the execution of the mandate in a specified operational area. A typical generic organization of the sector headquarters is depicted in figure 3.

Figure 2

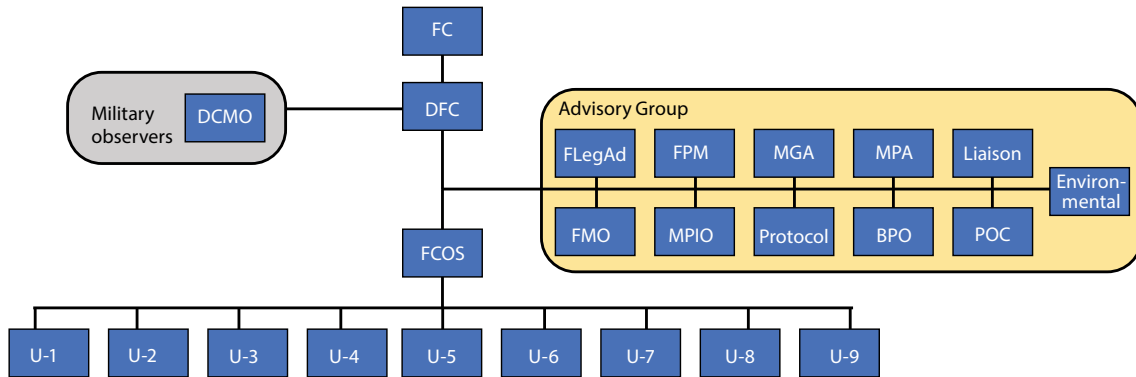
**Generic structure of a large multidimensional mission force headquarters**



*Abbreviations:* BPO, Military Best Practice Officer; CGAD, Chief General Adviser; DCMO, Deputy Chief Military Observer; DFC, Deputy Force Commander; DFCOS, Deputy Force Chief of Staff; FC, Force Commander; FCOS, Force Chief of Staff; FLegAd, Force Legal Adviser; FMO, Force Medical Officer; FPM, Force Provost Marshal; MGA, Military Gender Adviser; MOC, Military Operations Centre; MPA, Military Protection Adviser; MPIO, military public information officer; OPS, Operations; PET, Personnel, Evaluation and Training; Spt, Operations Support.

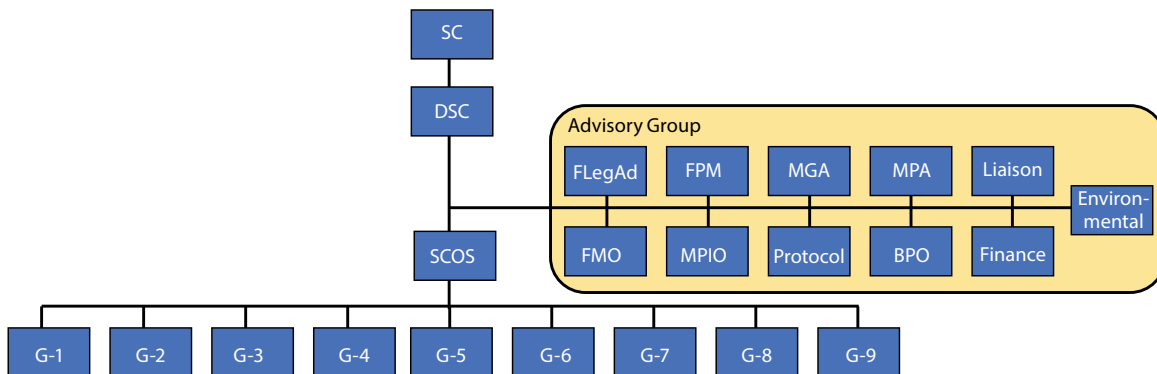


Figure 3  
**Generic structure of a small-sized force headquarters without Deputy Force Chief of Staff functions**



*Abbreviations:* BPO, Military Best Practice Officer; DCMO, Deputy Chief Military Observer; DFC, Deputy Force Commander; FC, Force Commander; FCOS, Force Chief of Staff; FLegAd, Force Legal Adviser; FMO, Force Medical Officer; FPM, Force Provost Marshal; MGA, Military Gender Adviser; MPA, Military Protection Adviser; MPIO, military public information officer; POC, protection of civilians.

Figure 4  
**Generic structure of a mission with sectors**



*Abbreviations:* BPO, Military Best Practice Officer; DSC, Deputy Sector Commander; FLegAd, Force Legal Adviser; FMO, Force Medical Officer; FPM, Force Provost Marshal; MGA, Military Gender Adviser; MPA, Military Protection Adviser; MPIO, military public information officer; SC, Sector Commander; SCOS, Sector Chief of Staff.

## 2.4. Partnerships

The need for stronger, more inclusive peace and security partnerships with Member States and regional and subregional organizations, in line with Chapter VIII of the Charter of the United Nations, is a key priority of the Declaration of Shared Commitments<sup>10</sup> on United Nations Peacekeeping Operations, which was endorsed by over 150 countries on 16 August 2018.

The United Nations works closely with regional and subregional organizations, including the African Union (AU) and regional economic communities and regional mechanisms; the Association of Southeast

<sup>10</sup> See <https://peacekeeping.un.org/sites/default/files/a4p-declaration-en.pdf>.

Asian Nations; the Collective Security Treaty Organization; the European Union; the League of Arab States; the North Atlantic Treaty Organization (NATO); and the Organization for Security and Cooperation in Europe, among others. The United Nations has strengthened partnerships with such organizations in a broad range of areas, including situational awareness and rapid response; security sector reform; training and exercises; modern technologies; logistics support; and women, peace and security. Within DPO, the Office of Military Affairs (OMA) provides expertise and other support in the military domains for broader United Nations partnership activities conducted by the Policy, Evaluation and Training Division, the AU Partnership Team, DOS and other United Nations entities.

In the United Nations peacekeeping mission area of operations or area of interest, there may be a military presence from neighbouring or other Member States, and/or ad hoc coalitions of Member States mandated or authorized by regional organizations (e.g. AU, the European Union and NATO). These forces could be deployed either at the invitation of the host nation; through bilateral agreements; as mandated by regional organizations; or as mandated or authorized by the Security Council. The mandates and specific objectives of these military forces may be different from those of the United Nations mission on the ground. The United Nations may be required to develop multi-tiered mechanisms of cooperation, coordination or deconfliction with these actors to ensure coherence of effort, mutual understanding and delineation of activities to fulfil overall peace and security goals. Cooperation and coordination of (and in some cases integration with or support to) different military actors in the mission area are defined through resolutions, agreements, MOUs and other instruments that a United Nations unit commander could use for planning and executing operations. The United Nations unit commander may be tasked with establishing the appropriate level of interaction with respective commanders of the adjacent non-United Nations force. Irrespective of the arrangements, the interaction between the United Nations and any other non-United Nations force present is guided by the fundamental principles of protection of civilians, promotion of human rights standards, prevention of human rights violations, as well as respect for international humanitarian law, including the HRDDP. The unique organizational cultures, capacities and mandates of the United Nations and non-United Nations forces should also be kept in mind.

## 2.5. Operational partnerships

### 2.5.1. Inter-mission cooperation

Inter-mission cooperation involves deployment or provision of operational and logistics assets of a particular mission in support of another mission for quick response in a crisis or filling the gap of a needed capability. It increases United Nations operational flexibility, timely response and optimization of resources. Inter-mission cooperation is an interim solution in anticipation of possible force generation and is based on a politico-legal-military process involving the Security Council, the Secretariat, TCCs, mission headquarters and the host nation. At the battalion level, there is no change in the modalities of conducting peacekeeping operations as part of inter-mission cooperation, except the change in command-and-control arrangements at the mission level, geographic location and operational environment (national command and control remain intact).

### 2.5.2. Cooperation with non-United Nations forces

A United Nations mission may coexist in the same or adjacent operational environment with a non-United Nations force. The operations of that force could be mandated by the Security Council with a defined mutually reinforcing purpose, role and objective, including to undertake peace enforcement or counter-terrorism tasks. The United Nations FC may be requested to conduct joint assessments with non-United

Nations counterparts in the theatre of operations to develop plans of how to address the situation. This could require establishing mechanisms for liaison, joint operations and support planning, coordination, sharing of analyses and creating common procedures to address the security situation and share information. Joint planning should provide opportunities for United Nations and non-United Nations forces to increase operational efficiency and security and to further mandate delivery in a cohesive, timely, efficient and cost-effective manner. Mission leadership may benefit from engaging with the United Nations offices based in various capitals, such as the United Nations Office to the AU in Addis Ababa and the United Nations Liaison Office for Peace and Security in Brussels, to support joint strategic planning.

Some challenges in joint endeavours include maintaining impartiality; the United Nations encroaching into activities beyond its mandate; the United Nations assuming reputational risk based on the actions of the non-United Nations force (including human rights abuses, sexual exploitation and abuse); increased security risks to United Nations personnel through association, be it real or perceived; and committing the United Nations to activities for which it does not have the mandate, capacity, means or profile to deliver. Joint planning and coordination may result in expectations of United Nations support activities to non-United Nations units for which the mission is not resourced or authorized. A United Nations unit commander does not have the authority to enter into or support such commitments; these initiatives need to be deferred to mission leadership for consideration.

The transition from a regional operation into a United Nations mission, or vice versa, should be mandated by the Security Council and preceded by meticulous planning, timelines, preparatory action and arrangements for managed handover and takeover.

## 2.6. Rules of engagement

### 2.6.1. Issuance

ROE are issued by the Under-Secretary-General for Peace Operations for each peacekeeping operation. They provide the authority for the use of force and explain the legal framework, policies, principles, responsibilities and definitions of the ROE. The ROE are governed by the Charter of the United Nations and relevant principles of international law, including the law of armed conflict, and are formulated in accordance with the parameters established in the applicable Security Council resolution.

ROE are directions to operational commanders that delineate the parameters within which force may be used by the military component of the peacekeeping operation while executing its mandated tasks. Where issued as permissions, the ROE allow commanders to take certain specific actions if they are necessary to achieve the aims of the peacekeeping operation. Issued prohibitions, however, are orders not to take specific actions. While remaining predominantly defensive in nature, the ROE allow for offensive action, if necessary, to ensure implementation of the tasks mandated by the Security Council. They also provide definitions of the circumstances in which the use of force, including lethal force, may be justified. Commanders are obliged to seek clarification in situations where the ROE are considered to be unclear or inappropriate for the military situation.

### 2.6.2. Implementation

The implementation of the ROE is a command responsibility; hence the rules are addressed to the FC, who is responsible for issuing them to all subordinate commanders and members of the national contingent to enhance understanding of how and when to apply the appropriate force to deter any threat. Commanders at all levels are duty-bound to ensure adequate training on and compliance with the ROE by all troops.

Any contraventions/violations of the ROE must be reported to the United Nations Secretariat through the relevant reporting lines and may be subject to investigation.

## 2.7. Civil society

Civil society actors (including international civil society, non-governmental actors, and implementing partners of United Nations agencies, funds and programmes) represent a critical pillar for sustaining the peace process in fragile post-conflict countries; and in most cases, prior to the establishment of a peacekeeping mission, such actors will be at the forefront of efforts to find a peaceful resolution to the conflict. To further promote peace resolution efforts, it is key for peacekeepers to engage with civil society actors in their areas of operation and engage with vulnerable groups to ensure their security concerns and needs are also addressed, in coordination with relevant civilian components of the mission. Where necessary, civil society actors' advice should be taken into consideration when planning military operations. All mission personnel must be mindful, while engaging with communities, not to expose them to risk or cause harm through their engagement, particularly to those at risk of marginalization or who are in vulnerable situations, including women, children, minorities, displaced persons, older persons, persons with disabilities, witnesses and victims of violations. To ensure confidentiality and informed consent regarding the use of information, sensitive data regarding victims and witnesses must be appropriately managed and secured, in line with relevant guidance.

## 2.8. Civil affairs

Civil affairs components, usually deployed at the local level, facilitate the implementation of peacekeeping mandates and work to strengthen the social and civic conditions necessary for peace. Civil Affairs Officers are often one of the primary interfaces between the mission and local interlocutors, performing a variety of essential tasks, such as monitoring and reporting on local conflict dynamics, facilitating dialogue and mediation between groups at the subnational level, and building the capacities of local authorities and partners.

While tasks may vary significantly from mission to mission, they tend to focus on addressing local conflict dynamics through facilitation of dialogue and mediation. Because they serve as the interface between the local population and the mission, civil affairs components are increasingly adopting strategic approaches to community engagement. The civil affairs section of the missions deploys local Community Liaison Assistants alongside the force. Civil Affairs Officers also provide situational awareness that the mission and force can use to address security concerns and threats, leading to the protection of civilians. Depending on the mandate and situation on the ground, the bulk of work being performed by civil affairs components can be represented in three core roles:

- **Role 1:** Cross-mission representation, monitoring the progress of the peace process and mandate implementation at the local level, and providing the mission leadership with information about the local environment, conducting conflict analysis and early warning about local conflict, including efforts to protect civilians. This role represents most of the work of civil affairs components.
- **Role 2:** Confidence-building, conflict management and support to the development of political space are integral to United Nations peacekeeping and central to civil affairs work. Through this role, civil affairs components actively support the development of social and civic conditions conducive to sustainable peace, popular engagement and confidence in the peace process.

- **Role 3:** Support to the extension of State authority to stabilize fragile States has become an area of work in which Civil Affairs Officers have been increasingly engaged, through providing support to State institutions and to good governance practices at the subnational level.

## 2.9. United Nations country teams

Under the leadership of the RC, UNCTs prepare the United Nations Sustainable Development Cooperation Framework, together with national Governments. This is done in consultation with other national and international stakeholders to ensure ownership and alignment with national development priorities, including the 2030 Agenda and the Sustainable Development Goals. The Cooperation Framework also determine the country's configuration of UNCTs in line with principles and processes defined in the Cooperation Framework guidance and with General Assembly resolution 72/279. Detailed explanations of the role of the RC are given in the management and accountability framework.

RCs may also be designated as the DSRSG and the HC as part of a structurally integrated presence. In that context, they report to the SRSG in the DSRSG capacity; to the Assistant Secretary-General for Development Cooperation in the RC capacity; and to the Emergency Relief Coordinator in the HC capacity.<sup>11</sup> They are responsible for ensuring consistency between the common strategic framework and other frameworks, including the United Nations Sustainable Development Cooperation Framework and the humanitarian response plan in their RC and HC capacities, respectively, and promoting, as appropriate, harmonization of the underlying analytical and planning processes.

The essential functions of the UNCT include:

- Facilitating mutually supportive and coordinated activities of the United Nations system in the mission area by developing a clear and shared understanding of priorities based on the overall goal, identifying complementarities with the mission mandate and integrating its collective expertise into the overall political strategy.
- Creating greater strategic coherence and an effective transition from emergency relief to recovery, reconstruction, institution-building and longer-term capacity-building.
- Facilitating implementation of timely, effective and well-coordinated developmental assistance.

When a mission is required to draw down or close, a successful transition period requires strong leadership direction (here the DSRSG/RC/HC plays an important role); early planning and adequate resourcing; and the need to consider implications for the post-mandate period, especially a reconfiguration of the UNCT. Commanders are expected to liaise with country team entities in their respective areas of operations to exchange information, coordinate activities and provide occasional support as guided by the mission leadership. UNCT entities are not under the command and control of the mission and rarely expect military support beyond access and a safe operating environment for their activities. The force should be prepared to protect and provide in extremis support to the country team, as and when required.

## 2.10. Humanitarian country teams

Where designated by the Inter-Agency Standing Committee, the HC is responsible for leading and coordinating humanitarian action. The HC leads and chairs the humanitarian country team (HCT), whose overall goal is to ensure that inter-agency humanitarian action alleviates human suffering and protects the lives, livelihoods and dignity of people in need. The HCT's primary purpose is to provide strategic

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<sup>11</sup> United Nations Sustainable Development Group, "Management and accountability framework of the UN development and resident coordinator system" (2021).

direction for a collective, coordinated, principled and effective inter-agency humanitarian response. It also ensures that adequate prevention, preparedness, risk and security management measures are in place and functioning.

The HCT is composed of humanitarian organizations in the country committed to participating in coordination arrangements. It includes United Nations agencies, national and international non-governmental organizations and the International Red Cross and Red Crescent Movement. Therefore, the HCT's membership extends beyond the United Nations. The HC and the HCT are supported by the United Nations Office for the Coordination of Humanitarian Affairs (OCHA).

While humanitarian action can support sustaining peace, its main purpose remains to address life-saving needs and alleviate suffering. Most humanitarian action is likely to remain distinct from other United Nations activities so as to not challenge the ability of United Nations and broader humanitarian actors to deliver according to the humanitarian principles of humanity, neutrality, impartiality and independence. Humanitarian activities related to protection of civilians, facilitating durable solutions to displaced persons and enabling early recovery may be included in the integrated strategic approach of the United Nations based on a joint analysis of context, risks, costs and benefits. In all cases, integration arrangements should support joint analysis, coordination, complementarity and coherence among humanitarian, peace and security, development and human rights actors.

## 2.11. Humanitarian affairs

The responsibility for the international provision of humanitarian assistance rests with the relevant civilian United Nations agencies, funds and programmes, as well as with the International Red Cross and Red Crescent Movement and the range of international and local non-governmental organizations. The role of peacekeeping operations is limited to facilitating the activities of these humanitarian actors, in close coordination with them and respecting humanitarian principles. Peacekeeping operations are frequently mandated to support the creation of conditions conducive to the civilian-led provision of humanitarian assistance by establishing a secure and stable environment within which humanitarian actors may carry out their activities. Such support to humanitarian operations may entail safeguarding the delivery of food, medical and other relief supplies, facilitating access and area security, and the provision of limited armed escorts and logistical support or the protection of humanitarian personnel or assets.

Humanitarian actors rely upon the humanitarian principles of humanity, neutrality, impartiality and operational independence for their acceptance by all actors. This underpins their security and ability to access those in need to deliver assistance. Maintaining a clear distinction between the role and function of humanitarian actors and those of political and military actors, particularly in conflict and post-conflict settings, is a key factor in creating an operating environment in which humanitarian organizations can discharge their mandate effectively and safely. Dialogue, coordination and consultation with humanitarian actors by military units are key to ensuring that the real and perceived neutrality, impartiality and independence of humanitarian action are respected in the context of military activities.

Mission leadership and military commanders should be conscious of the fundamental need to maintain the civilian character of humanitarian assistance. They should ensure that the use of mission military assets to support humanitarian assistance is appropriate, timely, at no cost, unique in capability and availability, based on identified needs, and in conformity with international law, humanitarian principles and internationally established guidelines, such as the Oslo Guidelines, the Guidelines on the Use of Military and Civil Defence Assets to Support United Nations Humanitarian Activities in Complex Emergencies (MCDA Guidelines), and country or context-specific guidance, where present. Commanders must be prepared to participate in dialogue with humanitarian actors, as potential tasks depend on the mission set-up and the

local actors. As a rule, military support to humanitarian activities should focus on infrastructure assistance (e.g. building bridges, roads, providing communications equipment), sometimes on indirect assistance, and only exceptionally with direct assistance (e.g. direct distribution and provision of humanitarian goods). OCHA is the United Nations focal point for humanitarian civil-military coordination.

## 2.12. Environmental management

### 2.12.1. Introduction

The General Assembly has in recent years consistently stressed the importance of environmental management in peace operations, noting the need to reduce the overall environmental footprint of each mission, and requesting the Secretary-General “to continue his efforts to reduce the overall environmental footprint of each peacekeeping mission”.<sup>12</sup> The Security Council has also echoed this language in several resolutions,<sup>13</sup> in which the Council emphasized “good stewardship of resources and a positive legacy of the mission” and identified “the goal of expanded renewable energy use in missions to enhance safety and security, save costs, offer efficiencies and benefit the mission”. For this reason, the United Nations has made environmental management in peacekeeping one of its top priorities, including through issuing a revised environmental policy for field missions,<sup>14</sup> and promulgating the *United Nations Environmental Management Handbook for Military Commanders in UN Peace Operations*.

### 2.12.2. Policy and principles

The revised policy requires that each field mission uphold the principle of “do no harm”, seek to achieve maximum efficiency in their use of natural resources and operate at minimum risk to people, societies and ecosystems, contributing to a positive impact on these wherever possible.

The policy states that all mission personnel, including civilian and uniformed components, are responsible for ensuring sound environmental practices in their areas of responsibility.

As per the policy, the FC of the mission, after consultation and in coordination with the Director/Chief of Mission Support, is responsible for issuing instructions and operating procedures and implementing other necessary measures to meet United Nations environmental mandates and to ensure that personnel in the military component are aware of their environmental obligations.

In addition, the FC is to direct each military headquarters and each formed contingent to designate a focal point for environmental and waste-management issues. Furthermore, as per the *United Nations Environmental Management Handbook for Military Commanders in UN Peace Operations*, the FC is to appoint a military staff officer to serve as the force headquarters environment adviser/focal point to liaise with the mission environmental unit/deal with such issues within the force.

### 2.12.3. Responsibilities of the military component

In addition to their general responsibilities, military units also have additional responsibilities with respect to the management of the environment. TCCs will ensure that all contingents conduct themselves in an

<sup>12</sup> See General Assembly resolutions 70/286 and 76/274.

<sup>13</sup> Security Council resolutions including 2628 (2022) for Somalia, 2640 (2022) for Mali, 2666 (2022) for the Democratic Republic of the Congo, 2659 (2022) for the Central African Republic and 2677 (2023) for South Sudan.

<sup>14</sup> See the Environmental Policy for Peacekeeping Operations and Field-Based Special Political Missions (Ref. DOS/2022.01).

environmentally conscious manner. They should endeavour to achieve full compliance with the United Nations environmental and waste-management policies and procedures for field missions. Furthermore, contingents should observe a policy of no littering around the bases or on patrols, and a policy of no discharge of untreated wastewater. Contingents should make efforts to reduce their environmental footprint by taking concrete steps to conserve water, energy and other natural resources, reduce and segregate waste, and properly manage hazardous waste and wastewater for which they are responsible. Where possible, the use of renewable energy should be prioritized.

The *United Nations Environmental Management Handbook for Military Commanders in UN Peace Operations* provides a detailed list of roles and responsibilities of the various levels of the military chain of command in field missions. It also provides guidance and tools to military commanders on how to achieve the environmental objectives set in the Environmental Policy for Peacekeeping Operations and Field-Based Special Political Missions and other related policy documents.

## 2.13. Cultural awareness

Experiencing culture shock when deploying to a new and different part of the world is not an unusual phenomenon. It is a natural response when one is taken from a familiar environment to a new one, a process that may cause discomfort and disorientation. Cultural awareness is the ability to attain knowledge about the particular characteristics of a different culture. What may be normal and acceptable to one group of people may be unusual or unacceptable to another. When one is in the company of people from diverse cultures, everyone should be aware of the different beliefs and customs, and to respect them. Developing cultural awareness results in an ability to understand, communicate with and effectively interact with people across cultures. A military unit should understand the cultural sensibilities in a mission area and ensure that all ranks respect diversity and conduct themselves based on humanity, and respect and adhere to provided guidelines and best practices.

## 2.14. Gender equality and women, peace and security

### 2.14.1. Security Council resolutions

Security Council resolution 1325 (2000) recognized that sustainable peace can only be achieved with the equal participation of women at all levels and phases of peace operations. The resolution emphasized the disproportionate impact of conflict on women and children and recognized the undervalued contributions women make in conflict prevention, conflict resolution and peacebuilding. The resolution also highlighted the necessity of engaging women in the ongoing dialogue concerning peace and security. To enhance the role played by women in the maintenance of international peace and security, resolution 1325 (2000) was followed by other thematic resolutions<sup>15</sup> addressing women, peace and security, and mandated that peacekeeping missions boost women's participation in post-conflict decision-making processes, prevent sexual violence, protect civilians including women and girls, increase the presence of peacekeeping personnel who are women, and systematically train peacekeepers to mainstream gender in their work.

### 2.14.2. Strategic level

At the strategic level, OMA/DPO seeks to address the participation of women and the mainstreaming of gender perspectives at all military levels. OMA is responsible for the development of policy and doctrine,

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<sup>15</sup> Security Council resolutions 1820 (2008), 1888 (2009), 1889 (2009), 1960 (2010), 2106 (2013), 2122 (2013), 2242 (2015), 2272 (2016) and 2331 (2016).



strategic military assessment, planning, force generation, performance and evaluation, and current operations.

- **Policy and doctrine.** The development of policies and guidance for military peacekeepers requires the United Nations to stress its commitment to promoting gender equality, empowerment of women and increasing gender parity.
- **Assessment.** Gender analysis allows DPO and DOS to develop responses better suited to reducing and remedying human rights violations and to address the needs of different demographic groups, including their protection needs. Analysis and assessment must include gender-disaggregated data.
- **Military planning.** Military planning processes for United Nations peacekeeping missions include and draw on the perspectives of both women and men to gain a comprehensive picture of the security environment.
- **Force generation.** Every effort is being made to increase the number of women peacekeepers in contingents, and as staff officers and United Nations military experts on mission. Data, policy and training are required to sustain this effort.
- **Military performance evaluation.** The military performance evaluation system incorporates and maintains focus on ensuring gender equality and gender parity. It ensures that standards, evaluations and assessments adequately reflect and ensure the incorporation of gender perspectives, norms and responsibilities into the process.
- **Current military operations.** Monitoring and reporting on the activities of military components should promote better understanding of conflict-affected populations and ensure an improved response to the specific security issues and threats facing different sectors of the population. Current military operations reports should contain gender-disaggregated data, which can be used to monitor progress of integrating the gender perspective across the entire military component.

### 2.14.3. Operational level

Strategic guidance and direction are translated into a CONOPS that sets out operations, duties and coordination in accordance with a mission's mandate. A CONOPS describes how the military component of a peacekeeping operation intends to accomplish its identified tasks and gather the necessary resources in order to solve a current or merging military problem. Operational-level planning for military activities to protect civilians requires the inclusion of appropriate guidance to address specific protection challenges confronting women and girls. Military gender advisers provide guidance on how Security Council resolutions relating to mandates on women, peace and security, conflict-related sexual violence, and child protection and protection of civilians translate into gender and protection strategies for military functions. Operational staff work as described in the CONOPS, Operation Orders and Fragmentary Orders, and policies published on behalf of the FC should also contain references to gender and related protection strategies and tasks.

### 2.14.4. Tactical level

At the tactical level, military activities involve the translation of concepts, objectives and guidance into tasks that can be implemented. Such activities include those regarding conflict-related sexual violence, protection of civilians, patrolling, checkpoints and roadblock duties, humanitarian aid support, assistance to national security forces, monitoring and verification.

## 2.15. Safety and security

### 2.15.1. Role of the host State

The primary responsibility for the security and protection of personnel employed by organizations of the United Nations system rests with the host State, and this includes their recognized dependants and the organizations' property. Without prejudice to the above and while not absolving the host State from its obligations in this respect, the United Nations has a duty as an employer to reinforce and, where necessary, supplement the capacity of the host State to fulfil these obligations. In many circumstances, United Nations personnel are working in areas that are subject to conditions of insecurity and that require mitigation measures beyond those the host State can reasonably be expected to provide.

### 2.15.2. Role of the United Nations

The Secretary-General has delegated to the Under-Secretary-General for Safety and Security the authority to make executive decisions relevant to the direction and control of UNSMS and the overall safety and security of United Nations personnel, premises and assets at both field and headquarters locations. The Department of Safety and Security (DSS) has overall responsibility for all safety and security matters for the United Nations. It is responsible for managing and responding to safety and security concerns at all United Nations facilities and installations.

### 2.15.3. Security management system

UNSMS identifies who falls under its scope and is covered by United Nations security arrangements. Those covered include internationally and locally recruited personnel and their eligible family members, interns, United Nations Volunteers and consultants for United Nations entities.

In missions led by DPO, DOS or the Department of Political and Peacebuilding Affairs (DPPA), the safety and security of individually deployed police and military personnel (staff officers, observers) are covered under UNSMS. The security of troops deployed with their contingents is covered through separate mechanisms. Individuals recruited locally and hired on an hourly basis are excluded from this policy, as are the family members of individually deployed military or police personnel.

### 2.15.4. Security responsibilities of peacekeepers

Military peacekeepers have the responsibility of ensuring the security of themselves and their equipment, as well as the security of other United Nations personnel, especially civilian staff. The framework of accountability promulgated by DSS specifies the responsibilities and accountabilities of United Nations officials and personnel at various level of appointments. Specifically, all United Nations peacekeepers are responsible for:

- Complying with all United Nations safety and security regulations and procedures whether on or off duty.
- Conducting themselves in a manner that does not endanger themselves or others.
- Reporting all safety and security incidents to the security focal point as soon as possible.
- Wearing the United Nations pass on their outermost garment within visible range at all times while on United Nations grounds.
- Completing appropriate safety and security training.

Furthermore, military units and their commanders are responsible for:

- Coordinating and liaising with the Safety and Security Officer or focal point in their area of responsibility, and
- Proactively restoring and preserving safety and security in their area of responsibility.

### 2.15.5. Road safety

Road conditions can be unpredictable in the deployment area. A significant number of peacekeepers die, and many are injured, in traffic accidents every year. Accidents with United Nations vehicles have also killed members of local populations, which strains the relationship with host States. Drivers should be trained and licensed to operate, conduct self-extraction and conduct operator-level maintenance on any vehicle they operate. All vehicles are required to be roadworthy and in good condition prior to use, and to be equipped with safety equipment.

Road accidents are caused by three main factors:

- **Human factors (road users):** Road accidents caused by infringement of local traffic laws, driving carelessly or too fast or driving under the influence of alcohol.
- **Road defects:** Poor road conditions, the effects of weather and damaged bridges, culverts, corrugation, potholes and other surface traps have also contributed to or caused accidents and vehicle damage.
- **Vehicle defects:** Poorly maintained vehicles have caused road accidents owing to brake failure, tyre blowout, steering failure, damaged headlights and other defects that should have been identified and rectified by regular preventive maintenance, inspection and repairs.

### 2.15.6. Road safety programme

Driver and supervisor errors are the cause of most accidents. To mitigate this, road safety programmes should include:

- The Commander's emphasis on road and vehicular safety.
- Clearly documented safety regulations and standard operating procedures that are to be understood by drivers and vehicle occupants. Regulations and standard operating procedures must be strictly enforced (e.g. speed limits, use of seatbelts, alcohol control, vehicle breakdown drill).
- Certification of drivers through training programmes with standards specifically for military-pattern, armoured, specialized and heavy vehicles before deploying on United Nations missions.
- Training, testing and certification of drivers to operate vehicles in all weather conditions, during night and low-visibility environments and over rough terrain replicating conditions in the area of responsibility; each unit should maintain a pool of at least two trained and certified personnel as operators for each vehicle in its inventory.
- Use of assistant drivers in all vehicles, if available. This may be even more necessary when the staff officer lacks the requisite driving experience to operate in the operation area.
- Training and testing of drivers' ability to respond to accidents, perform self-extraction, operator-level emergency repairs, accident reporting, breakdowns and fault repairs, provide first aid and attend to injuries en route.
- Conducting regularly scheduled vehicle maintenance that is accounted for and closely supervised.

- Performing daily preventive maintenance checks and services prior to the operation of any vehicle, recording checks and services in logbooks assigned to the vehicle; preventive maintenance checks and services as a minimum shall include a quick visual inspection and walk-around of the vehicle to ensure that the tyres are properly inflated and that brakes, signal lights and headlights are working properly, that no objects or personnel are obstructing vehicle movement, and that petrol, oil and lubrication levels are at the full level.
- Equipping all vehicles with emergency repair and towing equipment, fire extinguishers, emergency triangles and first aid equipment.

### 2.15.7. Occupational safety and health

Personnel are the greatest asset of the United Nations. The Organization has an absolute duty of care to undertake all reasonably practicable measures to minimize fatalities, injuries and ill health due to occupational (workplace- and work-process-related) hazards and risks. The ability of United Nations military personnel to deliver its mandate is inextricably linked to their occupational (work) safety and, is not only an imperative part of the duty of care of the United Nations as an employer, but also financially and operationally essential to the success of its military peacekeeping operations.

Occupational safety and health is a hazard-based risk factor (non-malicious/accidental) that is separate from security risk. Security is a threat-based factor (malicious/deliberate) and is significantly different in many ways. Recent studies done by DPO and DOS confirm that occupational safety and health risk to military peacekeeping personnel is significantly higher than security-threat-based risk. Occupational safety and health (hazard-related) fatalities outnumber security (threat-related) fatalities by a ratio of 3 to 1, and they outnumber injuries by a ratio of 10 to 1.

Fatalities, injuries and illnesses in the United Nations military related to occupational safety and health primarily occur within the following safety and health hazard/risk-factor categories: workplace environment and processes, disease and illnesses, psychosocial and mental conditions, road traffic, use of vehicles, machinery and heavy equipment, weapons, ammunition and explosives management, fire safety, natural disasters, aviation, and chemical, biological and radiological/hazardous materials.

Occupational safety and health accidents, harmful exposures, unsafe behaviours or inadequate (unsafe) working conditions have adverse impacts upon military personnel and the Organization, including death, illness or injury, with personal pain and suffering to the affected personnel and their family; loss of faith in the concern of management for safety and well-being; reduction of organizational work capability and loss of productivity; damage or loss of facilities, equipment and other materiel; significant financial loss and reputational damage to the United Nations.

### 2.15.8. Roles and responsibilities

The United Nations is committed to providing a safe workplace, minimizing adverse impacts to its military personnel and the Organization from work-related (occupational) and other injury and ill health, and enhancing the well-being of its military personnel. It will include occupational safety and health as a core management activity, establish effective arrangements to manage risks sensibly and proportionately, and create an environment in which military commanders, officers, non-commissioned officers and their military personnel (soldiers) collaborate to achieve these aims.

Occupational safety and health is a line-management responsibility. Military commanders at all levels are accountable and responsible for the occupational safety and health of their troops. This includes ensuring

workplace equipment is safe and fit for purpose and facilitating adequate staff training on compliance with established safe work practices and procedures. In turn, individual personnel are also responsible for taking reasonable care to protect their own safety and health, and others who may be affected by their acts and/or omissions.

Heads of missions have overall accountability and responsibility for the implementation and management of occupational safety and health within their mission. FCs have this overall accountability and responsibility for military personnel under their command and control. In each case, this includes adequate resourcing and staffing by each TCC to include the appointment (in each individual contingent) of an appropriately senior military capacity to oversee the day-to-day operation of occupational safety and health risk management officer in their area of operations for military personnel. The core occupational safety and health requirement for each TCC is included in the Guidelines on Operational Readiness Preparation for Troop Contributing Countries in Peacekeeping Missions.

### 2.15.9. Guidance

Commanders at all levels are responsible for ensuring arrangements are in place for the occupational safety and health of personnel under their supervision. These individuals are pivotal in providing occupational safety and health measures within their area of responsibility. Accordingly, they shall:

- Include occupational safety and health as a core management activity.
- Provide sufficient resources or assets to enable all occupational safety and health functions and training requirements to be fulfilled.
- Ensure workplace hazard identification and mitigation, whenever possible.
- Where hazard elimination is not possible, ensure that occupational safety and health risk assessments are conducted on all relevant work areas and activities, and that they are regularly reviewed, addressed with corrective and risk-reduction measures, and communicated in accordance with risk-management processes.
- Ensure the competence of personnel through the provision of training, instruction and supervision.
- Where applicable, ensure the use of personal protective equipment.
- Where applicable, undertake appropriate occupational safety and health monitoring.
- Regularly consult and inform personnel on occupational safety and health matters.
- Where applicable, consult with commercial contractors to ensure that hazards to all persons are identified and assessed and that associated risk-control measures are in place.
- Report all occupational safety or health incidents (i.e. accidents, exposures, dangerous occurrences/near-misses, and accompanying fatalities, injuries, illnesses and material/monetary loss), in accordance with United Nations incident reporting and recording requirements.
- Record all instances where first aid or other medical treatment is required as a result of a work incident, including date, time and place, name and job of injured or ill person, details and any first aid administered and final disposition (e.g. repatriation, hospitalization, return to duty), and any additional information required per mission-specific procedures.
- Advise and keep the mission's appointed primary (senior) military occupational safety and health representatives, the civilian counterpart (Occupational Safety and Health Unit) and the mission's Occupational Safety and Health Committee informed on occupational safety and health matters affecting military personnel.

Individual United Nations military personnel shall:

- Take reasonable care for their own safety and for that of others who may be affected by their acts and/or omissions at work.
- Cooperate with military supervisors to enable success compliance with duties and requirements imposed by United Nations occupational safety and health policy (including where applicable relevant local laws or regulation).
- Follow workplace occupational safety and health best practices, including the use of personal protective equipment (where applicable).
- Not intentionally or recklessly interfere with or misuse any equipment or procedures provided in the interests of occupational safety and health.
- Immediately inform supervisors of any work-related injury or illness, or any work situation which may present an occupational safety and health risk.

## 2.16. Rule of law and security institutions

### 2.16.1. Principle

The rule of law, in its most basic form, is the principle that no one is above the law. The most important application of the rule of law is the principle that governmental authority is legitimately exercised only in accordance with written, publicly disclosed laws adopted and enforced in accordance with established procedural steps, which are referred to as due process. The principle is intended to be a safeguard against arbitrary governance, whether by a totalitarian leader or by mob rule. The commander must ensure their troops abide by the laws of the host country and do not tarnish or damage the image of the United Nations. They must respect the local population, their culture and customs, and should never treat them with contempt. Predeployment training and in-mission training should include training on the rule of law.

In accordance with the mission mandate, military personnel may also be required to assist in strengthening the rule of law, in collaboration with the justice/corrections and police components of the mission. Additionally, the military may be required to help to maintain security, protect civilians and create enabling conditions for sustainable peace and peacebuilding measures. Other interim and stability measures may include providing security and/or logistical support for military or civilian courts, security during elections, assisting host country military personnel with training, or supporting or assisting ex-combatants in implementing peace agreements, among other tasks and activities. Consistent with United Nations obligations and existing regulations, due diligence through force headquarters and mission headquarters must be conducted through risk assessments of potential risks and benefits involved in providing support. There may be substantial grounds for support to recipients of grave violations of international humanitarian, human rights or refugee law.

### 2.16.2. Police

The United Nations has been deploying police officers since the 1960s. The mission of the United Nations police is to enhance international peace and security by supporting Member States in conflict, post-conflict and other crisis situations. To this end, the United Nations police during peacebuilding or, in peacekeeping operations with an executive mandate, may substitute for host-State police capacity to prevent and detect crime, protect life and property, and maintain public order and safety.

United Nations police components consist of individual police officers, both contracted and seconded, specialized police teams and formed police units, all of which serve as “experts on mission”. United Nations

police components are led by a HOPC: ordinarily a police commissioner in peacekeeping operations and a Senior Police Adviser in special political missions.

United Nations police have two core functions:

- Operational support/interim executive policing and other law enforcement: Operational support for and – when mandated – delivery of effective prevention, detection and investigation of crime, protection of life and property, and the maintenance of public order.
- Support for the reform, restructuring and rebuilding of host-State police: Support for the development of effective host-State police capacity to provide representative, responsive and accountable police service of the highest possible professional standard.

The military component is an important partner for the police in peacekeeping operations when it comes to establishing and maintaining a safe and secure environment, including the protection of civilians. There are important limits to this cooperation, particularly because police need to maintain a civilian profile distinct from the military to help to maintain the moral authority and public trust needed for effective policing. The ability to maintain separate profiles while establishing interoperability and strong functional relationships between police officers and military peacekeepers is a difficult balance, but it is critical to the success of policing in peacekeeping operations.

The police and military components report through their own command frameworks. Generally, the personnel, units and subunits from one uniformed component are not placed under direct technical supervision or tactical control of another component. During crises or critical incidents, however, a uniformed unit or subunit of one uniformed component may be placed temporarily under the command of the other uniformed component. The tactical control over any subunits will be exercised through the chain of command of the units placed under the command of the other uniformed component at the site of an incident.

The HOM, through the HOMC and the HOPC, is responsible for ensuring that necessary command-and-control arrangements and standard operating procedures are developed between military and police components at the start of a peacekeeping mission. Early contingency planning (e.g. potential scenarios of escalating public disorder), training, rehearsals and exercises, including simulations, should be carried out on a regular basis to ensure that the HOM and senior uniformed United Nations commanders are sufficiently prepared. All mission management arrangements, plans and procedures associated with this must then be submitted to and approved by the HOM and be regularly reviewed and practised throughout the life of the mission. Lessons learned should be shared with DPO for advice, evaluation and further dissemination.

### 2.16.3. Security sector reform

The reform of the security sector generally commences once a conflict has come to an end in a country. It is vital for sustainable peace and development that people feel safe and secure and have confidence in their State. The United Nations supports security sector reform to ensure the development of effective, efficient, affordable and accountable security institutions. It is a process led by national authorities, and the reform should be undertaken without discrimination and with full respect for human rights and the rule of law.

Each security sector reform is unique. No single model of a security sector exists. However, the United Nations expects that security sectors usually include structures, institutions and personnel responsible for the management, provision and oversight of security. These could include defence, law enforcement, corrections, information services and institutions responsible for border management, customs and civil

emergencies. In some cases, elements of the judicial sector responsible for cases of alleged criminal conduct and misuse of force are included. The security sector should also include management and oversight bodies and, in some instances, may involve informal or traditional security providers.

Security sector reform can even prevent conflicts or crises from emerging or re-emerging. It is also a process that many States undertake on a regular basis to respond to emerging threats or potential internal or external pressures. Security sector reform teams in various missions support national authorities as they:

- Facilitate national dialogues on security sector reform.
- Develop national security and defence policies, strategies and plans.
- Strengthen oversight, management and coordination capacities.
- Articulate security sector legislation.
- Mobilize resources for projects related to security sector reform.
- Harmonize international support to security sector reform.
- Educate, train and build institutional capacity.
- Monitor and evaluate programmes and results.

#### 2.16.4. Defence sector reform

The Policy on Defence Sector Reform guides United Nations staff engaged in providing support to Member States undertaking defence sector reform efforts. United Nations support to national defence sector reform efforts started in 2003 and is provided at the request of national Governments and/or in response to Security Council resolutions or General Assembly mandates. The policy draws upon lessons learned and best practices from past endeavours and outlines the parameters and components of the support of the United Nations to national defence sector reform efforts. These include elements for any mission concept, core tasks and constraints. The policy also highlights linkages between defence sector reform and the broader processes of security sector reform, rule of law, early stages of peacebuilding and longer-term development, among other priorities.

An effective, efficient, accountable and affordable defence sector (as part of the broader security sector) is essential for sustaining peace and development and should be considered an important dimension of United Nations assistance to Member States. Sensitization and predeployment training packages for United Nations military staff include defence sector reform doctrine developed from peacekeepers' experience and lessons learned. Military units may be assigned limited roles in providing training and other security support to the host-nation security forces, within the framework of the overall policy.

#### 2.16.5. Disarmament, demobilization and reintegration

DDR lays the groundwork for safeguarding and sustaining the communities to which these individuals return, while building capacity for long-term peace, security and development. DDR helps to create an enabling environment for peace processes by aiming to deal with the post-conflict security problem that arises when ex-combatants (men, women, boys and girls) are left without livelihoods or support networks, other than their former comrades, during the vital transition period from conflict to peace and development. DDR is a process of managing crises posed by armed groups to civilian populations and, when conditions are ripe, removing weapons from the hands of combatants, removing combatants from military structures and helping them to reintegrate socially, economically and into civil society. DDR seeks to support ex-combatants so that they can become active participants in the peace process. DDR today is understood as a process consisting of a traditional DDR programme and/or a combination of various DDR-related tools



such as community violence reduction or (transitional) weapons and ammunition management. In addition to combatants within “formal” armed groups, it often includes a focus on “informal” armed groups such as gangs, militias or, to some extent, groups designated as terrorist organizations as well as entire communities affected by violence.

#### 2.16.6. Military component role in disarmament, demobilization and reintegration

Security for DDR staff, infrastructure and beneficiaries is the primary contribution of the military component to a mandated DDR programme. The military component can also gather or distribute information specifically related to a DDR programme, as well as monitor and report on security issues. Specialized military ammunition and weapon expertise with the TCCs can contribute to technical aspects of disarmament, weapons and ammunition management, including in community violence reduction programming.

In addition, military capabilities could be used to provide engineering support, including DDR camp or infrastructure construction, communications, transportation and medical services within existing capacity. Unless specific planning for military DDR tasks has taken place, and forces are generated accordingly, military enabling capacity would be ad hoc. It is essential to the successful support of any military capability in a DDR programme that it must be included in planning, be part of the endorsed mission operational requirement, be specifically mandated and be properly resourced. Commanders should ensure that military personnel are trained on military activities related to DDR and approach these tasks in a gender-sensitive manner. In the predeployment phase, the Integrated Training Service and the DDR Section of the Secretariat may provide further guidance.

#### 2.17. Civil-military coordination

The United Nations civil-military coordination (UN-CIMIC) is a military staff function that contributes to facilitating the interface between military and civilian components. Civil-military coordination officers should not assume military peacekeeping-intelligence (U2) roles. While civil-military coordination officers may provide valuable non-sensitive information to the Joint Operations Centre and the Joint Mission Analysis Centre through their contacts and liaison work, their operational space should be actively protected. In missions with a protection of civilians mandate, protection of civilians advisers should be included in military planning processes, both to ensure that military operations are planned to effectively protect civilians and to contribute to civilian harm mitigation measures.

The United Nations humanitarian civil-military coordination (UN-CMCoord) is the essential dialogue and interaction between civilian and military actors in humanitarian emergencies that is necessary to protect and promote humanitarian principles, avoid competition, minimize inconsistency and, when appropriate, to pursue common goals as defined and practised. Humanitarian civil-military coordination is a continuing process of dialogue guided by humanitarian principles. It can be a dedicated function on the ground, staffed by OCHA, with a Humanitarian Civil-Military Coordination Officer who provides the interface with the military for the humanitarian community. Civil-military coordination and humanitarian civil-military coordination are liaison functions that should complement each other on the ground. Key to this is to have a good understanding of the roles and responsibilities of the functions. Note that the International Committee of the Red Cross and, more generally, the International Federation of Red Cross and Red Crescent Societies do not fall under civil-military coordination. They participate in the process as observers.

## 2.18. Elections

Elections are decision-making processes by which citizens express their political preferences. As part of the peacebuilding process in a post-conflict context, the United Nations may be requested or mandated to provide technical assistance to an electoral process. As part of the overall mission strategy, military units may be tasked to support an electoral process, including through providing area security, securing electoral materials (e.g. ballot boxes) and infrastructure (e.g. polling locations), as well as providing logistical support. Troops should therefore be trained in election support during predeployment training.

## 2.19. Strategic communications and public information

### 2.19.1. Introduction

Strategic communications and public information in a peacekeeping mission are directed by a Director/Chief of Strategic Communications and Public Information. Under the authority of the SRSG, the Strategic Communications and Public Information Office is headed by a Director or Chief who, in consultation with the senior management team of the mission, is responsible for the development and delivery of the mission communications strategy, including narrative and messaging, and ensuring its integration with the mission's overall CONOPS, Mission Directive, Senior Leader Compact and Mission Support Plan. The Director or Chief is the main adviser to mission leadership on communications and is part of the mission senior management team.

The key elements of strategic communications and public information in United Nations peacekeeping are as follows:

- Strategic communications and public information are mission requirements. They are political and operational necessities that directly influence the ability of United Nations peacekeeping operations to carry out their mandates successfully.
- Strategic communications and community engagement are essential to establishing and maintaining the mission's effectiveness, especially to foster public support at a mission's earliest stages of deployment.
- Strategic communications and public information support the peace process and the mission and help to manage threats.
- The Strategic Communications and Public Information Office is an active participant in the local United Nations Communications Group.
- The mission coordinates and shares its messages with United Nations partners to maintain a "One United Nations" approach.

### 2.19.2. Policy on strategic communications and public information

The HOM is the principal voice of the mission and must project the views, work and goals of the mission, through the media and other public means, to generate support and understanding among the local population and the international community. FCs, heads of relevant components and other staff as appropriate may also be called upon to speak to the media on behalf of the mission. While there is no general prohibition against staff speaking to the media, staff should only speak within their area of competence and responsibility, provide fact-based information, avoid personal opinions and leave sensitive issues to officials who are specifically authorized to speak on them.

### 2.19.3. Role of the military

Military public information officers (MPIOs) work in close collaboration with and frequently under the direction of the Chief of Strategic Communications and Public Information or Spokesperson. It is essential that these officers, who are under the command of the HOMC of the mission, should be trained professionals in communications so that they can readily integrate their efforts into the overall strategic communications and public information component of the mission. The Chief or Spokesperson must provide guidance and, when required, training, to MPIOs and the Police Public Information Officers who work under their direction. The Chief should ensure that MPIOs and Police Public Information Officers are fully briefed on the mission's communications strategy and understand their role in its implementation.

Unit commanders are often engaged by the media in their area of responsibility. Upon receipt of a media enquiry or request, they should seek advice and support from MPIOs. Communications and public information are a commander's responsibility. In principle, it is the commander who should speak to the media.

MPIOs work closely with civilian components to ensure that they are properly equipped. Equipment and supply requirements for field-based public information programmes vary according to each mission's mandate, complexity and size. Public information and strategic communications generally have specific equipment needs, including the equipment and software necessary to run a nationwide radio system, produce video and design publications and websites.

MPIOs act as liaisons with their contingents, facilitating journalist visits, gathering information for media enquiries and maintaining records of mission military and police strength. Under the guidance of the Chief of Strategic Communications and Public Information or mission Spokesperson, they may assist with briefing journalists on military or police matters. The strategic communications and public information component should provide guidance and key messaging to all mission components – notably civil affairs, political affairs, military and police personnel – which are likely to be in remote areas and can engage in communication activities.

### 2.19.4. Outreach

United Nations peacekeeping missions also have a special responsibility to conduct outreach to T/PCCs, including producing content such as feature stories, videos and photos. The strategic communications and public information component should engage the media section of T/PCCs, as well as supporting the dissemination of online content and via relevant United Nations Information Centres.

Internal communications across the military component are also important. All serving military personnel should be aware of the mission mandate, strategic goals and standards of conduct, including the importance of maintaining the confidentiality and anonymity of victims of sexual violence. The Director of Public Information can advise the FC on internal communications. The FC, however, is responsible for ensuring dissemination of these goals, and this information and advice within military components.

## CHAPTER 3. LEADERSHIP IN THE PREDEPLOYMENT PHASE, MANDATE IMPLEMENTATION AND FORCE PROTECTION

***In hostile environments of high operational tempo, reducing fatalities and injuries due to violent acts requires a thorough understanding of the operating environment and its threats to mission and population, and a right mindset is crucial to adapt effectively.***

### 3.1. Leadership and mindset

In order to operate effectively in a dynamic and often complex mission environment, military leadership at all levels should foster an expeditionary posture that allows the unit to be flexible, proactive and responsive to changing conditions. This will require mission-command style leadership that can respond to challenges through decentralized execution, thus providing the tactical space necessary to achieve mission and force objectives. The commanders further create conditions for operational success by ensuring that all combat support and service support enablers are in place and supportive of subunit efforts down to the company and platoon levels. Military leaders at all levels must maintain an offensive, proactive mindset (position, posture and profile) to support achievement of the mandate, and to ensure force protection and the protection of civilians (in missions with protection of civilians mandates). Often this will involve being prepared to execute high-tempo, potentially offensive operational tasks, such as the seizing, holding and dominating of key terrain features and population centres, including by night. Overall, a high operational tempo is the surest means of gaining, maintaining and exploiting the operational initiative, thereby assuring mandate implementation.

Key elements of mindset are the quality of leadership and the initiative and judgment of the unit's commanding officer, as well as how this translates to the unit's motivation, responsiveness to orders and intent, including its proactiveness in responding to changing circumstances, even without direct orders from higher headquarters. How the unit has learned from mistakes or improved from conducted operations is also important.

#### 3.1.1. Operational behaviour

Operational behaviour on the ground must be based on a risk assessment according to the specific situation and threat environment. Each mission is unique, and even within each country, different situations or sectors require different actions and risk mitigation, given the changing environment in the operational area. Important factors to consider include, among others, the implementation of mission mandates and the ROE.

#### 3.1.2. Caveats

Caveats are any limitations, restrictions, conditions or constraints imposed by a Member State on its military contingent deployed in United Nations peace operations that impede United Nations commanders from fully deploying and employing assets in line with the United Nations strategic and operational guidance documents, including but not limited to the SUR and the MOU. Caveats have the potential to adversely impact the effectiveness and efficiency of mandate implementation and to decrease the ability of the force to accomplish its mandated tasks, including the protection of civilians and the provision of security to United Nations personnel or facilities.

### 3.1.3. Declared caveats

Declared caveats are those explicitly stated by a Member State prior to a deployment. These become operational limitations once the United Nations agrees to a variation from the SUR.

### 3.1.4. 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, thus posing 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. Military units should operate without national caveats, as these break the equality between contingents and damage the integration required to maintain security. Caveats that were not announced previously can significantly hamper the planning of operations and obstruct adequate and rapid crisis response.

### 3.1.5. Caveats processing

All declared caveats should be included in the Peacekeeping Capability Readiness System pledge. When a TCC is selected to be deployed in a certain mission, any declared caveats will be addressed during the negotiation of the MOU and considered when developing the SUR. When an additional caveat, which was not agreed during the negotiation of the MOU, is identified or declared in the mission by a Member State, the mission will first attempt to address the issue at the mission level, in line with the signed MOU and SUR. When the efforts at the mission level are not sufficiently effective, the mission will proceed with officially informing DPO through OMA, including on actions taken at the mission level and recommendations. The OMA will study the undeclared caveats and will provide the mission with the necessary actions to be undertaken or will address the issue directly with the TCC. Undeclared caveats will also be considered in the unit performance evaluation report and stated in the monthly and quarterly performance review meetings, as required.

Figure 5  
Declared caveats procedure

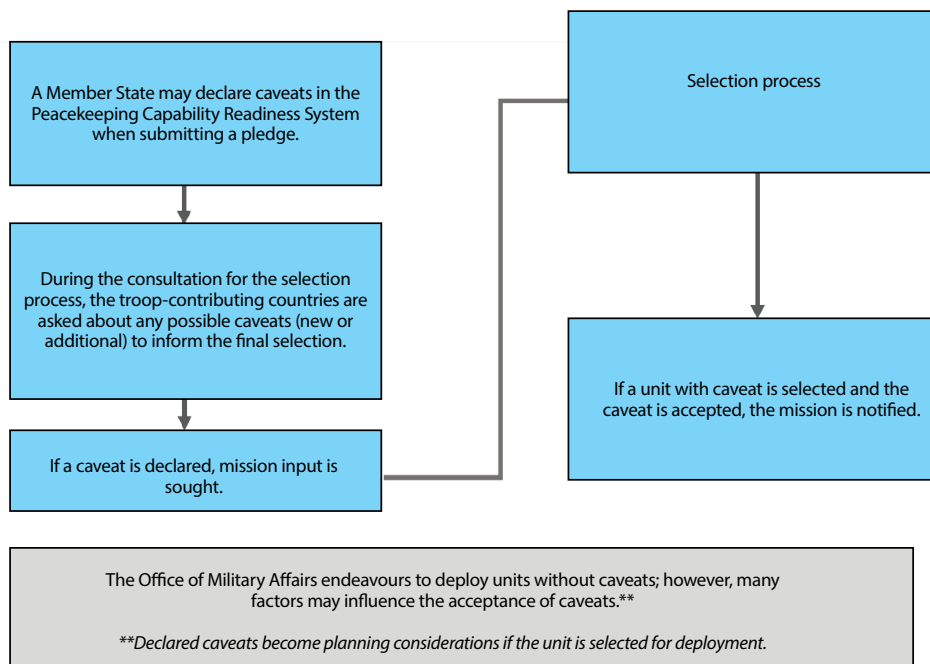
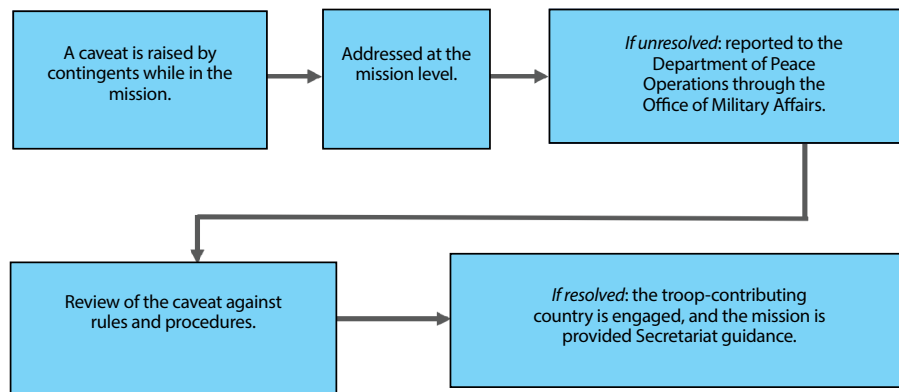


Figure 6  
Undeclared caveats procedure



## 3.2. Predeployment and mandate implementation

### 3.2.1. Use of force

One of the principles of traditional peacekeeping is the use of force only for self-defence or in defence of the mandate. To deter and repel attacks and to defeat attackers, commanders and their units need to have the correct mindset and should not fear the use of force when necessary. It has to be understood by all that projecting professionalism, strength, readiness and robust capability creates a more secure condition for mission personnel and the local population. The use of force must be within the limits of the ROE. While remaining predominantly defensive in nature, the ROE allow offensive action, if necessary, to ensure the implementation of the tasks mandated by the Security Council. The ROE also define the circumstances in which the use of force, including deadly force, is justified. It is imperative that commanders seek clarification from the Secretariat if the ROE are unclear or inappropriate for any given military situation.

In missions with a protection of civilians mandate, uniformed components must act to prevent, deter or respond to threats of physical violence against civilians within the mission's capabilities and areas of deployment through the use of all necessary means, up to and including deadly force. When a threat of an attack against civilians is identified, proactive and timely measures must be taken to eliminate or mitigate the threat before violence occurs. These include use of credible deterrent actions such as reinforced presence and patrolling, show of force, securing key sites, inter-positioning, psychological operations and proactive military and police operations, which may extend to pre-empting and neutralizing the source of the threat in accordance with the mandate, the ROE and directives on the use of force.

### 3.2.2. Equipment

Troops should be deployed with equipment that is necessary and appropriate to the threat environment. Inadequate, inoperative or missing equipment could significantly increase the number of casualties and diminish the ability to protect civilians and execute other mandated tasks. In various missions, TCCs are expected to deploy and maintain specialized equipment including mine-protected vehicles, special weapons and special ammunitions. Commanders should appeal to their national leadership to always deploy their unit with appropriate and adequate equipment.

### 3.2.3. Peacekeeping-intelligence

To prevent casualties and execute the mandate, military units need tactical peacekeeping-intelligence and must be able to transform peacekeeping-intelligence into clear tasks and actions that improve security. While high-tech assets are helpful and can augment basic equipment and personnel assets, networks of informants, situational awareness and capability to communicate with the population are often essential to collecting key information. The use of mixed peacekeeping-intelligence teams, composed of men and women, is recommended to facilitate interactions with local communities and promote a less confrontational atmosphere. In the same vein, civil-military coordination activities with an engagement platoon (a tactical-level resource of the United Nations infantry battalion<sup>16</sup>) should be undertaken to provide the necessary interface to gain the confidence of the local population, prevent or pre-alert attacks, and reinforce local support networks to improve access to essential information. Military units in adjacent sectors should also support each other with information. Furthermore, all other mission components should be organized to augment military units with the collection of human peacekeeping-intelligence.

### 3.2.4. Technology

While the use of high-level sophisticated technology will provide personnel with the capabilities and information they need on the ground, basic technology also contributes to assisting military units to prevent and respond to attacks. Further, appropriate vehicles, special rifles for snipers, special ammunition, night-vision capability and laser aiming scopes, among other technologies, are also required. For units that will be or are operating in hostile environments, TCCs must provide commanders with the resources needed to succeed. Additionally, commanders should appeal to their national leadership to provide appropriate technology and specialized equipment.

### 3.2.5. Impunity

When perpetrators enjoy impunity after attacks, they are more likely to view the Organization as weak and attack again. Missions may also be reluctant to react strongly to lesser violations targeting peacekeepers, such as illegal deprivation of liberty, threats and incitement to violence. This gradually emboldens perpetrators who get used to acting with impunity. In this regard, United Nations military personnel may, in accordance with a mission's mandate, provide security and other logistical support for national military and civilian justice investigations and trials, particularly in relation to conflict-related, international or other serious crimes committed against the civilian population. Guidelines and standard operating procedures must be in place for crime scene management, and the collection and securing of evidence to be utilized by the investigative agency/prosecutor.

The United Nations must also ensure that perpetrators are arrested, investigated and prosecuted for crimes committed against peacekeepers. If the United Nations presence is mandated to assume either partial or full executive policing responsibility within a designated territory while the host-State police and other law enforcement agencies regain functional self-sufficiency, the investigation of conflict-related, international or other serious crimes committed against the civilian population or crimes committed against peacekeepers shall be conducted by the United Nations police component. This shall be done with the support of military and civilian peacekeepers, if necessary.

More commonly, however, the United Nations presence plays an operational and support role, helping the host-State police and other law enforcement, prosecutorial and judicial authorities to conduct investigations

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<sup>16</sup> See United Nations Infantry Battalion Manual (Ref. 2020.01).

and special operations and to investigate and/or prosecute conflict-related, international or other serious crimes committed against the civilian population or against peacekeepers. Support may also be provided to prosecutorial and/or judicial authorities to investigate and prosecute perpetrators, including through mobile courts. While supporting the host-State police and other law enforcement agencies and judicial/prosecutorial authorities in these investigations, the United Nations shall focus on supporting host-State authorities in protecting persons (victims, witnesses), securing the crime scene, collecting and preserving evidence, apprehending suspects and assisting in their eventual prosecution and trial, including as part of judicial cooperation measures.

Under these scenarios, there must be a focus on accountability for all serious crimes against civilians and peacekeepers, including international crimes, intentional homicide, illegal deprivations of liberty and freedom of movement, threats and incitement to violence against peacekeepers and similar violations. If warranted by the situation on the ground, specific strategies shall be developed and implemented for the prevention of, and accountability for, serious crimes against civilians and mission personnel.

With specific regard to crimes committed against mission personnel, the Standard Operating Procedures on Prevention, Investigation and Prosecution of Serious Crimes Committed against United Nations Personnel in Peacekeeping Operations and Special Political Missions outline key modalities and responsibilities of the United Nations in its support to national and other competent authorities to facilitate the investigation, prosecution and adjudication of related cases by the competent law enforcement, prosecutorial or judicial authorities. This document must be used for further detailed guidance on this matter. TCCs should also closely cooperate with the United Nations and support the authorities of the host State in their efforts to promptly investigate and effectively prosecute those responsible for crimes against their personnel, in accordance with international and national standards.

All military personnel should support the mission in their efforts to effectively address crimes committed against their personnel. These crimes include intentional homicide, kidnapping and other serious crimes against persons. Peacekeeping operations and special political missions are expected to systemically link efforts with the field mission's advocacy to ensure accountability for such crimes and secure the political commitment of the host State to ending impunity for serious violations and abuses of international human rights law and violations of international humanitarian law. The first basis for the prosecution of individuals responsible for crimes against personnel of the concerned mission should be the national legal framework of the host State, with domestic law enforcement and justice institutions being the authorities of first resort. This is reflected in the status-of-forces and status-of-mission agreements signed between the United Nations and the host State upon establishment of a United Nations peace operation. At a practical level, however, national prosecutions of perpetrators of attacks may fail due to lack of capacity in the national law enforcement and justice institutions, as well as the absence of usable forensic and other evidence, including where United Nations personnel did not appropriately secure such evidence in the immediate aftermath of attacks when competent national authorities were unable to do so.

Military personnel should comply with the Standard Operating Procedures on Prevention, Investigation and Prosecution of Serious Crimes Committed against United Nations Personnel in Peacekeeping Operations and Special Political Missions. Other mission-specific issuances, including on the collection and preservation of evidence after the commission of a crime against United Nations personnel, should be strictly developed and implemented.



### 3.2.6. Accountability of United Nations peacekeepers

As with other United Nations officials, commanders at all levels must be held accountable for failing to adapt to high-risk operational environments. For units that will be or are operating in hostile environments, TCCs must provide commanders with the resources needed to succeed. Both the United Nations and TCCs need to hold commanders accountable for their actions and the performance of their units.

## 3.3. Peacekeeping-intelligence

### 3.3.1. Background

The idea of the United Nations developing strategic intelligence capabilities is not new. In 2000, the Panel on United Nations Peace Operations, chaired by Lakhdar Brahimi, recommended that “United Nations forces ... should be afforded the field intelligence and other capabilities needed to mount an effective defence against violent challengers” (A/55/305–S/2000/809). The Special Committee on Peacekeeping Operations of the General Assembly (C-34) also recognized the importance of enhancing information-gathering and analysis. In its 2017 report (A/71/19), the Special Committee recognized that “some peacekeeping missions have been deployed in fragile political and security environments with asymmetrical and complex threats”. In this context, the Special Committee recalled “its request for the Secretariat to develop a more cohesive and integrated United Nations system for situational awareness”. To further develop and strengthen the United Nations peacekeeping-intelligence/situational-awareness architecture, a Policy on Peacekeeping-Intelligence has been advanced. The efforts focused on policy and procedure, especially the effective and expeditious collection, analysis, interpretation and dissemination of information, using efficient peacekeeping-intelligence structures and modern technology.

Peacekeeping-intelligence is the non-clandestine acquisition and processing of information by a mission within a directed mission peacekeeping-intelligence cycle to meet requirements for decision-making and to inform operations related to the safe and effective implementation of Security Council mandates. The Policy on Peacekeeping-Intelligence sets out why and how United Nations peacekeeping operations acquire, collate, analyse, disseminate, use, protect and manage peacekeeping-intelligence in the field. It establishes a framework that articulates a consistent and principled approach to peacekeeping-intelligence; ensures the most effective utilization of available resources; establishes a robust regime of accountability and continuous improvement; and enacts mechanisms to enable an effective, integrated and secure whole-of-mission approach.

The fundamental purpose of peacekeeping-intelligence in United Nations peacekeeping operations is to enable missions to take appropriate actions to fulfil mandates quickly, effectively and safely. Specifically, peacekeeping-intelligence is intended to:

- Support a common operational picture
- Provide early warning of imminent threats
- Identify risks and opportunities.

### 3.3.2. Military Peacekeeping-Intelligence Handbook

The *Military Peacekeeping-Intelligence Handbook* for tactical/operational-level peacekeeping-intelligence is provided to establish military peacekeeping-intelligence capacity at the force, sector and battalion headquarters levels. The *Handbook* focuses on the military component, highlighting possible connections with other entities in the mission. It is designed to support military planners and decision makers

in the execution of their mandated tasks, and to help TCCs to train their human assets in the field of peacekeeping-intelligence before deployment. This *Handbook* is expected to serve as a guideline for the military component to streamline peacekeeping-intelligence business as per the Policy on Peacekeeping-Intelligence and best practices.

### 3.4. Force protection

Force protection is the continuing process of detecting threats and hazards to United Nations personnel, facilities, resources, operations and activities, and assessing their risk in order to apply proactive and reactive risk-mitigation measures. This process includes threat prevention, pre-emption, negation and response to preserve the freedom of action and operational effectiveness of the military component, thereby contributing to mandate implementation and mission success. Force protection is part of the comprehensive United Nations policy on safety and security. It is not limited to the physical protection of a base or a convoy, but also includes actions for mitigating other hazards and threats, such as information security, medical, fire and explosive ordnance threats.

During the predeployment phase, threats and hazards should be identified and planned for by TCCs to ensure that adequate and appropriate force-protection assets and capabilities required during deployment are provided. Threats should be constantly analysed and new threats identified to determine if force-protection measures remain adequate or require adjusting. Post-deployment, lessons should be identified and incorporated into future national planning processes. In-mission force-protection training should include joint training and synchronization of procedures with other United Nations components to enhance interoperability and an integrated approach. Joint training should be conducted, as a minimum, quarterly and in collaboration with DSS. Training should include adaptive, tactical and contingency planning and should be threat-based and within the available resources. Military units should conduct, at a minimum, monthly force-protection exercises that include rehearsals for force-protection scenarios, such as defence plans for mobile and static operations, insider threat and direct attack, and for all preventive and reactive risk-mitigation actions and measures. The scope, type, methodology, length, frequency and execution of force-protection training are to follow relevant United Nations standards and mission-specific guidance.

Force protection is a fundamental principle of all military operations. The FC is responsible for force protection in the mission area. Commanders are responsible for contributing to and integrating into the wider protection plans of the mission as a whole.

A proactive approach to force protection will often involve joint action implemented through the coordination and synchronization of operations, peacekeeping-intelligence, information and outreach activities. The force-protection process involves detecting threats, assessing their risks and applying measures to mitigate them. It is this dynamic and co-dependent nature of the relationship that necessitates that force protection be considered at the outset of the planning process.

In the absence of a common threat to all regions/sectors, local threat levels may be established to focus force-protection efforts. Commanders should assess the vulnerability of their assets and facilities and provide measures, tasks and activities as appropriate. Force protection should be based on risk management, not risk elimination. Casualties are a reality of military operations, and the desire to avoid them totally may impact adversely the implementation of the mission mandate and undermine political and military resolve. Proper force-protection planning will help commanders to achieve the required balance between risk mitigation and implementation of the mission mandate.

The risks from threats, hazards and other vulnerabilities should be continuously re-evaluated to always ensure appropriate force protection. Force-protection plans should be reviewed periodically or as necessary to assess their continuing applicability to the nature/level of threat or vulnerability of the forces, in order to mitigate the risks and to plan effectively. Force-protection planning requires integrated mission analysis, threat and hazard identification, risk assessment and risk management (developing measures, tasks and activities and their execution). Plans should ensure assets identified as mission-critical are always protected as a priority.

Appropriate predeployment force-protection training for the military is vital to the survivability of troops and the success of any mission. Training of individual units remains a national responsibility before deployment. However, collective training of the United Nations force, supported by a meaningful evaluation and assessment process, is the responsibility of the force, sector and unit commanders.

Upon deployment, theatre induction training reinforces predeployment efforts and is critical to the integration of force-protection measures on a multinational level. All personnel should be briefed on threats, hazards, procedures and alarms unique to the deployed location. During operations, troops may require additional training owing to the changing operational environment.

### 3.4.1. Bases

The threat of an attack against a deployed location necessitates the establishment of an area of operation around and inside a base, facility or deployable camp. This is to prevent both direct and indirect attacks being targeted at mission-essential equipment, infrastructure or personnel. The HOM or force/sector commander should place the location under the control of a single commander, if required. The immediate area around any operating base or location dictates what measures, tasks and activities need to be applied to counter prevalent threats or hazards and to seek to achieve a secure operating environment.

Protection of the base or other locations includes all actions to gain control over the situation in such a way that United Nations troops, instead of opposing forces, have freedom of movement or access. The most common threats and actions to be taken are as follows:

- **Indirect fire.** Reduce the effectiveness of any indirect fire attack on the force through counter-fire, overhead protection, etc.
- **Improvised explosive devices (IEDs)/explosive ordnance.** Prevent or reduce the effectiveness of IED attacks on any unit or contingent with physical protection (e.g. infrastructure, vehicles), hazard awareness training, search-and-detect procedures, etc.
- **Direct fire.** Reduce the effectiveness of direct fire attacks on the force through patrols, watchtowers, guard rotations, checkpoints, etc.
- **Reconnaissance and surveillance of bases or unit activities.** Prevent or reduce the effectiveness of adversary reconnaissance through active patrols, counter-surveillance, etc.
- **Influence.** Conduct planning for activities, operations and engagements in order to cause a change in the character, thought or action of a particular entity.
- **Perimeter or base defence.** Prevent unauthorized personnel gaining access to any United Nations facility through access control measures, patrols, watchtowers, serpentine gates, etc.

### 3.4.2. Guidance

Commanders must consider the following:

Bases must have the best possible physical security measures, but security also comes from action. All bases should be surrounded by a clearly defined security zone, however near United Nations facilities and camps there may be roads, small villages or possibly IDP camps within this “security zone”. The population, the host nation’s military and any armed groups should be informed that it is an area with zero tolerance for the presence of armed groups. United Nations troops should use all tactics and measures to dominate the area, including night operations, foot patrols and the occupation of hidden/dissimulated static positions during the day and night to impose movement restriction on disgruntled groups or armed group actors.

- Military units must invest in physical defence structures at camps, such as sensors, gates, closed-circuit cameras, fences, ditch and berm barriers, walls, trenches and bunkers, but these do not replace basic measures to defend the camp and a proactive posture to turn the base into a hub for security dispersal. Troops which are not in active force-protection roles (e.g. enabling units) must remain in a proactive posture and be trained and exercised to participate in the defence of the entire base in an integrated manner.
- Commanders should ensure that all military personnel irrespective of rank contribute to the protection of the unit. Their knowledge should include base sectorization, the sector C2 plan, and individual asset/workplace protection, as well as how the entire unit contributes to the force protection and base defence holistically. Access control, guards and sentries (including guard commanders), alarm responses, warnings and information, post-attack reconnaissance, unexploded ordnance detection and marking, and the rules/processes for the inclusion of contractors and locally employed civilians are extremely important.
- Consequence management is vital for regaining control of the situation. It includes measures, tasks and activities taken to mitigate the damage, loss, hardship and suffering caused by catastrophes, disasters or hostile actions. It also includes measures to support development and/or humanitarian actors to restore essential services, protect public health and safety, and provide emergency relief to affected populations.

## 3.5. Search and detect and improvised explosive devices

### 3.5.1. Search and detect

Search-and-detect operations entail identifying and marking explosive ordnance, such as landmines and other explosive remnants of war, by teaching people how to protect themselves from danger in an affected environment, assisting victims and advocating for a safe environment. Explosive ordnance includes, among others, landmines, explosive remnants of war, unexploded ordnance (bombs, mortars, grenades, missiles or other devices that failed to detonate upon impact), abandoned explosive ordnance (weapons and ammunition left behind by armed forces) and IEDs, or booby traps, roadside bombs or vehicle- and person-borne threats. Military commanders should be aware that civilian organizations or specialized military units may be deployed in their area of responsibility to carry out mine action coordinated by the Mine Action Service. It is important to establish a communication link with the coverage to ensure coordination between civilian and military search-and-detect units, based on the principle that military peacekeeping functions and duties are always under military component responsibility. The functions of military units responsible for search and detect, including counter explosive threat units, are contained in the Guidelines

on Improvised Explosive Device (IED) Threat Mitigation in Mission Settings, and the explosive ordnance disposal guidance documents developed by the OMA.<sup>17</sup>

### 3.5.2. Definition of an improvised explosive device

An IED is a device placed or fabricated in an improvised manner incorporating destructive, noxious, pyrotechnic or incendiary chemicals. It is designed to destroy, incapacitate, harass or distract. It may incorporate military stores but is normally devised from non-military components. More detailed definitions can be found in the IED Threat Mitigation Military and Police Handbook.<sup>18</sup>

### 3.5.3. Improvised explosive device threat mitigation

IEDs are an increasingly common characteristic of conflicts around the world. They have become a weapon of choice for unarmed groups across the globe. Along with other types of explosive ordnance, such as mines, IEDs pose hazards in conflict and post-conflict-affected areas. The safety and security of United Nations personnel, its military and police units, facilities, equipment and operations, as well as civilians, against the IED threat is critical for creating a secure environment. Based on strategic and operational understanding of the threat, there is a need to address the challenge through well-planned, managed and directed IED threat mitigation response during all phases of the United Nations mission life cycle.

### 3.5.4. Threat mitigation methodology

In designing an integrated, holistic approach to the IED threat mitigation plan, six fundamental actions form the basis in such efforts (predict, prevent, detect, dispose, mitigate and exploit). These actions incorporate peacekeeping-intelligence, information, training, operations, materiel, technology, tactics, policy and resourcing solutions.

The amalgamation of these activities provides the capabilities required by the mission to predict adversary actions; to prevent the adversary from executing their plans; to detect explosive ordnance material and devices; to neutralize emplaced devices; and to mitigate the effects of an IED event. The full spectrum of activities is intended to be informative and not prescriptive – the capacity to execute the six fundamental actions may be beyond the scope of a mission’s mandate or beyond the capabilities available to the force:

- **Predict:** Prediction is the process of conducting analysis to determine the actions necessary to develop and maintain a comprehensive understanding of the operational IED environment. Prediction involves exploiting peacekeeping-intelligence in order to contribute to the development of a more concise understanding of the structure of an adversary’s cell, systems, networks, training, equipment, infrastructure, tactics, techniques and procedures, support mechanisms (e.g. IED materiel), and other capabilities that may indicate or forecast IED operations.
- **Prevent:** Prevention entails proactive actions associated with degrading an adversary’s capability through the detection of IEDs and precursors prior to emplacement in order to prevent an attack. These include:
  - Neutralizing or capturing bomb makers and their supporting subsystems.
  - Disrupting the IED chain of events prior to emplacement.
  - Deterring public support for the adversary’s use of IEDs.

<sup>17</sup> See <https://peacekeepingresourcehub.un.org/en/training>.

<sup>18</sup> Available at <https://peacekeepingresourcehub.un.org/friendly.php?s=en/policy>.

- Taking action to target, interdict and eliminate an adversary's personnel, infrastructure and logistic capabilities, and to combat operations involving IEDs.
- **Detect:** Detection refers to activities undertaken after an IED has been emplaced. Detect functions are designed to identify and locate an explosive device (and their component parts), equipment, personnel, component caches, weapons and infrastructure.
- **Dispose:** Disposal comprises actions taken to prevent uncontrolled detonation. IEDs must be disposed safely through a deliberate detonation, disruption or neutralization. Disposal enables peacekeepers and the local populace to operate safely in and around the emplacement site.
- **Mitigate:** The mitigate function is initiated when predict, prevent and detect actions fail. Mitigate activities are undertaken to minimize the effects of an IED event. This includes procedures, countermeasures, equipment and fortification.
- **Exploit:** Exploitation is the process through which event and associated physical materials are recorded and analysed. The objective is to understand an adversary's methods of operation and relationships, and the capability of the device through analysis of component parts. Exploitation takes place at any stage within the IED system, although every effort must be made to conduct exploitation as early as possible to restrict or reduce the adversary's IED activities.

## CHAPTER 4. PROTECTION OF CIVILIANS AND HUMAN RIGHTS

***Peacekeeping missions are increasingly judged by the effectiveness of their actions to protect civilians. Successes and failures in doing so impact the perceived legitimacy and credibility of the mission and of the United Nations in the eyes of the host State, the local population and the international community.***

### 4.1. Protection of civilians and human rights

The mission's mandates on human rights, protection of civilians, child protection and conflict-related sexual violence are interrelated and complement each other. Implementation of these mandates is a whole-of-mission responsibility and requires close cooperation between uniformed and civilian components of a mission. The protection of civilians mandate is about preventing, pre-empting, deterring or responding to threats of physical violence against civilians, whereas the human rights mandate covers all violations of civil, political, economic, social and cultural rights. Resolutions on child protection and conflict-related sexual violence underpin mission-mandated tasks to prevent and respond to sexual violence and to protect children.

An overwhelming majority of uniformed peacekeeping personnel are currently deployed in missions that have been mandated by the Security Council to protect civilians. Many of these missions also have mandates to promote and protect human rights, protect children and prevent and respond to conflict-related sexual violence. While the host State has the primary responsibility to protect civilians in its territory, peacekeeping missions play a key role in supporting host-State actors to uphold their responsibilities to protect civilians. However, peacekeeping missions with a protection of civilians mandate are authorized to act independently to protect civilians when the host State is deemed unable or unwilling to do so, or where government forces pose a threat to civilians.

This chapter applies to those military components deployed to missions with mandates for protection of civilians, promotion and protection of human rights, protection of children and/or combating conflict-related sexual violence.

#### 4.1.1. Defining protection of civilians in United Nations peacekeeping

The protection of civilians mandate in United Nations peacekeeping is defined as “without prejudice to the primary responsibility of the host State, integrated and coordinated activities by all civilian and uniformed mission components to prevent, deter or respond to threats of physical violence against civilians within the Mission's capabilities and areas of deployment through the use of all necessary means, up to and including deadly force”.<sup>19</sup> The protection of civilians mandate is guided by a set of legal and practical principles and is rooted in the Charter of the United Nations and international law. Such principles apply to all missions implementing protection of civilians mandates.

#### 4.1.2. Operational concept and tiers

Peacekeeping operations mandated to protect civilians have a range of instruments and approaches at their disposal. These are categorized in three tiers: 1) protection through dialogue and engagement; 2) provision of physical protection; and 3) establishing a protective environment. These are mutually accommodating

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<sup>19</sup> See the Policy on the Protection of Civilians in United Nations Peacekeeping (Ref. 2023.05).

and reinforcing and are implemented simultaneously and strategically in accordance with the mission mandate, mission phase and the circumstances on the ground. There is no inherent hierarchy or sequencing between the tiers. The protection of civilians mandate is implemented at all levels of the missions. The military, like the civilian and police components, has a role to play in each of these tiers. Action across all three tiers will emphasize prevention and pre-emption, as well as the primary responsibility of the host State to protect civilians. Across all three tiers, United Nations peacekeepers utilize both armed and unarmed approaches to protect civilians. Unarmed approaches to protection include the full range of protection activities undertaken by civilian and uniformed personnel that do not involve the projection of military power or the threat or use of force. Unarmed approaches to protection should be carried out as part of a larger comprehensive and integrated approach that includes high-level political engagement and the threat or use of force by uniformed peacekeepers.

The three tiers of protection of civilian action are as follows:

### **Tier I: Protection through dialogue and engagement**

Tier I activities include active, structured and regular dialogue with perpetrators or potential perpetrators of violence against civilians; conflict resolution and mediation between parties to the conflict; advocating with the host State, its security institutions and other relevant actors to intervene to protect civilians including through local conflict resolution and social cohesion activities; strategic communication; investigation; advocacy; reconciliation initiatives; reporting on human rights and protection concerns; and other initiatives that seek to protect civilians through communications, dialogue and direct or indirect engagement. This can include both political interventions by mission leadership or tactical-level actions to engage communities and parties to the conflict.

Tier I reinforces the primacy of politics in the resolution of conflict and the role of peacekeeping in the pursuit of sustainable political solutions. The mission's overall political strategy should contribute to the protection of civilians mandate, and related considerations should underpin the mission's political efforts. Military components can implement and support Tier I in various manners, including dialogue with parties to prevent and end conflict, and engagement with State security forces and non-State armed groups to encourage the protection of civilians and respect for international humanitarian law, where relevant, and international human rights law and to hold alleged perpetrators accountable. The application of the HRDDP, while mandatory, may also be used as leverage to strengthen compliance with international laws by non-United Nations security forces, including the military. This may occur at the field or the Secretariat levels and may include direct communications with local actors or facilitating discussion for United Nations civilian and police staff. Military components can further support monitoring and reporting on protection concerns, which enable the identification of threats and protection needs to inform the mission's protection of civilians strategies and activities and form the basis for accountability.

### **Tier II: Provision of physical protection**

Tier II encompasses activities by all mission components involving facilitating safe passage for refugees or the show or use of force to prevent, deter, pre-empt and respond to situations in which civilians are under threat of physical violence. Those actions are informed and implemented in close coordination with civilian sections. This arrangement helps to guide the objectives and conduct of military and police operations by jointly determining the priority areas for deployment, presence and actions; and to facilitate complementary activities in the other tiers. Projecting mission presence includes a range of activities, such as standing military patrols, and other force deployments, including but not limited to quick reaction,



horizontal construction and combat engineer tasks. Further, projection includes information operations, reconnaissance, air operations, area domination and limited tactical operations when offensive operations are mandated and applicable. Good situational awareness and understanding of the area of responsibility are vital to understanding how and when a threat to civilians may manifest. It may be that the best source of information is the local population itself. For example, the displacement of a group of people may be indicative of a threat that has manifested itself or is yet to come. Community Liaison Assistants can also help units to build relationships with local populations.

When carrying out any military operations, United Nations peacekeeping operations must take steps to protect civilians and mitigate harm to civilians that might arise from those operations, before, during or after. Before an operation, a full risk assessment must be conducted and contingency plans for the protection of civilians developed in systematic consultation with relevant civilian and police mission components and, where appropriate, host-State authorities and humanitarian actors. Mission leaders should ensure that measures are taken to prevent harm. This can be done through the establishment of mechanisms and processes that are coordinated at the field and headquarter levels, as appropriate, tracking the positive and negative impact of the operation on civilians, and integrating lessons learned to prevent or mitigate future harm.

Under the protection of civilians mandate, United Nations peacekeeping operations are required to protect civilians regardless of the source of the threat, including when that threat is from elements of the host-State security forces. However, it is recognized that a robust response to threats posed by the host State may be beyond the mission's capabilities, may result in insecurity for peacekeepers or can affect the host State's strategic consent to the mission. Therefore, for an effective and sustainable restoration of security for civilians, from the early stages of deployment, missions must prioritize activities aimed at enhancing and supporting the intent, capacity and accountability of the host State to respect relevant international laws and to fulfil its responsibility to protect civilians through activities under Tiers I and III of the protection of civilians concept.

Civilians at risk may seek the direct physical protection of a United Nations peacekeeping mission by gathering outside or seeking entry to United Nations premises. In anticipation of such, all bases – however temporary – of United Nations peacekeeping missions must have contingency plans in place to provide physical protection in both scenarios in consultation with relevant partners, including, as appropriate, the host State, the UNCT and humanitarian actors. In order of priority, physical protection should be provided:

- On non-United Nations premises, including in camps or settlements, or with host communities.
- In areas adjacent or close to existing mission premises identified for that purpose.
- In extremis, where a lack of preparedness or where the mission has insufficient military or police capacity to secure a site outside the mission compound, a decision to provide physical protection within United Nations premises must be taken by the HOM, in consultation, if time permits, with the Under-Secretary-General for Peace Operations. This option shall be enabled for the minimum duration required, normally for the extent of the threat, and the decision to relocate IDPs shall lie with the mission leadership, acting in close consultation with the HCT, and the relocations should be voluntary.

### **Tier III: Establishing a protective environment**

United Nations peacekeeping operations undertake a range of activities to help to establish an environment that enhances safety and supports the rights of civilians. These activities are normally programmatic in nature, focusing on preventing the (re-)emergence of threats of physical violence, supporting the legitimacy

of the host State and its capacity to protect civilians, and supporting the re-establishment of the rule of law and the criminal justice chain.

While Tier III activities can be undertaken at any time, they are particularly relevant in areas where conflict may be prevented, has subsided or when most imminent threats to civilians have decreased but when protection gains need to be consolidated and future outbreaks of violence prevented. Tier III activities should be prioritized as soon as conflict has subsided in a given area and conditions are conducive. They should also be undertaken with a view to ensuring that adequate national and international capacities are present during and following the transition of peacekeeping missions, recognizing that reconfigurations of United Nations presences may entail increased risks for civilians. Activities that contribute to Tier III are generally planned and undertaken jointly with other partners. However, the military component may be called upon to provide support; for example, on DDR and security sector reform activities or to advocate with local military or armed groups on issues of impunity.

### 4.1.3. Protection of civilians response phases

The protection of civilians requires actions with both short- and long-term outlooks, based on an analysis of the environment, the phase of the conflict, if any, and the mission's life cycle, as well as the nature of the threat. The strategic approach to protection of civilians, and the three tiers, are therefore implemented along four phases:

- I. **Prevention:** where no clear threat to civilians has been identified (longer term).
- II. **Pre-emption:** where likely threats are identified and attacks against civilians are anticipated (short term).
- III. **Response:** where threats to civilians are imminent or occurring (short term).
- IV. **Consolidation:** where violence against civilians is subsiding (longer term).

The phases do not necessarily occur in sequential order and approaches relevant to different phases may be undertaken simultaneously or independently. Activities and objectives under each phase will vary along with the specific content of each country-specific mandate. Within one mission, different approaches may be necessary in different geographical areas, depending on the situation on the ground. Actions across all three tiers may be taken within each operational phase.

### 4.1.4. Planning and coordination

Situational awareness and planning are vital for successful implementation of the protection of civilians mandate. Force headquarters must participate in the development of a mission-wide protection of civilians strategy based on the identified threats to civilians. This strategy will articulate the mission's protection of civilians priorities and a force directive outlining military responsibilities to implement the strategy must be issued. Sectors and battalions must produce their own protection of civilians plans for their areas of operation based on this directive and a threat assessment of the area, in coordination with civilian sections and United Nations police. Contingency plans must be developed, maintained, updated and periodically rehearsed. Effective coordination and collaboration are vital to ensuring a joint approach by all mission components. Coordination structures on protection of civilians are normally established at both mission headquarters and sector or field office level. The military component plays a vital role in these forums by sharing information, undertaking joint analysis and implementing responses to threats to civilians. The Senior Protection of Civilians Adviser's function is to provide advice, coordination, support and guidance to all components on the implementation of the protection of civilians mandate strategy.

### 4.1.5. Community engagement

Actions, plans and programmes to protect civilians must always be informed by consultation with local communities. This takes place through regular, meaningful, safe and respectful engagement with women, men, girls and boys, with a view to understanding and taking into account their concerns, strategies and capacities; empowering local actors and organizations; and supporting existing protection mechanisms in order to contribute to sustainable impact. Analysis and planning for protection of civilians must consider the protection needs and threats faced by different groups of civilians, including, but not limited to, women, men, children, older persons, youth, people with disabilities, ethnic, religious and minority groups, as well as displaced populations. Community engagement, including through the support of Community Liaison Assistants, needs to happen at every stage of the implementation cycle. Community Liaison Assistants can assist with information-gathering, threat or needs assessments, conflict mediation, early warning, local-level protection planning, coordination of and follow-up on field visits and patrols/operations and strengthening the resilience of local communities. In cases of threats of physical violence against individual mission interlocutors or notable personalities, the missions may consider instituting specific measures to protect individuals, including steps to prevent and address intimidation and reprisals for cooperating with the mission, advice and guidance on self-protection measures, documentation and reporting of cases and, in certain cases, the static deployment of armed units outside the individual's residence or the regular patrolling of its environs. Guidance on such measures must first be sought from the mission hierarchy or the Secretariat.

## 4.2. Human rights

### 4.2.1. Mission responsibility

The protection and promotion of human rights are essential elements of United Nations efforts to prevent conflict and crises, to maintain peace, and to assist in post-conflict reconstruction endeavours. United Nations peacekeeping operations are often multidimensional and include human rights mandates and components, tasks and duties. While some peacekeeping missions do not yet have explicit human rights mandates, they are still expected to uphold human rights standards, ensure that they do not adversely affect human rights through their operations, and advance human rights through the implementation of their mandates.

### 4.2.2. Military responsibility

All commanders and soldiers serving in United Nations missions have a responsibility to promote, respect and protect human rights through and during their operations. Strong collaboration between human rights and military components through information-sharing, joint coordination, analysis, planning and training can significantly strengthen peace operations' capacity to protect civilians, by facilitating timely threat assessments, early warning and effective advocacy. This cooperation also leads to better situational awareness and protection of peacekeepers, as a deterioration in the human rights situation may signal a change of attitude and tactics by belligerent forces.

- Human rights responsibilities for United Nations military personnel are described in the Policy on Human Rights in United Nations Peace Operations and Political Missions. Some of these responsibilities include to recognize human rights violations, and to be prepared to intervene in accordance with the mandate and the ROE. In this regard, senior military commanders must:
  - » Provide guidance to peacekeepers when confronted with human rights violations.
  - » Appoint a focal point for human rights to ensure joint coordination, analysis, planning and training, as well as implement the HRDDP.

- » Ensure that military personnel receive adequate human rights training.
- » Record allegations of human rights violations (e.g. killings of civilians, rape, arbitrary arrest) while performing patrolling, checkpoints and searches, and immediately inform the human rights component.
- » Provide support to human rights staff (e.g. escort and military expertise during the conduct of human rights investigations).

Good practices and field lessons learned on the promotion and protection of human rights can be found in the handbook of the OMA and the Office of the United Nations High Commissioner for Human Rights (OHCHR) on integrating human rights in the military components of United Nations peace operations.<sup>20</sup>

The military must further adhere to the HRDDP. Before providing support, it must work with human rights components and the HRDDP task force to assess any risk of the recipient entity committing grave violations of international humanitarian law, human rights law or refugee law and implement adequate risk-mitigation measures. Where support is given, the military component must closely monitor compliance with the mitigation measures and report any violation.

Finally, in accordance with the Policy on Human Rights Screening of United Nations Personnel, the United Nations Secretariat must work closely with TCCs to ensure appropriate screening of the record of any commander and soldier prior to their deployment to a peace operation.

### 4.3. Conflict-related sexual violence

#### 4.3.1. Deployment of women

The military component of peacekeeping operations plays a vital role in the protection of women and children as part of its mandated task of protecting human rights, including in situations of threats of physical violence. This means not only protecting women and men from sexual violence but also being aware of the community dynamics regarding the social and economic reintegration of survivors and providing the necessary support. In support of these goals,<sup>21</sup> the military is encouraged to deploy more women to support this critical aspect of security in peacekeeping operations, and more importantly, to ensure that all United Nations personnel understand that enhancing women's safety also enhances mission success.

#### 4.3.2. Effectiveness

Enhancing effectiveness of the response to conflict-related sexual violence as part of the challenges of conflict is an emerging field in peacekeeping and has received increasing attention from the Security Council. The United Nations has provided clear examples and guidelines for increasing awareness to improve the performance of uniformed peacekeepers addressing conflict-related sexual violence. The blue helmet must remain an emblem of hope, peace and progress for all civilians – men and women, girls and boys. The issue of protecting civilians from conflict-related sexual violence is not only a military task, but also one that requires the participation of a wide range of stakeholders to build a safe and secure environment. Coordination of a unit's tasks should include relevant mission components, such as women's protection advisers, protection of civilians advisers, human rights and child-protection components, and members of the UNCT, in order to ensure that efforts to combat sexual and gender-based violence are multidimensional and harness the full capacity of the United Nations system, rather than working in silos. Civil-military

<sup>20</sup> See <https://peacekeepingresourcehub.un.org/en/training>.

<sup>21</sup> See United Nations, Handbook for United Nations Field Missions on Preventing and Responding to Conflict-related Sexual Violence (Ref. 2020.08).

cooperation officers and infantry battalion engagement platoons, such as human rights monitors for liaison and information management, can also act as an effective link between the force, humanitarian agencies and civilian components, to keep commanders apprised of protection activities, including with respect to conflict-related sexual violence.

### 4.3.3. Sexual violence can be a crime against humanity

When sexual violence is used strategically for military or political gain, or is widespread or systematic, it is recognized as a war crime, a crime against humanity and a constituent component of genocide which can impede the restoration of peace and security (Security Council resolutions 1820 (2008), 1888 (2009) and 1960 (2010)). The Security Council has therefore introduced arrangements into the United Nations agenda to prevent and address sexual violence. The arrangements include:

- Creating the Office of the SRSG on Sexual Violence in Conflict.
- Putting in place monitoring, analysis and reporting arrangements on conflict-related sexual violence to ensure improved prevention, response and accountability.
- Identifying early warning indicators regarding conflict-related sexual violence.
- Hiring women's protection advisers.
- Implementing a dialogue process for “commitments” with parties to armed conflict to prevent and address incidents of sexual violence committed by the parties.
- Listing (naming and shaming) procedures in the annual report of the Secretary-General of parties to conflict credibly suspected of committing conflict-related sexual violence.

Emphasis has been placed on preventing sexual violence, improving coordination of partners, improving services for victims of sexual violence and ensuring accountability for incidents of sexual violence.

## 4.4. Child protection

### 4.4.1. Resolutions and mandates

The protection of children in armed conflict is a fundamental peace and security concern highlighted by numerous Security Council resolutions on children and armed conflict. In addition, the Security Council has included specific provisions for the protection of children in several mandates of United Nations peacekeeping operations.

The implementation of the child-protection mandate is a whole-of-mission responsibility; all peacekeeping personnel, including military personnel, play a role in protecting children. The Policy on Child Protection in United Nations Peace Operations provides detailed guidance on how all peacekeeping missions should work to integrate the protection of children in their work.

### 4.4.2. Role of the military

The military has a special role to play in promoting the protection of children and in preventing violence, abuse, neglect and exploitation of children:

- FCs shall ensure that all military personnel under their command have achieved a common understanding regarding what actions should/should not be taken to protect children, and issue mission-specific guidance on military actions in relation to children.<sup>22</sup>

<sup>22</sup> Templates are available in annexes 5A and 5B to the Handbook for Child Protection Staff in United Nations Peace Operations.

- FCs shall ensure that all military personnel under their command receive in-mission induction briefings and undergo training on child protection.
- FCs and subordinate commanders shall designate military child-protection focal points at all levels of the chain of command.<sup>23</sup>
- Commanding officers shall inform parties to the conflict about the consequences of violations and abuses against children.

#### 4.4.3. Specific protection needs

Special attention must be paid to the specific protection needs of children. Critical issues include:

- Children associated with armed forces or armed groups must be distinguished from combatants and not be considered a target.
- Such children shall be primarily considered as victims.
- In all actions and decisions concerning children, primary consideration should be given to the best interests of the child.
- The apprehension and detention of a child shall only be used as a measure of last resort, for the shortest possible period, and in line with international norms and standards relating to the deprivation of the liberty of children; where possible, priority should be given to alternatives to detention.<sup>24</sup>
- Children should never be put in the direct line of danger or used in information-gathering activities, patrols or operations.
- Where children are captured or separated from armed groups, they should not be interrogated.
- Any questioning of a child must be conducted in a child-sensitive manner; questioning beyond the child's identity, age, medical needs and family whereabouts shall be conducted by civilian child-protection staff, and girls should preferably be interviewed by women.
- Schools and hospitals shall not be used by the military at any time.
- Military personnel must refrain from all forms of exploitation or abuse of children.
- The use of children by United Nations mission or their personnel for purposes of labour or rendering of other services is strictly prohibited.<sup>25</sup>

#### 4.4.4. Information-sharing

Where the mission has a child-protection component, information on violations shall be transmitted to civilian child-protection staff. Information-sharing protocols shall be established with the child-protection component taking into account confidentiality and the sensitivity of dealing with children's issues.

<sup>23</sup> The terms of reference of military child protection focal points are available in annex 3A to the Handbook for Child Protection Staff in United Nations Peace Operations.

<sup>24</sup> Such detention is governed by standard operating procedures developed by the United Nations and other mission-specific guidance. See the Standard Operating Procedure on the Handling of Detention in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2020.13), in particular annex B on special considerations for children.

<sup>25</sup> For further information, see the Policy on Child Protection in United Nations Peace Operations.

## Chapter 5. Operational readiness assurance and performance

***Improving military unit performance is a collective effort between TCCs, the Secretariat, field missions and force headquarters. The coordination of this collective effort is done through operational readiness assurance, which is applied to all units of the military component.***

### 5.1. Operation readiness assurance

The concept of operational readiness assurance applies to all military contributions involved in United Nations field missions conducted under the purview of DPO and DPPA. Operational readiness assurance supports mandate implementation and performance improvement. It provides decision makers, planners and trainers greater clarity on expectations for the operational readiness of military contributions of TCCs. Operational readiness assurance is designed to further improve the performance of deployed military units by ensuring a holistic approach by all stakeholders. The performance improvement cycle is divided into four distinct phases: shaping, preparation, delivery and learning.

#### 5.1.1. Shaping

The shaping phase of the performance improvement cycle typically begins well before any military unit is designated for United Nations peacekeeping operations. Shaping is conducted by Member States and involves in-depth training, equipping and preparation in all military aspects including personnel strength and skillsets, equipment, doctrine and administration. This phase includes foundational military training upon which peacekeeping competencies can be added. The Secretariat and missions shall provide Member States with reference documents during the shaping phase, and these documents should be available and understood by all personnel designated for United Nations peacekeeping.

#### 5.1.2. Preparation

The preparation phase of the performance improvement cycle usually takes place three to six months before deployment. TCCs, the Secretariat and the respective force headquarters play important roles during this part of the process. Based on the foundational skills established during the shaping phase, peacekeeping competencies are added, shifting the emphasis to United Nations standards and practices, while maintaining and improving basic military skills. The preparation phase ensures that personnel, organizations, units and equipment are operationally ready to deploy. To assist TCCs in this phase of their certification process, DPO and DOS shall conduct and set up assessment and advisory visits, reconnaissance visits and predeployment visits. There is also the light coordination mechanism which assists in coordinating the provision of training support to TCCs to get them operationally ready for deployment and improved performance in the field.

#### 5.1.3. Delivery

The delivery phase relates to the execution of mandated tasks in the mission area. In this phase, FCs have the main responsibility to evaluate and maintain operational readiness levels. Mission-specific doctrine, policy, orders and guidance are extremely important at this phase to ensure understanding of the mission setting, threat environment, mandate and context. The force headquarters establishes an in-mission operational readiness assurance programme, including an evaluation process. Included in the operational readiness assurance evaluation programme is the vetting of incoming units. Personnel and units shall receive mission-

specific, in-mission training based on programmes developed by the mission/force headquarters supported by Mission Training Centres.

#### 5.1.4. Learning

The learning phase of the performance improvement cycle relates to the learning process. It focuses on how lessons identified are used by the different stakeholders to enable improvement during the shaping, preparation and delivery phases. Utilizing existing DPO and DOS lessons identified or lessons learned, the learning process should inform all domains related to personnel, units, organization, training, equipment, doctrine and policy. Documents and standards should be scrutinized against the results of different evaluations. Standards and doctrine must be current and reflect contemporary peacekeeping requirements. Building on lessons learned, the Secretariat must regularly review and update standards and doctrine in consultation with the force.

### 5.2. Certification

TCCs should evaluate their units and personnel at least 90 days prior to deployment to allow sufficient time for any shortfalls to be remedied. Self-certification by TCCs is required in the areas explained below.

#### 5.2.1. Operational preparation

TCCs must certify when:

- The unit is tactically organized in accordance with their respective SUR and MOU.
- The unit is provided with the skills, equipment and personnel strength required to operate and self-sustain itself during deployment based on peacekeeping tactics, techniques and procedures.
- The unit is prepared to fulfil its tasks under the provisions of the mission-specific CONOPS, ROE and operations order.
- The unit is appropriately resourced and equipped for all assigned tasks.
- The unit is trained in accordance with the standards and specifications of United Nations predeployment training.
- The unit is prepared, trained and evaluated through field exercises, scenario-based planning events and self-assessment.

#### 5.2.2. Conduct and discipline

TCCs must certify that they have conducted screening for misconduct and further certify the following:

- None of the unit members have been involved in a criminal offence, including of a sexual nature; they have not been convicted or been prosecuted, or are not currently under investigation, for any criminal offence, violation of international human rights law or international humanitarian law.
- The TCC is not aware of any allegation(s) against the members of the unit that they have been involved, by act or omission, in the commission of any acts that amount to violations of international human rights law or international humanitarian law.
- No member of the deploying unit has been previously repatriated on disciplinary grounds or otherwise barred from participation in United Nations peacekeeping operations for an act of serious misconduct, including sexual exploitation and abuse.



- All deploying unit members have undergone the required predeployment training in conduct and discipline, including on sexual exploitation and abuse, delivered in accordance with the United Nations standards of conduct.
- In cases where during screening of personnel conducted by the United Nations, it is revealed that one or more deploying unit members are ineligible to participate in United Nations peacekeeping missions on the grounds of any of the elements outlined in the preceding paragraphs, the TCC will bear the full cost of repatriation for such individuals.

### 5.3. Assistance

DPO, DOS and the mission leadership play a supporting role in guiding and facilitating the achievement of operational readiness and in conducting self-evaluation of the unit.

#### 5.3.1. Role of senior leadership

The senior leadership in DPO, DOS and missions shall:

- Coordinate and provide information to TCCs on performance goals, predeployment preparation requirements and mission-oriented training requirements, operational readiness and self-evaluation coordination predeployment reconnaissance.
- Ensure in-mission induction training is available through the Integrated Mission Training Centres.
- Provide the appropriate level of logistical support, subject to the terms of the MOUs.
- Provide unambiguous operational tasks, roles and responsibilities for the units, and maintain ROE standards.
- Coordinate additional operational mission support to the units.
- Carry out in-mission operational performance and logistics capability evaluation of the unit, as and when required.
- Guide and support TCCs and the unit to improve shortfalls and adopt mid-course corrections.
- Take actions in respective mission hierarchy on evaluation findings, and facilitate rotation schedules and the smooth transfer of authority for operational roles.

### 5.4. Self-evaluation

Self-evaluation is a continuous and concurrent process in which the command element is expected to institute measures and build the organizational capacities to achieve the desired mission-specific capability through well-defined means. It is assumed that a unit is well trained and assessed in basic military skills, and conventional offensive and defensive tactics, techniques and procedures, prior to concentration for peacekeeping orientation training.

#### 5.4.1. Predeployment

A unit may undertake the following activities six to eight months prior to a predeployment visit organized by DPO:

- Ensure timely assembly and equipping of a unit as per the SUR and the MOU, in order to begin predeployment training.
- Conduct mission-specific scenario-based peacekeeping exercises and training.
- Conduct basic soldier skills training and refresher training.

- Develop mission-specific, task oriented, individual and collective expertise (e.g. gender, human rights, environmental capabilities and understanding).
- Identify shortcomings during training, regarding equipment, personnel with specialized skillsets and institute remedial measures to support enhancement of capabilities.
- Utilize lessons learned and best practices during training and incorporate experienced peacekeepers from units recently returned to support predeployment training.
- Enact final predeployment rehearsal of the entire unit by national peacekeeping experts under TCC arrangements, with role-playing.

#### 5.4.2. In-mission

Maintaining operational readiness, continuous performance monitoring and improvement of units and individuals, and reassessing capabilities and skills are extremely important while in a field mission and during deployment. These include but are not limited to:

- Terrain familiarization, induction training and situational awareness.
- In-mission periodic evaluations should be conducted per respective mission standard operating procedures and United Nations Secretariat guidance.
- Continuous monitoring and review of in-mission performance by the unit command element and mission leadership.
- Reassessment of capabilities and skills when the mission operational situation changes or when there is a gap in ground reality and performance.
- Visit by the TCC team from the capital, comprising military officials and peacekeeping experts to monitor and validate unit performance.

#### 5.5. Evaluation by the force and the Secretariat

The force headquarters establish in-mission operational readiness assurance programmes, including an evaluation process of incoming units. Operational readiness is a continuous process. As explained in the Standard Operating Procedures on Force and Sector Commander's Evaluation of Subordinate Military Entities in Peacekeeping Operations, FCs should carry out performance evaluations of all subordinate entities to ascertain gaps in operational needs and performance at least once per rotation. Evaluation reports should be shared with contingent commanders and each evaluation should be followed by a performance improvement plan. Contingent commanders are expected to report back to capital all the details of the evaluation and performance improvement plan. The evaluation report shall also be shared with OMA at United Nations Headquarters. A summary of the evaluation for each T/PCC is included in the DPO T/PCC Knowledge Management System. Contingent commanders are also expected to conduct their own operational readiness evaluations of their personnel and unit(s), reporting the details back to national authorities and informing force headquarters, as appropriate.

Evaluation by Secretariat entities (including DPO and DOS) is determined by different performance criteria. For contingent-owned equipment (COE) deployed under an MOU, the COE Manual (A/78/87) specifies verification and control procedures intended to ensure that the terms of the MOU between the United Nations and the TCC are met by both parties at the outset and throughout the period of effect of the memorandum. Major equipment and self-sustainment standards are defined to ensure operational capability. The COE Manual specifies various types of inspections in the verification process and includes roles and responsibilities of the parties to the MOU. The quarterly COE verification process starts with inspection in the field mission and feeds into the reimbursement process. The quarterly verification process is a joint effort between mission support, the force and the contingent commanders. Other mission-level

inspections can include, but are not limited to, arrival inspections, periodic inspections, operational readiness inspections and repatriation inspections, all focused on COE.

At the force headquarters level, evaluations are linked to the Standard Operating Procedures on Force and Sector Commander's Evaluation of Subordinate Military Entities in Peacekeeping Operations.

Professional credential reviews of medical personnel will be conducted under the verification and control of medical personnel, prior to the deployment, in accordance with the United Nations Guidelines on Technical Clearance Review of Medical Personnel for Deployment to UN Field Duty Stations. It is required that official technical clearance request for medical personnel be submitted to Health-Care Management and Occupational Safety and Health Division/DOS through the focal points of contact in the permanent missions of the Member States no less than three months prior to the desired deployment date.

## 5.6. Individual performance evaluation

Evaluation reports are very important for the United Nations and individual military officers. Commanders shall ensure that performance evaluation reports are prepared at the end of their tour of duty.

The evaluation of the various categories of individual military personnel is as follows:

- **Staff officers in mission, field and Secretariat headquarters and United Nations military experts in missions.** Evaluations are prepared in accordance with the *United Nations Military Experts on Mission Manual* and uploaded by field missions into the OMA recruitment tool (FSS). Reports are therefore permanently accessible to the OMA.
- **Sector and unit commanders.** Reports are prepared on all unit and sector commanders at the end of their tour of duty. Reports down to and including the rank of lieutenant colonel, as well as reports on any officer whose performance of duties is assessed as “unsatisfactory”, will be forwarded to the Secretariat for further submission to the national authorities concerned.
- **Personnel within a military unit.** Unit and subunit commanders prepare evaluations in accordance with the national policies.

## CHAPTER 6. FORCE GENERATION

***Applying a consistent and coherent approach to generation and deployment, including clarifying the roles and responsibilities within the United Nations Secretariat, as well as of field missions and Member States, ensures a more efficient process and, in the end, provides better results.***

### 6.1. Deployment timeline

Upon selection, a timeline is established and agreed upon through consultations between the TCC and the United Nations Secretariat. The timeline is crucial as capabilities need to be deployed in concert with operational needs. This timeline is closely monitored by DPO and DOS.

### 6.2. Force generation process

The process for selecting military units for deployment begins with pledges registered in the Peacekeeping Capability Readiness System. Other factors that must be considered are host-nation agreement, past performance, regional balance, declared caveats and planning considerations. There are four levels of readiness (1, 2, 3 and rapid deployment) based on the level of unit preparedness. The Force Generation Service will recommend and consider the unit to be deployed based on the level of preparedness. The meaning of Peacekeeping Capability Readiness System levels are as follows:

**Level 1.** TCCs can notify the United Nations of a pledge through a note verbale or registration of the pledge in the Peacekeeping Capability Readiness System. The TCC must provide the general structure of the unit pledged, a list of major equipment and a list of self-sustainment equipment. The Peacekeeping Capability Readiness System manager will review the information provided and registers the unit as level 1.

**Level 2.** An assessment and advisory visit by DPO must be conducted for level 2. A successful visit requires all training and equipment to have met United Nations standards and a recommendation by the assessment and advisory visit team to move the unit to level 2, with final approval by the Under-Secretary-General for Peace Operations.

**Level 3.** To achieve level 3, the TCC submits a complete list of major equipment, self-sustainment equipment and materiel, including the load list for the respective unit at level 2. Preliminary MOU negotiations must be discussed, agreed to and completed before the unit is elevated to level 3 by the Peacekeeping Capability Readiness System manager after approval from the Under-Secretary-General for Peace Operations.

**Rapid deployment level.** A rapid deployment level agreement is between the TCC and the Under-Secretary-General for Operational Support stating that the unit will be ready, trained, equipped and operationally capable to be deployed in a field mission within 60 days after a United Nations request. The Secretariat will send annual communications requesting confirmation of all pledges for rapid deployment, and, upon confirmation, the Secretariat selects needed units and lists them at a “provisional” rapid deployment level. A verification visit is then conducted to verify the “provisional” readiness level, and the unit is recommended for rapid deployment level, to be approved by the Under-Secretary-General for Peace Operations.

## 6.3. Troop-contributing country

### 6.3.1. National training systems

Peacekeeping training aims to equip military units, both individually and collectively, with the knowledge, skills and attitudes to enable them to successfully deploy and operate within a peacekeeping environment. National training systems must endeavour to:

- Provide training that equip contingents with competencies appropriate to deal with the evolving challenges of peacekeeping operations, in accordance with United Nations principles, standards, policies and guidelines, as well as lessons learned from the field.
- Perform specialized functions in an effective, professional and integrated manner.
- Provide training that would enable peacekeepers to demonstrate the core values and competencies of the United Nations.

Training is delivered in three main phases: (a) the predeployment phase; (b) arrival at the mission area and induction training; and (c) ongoing refresher training, particularly for substantive or specialized training or for cross-cutting issues and concerns. TCCs should evaluate units and individual personnel prior to deployment. This evaluation should cover operational preparation and readiness, as well as conduct and discipline. A TCC self-certification should be submitted to the Force Generation Service at least eight weeks prior to deployment.

### 6.3.2. Troop-contributing country reconnaissance and final equipment list

When there is an agreement between the United Nations and a TCC to deploy a unit, a reconnaissance visit to the mission area will be authorized and coordinated in accordance with the SUR.

The Policy Directive and Standard Operating Procedures on the subject explain the steps to be followed in a TCC reconnaissance. The TCC will initially bear the cost, which may be reimbursed by the United Nations following deployment. After the reconnaissance visit, the following must be accomplished:

- A reconnaissance report should be agreed upon by both the field mission and the TCC.
- The field mission should then submit the mutually agreed reconnaissance report to DPO.
- Finally, the TCC should submit the final equipment list.

DPO will use the final equipment list as the basis of the draft MOU, which will be negotiated at the Secretariat.

### 6.3.3. Memorandum of understanding negotiations

The MOU between a TCC and the United Nations establishes the administrative, logistical and financial terms and conditions that govern the contribution by a TCC in support of a peacekeeping operation. It is a formal agreement that establishes the responsibility and standards for the provision and reimbursement of uniformed personnel, major equipment and self-sustainment support services of both the United Nations and the TCC. The Uniformed Capabilities Support Division of DOS takes the lead on MOU negotiations.

### 6.3.4. Predeployment visits

After the reconnaissance visit by the TCC and prior to finalizing the MOU, the United Nations will conduct a predeployment visit to the TCC. The predeployment visit primarily verifies the following information:

- Major equipment and the self-sustainment capabilities are in accordance with the MOU.
- Predeployment training is being conducted (or has been completed).

- The unit meets all operational, logistical and readiness requirements. For medical aspects of predeployment visits, it should go beyond just medical equipment counting/inspection to briefing on adequate predeployment medical screening, assessment of training and proficiency in the administration of first aid, knowledge of personal and environmental hygiene, disease threats and environmental protection, as well as assessment of qualifications and credential review for medical personnel.
- The deployment can take place within the planned and agreed time frame.

The predeployment visit is undertaken by staff from DPO, DOS and other Secretariat entities, as well as specialists from the receiving mission. Visits shall be closely coordinated with the TCC to properly sequence the reconnaissance visit, the MOU negotiations and other predeployment visits.

### 6.3.5. Domestic human rights screening

As per the Policy on Human Rights Screening of United Nations Personnel, Member States have the primary responsibility for screening individuals from their country before nominating them for service with the United Nations, and for ensuring that these individuals meet the highest standards of integrity, including respect for and commitment to human rights. Member States are therefore requested to screen their personnel and to certify that they have not committed or are alleged to have committed criminal offences and/or violations of international human rights law and international humanitarian law. Domestic human rights screening mechanisms should involve credible independent institutions and rely on a variety of sources of information.

### 6.3.6. Memorandum of understanding finalization and signature

Once the predeployment visit is completed, the MOU is finalized and signed by DOS and the respective permanent mission of the Member State in New York. There are four basic components of an MOU, as explained below.

#### 6.3.6.1. Load list

The United Nations and TCCs must work closely to ensure that troops and equipment are prepared and deployed as quickly and efficiently as possible. The Movement Control Section in DOS coordinates transportation for deployment, rotation and repatriation, in conjunction with the Field Mission Movement Control Section. Prior to deployment, the TCC must submit detailed information about personnel and cargo to the Movement Control Section and the Force Generation Service.

The load list must include complete information for all personnel and specifications on equipment, cargo and dangerous goods, no later than six weeks before the planned deployment or readiness date, whichever is first. Failure to produce accurate and timely load lists is a common cause of delay for deployments. If an issue arises in preparing national contingents, TCCs should request assistance from the Movement Control Section when developing their load lists and any associated required shipping documentation.

#### 6.3.6.2. Mission area preparation

Following consent of the host State, the Mission Support Centre will coordinate with supply, engineering, movement control and other partners to identify the deployment location in theatre and coordinate any ground preparation (engineering tasks) before contingents deploy.

### 6.3.6.3. Movement

Deployment into a mission area commences once personnel and equipment are trained and prepared, and the Secretariat has received all the required documentation. The Movement Control Section and the mission will support the movement of all associated equipment and personnel from the point of departure to the contingent's deployment area of responsibility. The movement of COE is assisted by the TCC through the provision of drivers and operators.

Should this be an initial deployment of a unit, and operationally required, the United Nations can support the movement of an advance party up to a maximum of 10 per cent of the unit's strength.

The TCC must submit a written request for an advance party to the Force Generation Service of the OMA and coordinate travel details of the advance party providing all relevant passenger information (i.e. name, nationality, date of birth, passport number). All necessary permissions and authorizations for the movement of equipment, ammunition, among other things, from the appropriate authorities in the host country should be obtained prior to the deployment or movement.

TCCs may opt for self-deployment under a separate letter of assist procedure, managed by DOS.

### 6.3.6.4. In-field verification and performance

Each field mission with military units is required to develop and implement a comprehensive management programme for COE and MOUs to ensure that the capabilities of contingents, their major and minor equipment and materiel, and their self-sustainment capabilities meet the operational requirements of the mission. Field missions are required to verify on a periodic and systematic basis that military units meet requirements stipulated in respective MOUs and under the law of armed conflict.

There are four mandatory inspections in the mission area:

- Arrival inspection.
- Periodic verification inspections/spot checks (quarterly).
- Operational readiness inspections (semi-annually).
- Repatriation inspection (prior to departure from the mission area).

The objectives of these inspections are to verify that:

- The terms of the MOU remain appropriate and are met by both the United Nations and the TCCs.
- Equipment is serviceable.
- Self-sustainment standards are met.

## 6.4. Unit rotation

### 6.4.1. Troop rotation

Rotations of units take place after the completion of one year of deployment. Prior to the rotation of units out of the field mission, the TCC must ensure that the predeployment training is completed for the incoming unit. OHCHR should ensure the human rights clearance of all troops and officers, if required, and medical clearance should also be obtained. The TCC should provide a passengers list, together with certification and verification of the unit. In general, only troops are rotated, not equipment. Rotation flights may be used to resupply, for instance, spare parts and consumables.

### 6.4.2. Unit repatriation

The repatriation of a unit may occur for many reasons, including:

- A decision by the Government of the TCC to withdraw.
- A decision made by the Secretariat for either operational or disciplinary reasons, or for closure or downsizing of the mission in preparation for transition stabilizing.

If the TCC decides to withdraw, DPO is notified by the permanent mission of the TCC in New York. DPO will then determine if a replacement unit is required and commence generation. Concurrently, it will liaise with the Movement Control Section in close coordination with the Uniformed Capabilities Support Division to arrange the repatriation.

If DPO decides to repatriate a deployed unit, the respective TCC is immediately notified, and any subsequent discussion on the technicalities of the repatriation will commence. The Movement Control Section will require at least six weeks to put contracts in place for the movement of personnel and cargo back to the home country. Once agreed, the repatriation will follow a timeline established by the mission.

### 6.5. Guidance to troop-contributing countries

It is the responsibility of the TCC to ensure that each member of a deploying unit has not been convicted of, or are not currently under investigation or being prosecuted for, any criminal offence, including violations of international human rights law. In the case of nominees who have been investigated for, charged with or prosecuted for any criminal offence, but were not convicted, the national Government is requested to provide information regarding the investigation(s) or prosecutions concerned. The TCC is also requested to certify that it is not aware of any allegations against the nominated members having committed acts which may amount to violations of international human rights law or international humanitarian law.

Some of the additional recommendations for TCCs are:

- To familiarize with United Nations systems and procedures in advance of making a pledge.
- When making pledges, to provide as much detail of the equipment being offered as possible; this helps DPO to make a more accurate assessment of the capabilities of the TCC.
- To be as prepared as possible beforehand; use generic statements of unit readiness to compare possible requirements with available assets.
- To maintain in constant contact with DPO regarding emerging requirements and to keep OMA well informed about realistic timelines regarding approval of political/military leadership, procurement of equipment and availability for shipment to the mission area.
- To ensure that the selected personnel adhere strictly to the standard of conduct and the highest standards of professionalism and integrity.
- Absence of self-sustainment equipment, such as field kitchens, ablution units, water purification plants, tents and shelters, affects readiness and delays deployment to the field, even when human resources and major equipment stand ready. Therefore, timely provisioning action for self-sustainment equipment is required.
- To endeavour to remain abreast of existing or future capability gaps, so as to make timely offers to the United Nations.
- To have trained troops and ready resources, in order to get preference.
- To provide detailed information to the United Nations about domestic human rights mechanisms to show commitment to prevention and accountability for human rights violations.



## Chapter 7. Training

***All training for United Nations peace operations shall be oriented towards, and contribute to, successful mandate implementation. To ensure that all peacekeeping personnel have a common understanding of United Nations peacekeeping and can function in an integrated manner once deployed, the same principles and appropriate standards should apply to the predeployment training delivered by Member States to military and police personnel, and the civilian predeployment training provided by the United Nations.***

### 7.1. Integrated Training Service

The Integrated Training Service in the Policy, Evaluation and Training Division is responsible for the direction and coordination of United Nations peacekeeping training. The Integrated Training Service develops and provides access to training materials for all peacekeeping personnel, from predeployment to in-mission training. It disseminates the required United Nations training standards and materials to all peacekeeping training partners through the Peacekeeping Resource Hub.<sup>26</sup>

The training of uniformed personnel (individual and contingent) is a national responsibility, pursuant to General Assembly resolution 49/37 of 9 December 1994. Therefore, United Nations peacekeeping training must be conducted prior to a field mission. Predeployment training is conducted to recalibrate personnel's capacity to operate in a peacekeeping environment, which has an integrated framework, with different components operating under a shared mandate and set of objectives.

### 7.2. Peacekeeping training

Peacekeeping training is any training activity that aims to enhance mandate implementation by equipping United Nations military, police and civilian personnel, individually and collectively, with the knowledge, skills and attitudes to enable them to:

- Meet the evolving challenges of peacekeeping operations in accordance with DPO principles, policies and guidelines, as well as lessons learned from the field.
- Perform their specialized functions in an effective, professional and integrated manner.
- Demonstrate the core values and competencies of the United Nations.

#### 7.2.1. Predeployment training

Predeployment training refers to generic, specialized and mission-specific peacekeeping training based on United Nations standards and takes place prior to deployment into a field mission. Predeployment training is the most important phase, one where a unit or individual strives to become proficient in the performance requirements of a peacekeeping environment and to be able to deliver its operational and mandated tasks in the field. In this phase, a unit re-orientates from conventional military training and operations to specialized peacekeeping operations. This phase should include mission-specific and contextual scenario-based training.

Predeployment training remains the responsibility of Member States and should cover four important steps:

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<sup>26</sup> Available at <https://peacekeepingresourcehub.un.org/en/training>.

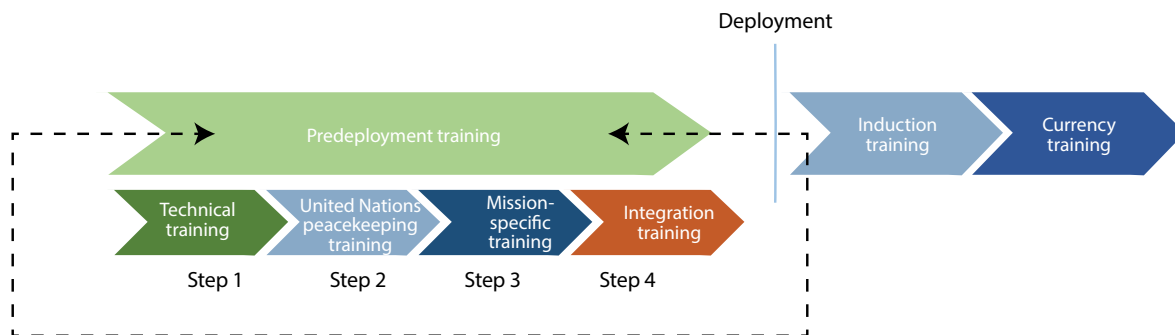
**Step 1: Technical training.** All deploying personnel take basic technical and tactical skills training to meet national predeployment requirements. Non-medical uniformed peacekeepers must receive training on basic first aid and should be skilled in the correct procedures for giving first aid.

**Step 2: United Nations peacekeeping training.** National authorities deliver mandatory predeployment training using United Nations training standards and materials, including the core predeployment training materials, specialized and reinforcement training materials, as well as other relevant guidance provided by the United Nations.

**Step 3: Mission-specific training.** Commanders, staff officers and key personnel complete mission-specific training through conceptual classes, command post exercises, scenario-based exercises, map exercises, field training exercises and tabletop exercises, covering mission mandates and the CONOPS, the operational environment, the ROE, the MOU and the mission deployment timeline.

**Step 4: Integration training.** This includes discussions with currently deployed personnel (if available) or recently deployed personnel with United Nations peacekeeping experience, and communication with personnel deployed as part of an advance party.

Figure 7  
Predeployment training model



### 7.2.2. Predeployment guidance, support and training resources

The United Nations supports mandatory predeployment requirements through the provision of:

- Core predeployment training materials, which applies to all roles, categories and levels of personnel.
- Specialized training materials that correspond to specific roles, and for cross-cutting priority areas of mandate implementation, such as the protection of civilians, conflict-related sexual violence, child protection and staff officer training.
- Other United Nations mandatory training, including the prevention of sexual exploitation and abuse.

### 7.2.3. Standards of conduct

The MOU between the United Nations and a TCC<sup>27</sup> contains an enunciation of the standards of conduct by which the United Nations expects its peacekeepers to comply, including adhering to the provisions of the Secretary-General's bulletin on special measures for protection from sexual exploitation and abuse.<sup>28</sup> The MOU also details the essential cooperation that must take place between the United Nations and TCCs in preventing all forms of misconduct, addressing allegations of misconduct and serious misconduct and providing remedial measures for sexual exploitation and abuse. Predeployment, induction training and regular in-mission training further reinforce the standards of training.

### 7.2.4. Certification

Member States are required to certify that all uniformed personnel have completed predeployment training as part of operational readiness.<sup>29</sup> Predeployment training must be completed in accordance with United Nations standards and specifications, which include conduct and discipline and the prevention of sexual exploitation and abuse. Certification covers the basic operational skills, predeployment training, conduct and discipline, and human rights screening. The list of certifications required for the deployment of troops and individual uniformed personnel in peacekeeping operations is detailed in the Policy on Operational Readiness Preparation.

## 7.3. In-mission training

In-mission training refers to training conducted during deployment in a field operation. It comprises induction and ongoing or refresher training and is coordinated by the Integrated Mission Training Centre and force headquarters.

### 7.3.1. Induction training

Induction training refers to training delivered immediately upon arrival in a peacekeeping mission to individual military staff officers, observers, individual police officers and civilian personnel. For a military unit, induction training is not mandatory because it is expected that the military unit has already undergone the required predeployment training before arrival. However, induction for military units remains critical to military performance and should be focused on important cross-cutting issues derived from mission priorities and the mission mandate.

### 7.3.2. Ongoing or refresher training

Ongoing or refresher training refers to any training or learning activity for military, police or civilian peacekeeping personnel, reinforcement of previous individual or collective training, or other on-the-job training to address gaps in attributes, skills and knowledge. Collaborators in ongoing and refresher training include the Mine Action Service, force headquarters, the Force Medical Officer, as well as other United Nations agencies, funds and programmes.

<sup>27</sup> The text related to conduct and discipline, as contained in the MOU, was adopted by the Member States as document A/61/19 (part III), with only technical revisions since. The documents mentioned here were not guidance documents, while actual guidance documents are mentioned in annex B to the present *Manual*.

<sup>28</sup> See the revised Memorandum of Understanding between the United Nations and Troop-Contributing Countries, annex F, recalling the definition of sexual exploitation and sexual abuse and defining misconduct and serious misconduct.

<sup>29</sup> For additional information, see the Policy on Operational Readiness Assurance and Performance Improvement.

## 7.4. Unit training

Training for United Nations military units is a national responsibility and may vary according to national specificities and resources. However, fundamental training characteristics should be respected when preparing to deploy to a peacekeeping mission. Training should be:

- Realistic: all necessary efforts shall be made to replicate possible real-life situations that the unit might face on the ground.
- Mission-specific: mission operational reality should be brought to the training environment.
- Focused on interaction with different mission elements, mission partners and other actors present in the areas of operations.
- Undertaken exclusively based on applicable mission ROE.

## CHAPTER 8. PERSONNEL AND OPERATIONAL ASPECTS

***It is important that TCCs, the United Nations as a whole, peacekeeping missions and commanders of military units in particular execute their duty of care and do everything possible to maintain and boost the morale of the troops.***

### 8.1. Welfare

#### 8.1.1. Rationale

The provision of welfare and recreation facilities is essential to ensuring a healthy working, living and recreational environment for all categories of United Nations personnel serving in peacekeeping operations. Such an environment is vital to the successful implementation of a mission mandate, enhanced performance and mindset, as well as promoting good conduct and discipline.

Besides safety and security, medical services, rations and accommodation, welfare includes:

- Internet and telephone facilities for contacts with family and friends.
- Home leave, in-mission leave and facilitation of trips outside the mission.
- Recreation: library, computers, sports, cultural programmes, etc.
- Regular film screenings.
- Holidays/celebrations.
- Language classes for local or United Nations official languages.
- Workshops, lectures, arts and crafts, and professional development.

#### 8.1.2. Committee

Usually, a welfare and recreation committee will be established at the mission headquarters. The HOM shall designate regional welfare and recreation teams to implement the workplan of the committee in the regions. As a minimum, the regional welfare and recreation teams shall include representatives of the civilian, police and military components of the mission. However, it does not preclude welfare arrangements being made by military units themselves.

#### 8.1.3. Troop-contributing country and commander responsibilities

TCCs are responsible for the provision of Internet access not linked to the United Nations communication system and to make necessary arrangements for welfare, such as entertainment, television, religious facilities, library and indoor/outdoor sports. The welfare preparation by TCCs and commanders forms an essential element of the predeployment visit.

TCCs and commanders must consider welfare a high priority and conduct regular welfare reviews at all levels within their contingents. Commanders should implement a gender perspective in all their activities. It is recommended to designate a focal point for women to channel concerns and needs on the adequacy and suitability of accommodations, welfare and recreation aspects. Also, periodic meetings between women and commanders, as well as monthly recreational meetings for women, should be held. Commanders should also ensure a gender-sensitive accommodation environment.

Good practices can include:

- » Home-leave arrangements for all troops at the TCC's expense, including chartered/military aircraft or vehicles and airline ticket reimbursement.
- » Leave centres at distinct locations in or outside the mission area.
- » Group travel (e.g. of 10 to 15 people) to nearby attractions, with expenses borne by individual contingent members.
- » Advance payment of salaries to contingents, allowing them to make travel arrangements for leave periods.
- » National day events, cultural programmes, sports competitions, etc.
- » Counselling (e.g. mental, general and behavioural health).

## 8.2. Conduct and discipline

### 8.2.1. Introduction

The United Nations expects all peacekeepers to conduct themselves in a manner that befits mandates given to serve and protect. The need to maintain the highest standards of integrity for all United Nations personnel is enshrined in the Charter of the United Nations.

United Nations peacekeepers must always conduct themselves in a professional and disciplined manner; respect local laws, customs and practices; treat host country inhabitants with respect, courtesy and consideration; and act with impartiality, integrity and tact. The United Nations has a zero-tolerance policy with respect to any form of misconduct by its personnel, in particular sexual exploitation and abuse. The United Nations standards of conduct can be accessed on the United Nations website.<sup>30</sup> The MOU also details what constitute misconduct and serious misconduct for military contingent personnel and indicates procedures and responsibilities for the prevention of and response to allegations of misconduct and serious misconduct.

The United Nations standards of conduct explicitly forbids sexual relations in exchange for money, employment, goods or services. Any and all sexual activities with persons under 18 years of age are strictly prohibited. In addition, the United Nations standards of conduct are breached if personnel pursue or engage in sexual relations in situations where individuals are suffering distress caused by displacement or insecurity due to internal strife or conflict, as this amounts to sexual exploitation and abuse. In the Secretary-General's bulletin on special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13), sexual exploitation is defined as "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"; and sexual abuse is defined as "the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions".

All TCCs have undertaken to ensure that all members of their national contingents comply with the United Nations standards of conduct. Commanders are to take all reasonable measures to maintain discipline and good order among all members of the national contingent and ensure compliance with the standards of conduct, mission-specific rules and regulations and obligations towards national and local laws and regulations in accordance with the status-of-forces agreement. Bearing in mind that acts of sexual exploitation and abuse are serious violations that require an urgent response, efforts to strengthen the United Nations zero-tolerance policy against sexual exploitation and abuse must be executed through immediate reporting of these allegations. This helps to prevent and respond to allegations and to hold accountable those who prey and inflict irreparable damage on the people the United Nations has sworn to protect.

<sup>30</sup> See <https://peacekeeping.un.org/en/standards-of-conduct>.

### 8.2.2. Obligations of troop-contributing countries

All United Nations personnel are obliged to create and maintain an environment that prevents all forms of misconduct, including sexual exploitation and sexual abuse. Commanders at all levels have a particular responsibility to support and develop systems that maintain this environment.

All United Nations personnel are also obliged to report possible acts of any form of misconduct via established reporting mechanisms. Failure by personnel or commanders to report possible acts of misconduct or serious misconduct, including sexual exploitation and abuse, itself amounts to misconduct.

### 8.2.3. Considerations for commanders

The contingent commander or national contingent commander is responsible for the discipline and good order of all members of the contingent. This responsibility includes ensuring that all members of the national military contingent abide by the United Nations standards of conduct, mission-specific rules and regulations, and the obligations towards national and local laws and regulations. The United Nations standards of conduct, as applicable to members of military contingents, is available online.<sup>31</sup>

The commander must immediately bring to the attention of the HOMC any information concerning alleged misconduct or serious misconduct, as well as any serious matter, and to regularly keep the FC/HOMC informed on further information and developments in these matters.

The commander is expected to ensure that all members of the national contingent receive induction and other mandatory training, including the sexual exploitation and abuse e-learning programme. Guidance from the mission's Conduct and Discipline Team will be important regarding conduct and disciplinary matters/training.

Members of the military contingent are subject to the exclusive jurisdiction of their TCC in respect of any crimes or offences that might be committed by them while they are assigned to the military component of United Nations peacekeeping.

TCCs have the primary responsibility for investigating any acts of misconduct or serious misconduct committed by a member of their national contingents. Such investigation must be conducted in accordance with the provisions of the MOU between the United Nations and the TCC. However, in a specific situation where the administrative investigation is conducted by the United Nations as provided for in the existing rules, the commander of the national contingent shall, subject to national laws, cooperate fully in United Nations administrative investigation.

If a United Nations administrative investigation or the TCC investigation concludes that the commander has failed to cooperate with a United Nations investigation, to exercise effective command and control, to immediately report to appropriate authorities or take action in respect of reported allegation of misconduct, the Department of Management Strategy, Policy and Compliance will request that the concerned TCC bring the case to the attention of its authorities for due action. Such failures shall also be reflected in the commander's performance appraisal by the HOMC.

### 8.2.4. Actions on receipt of information about misconduct/serious misconduct

Information concerning alleged misconduct or serious misconduct may be received by the mission, TCC or United Nations Headquarters. Any information received by the commander must be immediately brought to the attention of the HOMC through the chain of command. Upon receiving the information concerning

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<sup>31</sup> See <https://peacekeeping.un.org/en/standards-of-conduct>.

alleged misconduct/serious misconduct, the HOMC must communicate the same to the HOM and the mission's Conduct and Discipline Team. The mission informs the Secretariat, the Conduct and Discipline Service of the Department of Management Strategy, Policy and Compliance, the OMA and the Office of Internal Oversight Services (OIOS), as appropriate.

The Conduct and Discipline Team, with the assistance of OIOS, determines if the allegation is to be qualified as misconduct or serious misconduct.

The Conduct and Discipline Service notifies the respective TCC through its permanent mission. In a situation where the TCC is the first to receive information about the alleged misconduct or serious misconduct of any of its contingent member(s), the TCC must notify the Conduct and Discipline Service accordingly. Where investigations are conducted by the TCC, the role of United Nations investigation personnel will be to assist the National Investigations Officer(s) as necessary.

### 8.3. Medals and ceremonies

#### 8.3.1. United Nations Medal

The United Nations Medal was established by the Secretary-General in 1966 as an award to military personnel and civilian police who are or have been in the service of the United Nations, that is, under the operational and tactical control of the United Nations.

Medals are usually presented at approximately the midpoint of a tour of duty or deployment:

- Contingent members with a six-month tour of duty, after 90 days.
- Military observers with a one-year tour of duty, after 180 days.

No military or civilian police personnel will receive more than one Medal during any single tour of duty. The acceptance of the Medal is subject to the approval of the national Government of the person awarded.

If an individual serves one or more additional tours in the same peacekeeping operation, either by extension at the end of the first tour or by returning to the same peacekeeping operation at a later date, the individual becomes eligible for one or more numerals. The initial tour of duty is deemed to equal numeral 1 (not issued), then every subsequent 180 days counts towards another numeral.

United Nations Medal regulations permit the Secretary-General to make exceptions in individual cases, and some exceptions arise for which there is an automatic award. These include a posthumous award before qualifying service has been completed, and service-incurred injuries and evacuation before qualifying service has been completed.

The Secretary-General has delegated the authority to the FC/CMO to present the United Nations Medal. This authority may in turn be delegated by the FC/CMO to the Deputy FC/Deputy CMO or to a contingent commander. In practice, this means that unit commanders should be prepared to organize a medal parade. This should be included in the planning of unit activities and events.

#### 8.3.2. Dag Hammarskjöld Medal

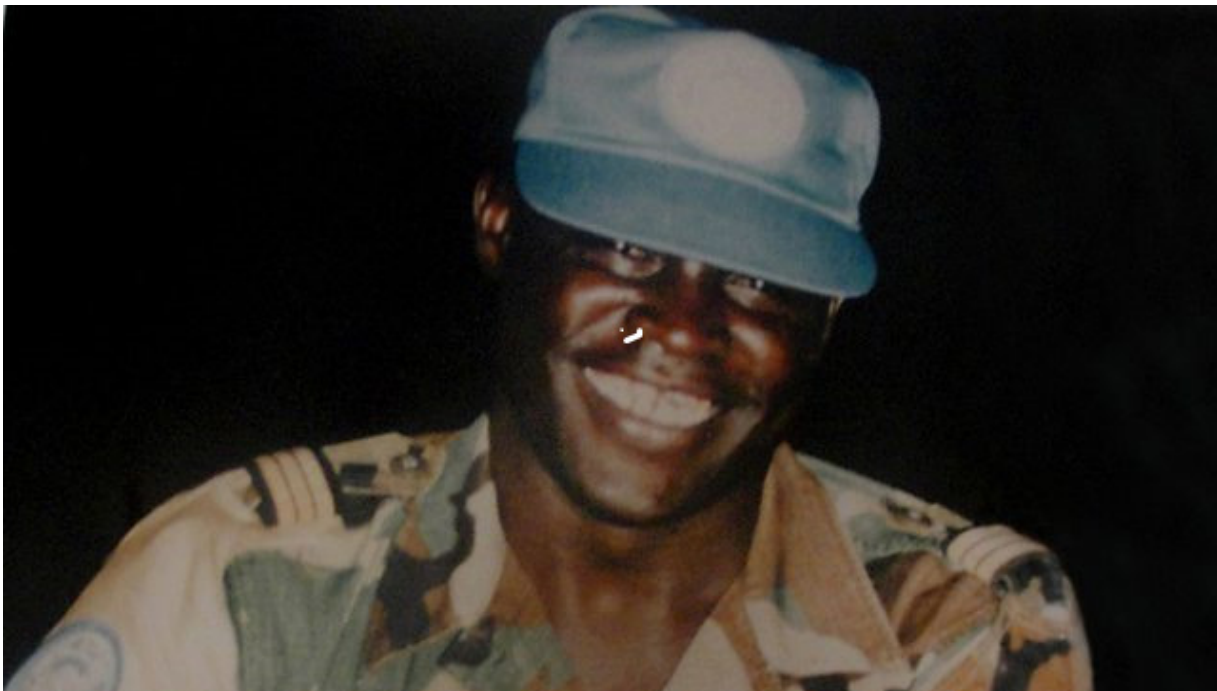
The Secretary-General established the Dag Hammarskjöld Medal in December 2000 as a posthumous award to members of peacekeeping operations who lost their lives during service with a peacekeeping operation under the operational control and authority of the United Nations. Each year on 29 May, the International Day of United Nations Peacekeepers, this Medal is awarded to any Member State that has lost one or more military or police peacekeepers, at a ceremony at United Nations Headquarters in New York. The Permanent Representative of these Member States will receive the Medal from the Secretary-General. Subsequently, the Medal will be sent to the home country and handed over to the next of kin.



### 8.3.3. Captain Mbaye Diagne Medal for Exceptional Courage

On 8 May 2014, the Security Council, by its resolution 2154 (2014), created the Captain Mbaye Diagne Medal for Exceptional Courage to be awarded to “those military, police, civilian United Nations personnel and associated personnel who demonstrate exceptional courage, in the face of extreme danger, while fulfilling the mandate of their missions or their functions, in the service of humanity and the United Nations”. Unit commanders should closely monitor possible acts of bravery of their troops and identify Medal candidates. Commanders should keep in mind that this is the only merit-based Medal in the United Nations system, and the acts of bravery must reach the very high bar set by the late Captain Diagne.

Nominations for this Medal should be submitted through the chain of command, according to the guidance on awarding this Medal. The ultimate decision is made by the Secretary-General and, if awarded, will be issued on the International Day of United Nations Peacekeepers, in New York or in the field mission.



*Captain Mbaye Diagne*

## 8.4. Knowledge management and organizational learning

### 8.4.1. Promoting a culture of learning

Military commanders must clearly articulate and support the Organization’s expectation to improve the effectiveness and efficiency of United Nations peacekeeping operations. They must learn and share successes, failures and innovations with peers in other missions and at headquarters through the use of knowledge-sharing tools and resources, including after-action reviews and end-of-assignment reports. Military officers should be aware of both the military and civilian policy and best practices officers and/or focal points in their missions, as well as other resources including the Peacekeeping Policy and Practice Database.

The Database contains lessons learned, best practices and end-of-assignment reports of senior military leadership from past and current peace operations. It also contains official peacekeeping guidance materials.

### 8.4.2. Policy and best practices officers and focal points

The force headquarters' policy and best practices officer or focal point is responsible for facilitating organizational learning and improvement. Specifically, the officer or focal point is responsible for:

- Establishing, in conjunction with force headquarters leadership, guidance and learning priorities for the military component, in line with the Policy on Knowledge Management and Organizational Learning.
- Promoting the integration of lessons learned, best practices and other operational knowledge into work processes, guidance and planning scenarios.
- Leading, facilitating or participating in after-action reviews, and other organizational learning exercises.
- Processing and analysing best practices reports to identify major trends and issues for force headquarters leadership.
- Maintaining a repository of lessons and best practices, in close collaboration with civilian and police policy and best practices officers or focal points.
- Establishing, coordinating and providing guidance to a network of military policy and best practices focal points.
- Supporting the developing of mission-specific guidance materials, in close collaboration with the civilian policy and best practices officer.

## 8.5. Investigations and inquiries

### 8.5.1. Field mission context

In United Nations field missions, investigations will be carried out regarding incidents, accidents and allegations of possible misconduct. Investigations relating to military personnel, other than those involving allegations of misconduct, are carried out by OIOS or the office of force provost marshal. For allegations of misconduct, the primary investigative responsibility rests with the national TCC authorities. Other investigative entities in the mission, the Special Investigation Unit, United Nations police and the Internal Investigative Unit can participate in the investigations related to military personnel as members of ad hoc joint investigation teams.

### 8.5.2. Office of Internal Oversight Services

OIOS is the internal oversight body of the United Nations to enhance oversight functions in respect of the resources and staff of the Organization through the provision of audit, investigation, inspection and evaluation services.

An investigation is an administrative fact-finding activity, which means collecting evidence to either support or refute the reported violations. The focus is on possible misconduct by individuals and prohibited practices by vendors/third parties. However, some systemic issues might also be analysed at the same time. Where evidence of misconduct is established, OIOS will send the results of its investigation to the Secretary-General, together with recommendations, to guide the Secretary-General in deciding on the appropriate actions to be taken.

All troops are required to cooperate fully with official investigations. OIOS also has the right to direct and prompt access to all persons engaged in activities under the authority of the Organization, as well as all records, documents or other materials, assets and premises, and to obtain such information and explanations as it considers necessary to fulfil its responsibilities.

### 8.5.3. Joint Investigation Team

In the event of an occurrence involving more than one category of personnel or requiring forensic expertise not available in a particular mission investigative structure, a Joint Investigation Team, including representatives of other investigative structures of the same mission, may be established on an ad hoc basis to complete the investigation.

### 8.5.4. Investigations prior to convening a board of inquiry

Commanders are responsible for reporting any incident or accident resulting in the death or serious injury of a mission member or a third party, including harm caused to civilians, when mission members are involved, and any loss or damage to United Nations-owned equipment, assets, supplies and stores or other property, without delay, to the force's chief of staff or provost marshal. They are responsible for initiating an investigation. The FC is responsible for establishing a suitable reporting procedure to ensure that such reports reach the force's chief of staff and/or provost marshal within 24 hours.

### 8.5.5. Board of inquiry

A board of inquiry constitutes an analytical and managerial tool used within United Nations peacekeeping missions and special political missions under the administrative support of DOS. The primary purpose of a board of inquiry is to review and record the facts of serious occurrences with a view to identifying gaps in procedures and policies, strengthening internal controls, and improving financial and managerial accountability. There are standard operating procedures in place to establish when to convene a board of inquiry, as well as ensuring consistency in its conduct.

Convening a board of inquiry is mandatory in the following circumstances:

- Any type of occurrence resulting in the death or serious injury of a mission member, which transpired within the field mission operational area or during the victim's official travel outside the operational area that had been duly authorized by the Organization.
- Any occurrence which transpired within the field mission operational area resulting in the death or serious injury or illness of a third party when United Nations personnel are involved.
- Natural death of a field mission member which transpired within the field mission operational area or during the mission personnel's official travel outside the operational area that had been duly authorized by the Organization.
- Occurrences involving United Nations aircraft, irrespective of whether such occurrences resulted in death or injury.
- The kidnapping or missing-in-action of United Nations personnel, irrespective of whether it resulted in death or injury.
- The protection of civilians-related contravention of the ROE or of the directive on the use of force.
- Loss or damage to United Nations-owned equipment, assets, supplies and stores or other property (except property of personnel) in the amount of \$25,000 or more that cannot be ascribed to wear and tear.
- Loss or damage to third-party-owned property in the amount of \$10,000 or more when a mission member is involved.
- Loss or damage of COE (even if there is no death, serious injury, or loss or damage to United Nations-owned or third-party-owned property) in the following circumstances:

- » Loss or damage as a result of a single hostile action or forced abandonment of major equipment whose individual generic fair market value equals or exceeds \$80,000 or when the collective generic fair market value of such equipment equals or exceeds \$250,000 for a series of hostile actions within one United Nations budget year.
- » Cases involving loss or damage to major or minor COE used by one contingent but provided by another troop-contributor/troop-contingent.
- » Cases involving loss or damage to major or minor COE in which personnel from more than one contingent are involved.
- HOMs may also, at their discretion or at the request of the Under-Secretary-General for Operational Support, convene a board of inquiry with respect to any occurrence that they consider warrants such review. In particular, consideration should be given to convening a board of inquiry in “near miss” cases, that is, occurrences which could have easily resulted in casualties or losses referred above.

### 8.5.6. Special Investigations Unit

The Special Investigations Unit is part of the mission security structures falling under DSS. The Special Investigations Unit investigates issues from a security perspective, such as loss and damage of property; road traffic accidents; and assault upon or threats to staff members. DSS plays a vital role in enabling the safe conduct of United Nations operations, often in dangerous environments, ensuring the safety, security and well-being of United Nations personnel, premises and assets worldwide. DSS performs an extensive range of functions, such as ensuring the security of United Nations compounds, providing close protection services, and training on safety and security policies.

## 8.6. Weapons and ammunition

### 8.6.1. Management

The proper management of weapons and ammunition is of vital importance to ensure effectiveness, efficiency, performance, safety and security, efficiency and accountability. Without meticulous and effective oversight, the United Nations may be vulnerable to safety and security threats (for both staff and the local population), as well as financial and reputational risks. Weapons and ammunition management starts in the predeployment phase and ends after redeployment from a peace operation to the home country.

Management of safety and security is, to a significant extent, about mitigation of risks and establishing the optimal balance between mandate implementation and the safety and security of United Nations personnel and the local population. Commanders at all levels are responsible for and are to be held accountable for both the operational and safety and security performance in their respective areas of responsibility. Accordingly, commanders should ensure that an acceptable level of safety and security is achieved. Further, commanders should be supported by ammunition technical officers, as per the SUR and the United Nations Manual on Ammunition Management.

### 8.6.2. Normative framework

The United Nations has developed two sets of guidelines for effective full life-cycle management of conventional ammunition and of small arms and light weapons: the International Ammunition Technical Guidelines and the International Small Arms Control Standards, respectively. The development of these documents was coordinated across the United Nations system, and the use of both sets of guidelines is mutually reinforcing and complementary.

The International Ammunition Technical Guidelines offer an incremental approach, which allows for adaptation according to the setting and circumstances. Three levels of ascending comprehensiveness are provided. These are referred to as risk-reduction process levels and indicated as level 1 (basic), level 2 (intermediate) or level 3 (advanced).

The International Small Arms Control Standards framework includes 24 modules that provide practical guidance on all aspects of small arms and light weapons control, including legislation, programme design and operational support. The United Nations and other partners use the framework in more than 100 countries to help to strengthen national capacities on arms management.

### 8.6.3. Standard operating procedures

Each unit shall have standard operating procedures on weapons and ammunition management, which should include the following sections at a minimum:

- Responsibilities of all stakeholders
- Quantity of personal weapons and ammunition to be deployed
- Procedures for maintenance
- Carriage of weapons and ammunition
- Weapons and ammunition storage and facilities management
- Weapons and ammunition accounting
- Identifying and registering weapons and ammunition and record-keeping
- Transportation
- Verification
- Reporting and investigations of loss of weapons and ammunition
- Disposal of weapons
- Disposal of ammunition
- Training and rehearsals.

### 8.6.4. Loss of weapons and ammunition

Loss of weapons and ammunition (due to accidents, theft, attacks, negligence, etc.) is a very serious issue, as this has the potential to jeopardize the lives of both civilian and uniformed personnel of the United Nations, as well as of the local population. It is of vital importance that loss of weapons and ammunition should be avoided. However, if a loss of weapons and/or ammunition occurs, a report should be made as soon as possible, and actions should be undertaken for recovery according to the Standard Operating Procedures on Loss of Weapons and Ammunition in Peace Operations.

## CHAPTER 9. MEDICAL AND HEALTH SUPPORT

***Due to the increasing demands, risks and challenges of the complex work environment in peacekeeping missions, the United Nations must ensure a robust, timely and responsive medical support system that is highly dependable and consistent for all personnel. This is dependent on informed predeployment planning, standardized preparation and training to enable delivery and accomplishment of all medical support tasks. Improving the units' performance to provide more efficient, timely and responsive medical support for the well-being and survivability of peacekeepers is a collective, essential task between stakeholders in the field and the Secretariat.***

### 9.1. Medical and health support at the Secretariat level

The medical bodies within the Secretariat formulate and review United Nations medical standards, policies and guidelines. In addition, the Secretariat coordinates, plans, executes and monitors all operational requirements and logistics support for the provision of medical services in field operations. Medical fitness standards and credentialing requirements of medical personnel deployed to field missions are well stipulated in related medical policies and guidelines and incorporated in the *Medical Support Manual for United Nations Field Missions*.

### 9.2. Medical and health support at the mission level

The Mission Medical Cell consists of the civilian medical services and the Force Medical Cell. The Mission Medical Cell is headed by the Chief Medical Officer, who is responsible for coordinating the overall medical services and support operations in the field. The Force Medical Cell is responsible for supporting all military medical officers and military hospital commanders. The Force Medical Officer heads this Cell and is accountable to the FC for the health of the uniformed force and the operational readiness of T/PCC medical units and contingents. The Force Medical Officer reports technically to the Chief Medical Officer.

### 9.3. Standard of care

In all field missions, medical care must meet standards acceptable to the United Nations and participating Member States. Therefore, standard performance, staffing, equipment, infrastructure and training requirements to secure high healthcare quality and a maximum of patient safety are defined for each level of medical care and support in the COE Manual. Compliance with these standards is assessed by the Chief Medical Officer and the Force Medical Officer under the guidance of DOS, Health-Care Management and Occupational Safety and Health Division. Hospital assessments are conducted according to the Healthcare Quality and Patient Safety standards.

#### 9.3.1. Military component

The military component has an important role to play in the protection of the medical mission in its areas of operation. Special attention must be given to this, as attacks against healthcare facilities or personnel immediately affect the community they serve, and for many years to come. Fighting near healthcare facilities prevents access by the wounded or sick, healthcare staff, and vehicles carrying essential medicines and medical equipment. Violence can also lead to the displacement of civilians, including healthcare personnel

and their families. It hampers the implementation of important preventive healthcare programmes, which might have long-term implications.

#### 9.4. Force health protection

Force health protection is the conservation of the readiness potential of a force so that it is healthy, fully capable, and can be applied at the decisive time and place. Ensuring force health protection is one of the commander's most critical priorities. Force health protection is a subset of force protection, which is the sum of all efforts to enhance operational health readiness and mission effectiveness. This includes active measures to prevent injury and illness by identifying and addressing operational and workplace hazards. Robust and proactive health surveillance must be in place at the start of a deployed operation. Commanders should ask for a health risk assessment to be performed before the medical support plan is developed. The medical support plan must then be actively monitored and adapted to ensure that preventive measures and response measures reflect the evolving risk environment and the injuries and illnesses seen.

#### 9.5. HIV/AIDS

HIV/AIDS continues to be a global challenge. Recognizing that conflict and post-conflict areas are high-risk environments for the spread of HIV among peacekeepers and the community, DPO has developed modules on HIV/AIDS as part of predeployment training for TCCs. Mission-specific HIV/AIDS awareness is also included in induction programmes upon arrival in the mission area, along with other departmental HIV interventions and services, such as voluntary confidential counselling and testing, condom programmes and post-exposure prophylaxis kits. Commanders shall nominate personnel for peer education training conducted by the HIV unit, which shall be repeated to keep pace with troop rotations.

#### 9.6. Patient evacuation

The United Nations definition of medical evacuation (MEDEVAC) and casualty evacuation (CASEVAC) may differ slightly from the definition used by other civilian or military entities, or by other international organizations. Knowing the United Nations definitions is essential to making optimal decisions and avoiding confusion, misunderstandings and mistakes.

##### 9.6.1 Casualty evacuation

**Casualty.** As per the CASEVAC policy,<sup>32</sup> “casualty” in the United Nations means those suffering a trauma injury and those with sudden onset, acute life-threatening conditions requiring immediate expert medical intervention. It covers medical, traumatic and psychiatric life-threatening emergencies.

**CASEVAC.** In the United Nations, as per the same policy, “CASEVAC” is defined as the evacuation of any casualty from the point of injury or illness to the closest appropriate medical treatment facility, utilizing the most appropriate means of transportation. CASEVAC includes the transfer between two medical facilities as long as the patient has not yet reached the appropriate facility.

**Differences between MEDEVAC and CASEVAC.** A MEDEVAC is an evacuation of a patient from one medical facility to another. This must be requested by a physician. There is an overlap between the two definitions when a patient presents an ongoing life-threatening condition, requires immediate expert medical intervention, but is already in a medical treatment facility even if not appropriate (e.g. the patient needs immediate surgery but is in a Level 1 medical facility with no surgical capacity). As long as the

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<sup>32</sup> See the Policy on Casualty Evacuation in the Field.

patient's condition fits with the United Nations casualty definition, the CASEVAC mechanism should apply, since it is more time-effective and allows more flexibility to conduct the evacuation. The fact that an evacuation is requested by a physician should not make it considered as a MEDEVAC automatically.<sup>33</sup>

### 9.6.2. The 10-1-2 rule

Established optimal CASEVAC timings are referred to as the 10-1-2 rule.<sup>34</sup>

- 10** Immediate life-saving measures of haemorrhage control and airway support are to be commenced at the point of injury or illness after the onset of injury/illness as soon as possible, and secured within **10 minutes**. Focus is on control of major bleeding and ensuring an airway for breathing.
- 1** Advanced life-saving support and damage control resuscitation are provided by emergency medical personnel within **1 hour** of the onset of injury/illness. This allows for life-saving intervention and en route stabilization until arrival at an appropriate medical facility, and is often referred to as the “golden hour”.
- 2** The casualty should receive damage control surgery within **2 hours** of the onset of injury/illness.

All field missions plan and establish an efficient and functioning CASEVAC system within their area of responsibility, with the goal of operating within the 10-1-2 time frame. The 10-1-2 rule is an operational planning tool. It is not a clinical guideline (such as the golden hour<sup>35</sup>). It should be used to check if the activities planned allow delivery of emergency care as required by the United Nations. If adherence to the 10-1-2 rule is not achievable, the HOM must decide whether or not the risks are acceptable within the provisions of the mission mandate. This decision should be based on a comprehensive risk assessment, including advice from the Chief Medical Officer, and articulated in the mission Health Security Preparedness. Formal risk acceptance should also be notified to the Medical Director at United Nations Headquarters for information.

### 9.6.3. CASEVAC and international humanitarian law: legal regulations for non-United Nations patients

For all non-United Nations patients injured in relation to United Nations activities and operations or United Nations mandates, international humanitarian law is primarily concerned with CASEVAC. The issue here is the obligations imposed on parties to armed conflict, which in the view of the International Committee of the Red Cross is customary international humanitarian law applicable in all types of armed conflict, whether international armed conflict or non-international armed conflict. Rule 109 of the customary international humanitarian law study states that “whenever circumstances permit, and particularly after an engagement, each party to the conflict must, without delay, take all possible measures to search for, collect and evacuate the wounded, sick and shipwrecked without adverse distinction”.

<sup>33</sup> More guidance and explanation are provided at <https://unitednations.sharepoint.com/sites/COP-CMT-CASEVAC-DOS/SitePages/Videos-And-Recordings.aspx#casevac-medevac-differences>.

<sup>34</sup> See the Policy on Casualty Evacuation in the Field, paragraph 7.

<sup>35</sup> In emergency clinical care, health workers often use the term “golden hour” as shorthand for the concept that rapid clinical investigation and care within 60 minutes of a traumatic injury are key to a good outcome for the patient.



This is especially important where the United Nations is a party to a conflict (i.e. international humanitarian law applies to United Nations military operations) because only States can formally ratify and then be bound by international humanitarian treaties, but also bearing in mind that the content of the Geneva Conventions as such can be considered as customary international humanitarian law. That aside, the customary international humanitarian law obligation also sums up very well the various provisions of international humanitarian law treaty law, contained notably in the Geneva Conventions and their 1977 Additional Protocols.<sup>36</sup>

Regarding the terminology of “casualty evacuation”, note that “Search for casualties. Evacuation” is expressly the title given by the 1949 Diplomatic Conference negotiating the Geneva Conventions to one of these provisions (article 15).

It is important to emphasize that, while the notion of “whenever circumstances permit” makes room for the possibility of taking into account the prevailing security situation, respecting the principle of non-adverse distinction between different wounded and sick people in the same overall situation (medical condition and security circumstances in which they are found) requires that any differences in treatment (in terms of who and with what delay a casualty is evacuated and would benefit from medical care) be strictly based on medical grounds.

While international humanitarian law is not necessarily prescriptive in terms of who should perform CASEVACs (taking all possible measures may imply that first aiders who may not necessarily be exclusively assigned medical personnel in terms of only doing medical tasks, or dedicated military medical corps, but also permitting others to perform evacuations, such as civilians or impartial humanitarian organizations) and how in terms of process it is performed, differences in process cannot result in delays that are not justified by different medical needs or security circumstances. The identity/status of the wounded and sick person in particular (the obligations to collect and care for the wounded and sick people apply irrespective of status/function or prior activity of the person) is not a justifiable criterion, because this would put it on a different level from the medical grounds that should govern.

Non-United Nations patients who have been injured or become ill in circumstances that are not attributable to United Nations action may also be provided CASEVAC assistance (see mission’s CASEVAC standard operating procedures for mission-specific guidance).

## 9.7. Protection, management and handling of fatalities

United Nations peacekeeping missions may face situations in their operations where they are the only and/or first responders to the recovery of deceased non-United Nations individuals.

Any activity undertaken in relation to managing fatalities must be preceded by a preliminary risk assessment and obtaining necessary clearances. Timely recovery of human remains is vitally important for the identification process, while showing dignity and respect. The dignity of the deceased and their loved ones must be respected throughout the process. This is a humanitarian imperative that should guide the management and handling of the dead in all circumstances.

The International Federation of Red Cross and Red Crescent Societies and the International Committee of the Red Cross in areas of deployment can provide support and recommendations on the protection, management or handling of human remains. They can assist with the development of contextualized standard operating procedures for peacekeeping missions, taking into account cultural and religious needs and rights.

<sup>36</sup> Article 3 of all the Geneva Conventions (dealing with military and civilian wounded and sick in non-international armed conflict); article 15 of Geneva Convention I (dealing with military wounded and sick in international armed conflict); or article 8 of the 1977 Additional Protocol II (dealing with military and civilian wounded and sick in certain types of non-international armed conflict).

## 9.8. Protection of the medical mission

### 9.8.1. International law

In armed conflict, access to healthcare for the wounded and sick (whether fighters or civilians) and the protection of healthcare personnel and assets are anchored in the provisions of international humanitarian law, as follows:

- All possible measures should be taken to search for, collect and evacuate the wounded and sick, without adverse distinction, whenever circumstances permit, and particularly after an engagement.
- The wounded and sick must be provided with medical care and attention required by their condition, to the fullest extent possible, with the least possible delay, and without any distinction on any grounds other than medical ones.
- Neither the wounded and sick nor healthcare personnel may be attacked or ill-treated.
- Medical facilities, transport and supplies may not be attacked or pillaged.
- Healthcare personnel may not be punished for carrying out medical activities compatible with medical ethics.

### 9.8.2. Focus areas

Three focus areas are identified relating to the operations and practices of armed forces that potentially have a major impact on safe access to healthcare.

#### 9.8.2.1. Ground evacuations

While performing security controls, military personnel must refrain from arbitrarily delaying, or denying, the timely evacuation of the wounded and sick. To achieve this, commanders may consider adopting and implementing practical measures whenever feasible and operationally relevant:

- Measures to enhance understanding of the operational environment in order to minimize MEDEVAC delays at checkpoints. Mapping of healthcare providers, relevant non-governmental organizations, and others providing for the evacuation of the wounded and sick needs to be carried out both prior to and regularly during any operations in order to adapt to the specific context. These measures are aimed at minimizing the delays and resulting humanitarian consequences.
- Coordination measures with healthcare professionals and relevant authorities providing for the evacuation of wounded and sick people in order to minimize MEDEVAC delays at checkpoints.
- Prioritizing measures at checkpoints to minimize MEDEVAC delays.
- Specific measures to minimize the impact on MEDEVAC whenever passage through a checkpoint is denied for reasons of imperative military necessity.

#### 9.8.2.2. Search operations in health facilities

Military necessity may require conducting searches in healthcare facilities. However, they should be an exceptional measure taken only after a concerted effort has been made to find a balance between the military advantage expected from such action and its impact in humanitarian terms. To minimize the negative effects of searches in healthcare facilities, commanders may consider adopting and implementing the following recommendations, whenever feasible and operationally relevant:

- Specific measures to guarantee the exceptional nature of healthcare facility searches or the removal of an individual from such a facility in order to minimize their impact on patients and healthcare personnel.

- Measures to enhance understanding of the operational environment in order to minimize the impact of searches in healthcare facilities and on patients and healthcare personnel.
- Coordination measures with healthcare professionals and relevant authorities providing healthcare assistance to the wounded and sick in order to minimize the impact of a search operation in a healthcare facility.
- Measures to regulate the behaviour of military personnel while conducting search operations in a specific healthcare facility.

### 9.8.2.3. Precautions during attacks in offence and defence

The military advantage expected to be gained from attacking military objectives located near healthcare facilities, or near healthcare facilities that have lost their protection, needs to be carefully weighed against the humanitarian consequences likely to result from the incidental damage or destruction caused to those facilities. To minimize the direct and indirect impact on the provision of medical services, commanders may consider adopting and implementing the following recommendations, whenever feasible and operationally relevant:

- Specific measures to guarantee the exceptional character of an attack on a military objective in the vicinity of a healthcare facility or on a healthcare facility which has lost its protection.
- Measures to enhance understanding of the operational environment in the event of an attack on a military objective in the vicinity of a healthcare facility or a healthcare facility which has lost its protection.
- Coordination measures with healthcare professionals and relevant authorities providing healthcare assistance for the wounded and sick in order to minimize the impact of attacks on a military objective located in the vicinity of a healthcare facility or of an attack on a healthcare facility which has lost its protection.
- Specific measures to guide the planning and conduct of an attack on a military objective in the vicinity of a healthcare facility.
- Specific measures to guide the planning and conduct of an attack on a healthcare facility which has lost its protection.

### 9.8.3. Protective emblems

The Red Cross, Red Crescent and Red Crystal emblems are legally recognized as affording protection to those who bring assistance to victims of armed conflict. The three emblems are free from any religious, cultural or political connotations. The emblems should be displayed on medical buildings and means of transport, and on personnel (on armbands, badges or bibs); they should be as large and as visible as possible. The function of these emblems is to notify parties to an armed conflict that a certain object or person is protected under humanitarian law. It is not the emblems themselves that confer protection but the law. The emblems only enable parties to an armed conflict to identify the existence of such protection.

In armed conflict, the protective emblems may be used by those who are part of the healthcare services or religious personnel of the armed forces; the healthcare services of national societies when placed at the disposal of the healthcare services of the armed forces and when subject to military laws and regulations; and civilian healthcare or voluntary healthcare, but only with the express authorization of the Government and when under its control. Misuse of the protective emblems is prohibited.

The International Committee of the Red Cross and the International Federation of Red Cross and Red Crescent Societies may use the Red Cross as a protective emblem at all times without restriction.

## Annex A

### Abbreviations and acronyms

AU	African Union
CASEVAC	casualty evacuation
CMO	Chief Military Observer
COE	contingent-owned equipment
CONOPS	concept of operations
DDR	disarmament, demobilization and reintegration
DOS	Department of Operational Support
DPO	Department of Peace Operations
DPPA	Department of Political and Peacebuilding Affairs
DSRSG	Deputy Special Representative of the Secretary-General
DSS	Department of Safety and Security
FC	Force Commander
HC	Humanitarian Coordinator
HCT	humanitarian country team
HOM	head of mission
HOMC	Head of Military Component
HOPC	Head of Police Component
HRDDP	Human Rights Due Diligence Policy on United Nations support to non-United Nations security forces
IDP	internally displaced person
IED	improvised explosive device
MEDEVAC	medical evacuation
MOU	memorandum of understanding
MPIO	military public information officer
NATO	North Atlantic Treaty Organization
OCHA	United Nations Office for the Coordination of Humanitarian Affairs
OHCHR	Office of the United Nations High Commissioner for Human Rights
OIOS	Office of Internal Oversight Services
OMA	Office of Military Affairs
RC	Resident Coordinator
ROE	rules of engagement
SRSG	Special Representative of the Secretary-General
SUR	statement of unit requirements
TCC	troop-contributing country
T/PCC	troop/police contributing country
UNCT	United Nations country team
UNSMS	United Nations security management system

## Annex B

### Resources

#### Chapter 1

Policy and Practice Database: <https://ppdb.un.org> (for United Nations staff).

Peacekeeping Resource Hub: <https://peacekeepingresourcehub.un.org/en/> (in Arabic, Chinese, English, French, Russian and Spanish) (for permanent missions).

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**United Nations  
Office of Military Affairs  
Department of Peace Operations**

405 E 42nd St, S2717  
New York, NY 10017  
Email: [info@peacekeeping.un.org](mailto:info@peacekeeping.un.org)  
Website: [peacekeeping.un.org](http://peacekeeping.un.org)

**United Nations  
Department of Operational Support**

405 E 42nd St, S2717  
New York, NY 10017  
Email: [info@operationalsupport.un.org](mailto:info@operationalsupport.un.org)  
Website: [www.operationalsupport.un.org](http://www.operationalsupport.un.org)