DEPARTMENT OF OPERATIONAL SUPPORT

REF. NO: DOS/2020.23

Guidelines

FIELD VERIFICATION AND CONTROL OF COE AND MANAGEMENT OF MOU

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Effective Date : 1 January 2021

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FIELD VERIFICATION AND CONTROL OF COE AND MANAGEMENT OF MOU

A. EXECUTIVE SUMMARY

PURPOSE

1. The purpose of these Guidelines is to describe the procedures and best practices to be implemented in the field for the verification and control of Contingent-owned Equipment (COE) and management of Memorandum of Understanding (MOU) between the United Nations and troop/police-contributing countries (T/PCC) contributing resources to UN Peacekeeping Operations (PKO).

SCOPE AND APPLICABILITY

2. These Guidelines are intended to assist mission management in dealing with matters related to the COE verification and reporting process and MOU management. All mission personnel with responsibilities involving some aspects of MOU management and COE verification shall follow these Guidelines. Individual mission-specific issues have been omitted.

SUMMARY OF THE GUIDELINES

3. These Guidelines cover the aspects of all types of COE verification and reporting to guide the field missions in their planning and organizing of COE/MOU management activities. The Guidelines also highlight the aspects of contingent personnel reporting, rotation of COE, disposal of COE, environment compliance and performance analysis framework.

B. PURPOSE

4. The purpose of these Guidelines is to describe the procedures and best practices to be implemented in the field for the verification and control of COE and management of Memorandum of Understanding (MOU) between the United Nations and T/PCC contributing resources to UN Peacekeeping Operations (PKO).

5. Formed Units are deployed by T/PCCs in support of mandates assigned by the Security Council to United Nations (UN) field missions. Troop/Police contributors are reimbursed for these deployed formed units in accordance with the standards and rates established by the General Assembly.

6. In line with the Delegation of Authority (ST/SGB/2019/2) and on behalf of the Under-Secretary-General for Operational Support, the Uniformed Capabilities Support Division (UCSD) supports the force generation process by coordinating and negotiating the logistics support requirements for military and police units and approves reimbursements to troop/police contributors. In the force generation process, UCSD coordinates the inputs for statements of unit requirements (SURs) and MOUs on major equipment, self-sustainment and logistics support aspects, with the field missions. In field missions, the Mission Support Centers act as the focal point for coordinating inputs from mission stakeholders and providing consolidated mission inputs. These reimbursements are based on evidentiary documentation prepared, certified, and transmitted by UN field missions.

7. Monthly Uniformed Strength Reports (USR)[1] and quarterly Verification Reports (VR) serve as evidentiary documentation required for reimbursements to troop/police contributors.

[1] Previously Troop-Strength Reports.

Data reported against verification standards may also be used for other performance reporting and analytical purposes.

8. These Guidelines describe the procedures to guide UN field missions in providing support to formed military and police units under the terms of MOU and verifying and reporting both uniformed personnel and COE deployed by troop/police contributors.

9. These Guidelines should be used for establishing mission-specific standard operating procedures (SOP) on COE verification and control, and management of MOU.

10. Every effort has been made to ensure the accuracy of these Guidelines. In the event of inadvertent discrepancies between these Guidelines and the 2020 COE Manual, the latter shall prevail.

C. SCOPE AND APPLICABILITY

11. These Guidelines are intended to assist mission management in dealing with matters related to the COE verification and reporting process and MOU management. All mission personnel with responsibilities involving some aspects of MOU management and COE verification shall follow these Guidelines. Individual mission-specific issues have been avoided.

12. MOUs (reflecting General Assembly-agreed language) between the United Nations and troop/police contributors establish the administrative, logistical and financial terms and conditions governing the contribution of personnel, equipment and services in formed units to field missions. Verification and control procedures are broadly directed at ensuring that the terms of these MOUs are met by both parties. The analysis of verification results and follow-up actions are directed at addressing shortfalls/non-compliance with MOU requirements.

13. These Guidelines also address the reimbursement standards established in the two components of the overall reimbursement framework for formed units:

    13.1. **Uniformed Personnel:** General Assembly resolution 67/261 (2013 established the framework to inform the periodical consideration of the reimbursement rate for uniformed personnel. The current reimbursement rate of $1,428 per-person per-month for uniformed personnel deployed in formed units was agreed by the General Assembly Resolution 72/285 (2018).

    13.2. **Contingent-owned Equipment (COE):** The COE Manual consolidates the recommendations of the various COE Working Groups as approved by the General Assembly, and provides clarification and explanations, where required, on the implementation of these recommendations. The COE Manual contains the policies, procedures and actions to be followed by United Nations Headquarters and peacekeeping missions. The COE Manual is also intended to provide assistance to troop/police contributors and to ensure that the decisions of the Assembly are fully and consistently implemented.

14. These Guidelines are supplemental to the COE Manual, other official UN documentation, and Headquarters guidance, and may be used to establish mission-specific verification/reporting SOPs. Where required, UCSD shall periodically issue supplementary guidance prior to the next full revision in 2023.

15. These Guidelines contain both mandatory and recommended or discretionary approaches, which are denoted throughout the policy/SOP via ‘shall/shall not’, ‘should/should not’ and ‘may/may not’, respectively.

D. POLICY/PRODEDURE

D.1. Uniformed Personnel

16. Beginning with the January 2021 monthly USR, all field missions shall utilize the new templates and processes to submit the required documents. These new templates and processes shall be applicable for all uniformed personnel including *inter alia* troop and police personnel deployed in formed units, experts on mission, staff officers, individual police officers, and National Support Element (NSE) components. Annex A includes additional guidance and applicable templates.

17. The numbers of uniformed personnel deployed in the mission area must be fully entered in the system by the 3rd calendar day of every succeeding month (e.g. the January 2021 reports shall be entered by 3 February 2021).

18. Duly certified monthly USRs must be submitted to UNHQ by the 7th calendar day of every succeeding month (e.g. the January 2021 reports shall be submitted by 7 February 2021).

19. Noting that the monthly USRs form the basis of contingent personnel reimbursements to T/PCCs, USRs must be duly approved by the Force Commander/Police Commissioner and certified by the Director/Chief of Mission Support.

20. Amendments after formal submission to UNHQ must be duly approved and certified by the Force Commander/Police Commissioner and Director/Chief of Mission Support respectively.

D.2. Contingent-owned Equipment (COE)

21. T/PCCs are reimbursed for major equipment (ME) and self-sustainment (SS) capabilities in accordance with the standards established by the General Assembly. Chapter 3 of the COE Manual outlines the principles of verification and performance standards for ME and SS. The COE verification process is dependent on periodic and structured conduct of verification inspections and verification reporting.

22. As specified in the MOU, the main purpose of verification and control procedures is to verify that the terms and conditions of the bilateral MOU have been met by both parties, and to take corrective action when required.

23. Verification inspections are a multifaceted exercise requiring care and due consideration in terms of planning, organization, coordination and conduct. COE Inspection teams must plan and coordinate inspections with contingent representatives and representatives of other involved mission components to avoid conflict with major mission events, the disruption of essential operational activities and to ensure that time and other resources are utilized in the most efficient and effective manner.

24. The COE unit shall prepare the annual and quarterly inspection schedules for operational readiness inspections (ORI) and periodic inspections. The annual inspection schedules should indicate the tentative dates of major inspections taking into consideration the main events in the implementation of the mission mandate, major operational and official activities as planned by the Force/Police HQ and other mission components, anticipated arrivals, rotations and repatriation of unit personnel and equipment, mission host government and T/PCC official holidays, medal parades, and similar activities. The conduct of inspections should respect the military/police chain of command, inspection traditions and other protocols.

25. Quarterly Inspection Schedules should be prepared to confirm inspection dates and support requirements. The composition of COE Inspection Teams depends on the type of inspections and the specialists available from other mission components.

26. Normally, periodic inspections shall be conducted by small COE Inspection teams while ORI often require a larger number of inspectors and teams, and may be highly decentralized. Where necessary the COE Inspection Teams may be organized into sub-teams and pair up with the corresponding unit representatives who are familiar with the concerned ME or SS category, e.g. commanding officer, if available, and/or second in command, operations officer, logistics officer, communications officer, medical officer, maintenance officer, transport officer and the quartermaster. Verification inspections should be conducted with the presence of a contingent representative.

27. ME and SS capabilities shall be verified in accordance with the performance standards defined in Chapter 3, Annexes A and B of the COE Manual and the respective MOU. Individual soldier/police kits shall be verified in accordance with Chapter 9, Annex A, Appendix of the COE Manual and the respective MOU. Personal weapons, ammunition and explosives shall be verified as per the unit's Tables of Organization and Equipment (TOE) approved by the Department of Peace Operations (DPO). The inspection team should identify where performance falls short of the performance standards required and record the findings in the respective inspection worksheets

28. After verification inspection activities, the inspection team should provide a briefing to the contingent on the findings and clarify issues, and the inspection worksheets are to be signed by the T/PCC unit representative and the COE Inspection Team Leader. Particulars of T/PCC representatives shall be included in inspection record in uniformed capabilities management (UCM) system. Specific instructions for inspecting ME and SS categories are attached as Annex B. This briefing is also an opportunity to inform about possible and indicative deductions to personnel based on the percentage absence of ME in the VR.

29. Field missions are responsible for planning and conducting the following types of verification inspections:

TYPE OF INSPECTION	TO BE CONDUCTED
Arrival Inspection	ME: Immediately upon arrival to be completed within one month. SS: As soon as possible after arrival and within six months.
Periodic inspections and Spot-checks	Periodic Inspections: At least once every three months. Spot Checks: As required.
Operational Readiness Inspection (ORI)	At least once in every six-month period the Unit is deployed in the mission area; and anytime the mission assesses that ME or SS capabilities do not meet required standards.
Repatriation Inspection	Close to or following a Unit's cease of operations date and before the COE departs the mission area.

Table 1: Types of Verification Inspections

30. In the conduct of quarterly inspections, a "reasonability" view is to be employed when assessing the yielded results, including whether positive steps have been taken towards fulfilment of the MOU requirements. The guiding principle in determining "reasonability" is whether the material to be provided by the contingent or the United Nations meets its function at no additional cost to either party other than those provided for in the MOU. Nevertheless, in verifying medical services at any level, all medical equipment, consumables and personnel required to maintain the capacities and capabilities stated in the medical self-sustainment standards in Annex C of the COE Manual must be present.

D.3. Arrival Inspections

31. Arrival inspections are conducted to verify that:

    31.1. ME deployed by T/PCC corresponds to the categories and quantities of equipment as detailed in the MOU and is operationally serviceable; including painting and marking in UN colours. Where ME is provided under dry lease, the equipment is also to be inspected to determine whether its condition is acceptable in accordance with established standards;

    31.2. SS categories, as stipulated in the MOU, are provided by the T/PCC and the mission;

    31.3. Quantity and type of contingent-owned commodities such as fresh food, composite ration packs, potable water, fuel, oil and other lubricants deployed to meet the unit's initial provisioning requirements;

    31.4. Quantity, type and serviceability of contingent-owned ammunition and explosives that has been deployed meet the requirements;

    31.5. Deployed individual soldiers/police kits and personal weapons, as detailed in the MOU, meet the requirements.

32. The mission, in consultation with the contingent authorities, shall decide the date, time and place for the inspection. During the inspection of SS, contingent representatives must explain and demonstrate the agreed SS capabilities and the mission must also demonstrate that the services provided by the mission or a third party, as stipulated in the MOU, are provided to the same standards as stipulated in the COE Manual. Further guidance on the preparation and conduct of Arrival Inspections is provided in Annex B2.

D.4. Operational Readiness Inspections

33. ORIs are conducted to assess the overall operational readiness of a Unit in terms of ME and the SS capabilities, the status of personnel equipment and personal weapons, ammunition and explosives, provided to the Unit by the T/PCC, the mission or a third party. ORI may be restricted in scope to specific areas of concern, as decided by the United Nations. ORIs shall be conducted at least once in every six months. All individual soldier/police kits and personal weapons, contingent ammunition and explosives, ME and SS categories, must be inspected to ensure that the agreed quantities are present; equipment is operational, serviceable, being used appropriately, and meets operational requirements. Further guidelines for detailed planning and conduct of ORI are attached as Annex B3.

34. UCM system-generated COE Inspection worksheets on ME and SS are used to record the inspection data and are identical for ORI, Periodic Inspections, Spot Checks and Repatriation Inspections.

D.5. Periodic Inspections, Spot Checks and Standard Operational Reporting

35. Missions are required to submit ME and SS VRs to UNHQ on a quarterly basis in accordance with the schedules issued by UNHQ. Periodic Inspections should be conducted throughout the quarterly inspection cycle to ensure that all items of ME and all SS categories are physically verified at least once in each quarter. Periodic Inspections should be complemented by Spot Checks and Standard Operational Reporting by formed units, as detailed in Chapter 3 of the COE Manual, to enhance the continuous and effective monitoring of unit ME and SS status. Guidelines for conduct of Periodic Inspections and Spot Checks are attached as Annex B4.

36. An example template for Standard Operational Report is attached in Annex B6. This standard format should be used by formed units to report monthly. The report comprises ME availability and serviceability, including the return to serviceability of ME items as they occur and to report the continued acceptability of SS services provided by the T/PCC, the mission or a third party. Return to serviceability or availability of ME and SS capabilities self-reported by contingents should always be subject to subsequent physical verification by the COE Unit staff or delegated to specialists, and, if verified, shall be recorded on the contingent reporting date.

D.6. Repatriation Inspections

37. Modalities for repatriation inspections. Repatriation Inspections shall take place close to/following a Unit's cease of operations date and before the COE departs the mission area. Repatriation Inspections shall verify and account for all ME of the units or element thereof, to be repatriated from the mission area. The inspection shall confirm that no UNOE is part of the consignment of equipment being repatriated. Representatives of appropriate mission technical sections should be included in the Repatriation Inspection team(s) to ensure that hazardous waste disposal and environmental clean-up requirements and proper accounting procedures for UNOE are followed. Guidance on hazardous waste disposal and environmental clean-up requirements can be found in the Environmental Management Handbook for Military Commanders in UN Peace Operations (under promulgation).

38. If exceptional circumstances prevent the mission from conducting a Repatriation Inspection, the last validated VR along with claims by the T/PCC shall be the basis for subsequent reimbursement. When an element of a unit is repatriated, and its associated COE equipment is transferred to another unit from the same T/PCC, a corresponding repatriation and arrival inspection involving the units is conducted to record the equipment's status. Equipment repatriated as part of a regular rotation is to be accounted for in regular periodic/ORI reporting and is not subject to specific repatriation VR. Further guidance in relation to the preparation and conduct of Repatriation Inspections is attached as Annex B5.

D.7. Additional Inspections

39. Additional verification inspections to those described above and deemed necessary by the Head of Mission (or the respective representative with delegated authority) or UNHQ may be conducted in consultation with T/PCC.

D.8. Preparation, review and submissions of VRs

40. The preparation, review and submission of VRs are described in Annex B11. UCSD processes VRs on a quarterly basis. Unless a different reporting schedule is communicated by UCSD, field missions are required to transmit VRs within 45 days of the end of reporting periods 1, 2 and 4, and 30 days after reporting period 3:

QUARTERLY VR SUBMISSION DEADLINES				
Reporting Period	**From**	**To**	**VR Due Date**	**Number of Days**
1	1 January	31 March	15 May	45
2	1 April	30 June	15 August	45
3	1 July	30 Sept	30 October	30
4	1 October	31 December	15 February	45

Table 2: Quarterly VR Submission Deadlines

41. **Proportional Deductions for absent or non-functional COE**: In line with General Assembly Resolution 67/261 on the Report of the Senior Advisory Group (SAG), additional information on absent or non-functional ME is to be included in the VRs. *Inter alia*, VRs shall indicate if absent or non-functional ME is beyond the control of the T/PCC and whether In Lieu Of (ILO) ME has been provided. Details are in Annex B12.

42. **Loaned Equipment:** Loaned equipment is third-party COE offered to a T/PCC for exclusive use by that country in a particular mission, which shall revert to the original owner upon mission termination or earlier departure by the T/PCC (COE Manual, Chapter 2, Annex B, Option 6). For such equipment, the T/PCC shall be reimbursed the maintenance rate, including the relevant factors, provided that the third party certifies to the United Nations that it does not provide maintenance services. Guidance will be promulgated and shared with field missions in due course.

D.9. Premiums

43. **Risk Premium** – A risk premium may be awarded to military and police units that have acquitted themselves well despite exceptional levels of risk and shall be payable to each individual member of the unit upon completion of service. The award of a risk premium shall be exceptional, taking into account that uniformed personnel by virtue of their professional experience and training along with protective equipment, are expected to operate in hostile environments, endure hardship and are subject to a certain degree of challenge. The details are available in DPO/DOS Guidelines Reference 2019.15 on Award of Risk Premium (Formed Units).

44. **Temporary Operating Bases (TOB) Premium** – The TOB premium is an incentive provided to military and police units that have been ordered to deploy to more than three (3) temporary operating bases for a cumulative period of more than one year in one peacekeeping budget period for mandate-related tasks and operational requirements. These extended deployments should be caused by extreme and unpredictable situations that 1) result in a broader than anticipated deployment footprint; and 2) create a dynamic mission operational environment preventing the timely update of the statement of unit requirements. In such cases the T/PCC may be eligible to receive an additional 5 percent to the reimbursement for Catering, Communications, Explosive Ordnance Disposal (EOD), Field Defense Stores and Tentage, provided that these categories are the T/PCC responsibility under the MOU and found serviceable. Guidance will be promulgated and shared with field missions.

D.10. COE and MOU Management Review Board

45. To facilitate coordinated action and decision-making in relation to the management of deployed COE, each mission is required to establish a COE and MOU Management Review Board (CMMRB). Generic CMMRB terms of reference and guidance previously provided to field missions are provided in Annex C, including template of the field mission CMMRB minutes.

46. In UNHQ, the Headquarters CMMRB performs an analogous function to the mission CMMRB. Composed of representatives from DPO, Department of Political and Peacebuilding Affairs (DPPA) and Department of Operational Support (DOS), the HQ CMMRB reviews, among others, specific issues arising from mission CMMRB minutes that require HQ action, or which have policy or political implications. In addition, the HQ CMMRB may also address broader matters related to COE management.

D.11. Rotation at UN expense

47. The rotation of COE at UN expense may take place when COE has been continuously deployed for seven years or reaches half of its estimated useful life, whichever is sooner, and is no longer economical to repair or maintain in the mission area. The 2020 COE Working Group (WG) authorized reduction of seven years to five years under exceptional circumstances for equipment that is unserviceable due to operational tempo and environmental conditions. The WG expanded the eligible ME categories to include the following: combat vehicles (added by 2020 COE WG); police vehicles (added by 2020 COE WG); engineering vehicles; support vehicles (military and commercial patterns); engineering equipment; and aircraft/airfield support equipment. Further, items of the mentioned categories lost or damaged due to hostile action or forced abandonment after 1 July 2017 are eligible for rotation of COE at UN expense. In those instances, the condition of duration in the field is not applicable.

48. In addition to belonging to eligible categories and duration in the field, the amount of equipment proposed for rotation shall represent 10 percent or more of the amount of equipment in at least one eligible category. The annual cost limit of such rotations is set at US$8 million per budget year.

49. The estimated useful life of ME is detailed in Chapter 8 of the COE Manual or is determined during the Special Case procedures for ME. ME rotated at UN expense under the new provisions shall be treated as if it were COE being repatriated at the end of a contingents' deployment and reported in the quarterly VR. Replacement equipment for that rotated shall be treated as COE being deployed as part of a contingents' initial deployment to the mission and reported in the quarterly VR of the Unit.

50. ME for rotation at UN expense is considered by the mission CMMRB, in consultation with the applicable contingent commanders, based on operational requirements within the mission. Missions are to forward the CMMRB recommendation for rotation of ME to UNHQ in line with the instructions at Annex C. This annex presents deeper explanation of eligibility criteria, coordination mechanism and all considerations to take by field missions prior recommending rotation of COE at UN expense.

D.12. Disposal of COE

51. Guidance should be provided to military and police units to conduct regular assessment to identify COE that has become unserviceable beyond economical repair (BER) or obsolete and requires disposal actions. Formed units should be encouraged to repair or dispose and replace the COE which is found to be non-functional for four consecutive quarters (twelve months), within the ensuing six months. COE may be disposed of by repatriation, sale, and donation or by agreed to and pre-arranged disposal action by the mission on behalf of the T/PCC.

52. Disposal should be an ongoing process through the sustainment phase of the mission rather than an action undertaken shortly before contingents' repatriation. When any COE is disposed of, updates are to be made in UCM concerning the affected items with a remark and disposal action reflected in the appropriate VR of the unit. Guidelines on disposal of COE are attached at Annex D1.

D.13. Recovery of Support Provided by the UN to Contingents

53. Contingents may sometimes be unable to meet their obligations as detailed in the MOU for the provision of SS services or provide spare parts and consumables associated with ME or minor equipment and request the assistance of the mission. Missions should establish clear procedures for contingents to request the issuance of UN provided support including consumables. Such procedures should include a formal request by contingents to include an acknowledgement that the provision of such support by the mission may result in cost recovery from their government's entitlement to SS reimbursement.

54. When there is an urgent operational requirement for the restoration of capability and where a T/PCC is not able to repair, rent or deploy replacement equipment, spare parts or consumables, it becomes the responsibility of the mission to provide the capability, irrespective of which party is responsible according to the MOU. The basic principle of support is that of a partnership between the UN and the T/PCC to carry out the mandate of the mission, wherein one partner takes over the responsibility the other partner cannot undertake. Such arrangements should be reflected in the VRs. Cost recovery reports/invoices etc., after due certification by the contingent commander and the mission, should be attached to the appropriate VR along with a credit memo raised by Regional Service Centre Entebbe (RSCE)/Kuwait joint support Office (KJSO) in coordination with the originating office.

55. If UNOE is provided to assist contingents to meet their SS obligations and this equipment can be considered as equivalent to ME listed in the COE Manual, for example Reefer Containers, or Tents for deployable platoons, cost recovery should be based on the monthly reimbursement rates for these items in the COE Manual. If the mission provides equipment through commercial rental sourcing, i.e. Reefer Containers, to assist contingents to meet their SS obligations, cost recovery should be based on the actual rental costs to the UN of the equipment. The office in charge of the recovery should ensure that a credit memo/sales order is timely raised and provided to UCSD.

D.14. Reimbursement for Expenditure of Ammunitions/Explosives

56. T/PCC may be entitled to reimbursement for ammunition/explosives expended for operational purposes, or for 'specifically authorized operational training beyond accepted UN readiness standards' as authorized and directed by the Force Commander/Police Commissioner. T/PCC may also be entitled to reimbursement for ammunition and explosives which become unserviceable/life expired in the mission area and for explosives expended when disposing of unexploded ordnance (UXO)/improvised explosive device (IED) as a Force Task. Explosives expended in support of the EOD SS category may not be claimed for by T/PCC, as the expenditure is covered by monthly reimbursements for the category.

57. The expenditure of ammunition and explosives is reported, for reimbursement purposes, using Operational Ammunition Expenditure Certificates (OAEC). The initial preparation of OAEC is a contingent responsibility. Once processed by the mission, a copy of the OAEC should be provided to the contingent and a copy forwarded to UNHQ. Additionally, a copy of the OAEC should be attached to the next ME VR submitted to UNHQ. Detailed procedures for the preparation and submission of OAEC are found in Annex E.

D.15. Environmental Compliance and Waste Management

58. The 2017 COE WG had strengthened the model MOU to establish responsibilities and expected actions of all uniformed personnel regarding contingent environmental compliance. Chapter 9, Article 7 of the COE Manual, "Environmental Compliance and Waste Management", requires contingents to endeavour to conduct themselves in an environmentally conscious manner and act in support of and in compliance with UN environmental and waste management policies and procedures. In addition, it requires the

UN to endeavour to aid contingents to enable them to do so, including providing contingents with mission-specific briefings, induction and continuing training on field mission procedures concerning environmental and waste management policies and procedures. The Environmental Management Handbook for Military Commanders in UN Peace Operations, currently under promulgation, shall be a key reference document for best practice standards for environmental management generally including directions for waste and energy management which should further align with the Mission Waste and Energy Infrastructure Management Plans.

59. Environmental Policy requires that the Heads of the Military and Police Components appoint environmental focal points. These appointed officials are responsible for liaising with the mission's environmental officer on environmental issues including the monitoring, assessment and reporting of contingents' compliance with environmental and waste management policies and procedures and ensuring that environmental briefings are provided during induction training. COE Units should request the participation of mission environmental and waste management staff during appropriate verification inspection activities and should forward any reports prepared by the mission in relation to individual contingent compliance attached to appropriate ME or SS VR. When practical, COE Units should assist the environmental and waste management staff to conduct their technical inspections, briefings and training of contingent personnel in environmental, energy and waste management matters. Reference should also be made to the DOS Environmental Policy for Peace Operations[2] as indicated in the Environmental Management Handbook for Military Commanders in UN Peace Operations. Details on environmental compliance and waste management are at Annex D4.

D.16. Performance Analysis Framework

60. In support of the overall management of COE capabilities deployed in peacekeeping missions by T/PCCs, a COE Performance Analysis Framework was developed. This framework contains guidelines, business processes, key performance indicators (KPIs), and quarterly review and reporting regime both in the field and at UNHQ. Participation in the framework is required for field staff. Details of COE performance management framework are described at Annex F.

E. ROLES AND RESPONSIBILITIES

E.1. Field missions

61. Field missions with formed military/police units are responsible for the following:

61.1. to develop and implement a comprehensive system to support the MOU management process and verify and report that the numbers of personnel, ME and minor equipment holdings and SS capabilities meet the standards established by the General Assembly for reimbursement purposes.

61.2. to verify on a periodic and systematic basis that deployed ME, and SS capabilities meet the operational requirements of the mission.

E.2. UCSD

62. UCSD is responsible to conduct regular revisions of these Guidelines to reflect changes in COE policies and procedures as well as enhancements in the verification and

[2] The Environmental Policy for Peace Operation is under development and expected to be promulgated in 2021. In the meantime, reference remains the Environmental Policy for UN Field Missions (2009.6) and the Waste Management Policy for UN Field Missions (2018.14).

reporting system. Cross-cutting issues are revised in coordination with applicable DPO and DPPA stakeholders.

F. ABBREVIATIONS, TERMS AND DEFINITIONS

63. This section contains a list of terms and their definitions for words and phrases that are required to understand this guidance material. It is particularly important for policies containing concepts new to the DOS institutional environment, which have not been clearly defined previously, which may be potentially confused with similar terms, or if the concepts are to have a particular meaning in this document. The format should be:

Abbreviations	Definitions
BER	Beyond economical repair
CMMRB	COE and MOU Management Review Board
COE	Contingent-owned Equipment
DOS	Department of Operational Support
DPPA	Department of Political and Peacebuilding Affairs
DPO	Department of Peace Operations
EOD	Explosive Ordnance Disposal
ILO	In Lieu Of
LD	Logistics Division
ME	Major Equipment
MOU	Memorandum of Understanding
NSE	National Support Element
OAEC	Operational Ammunition Expenditure Certificate
ORI	Operational Readiness Inspection
OSCM	Office of Supply Chain Management
PCIU	Property Control Inventory Unit
PKO	Peacekeeping Operations
SAG	Senior Advisory Group
SS	Self-sustainment
SOP	Standard Operating Procedures
TOB	Temporary Operating Bases
TOE	Tables of Organization and Equipment
T/PCC	Troop Police Contributing Country
UN	United Nations
USR	Uniformed Strength Report
UCM	Uniformed Capabilities Management
UXO/IED	Unexploded Ordnance/Improvised Explosive Device
VR	Verification Report
WG	Working Group

64. The terminology used in these Guidelines are as per Chapter 2, Annex A of the COE Manual.

G. REFERENCES

65. Normative or superior references:

A. General Assembly Resolution 72/285 on the rates of reimbursement to troop- and police-contributing countries

B. General Assembly Resolution 74/279 on the Triennial review of the rates and standards for reimbursement to Member States for contingent-owned equipment

C. General Assembly resolution, 67/261, Section II Absent or Non-functional ME

D. Manual on Policies and Procedures concerning the Reimbursement and Control of Contingent Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (A/75/121) aka 2020 COE Manual

E. Delegation of authority in the administration of the Staff Regulations and Rules and the Financial Regulations and Rules (ST/SGB/2019/2)

66. Related procedures or guidelines:

A. Environmental Management Handbook for Military Commanders in UN Peace Operations (under development, promulgation 2021)

B. Environmental Policy for UN Field Missions, June 2009 (to be superseded in 2021 by the Environmental Policy for Peace Operations)

C. Waste Management Policy for UN Field Missions, November 2018 (to be superseded in 2021 by the Environmental Policy for Peace Operations)

D. Policy on Operational Readiness Assurance and Performance Improvement, January 2016.

E. United Nations Manual on Ammunition Management, February 2020

F. SOP on the Development of Waste Management Plans for UN Field Missions, January 2019

G. SOP on the Development of Energy Infrastructure Management Plans for UN Field Missions (March 2020)

H. Guidelines on Environmental Clearance and Handover of Mission/Field Entity/Field Entity Sites, January 2019 (Annex within Guide for Senior Leadership on Field Entity Closure Package)

I. Water and Wastewater Guidelines for Peace Operations (under development, promulgation 2021)

H. MONITORING AND COMPLIANCE

67. In field missions, the implementation of these Guidelines shall be the responsibility of the field mission CMMRB and the Mission Support Division.

68. At Headquarters, these Guidelines are under the purview of the Uniformed Capabilities Support Division (UCSD) in consultation with the Office of Military Affairs (OMA) and the Police Division (PD).

I. HISTORY

69. These guidelines are an updated document and revision of previously issued versions as follows:

- Field Verification and Control of Contingent-Owned Equipment and Management of Memorandum of Understanding Guidelines 2018.06

Prior guidelines were promulgated under DFS/LSD:

- Fax: UNHQ-LSD-Fax-1-2015-5999 dated 20 October 2015.
- Fax: 2008-UNHQ-026752 dated 28 January 2008.

Annex A: Contingent Personnel Reporting

A.1- Uniformed Strength Reporting

1. New information technology (IT) capabilities to support the reporting of numbers of uniformed personnel deployed in field missions will be fully deployed by the end of 2020. The new capabilities standardize the submission of monthly Uniformed Strength Reports (USRs) to Uniformed Capabilities Support Division (UCSD) and the Department of Peace Operations (DPO), leveraging a common system and reporting template. The new consolidated reporting templates for Troops, Formed Police Units, Other Military and Other Police Categories are attached in Annex A.3 – A.6, and replace the existing Monthly Strength Report and Troop Strength Analysis Reports. The data from these reports is also used to update public information websites and relevant dashboards, such as iSeek, the UN Peacekeeping Website, and the Humanitarian Data Exchange portal.
2. Beginning with the January 2021 monthly USR, all field missions shall utilize the new templates and processes to submit the required documents for all uniformed personnel including *inter alia* troop and police personnel deployed in formed units, experts on mission, staff officers, individual police officers, and National Support Element (NSE) components.
3. To ensure the accuracy of the monthly USRs, field missions are advised to cross-check data against, inter alia, passenger manifests, rations reports, and deployment schedules.
4. The field missions should ensure consistency between the reporting of uniformed personnel in the USRs and the Self sustainment verification reports.
5. USRs must be duly approved by the Force Commander/Police Commissioner (FC/PC) and certified by the Director/Chief of Mission Support. Amendments after formal submission to UNHQ must be duly approved and certified by the FC/PC and Director/Chief of Mission Support (D/CMS) respectively.
6. Changes after submission to UNHQ must be approved and certified by the FC/PC and D/CMS respectively and should be communicated in a similar fashion, as noted above.

A.2 - National Command Element (NCE)/National Support Element (NSE)

7. With the agreement of the Organization, Troop/Police-contributing Countries (T/PCCs) may deploy additional personnel and equipment as National Command Element (NCE)/NSE at their own expense. For NCE/NSE, T/PCCs are not entitled to major equipment (ME) or Self-sustainment (SS) reimbursements for the additional personnel or equipment and the UN is not otherwise financially liable for the costs of deployment, rotation, repatriation or other forms of administrative and logistic support.
8. The costs of any support, *inter alia*, rations, water, fuel, electrical power, accommodation, transportation, and vehicle insurance provided by the mission for NCE/NSE are subject to recovery. A cost recovery report detailing the support provided by the mission to NCE/NSE, along with a credit memo raised by Regional Service Centre Entebbe (RSCE)/Kuwait Joint Support Office (KJSO) in coordination with the originating office, should be attached to the appropriate unit Verification Report (VR) and submitted to UNHQ.
9. NCE/NSE equipment should be subject to an Arrival and a Repatriation Inspection. Periodic inspections may also be required. NCE/NSE held equipment should be recorded in

Uniformed Capabilities Management (UCM) to support the management of resources such as supply of fuel and lubricants, insurance and other costs.

A.3 – PLACEHOLDER FOR USR TEMPLATES

Annex B: COE Verification and Reporting

B.1 - 2020 COE Working Group

1. In line with General Assembly resolutions on the triennial review of the Contingent-Owned Equipment (COE) system, the 2020 COE Working Group met from 20 to 31 January 2020 to conduct a comprehensive review of reimbursement rates and to update the major equipment, self-sustainment and medical support services categories. The Working Group agreed to 48 recommendations which are included in its report (A/74/689) and are reflected in the 2020 COE Manual (A/75/121). The guidance on the implementation of the recommendations applicable to field missions was conveyed in facsimile reference DOS-2020-03738 dated 14 August 2020.

2. Key outcomes of the 2020 COE Working Group:

   2.1. Approved definitions of unarmed and armed armored personnel carriers and the definition of military vehicles.

   2.2. Alignment of the COE Manual with explosive ordnance disposal/improvised explosive device disposal documents in relation to equipment requirements and standards.

   2.3. Introduction of synchronized generator banks with ISO 8528 generators instead of optimum-sized single generators, thereby increasing efficiency by at least 10 per cent.

   2.4. Inclusion of compensation claims for loss of or damage to spare parts, minor equipment and consumables when such losses are suffered during initial deployment organized by the Organization.

   2.5. In cases of hostile action during transit as part of the initial deployment organized by the Organization reimbursements loss/damage covers both major equipment and self-sustainment items.

   2.6. Introduction of helicopter landing site kits as a standard package for deployed units.

   2.7. Technical amendments to replace the individual kit for formed police units.

   2.8. Inclusion of police vehicles and combat vehicles in the list of equipment categories eligible for rotation at United Nations expense.

   2.9. Reduction in the eligibility requirement for rotation at United Nations expense from seven years of deployment to five years in exceptional circumstances.

   2.10. Amendments to the definition of unmanned aerial systems, the refined definitions of the different classes of unmanned aircraft systems and the revised rate of reimbursement for micro- and mini- systems deployed as major equipment.

   2.11. Repatriation of tentage at the request of troop- or police-contributing countries under United Nations arrangements whenever logistically and financially feasible.

   2.12. Alignment of the COE Manual with the United Nations Manual on Ammunition Management with due regard to quantities, shelf life and storage containers.

   2.13. Modification in reimbursement rates based on the cease of operations date.

   2.14. Scheduling of operational readiness inspections to duly incorporate operational tasks in support of mission mandates.

   2.15. Amended responsibilities related to minor engineering during the development and maintenance of the camp area, with a view to supporting environmentally sensitive approaches.

2.16. Changes in the calculation sheet for mission factors and in the methodology used to determine mission factors.

2.17. Introduction of an extended temporary operating base deployment premium.

2.18. Reduction in the minimum detection distance required for night observation devices from 1 000 m to 300 m.

2.19. Strengthened standards for waste management practices, the incorporation of references to other relevant waste management policies and the reflection of two new systems addressing waste treatment and disposal;

2.20. Addition of a buddy first aid kit as a self-sustainment category, with mandatory deployments effective 1 July 2022 and existing modalities continuing until that date.

2.21. Addition of a field medical assistance kit as a major equipment item in the recommended ratio of one such kits per company-sized unit to be negotiated based on mission-specific conditions.

2.22. Inclusion of cardiac troponin for early diagnosis of myocardial infarction as medical major equipment and to approve compliance with International Atomic Energy Agency (IAEA) Safety Standard No. SSG-46 (Radiation protection and safety in medical uses of ionizing radiation) for all radiography and dental facilities.

2.23. Addition of a new light mobile surgical capability.

2.24. Requirement that medical personnel be backfilled during leave periods (including unforeseen leave) and that replacements meet the requisite technical clearance standards, and the addition of a 72-hour grace period before the absence of technically cleared medical personnel would have implications for determining serviceability.

2.25. Reinforced the requirement that all medical personnel be credentialed and evaluated to meet COE Manual standards in line with the Medical Support Manual for United Nations Field Missions and the requirement that a failure to fulfil the technical clearance criteria would render the medical support non-operational and ineligible for reimbursement.

2.26. Approved that ambulances are not a requirement for Level I medical facilities on naval vessels.

2.27. Approved a 5 per cent increase in fee-for-service rates across all categories, in addition to a new rate for physiotherapy.

B.2 - ARRIVAL INSPECTIONS

A. GENERAL

1. Arrival Inspections are conducted:

    1.1. Within one month of arrival of newly deployed contingents for ME and within six months of arrival for Self-sustainment (SS). Contingents already deployed in the mission and are transferring or “re-hatting” from a regional peacekeeping operation to a UN mandated peacekeeping operation are subject to Arrival Inspection within one month of a date mutually agreed between the UN and the Troop/Police-contributing Country (T/PCC) concerned.

    1.2. Whenever an item of Major Equipment (ME) is deployed by a T/PCC to the mission after the arrival of the Unit.

2. The Arrival Inspection, for most newly deploying contingents, will likely be the first significant contact between the contingent unit authorities and the mission’s COE Unit staff. The joint planning and mutual pre-inspection briefings by the parties leading up to the inspection, and the actual conduct of the Arrival Inspection will therefore likely set the tone for future relations between the parties and impact positively or negatively on the success of future inspection activities. Every effort should therefore be made during the Arrival Inspection activities, by both parties, to promote mutual respect for the professional competence of each other, and to foster a culture of cooperation and trust.

3. The Arrival Inspection, for newly deploying contingent units, should follow the same basic procedures that are used for Operational Readiness Inspection and Periodic Inspection. However, COE Unit staff should anticipate the following issues which add to challenges of conducting Arrival Inspections:

    3.1. Many of the contingent staff, who will be closely involved in the COE inspection and verification process may have no or little previous experience of it and will in any case be concerned primarily with establishing the unit in its deployment locations and commencing full operational activities as soon as possible. Some contingent staff may regard the inspection as a distracting administrative inconvenience.

    3.2. The Arrival Inspection involves the time-consuming initial collection and recording of a large amount of detailed information on all the contingents ME, minor equipment and SS capabilities. This information will already be available for subsequent inspections.

    3.3. The COE inspection staff may be unfamiliar with the types and operating characteristics of the ME deployed, and how the contingent practically provides its SS capabilities. Detailed briefings and demonstrations may be required. The COE staff should be more familiar with the equipment and contingent capabilities during subsequent inspections.

    3.4. During the start-up phase of mission operations there is likely to be a shortage of qualified COE inspectors and other mission technical staff (engineering, transport, medical, supply, ammunition, information and communications technology services (ICTS), etc.) available to conduct inspections. At the same time, contingents may be arriving in relatively rapid succession or already be deployed in the case of re-hatting.

    3.5. Mission COE inspection staff and contingent authorities may be unfamiliar with the constraints on air and road movement caused by local environmental conditions in new

mission areas, leading to disruptions in the inspection process. Available air and road transport and material handling assets are also likely to be limited during start-up.

3.6. Units may initially deploy only to temporary locations and delay establishing their full SS capabilities. SS related equipment may remain stored in containers for some time.

B. ARRIVAL INSPECTIONS FOR MAJOR EQUIPMENT AND SELF-SUSTAINMENT

4. The Arrival Inspection for ME and SS are to be conducted even if a signed or draft MOU is not available at the time of unit deployment. All ME items are subject to an Arrival Inspection.

5. Contingent authorities must provide a complete list of all their ME, using formats provided to them by the COE Unit which describe and categorize equipment in accordance with the equipment descriptions in Chapter 8 of the COE Manual. These lists are to be used as the initial basis to conduct the inspection. In some instances, equipment items will be subject to reclassification as per assessment of the COE inspector. Items not included in the MOU are to be included in the verification report (VR).

6. Other documents which may assist in the inspection are the applicable Statement of Unit Requirements (SUR) of military units, Force Requirements (FR) of police units, cargo load lists provided by the mission Movement Control (MOVCON) Section, and the COE Manual. The exact date of arrival and details of the ME should be recorded in the Arrival Inspection VR and Uniformed Capabilities Management (UCM) Database.

7. The Arrival Inspection for SS categories should be conducted as soon as possible after deployment and completed within six months of unit deployment even if a signed Memorandum of Understanding (MOU) or draft MOU is not available. The exact date of establishment of SS categories should be recorded in the Arrival Inspection SS VR and UCM Database.

C. ARRIVAL INSPECTION FOR INITIAL PROVISIONING COMMODITIES

8. In accordance with the mission specific T/PCC Guidelines, SUR and additional guidance, T/PCC upon unit deployment, may be requested to provide contingent-owned commodities such as fresh food, composite ration packs, potable/bottled water and petrol oil and lubricants (POL) on a reimbursable basis as initial provisioning, until the UN supply chains in the mission are able to support the unit’s requirements.

9. Normally, initial provisioning for units is required only for the initial deployment, and for a limited period (30-90 days). T/PCC are entitled to submit claims for reimbursement for the initial provisioning commodities they provide and accordingly all commodities provided for initial provisioning are to be verified by inspection. Verification and production of an inventory of these commodities specifying item description, type, quantity and date of expiration, where applicable, should be conducted as part of the Arrival Inspection. The inventory of initial provisioning commodities deployed, duly signed by the responsible Unit representative, COE inspector and/or Supply Section representative should be attached to the Arrival Inspection SS VR submitted to UNHQ.

D. ARRIVAL INSPECTION FOR AMMUNITION AND EXPLOSIVES

10. T/PCC are entitled to submit claims for reimbursement for ammunition or explosives expended for operational purposes, used for specifically authorised training beyond accepted UN readiness standards, which becomes unserviceable or reaches its expiry date in the mission area, and for ammunition or explosives used with certain categories of ME weapon systems as detailed in the COE Manual. All ammunition and explosives deployed to a mission is therefore to be inspected and verified during the Arrival Inspection. An inventory of the ammunition and explosives held by the unit, specifying item description, type, quantity and date of expiration should be prepared. The inventory duly signed by the responsible unit representatives, COE inspector, Supply Section representative and Ammunition Technical Officer should be attached to the Arrival Inspection ME VR submitted to UNHQ for further action.

11. The adequacy of the contingent's storage arrangements for ammunition and explosives should be assessed and reported in the VR.

E. ARRIVAL INSPECTION – SOLDIERS/POLICE KIT AND PERSONAL WEAPONS

12. An inspection of the individual soldiers/police kits as detailed in the MOU, and the personal weapons held by the contingent should be conducted as part of the Arrival Inspection process to verify that the individual kits are available and meet the requirements and the unit holds sufficient serviceable personal weapons for all authorised contingent personnel. Inventories detailing any deficiencies in individual kits or personal weapons, duly signed by the responsible contingent unit representative and COE staff should be attached to the Arrival Inspection SS VR submitted to UNHQ. T/PCC national regulations may prohibit the issue or carriage of personal weapons by some categories of contingent personnel, i.e. national civilian staff who form part of the contingent. Where sufficient personal weapons are not held for all contingent members as per Annex A of the MOU, this, and the reasons for it, should be noted in the personal weapons inventory.

B.3 - OPERATIONAL READINESS INSPECTIONS

A. GENERAL

1. Operational Readiness Inspections (ORIs) are required to be conducted at least once every six months. All Personal Equipment, ME, and SS categories (including those SS categories provided by the UN) are to be inspected. ME is inspected to verify that the agreed quantities and types of equipment are present, and that the equipment is serviceable and used appropriately. SS capabilities are inspected to ensure that they are in accordance with the standards specified in the COE Manual. The ORI includes an assessment of the capability of the contingent to conduct on-going maintenance of ME and identifies any corrective actions that may be required to overcome shortfalls/deficiencies. ORIs must be conducted at least once every six months based on dates to be determined in advance (feasible for all stakeholders). Wherever feasible, the mission is requested to consult the contingent or unit when scheduling the operational readiness inspections and take into account ongoing operations or relocations as ordered by the Force Commander/Police Commissioner (FC/PC).

In cases where the inspection is scheduled during a period that the contingent or unit is conducting an operation ordered by the FC/PC, or during the relocation of the unit as ordered by the FC/PC, the contingent or unit may request the Inspection Team to reschedule the inspection with the approval of the FC/PC to a date not to exceed 30 days after the initially scheduled inspection. Emphasizing the primacy of operations, where feasible, the mission is also requested to take into account scheduled inspections when tasking contingents or units with operations.

2. Generally, ORIs differ from regular Periodic Inspections in the frequency and scope. Periodic Inspections are conducted quarterly while ORI is conducted bi-annually. Scope of ORI is wide and conducted by teams comprising of COE Unit staff, specialists from MSD technical Sections, and Force/Police Headquarters (FHQ/PHQ) representatives. The scope of Periodic Inspections allows them to be conducted, when appropriate, solely by COE Staff inspectors.

3. Data collected during the Periodic Inspection and reported in the accompanying VR contributes analysis of the performance and compliance with MOU by the Contingent/Unit during the quarter. This analysis is to be conducted during the preparation of the mission Quarterly COE Status Report and submitted to the COE and MOU Management Review Board (CMMRB).

4. ORI tasks include the following:

Major Equipment

4.1. Confirm the initial/previous classification of the equipment in categories and groups and verify that the agreed quantities and types as per MOU are available in serviceable condition and are being used for the operational requirement as intended.

4.2. Identify shortfalls/deficiencies and determine whether the absence or non-functionality of ME results from reasons beyond the control of the T/PCC.

4.3. Identify any additional ME equipment which may be required or has become surplus to operational requirements.

4.4. Verify that all associated minor equipment, consumables, and spare parts, are available for maintenance under the wet lease arrangement, and that suitably trained and qualified personnel are available to maintain and operate the equipment.

4.5. Verify that required maintenance schedules of the ME have been respected to ensure maximum operating efficiency

Self-Sustainment

4.6. Assess the standard of SS services provided by the contingent and confirm the standard is sufficient and satisfactory.

4.7. Verify that all minor equipment, spare parts, and consumables associated with maintenance of SS categories are available together with suitably trained and qualified personnel for maintenance and operation.

4.8. Assess the SS services which are being provided by the UN under the MOU and confirm that the standard is sufficient and satisfactory.

4.9. Assess overall SS arrangements and recommend changes in responsibilities if considered necessary.

Personal Equipment

4.10. Verify that agreed Personal Equipment consisting of clothing, gear and equipment are issued to all personnel in accordance with Annex A of the MOU.

4.11. Verify that personal weaponry and ammunition are present and in serviceable condition.

5. **Composition of ORI Teams.** ORIs are to be conducted by teams comprising of COE Unit staff, specialists from Mission Support Division (MSD) technical Sections and FHQ/PHQ representatives. A likely composition of the team is given below:

Members (Military/Police Staff)

5.1. Military/Police Operations Officer to review operational requirements and to inspect and assess operational performance as tasked in the Force/Police Commander (FC/PC) orders/instructions.

5.2. Communications Officer to inspect and assess the Contingents/Units communications related ME and 'Communications' SS capabilities.

5.3. Engineering Officer to inspect and assess engineering and de-mining equipment ME and capacities, inclusive of but not limited to engineering equipment, such as water treatment plants, engineering vehicles, electrical capabilities, minor engineering and Explosive Ordnance Disposal (EOD) SS capabilities.

5.4. Ammunition Technical Officer to inspect and assess all natures of ammunition and explosives stocks held by Contingents/Units, including serviceability and storage arrangements.

5.5. Logistics Officer to inspect and assess the operational readiness of logistics related ME and SS capabilities.

5.6. Force Medical/Hygiene Officer to inspect and assess medically related ME such as medical facilities, equipment and supplies, ambulances and aeromedical teams and medically related SS capabilities.

Members (Civilian Staff)

5.7. Surface Transport representative to inspect vehicles/trailers, provide technical advice on the classification of vehicles and Contingent/Unit maintenance capabilities, and assess vehicle safety standards.

5.8. Chief Medical Officer Representative to inspect medically related ME medical facilities, equipment and supplies, aeromedical teams and medically related SS capabilities.

5.9. Engineering Section representative to inspect engineering plant, water purification sets, generators, engineering related SS categories and environmental enhancements to accommodation/tentage and renewable energy sources.

5.10. When required, representatives from asset management unit may be asked to inspect United Nations-owned equipment (UNOE) issued to T/PCC units.

5.11. Environmental Officer to assess contingent/unit compliance with mission environmental and waste management policies and procedures, and provide advice, and where appropriate, limited on-the-spot training, to Contingent/Unit staff to assist them in

complying with relevant environmental, energy and waste management policies and procedures.

5.12. Members of mission IT services to provide expert advice on COE inspections on ICT capabilities.

6. Members of the ORI Team are supported by Contingent-appointed Liaison Officers (e.g. Unit's Logistics Officer, Engineering Officer, Motor Transport Officer, Medical Officer, Quarter Master) to explain and/or demonstrate contingent/unit capabilities, as required.

B. ORGANIZATION AND CONDUCT OF ORI

7. The organization and conduct of ORI involve detailed planning and coordination between the military, police and civilian components. ORI should be organised and conducted in three phases as follows:

7.1. Planning and preparation;

7.2. Execution and debriefing;

7.3. Analysis of inspection results and verification reporting.

8. ORI is normally characterized by centralized/decentralized concurrent planning and decentralized execution.

C. PLANNING AND PREPARATION

9. Detailed planning and coordination of ORI is required to allow for proper and orderly preparation and to avoid conflict with other major events occurring in the mission such as scheduled elections, contingent rotations and national holidays in the long term, and major security operations, humanitarian operations, medal parades and the like in the mid to short term.

10. Annual Planning. The Annual Inspection Schedule encompassing all formed Units should be prepared by the COE Programme Manager/Chief COE Unit with tentative dates of ORIs for all units. Inspection dates must be coordinated to avoid clustering of inspections which may have negative impacts not only on the COE Unit but also on supporting components/sections/units, e.g. FHQ, PHQ and MSD technical sections.

11. Quarterly Planning. The Quarterly Inspection Schedule/Calendar must be prepared by the COE Programme Manager/Chief COE Unit with confirmed ORI dates and coordinated with FHQ/ PHQ and MSD technical sections, and the Units to be inspected. In cases where the ORI is scheduled during a period that the contingent/unit is conducting an operation ordered by the FC/PC, or during the relocation of the unit as ordered by the FC/PC, the contingent/unit may request the Inspection Team to reschedule the inspection with approval of the FC/PC to a date not to exceed 30 days after the initially scheduled inspection.

12. Preparations prior to Operational Readiness Inspections. Units being inspected should prepare a briefing package for the ORI Team which should include:

12.1. List of ME holdings indicating item description, equipment category (as per COE Manual), chassis/serial number and primary physical location;

12.2. Unit organization chart;

12.3. Personnel strength report indicating number, and gender, of military/police contingent personnel per camp, including any military/police contingent personnel from other contingent/units who are also located in the camp and being provided with SS services by the Contingent/Unit being inspected;

12.4. List of personal weapons (type and serial number).

13. The COE ORI Team Leader may provide ORI worksheets for personal equipment, ME, and SS to the Contingent/Unit for necessary advance preparation. It is essential that the formed units' HQs coordinate the inspection program with sub-units so that sub-unit commanders and all personnel are aware of the timetables and that preparations are made to ensure that the inspections are conducted in a timely manner with minimum impact on unit operational activities. The COE ORI Team Leader shall:

13.1. Initiate the ORI standard inspection order a minimum of seven working days in advance to Continent/Unit Commanders, relevant MSD technical sections and FHQ/PHQ staffs for necessary support, information and coordination.

13.2. Arrange co-ordination meetings with all ORI team members prior to the inspection to review the provisions of the MOU, discuss inspection activities and procedures, distribute and clarify in detail tasks and responsibilities within the Inspection Team.

14. A set of supporting documents for the Inspection may include:

14.1. Annexes A, B and C of the MOU;

14.2. Performance standards for personal equipment, ME, and SS;

14.3. Inspection worksheets for PE, ME, and SS;

14.4. Data on previously identified shortfalls/deficiencies.

15. In addition, the COE ORI Team Leader must ensure that:

15.1. All administrative arrangements and requirements for the ORI are completed (i.e. Movement of Personnel (MOP), Special Flight Requests (SFRs), accommodation bookings where required, etc.) for/by all inspection team members;

15.2. Force protection/security escorts as necessary are provided in accordance with the mission security policies.

D. EXECUTION AND DEBRIEFING

16. At the commencement of the ORI, the COE ORI Team Leader should introduce all members of the inspection team, providing an overview of each member's tasks and responsibilities, and provide the key Contingent/Unit key representatives with a briefing on the procedures that shall be followed during the ORI.

17. The Contingent/Unit Commander or representative should provide a briefing to the ORI team on the Contingents/Unit's overall tasks and responsibilities and any outstanding issues related to personal equipment, ME, SS, and related issues pertaining to compliance with environmental and waste management policies and procedures.

18. The Contingent/Unit being inspected should ensure that the Logistics Officer, environmental focal point (where such a position was requested by the Force Commander or Police Commissioner) and/or other specialist personnel as required remain available to assist the

inspection team during the ORI with the understanding that Contingent/Unit operational activities always have priority over COE inspections. Equipment that cannot be inspected for operational reasons shall be inspected as soon as practically possible, after completion of essential operational activities.

19. Following these briefings, the COE ORI Team Leader shall initiate and coordinate the ORI with the Unit's commanding office to conduct the inspection and verification of Personal Equipment, ME, and SS categories in accordance with the performance standards as defined in the COE Manual.

20. **Personal Equipment**. The Unit should present its holding in terms of soldiers/police personal equipment at each location.

21. **Major Equipment.** The Contingent/Unit should present all ME for inspection unless it being utilized for operational activities prevents it from being inspected. Keys for vehicles, storage and maintenance facilities must be available. Operators of vehicles, weapons and other equipment must be ready to demonstrate serviceability and function. Equipment chassis and serial numbers, as appropriate, must be readable.

22. The Inspection Team shall inspect each item of equipment and verify the equipment category/group, description, chassis/serial number and where appropriate odometer/hours run and energy readings and UN/national registration numbers and verify that the equipment is operational and in serviceable condition. The Inspection Team shall also assess the Contingents/Unit's capability for on-going maintenance of ME under wet lease arrangements. All ancillary/minor equipment necessary for the operation of the ME item must be presented for inspection, and review of maintenance schedules and logbooks are available on request.

23. **Self-Sustainment**. The Contingent/Unit shall explain and demonstrate its capabilities in all applicable categories. The Inspection Team shall verify performance standards, identify shortfalls/deficiencies and make an assessment for the whole category. The inspection team should also inspect and verify that SS services provided by the UN or another third party are being provided in accordance with the standards in the COE Manual and are sufficient and satisfactory.

24. **Operational Readiness Assessment**. Normally, the overall assessment of the unit's operational readiness shall be made by the FHQ/PHQ representatives on the ORI Team and may result in a separate report addressed to the Force Commander/Police Commissioner.

25. **Inspection and Debriefing**. After the inspection the COE ORI Team Leader shall:

    25.1. Debrief the Contingent/Unit Commander and key representatives on the results of the ORI, highlighting any shortfalls/deficiencies and recommending corrective actions that may be considered to overcome them.

    25.2. Ensure completion of duly signed inspection worksheets and other supporting documents by appropriate inspection team members and contingent/Unit representatives.

    25.3. Provide an opportunity to Contingent/Unit Commanders and representatives to raise any other issues on COE and/or provision of support by the field mission for subsequent referral to MSD senior management.

E. SUBMISSION OF VR

26. The results of the ORI are to be reported in the ME and SS ORI Verification Reports. In a reporting period during which ORI are conducted, it is not necessary to create and submit additional Periodic Verification Reports. An ORI Verification report covering the entire period is sufficient.

B.4 - PERIODIC INSPECTIONS AND SPOT CHECKS

A. GENERAL

1. Additional inspections such as Periodic Inspections and Spot Checks are conducted for COE verification. Periodic Inspections are carried out on a quarterly basis in conformity with the Verification Reporting Cycle outlined by UNHQ to assess the status of ME and SS categories. They constitute the source for creation of the Periodic Verification Report.

2. Spot Checks contribute to verification process by confirming status of ME and SS categories throughout the verification cycle. Spot Checks are random unscheduled inspections to investigate the status of any ME and SS categories. Periodic Inspections and Spot Checks shall be linked with the status reported by Unit in the Monthly Standard Operational Report.

3. In addition, data collected during the Periodic Inspection/Spot Checks and reported in the accompanying VR contributes analysis of the performance and compliance with MOU by the Contingent/Unit during the quarter. This analysis is to be conducted during the preparation of the mission COE Quarterly Status Report and submitted to the CMMRB.

4. Periodic Inspections involve the following:

Major Equipment

4.1. Confirm the initial/previous classification of the equipment in categories and groups and verify that the agreed quantities and types as per MOU are available in serviceable condition and are being used for the operational requirement as intended.

4.2. Identify shortfalls/deficiencies and determine whether the absence or non-functionality of ME results from reasons beyond the control of the T/PCC.

4.3. Identify any additional ME equipment which may be required or has become surplus to operational requirements.

4.4. Verify that all associated minor equipment, consumables, and spare parts, are available for maintenance under the wet lease arrangement, and that suitably trained and qualified personnel are available to maintain and operate the equipment.

Self-Sustainment

4.5. Assess the standard of SS services provided by the contingent and confirm the standard is sufficient and satisfactory.

4.6. Verify that all minor equipment, spare parts, and consumables associated with maintenance of SS categories are available together with suitably trained and qualified personnel for maintenance and operation.

4.7. Assess the SS services which are being provided by the UN under the MOU and confirm that the standard is sufficient and satisfactory.

4.8. Assess overall SS arrangements and recommend changes in responsibilities if considered necessary.

Personal Equipment

4.9. Verify that agreed Personal Clothing, Gear and Equipment are issued to all personnel.

4.10. Verify that personal weaponry and ammunition are present and in serviceable condition.

5. **Composition of Periodic Inspection Teams.** COE Periodic inspections are to be conducted by teams of two or more inspectors depending on the size of the Contingent/Unit and staff available. Inspection Team should include specialists from MSD technical Sections and FHQ/PHQ. Members of the team are to be supported by Contingent appointed liaison officers to explain and demonstrate contingent capabilities as required, e.g. the Unit Logistics Officer, Engineering Officer, Motor Transport Officer, Medical Officer, Quarter Master; and other specialists as required.

B. ORGANIZATION AND CONDUCT

6. The organization and conduct of Periodic Inspections involve detailed planning and coordination between the military, police and civilian components of the Mission. Periodic Inspections involve three phases as follows:

6.1. Planning and preparation

6.2. Execution and debriefing

6.3. Analysis of inspection results and verification reporting

C. PLANNING AND PREPARATION

7. Planning and coordination of Periodic Inspections is required to allow for proper and orderly preparation and to avoid conflict with other major events in the mission such as scheduled elections, contingent rotations, and national holidays in the long term, and major security operations, humanitarian operations, medal parades etc. in the mid/short term.

8. **Quarterly Planning.** Planning for Periodic Inspections should consider quarterly inspections requirement. The Quarterly Inspection Schedule must be prepared by COE Unit with confirmed Periodic Inspection dates and duly cleared and coordinated with the Contingent/Units to be inspected.

9. **Preparation prior to Periodic Inspections.** The Contingent/Units should prepare a briefing package for the COE Inspection Team that includes the following:

9.1. List of ME holdings indicating item description, equipment category (as per COE Manual), chassis/serial number, colour, and primary physical location.

9.2. Unit organization chart

9.3. Personnel strength report indicating number of troops per camp.

9.4. List of personal weapons (type and serial number) and ammunition holdings.

10. The COE Inspection Team Leader may distribute in advance the inspection worksheets for Personal Equipment, ME, and SS to the Contingent/Unit logistics officer for necessary preparation. It is essential that the formed Units' HQs coordinate the inspection program with sub-units so that sub-unit commanders and all personnel are aware of the timetables and that preparations are made to ensure that the inspections are conducted in a timely manner with minimum impact on unit operational activities.

11. The COE Inspection Team Leader shall:

11.1. Issue the Periodic Inspection Program to team members and to the Contingent/Unit to be inspected.

11.2. Conduct planning and coordination meetings with Inspection Team Members to prepare for the inspection, assign inspection responsibilities, and clarify in detail the tasks and procedures to be followed during the inspections.

11.3. Review relevant MOU and the latest Verification Reports on ME and SS.

12. A set of supporting documents for the inspection team should include, as necessary:

12.1. Annexes A, B and C from the MOU.

12.2. Performance standards for PE, ME, and SS as per the MOU and COE Manual.

12.3. List of ME in categories.

12.4. Inspection worksheets for PE, ME, and SS

12.5. Data on previously identified shortfalls/deficiencies.

13. The COE Inspection Team Leader must ensure that:

13.1. MOPs are completed in accordance with MOVCON Section instructions for all inspection team members.

13.2. When required, duly signed Special Flight Requests are completed aligned with MOVCON Section instructions for all inspection team members.

13.3. Force protection/security escorts as necessary are coordinated in accordance with latest security advisory.

13.4. Arrange for local transportation and accommodation as necessary.

D. EXECUTION AND DEBRIEFING

14. At the commencement of the inspection, the COE Inspection Team Leader should introduce all members of the inspection team and provide an overview of each member's tasks and responsibilities and provide the key Contingent/Unit key representatives with a briefing on the procedures that shall be followed during the inspection.

15. The Contingent/Unit Commander or representative should provide a briefing to the Inspection team on the unit's overall tasks and responsibilities and any outstanding issues related to personal equipment, ME and SS applicable to that quarter.

16. The Contingent/Unit being inspected should ensure that the Logistics Officer and/or other specialist personnel as required remain available to assist the inspection team during the inspection with the proviso that contingent/unit operational activities always have priority over COE inspections. Equipment that cannot be inspected for operational reasons shall be inspected as soon as practically possible, after completion of essential operational activities.

17. Personal Equipment, ME, and SS capabilities shall be verified in accordance with the performance standards as defined in Chapter 3, Annexes A and B to the COE Manual 2020.

18. **Personal Equipment.** The Unit should present the soldiers' personal equipment at each location.

19. **Major Equipment.** The Contingent/Unit should present all ME for inspection unless it being utilized for operational activity prevents it from being inspected. Keys for vehicles, storage and maintenance facilities must be available. Operators of vehicles, weapons and other equipment must be ready to demonstrate serviceability and function. Equipment chassis and serial numbers, as appropriate must be readable.

20. The Inspection Team shall inspect each item of equipment and verify the equipment category/group, description, chassis/serial number and where appropriate odometer/hours run readings, UN/national registration numbers and verify that the equipment is operational and in serviceable condition. Serviceability of the equipment reflected in the Monthly Standard Operational Report shall be verified. The Inspection Team shall also assess the Contingent's/Unit's capability for on-going maintenance of ME under wet lease arrangements. All ancillary/minor equipment necessary for the operation of the ME item must be presented for inspection.

21. **Self-Sustainment.** The contingent shall explain and demonstrate its capabilities in all applicable categories. The Inspection Team shall verify performance standards, identify shortfalls/deficiencies and make an assessment for the whole category. The inspection team should also inspect and verify that SS services provided by the UN or another third party are being provided in accordance with the standards in the 2020 COE Manual and are sufficient and satisfactory.

22. **Inspection Debriefing meeting.** After the inspection the COE Inspection Team Leader shall:

    22.1. Debrief the Contingent/Unit Commander and key representatives on the results of the inspection, highlighting any shortfalls/deficiencies and recommending corrective actions that may be considered to overcome them.

    22.2. Ensure completion of duly signed inspection worksheets and other supporting documents by appropriate inspection team members and contingent/Unit representatives.

    22.3. Provide an opportunity to Contingent/Unit Commanders and representatives to raise any other issues on COE and/or provision of support by the field mission for subsequent referral to MSD senior management.

E. SUBMISSION OF VERIFICATION REPORT

23. The results of all Periodic Inspections and Spot Checks conducted during a quarterly inspection cycle are to be incorporated into the ME and SS Verification Reports for that quarter and submitted to UCSD/DOS in accordance with the reporting schedule.

B.5 - REPATRIATION INSPECTIONS

A. GENERAL

1. Repatriation Inspections are to account for and verify all ME to be repatriated with the departure of a formed military/police unit; and ensure that no UNOE is part of the equipment repatriated. Repatriation of a military/police formed unit is a complex process that involves multiple mission entities. It is important to understand the role played by each entity in the repatriation process.

B. ROLE OF SECTIONS

2. **Mission Support Centre (MSC).** The MSC is responsible for coordination of the planning for the repatriation of the cargo and personnel of the Contingent/Unit. MSC issues instructions, conducts coordination meetings with representatives from the Contingent/Unit, FHQ/PHQ elements, MSD Asset Managers, the COE Unit, MOVCON and other entities.

3. **Asset Managers** ensure that all UNOE issued to the Contingent/Unit being repatriated is returned and the receipt for returned items of UNOE is documented.

4. **MOVCON** provides the Contingent/Unit with the format of a Cargo Loading List assists the Contingent/Unit in moving the cargo from unit locations to a cargo staging area/container yard if required, coordinates the movement, and processes cargo and personnel clearance departing by ship, air or land. The sealing of containers is conducted in the presence of MOVCON representatives.

5. **Repatriating Contingent/Unit** acts in accordance with the instructions issued by the MSC and MOVCON. It returns all the UNOE to respective Asset Managers and provides the 'Loading List' and 'Passenger Manifest' to MOVCON. Depending on arrangements with MOVCON, may pack and move cargo to the staging area, move vehicles to the ship, secure cargo up to the time it is loaded for transportation.

6. **Property Disposal Unit** acts in accordance with the Mission established procedures to assist in the disposal of the subject equipment as authorised by the concerned country through coordination with the COE Unit.

7. In addition, the Contingent/Unit shall provide in writing any equipment which was cannibalised or written off during the deployment. Where required, a letter should be obtained from the Contingent/Unit Commander with the following comments: "*No claim will be addressed by the (T/PCC) to the UN requesting compensation for written off or cannibalized COE*."

C. Additional Guidance during Repatriation Inspection

8.1. Coordination meetings arranged by the MSC;

8.2. Brief the Contingent/Unit personnel on COE repatriation inspection procedures;

8.3. Assist the Asset Managers, Contingent/Unit personnel, Movcon and other entities in relation to the return of UNOE and preparation of Cargo Load Lists;

8.4. Analyse the cargo load lists to ensure all COE equipment has been included and take note of the equipment that has been written off, cannibalized, or is over and above that authorised in the MOU (a Contingent/Unit can repatriate 10 percent additional vehicles and other ME authorised in the MOU at UN cost). Where the T/PCC has deployed equipment in excess to the authorized MOU this is to be recorded in the Repatriation Verification Report;

8.5. Review the justification of the number of shipping containers requested by the Contingent/Unit and advise MOVCON accordingly;

8.6. Advise Movcon and MSC on the roadworthiness of Contingent Unit vehicles and any assistance required by the Contingent/Unit for the movement of COE to the staging area if necessary;

8.7. Accompany representatives from Asset Managers and Movcon during the sealing of shipping containers;

8.8. Conduct repatriation inspections of all COE ME. Record all damages to and condition of the equipment, including pictures, where necessary. Record the last odometer readings. Record whether ME is serviceable or not and, if not, from which date and if the non-serviceability resulted from reasons beyond the control of the T/PCC. Ensure all the equipment presented for repatriation is COE and not UNOE;

8.9. Receive and maintain contingent records concerning equipment disposed, lost, or written off in the mission area;

8.10. For the equipment departing/repatriating from the Mission, in the Inspection list called 'Deployment Status', it should be indicated if equipment will 'Return to Home Country'; 'Disposed/Written-Off'; 'Donated'; Move to another Mission/Unit;

8.11. Request from MOVCON actual dates of repatriation of Contingent/Unit equipment repatriation;

8.12. Prepare a Repatriation Verification Report to include date of cessation of operations, date(s) of repatriation of personnel and date of repatriation of ME. Inform status of Repatriation VR and associated issues to RCMPS/UCSD.

9. **Exchange of COE with another Unit**. In some instances, equipment from the repatriating Unit may be transferred to another Unit of the same T/PCC which is remaining in the mission. Dates of such exchange of equipment must be clearly documented by the COE Unit and recorded in UCM (eCOE) and Verification Reports for of the receiving Unit. UCM (eCOE) provides the ability to record the movement of equipment through Equipment view using 'Move' button. Any equipment that is transferred/moved to another Unit during the reporting period should also be recorded in the VR under Remarks column based on effective date of movement of equipment.

10. **Intermission transfer of COE**. For repatriated equipment, if any equipment is moving to another Mission/Unit, the COE Unit should select the option 'Move to another Mission/Unit' dropdown field from the Inspection list applet. The equipment repatriated from the departed Mission will be updated by the system into 'Intermission Transfer' view, available in UCM (eCOE) system.

11. **Repatriation Verification Report.** The COE Unit should create a Repatriation VR only once and upon the final withdrawal/repatriation of all the Contingents'/Units' COE from the mission area. Any COE item or collection of items being repatriated during a Contingent's/Unit's deployment in the mission area should be reflected in Periodic VR covering the period when such repatriation occurred. Where a cease of operations has been declared and contingent personnel have repatriated but COE remains in the mission area due to transportation,

customs, etc reasons, a Periodic VR should be created until the time the equipment actually departs from the mission area. When COE finally repatriates from the mission area, a Repatriation VR should be created. The VR should report the reasons of the equipment continued presence in the Mission area indicating whether it is beyond the control of T/PCC.

12. When a Unit ceases operation, UCM (eCOE) provides the ability to enter the 'Cease of Operation Date' during the VR process. Any subsequent VR generated for the Unit will have the 'Cease of Operation Date' copied from the previous quarter's VR and it will not be editable for the users to change it. The cease of operation date should be in accordance with the FRAGO issued by the Mission Force/Police HQs.

D. ADDITIONAL ISSUES

13. During the repatriation of Contingents/Units, and especially in the liquidation phase of a mission, the following additional issues may arise:

    13.1. In liquidating missions, there may be many units ceasing operations simultaneously. Inspectors may be few and require extensive and intensive travel to inspect multiple locations;

    13.2. The schedule for movement of COE from camp to departure area is often uncertain. The COE Unit representatives may not be present when the movement contractor picks up COE at the base camp;

    13.3. Normally, most of the Contingent's/Unit's personnel (the main body) will repatriate shortly after the Contingent's/Unit's cease of operations date and Contingent/Unit will generally leave behind a Rear Party to secure the COE until it is handed over to MOVCON and/or the Movement Contractor;

    13.4. Physical COE verification may continue to take place as long as COE remains within designated camp. Once the Contingent/Unit COE is picked up from bases/camps, the COE Unit will no longer have access to the equipment. COE Unit must submit periodic verification reports based on the last validated inspection.

B.6 – STANDARD OPERATIONAL REPORTING TEMPLATE FOR FORMED UNITS

A. INSTRUCTIONS

Monthly Standard Operational Reporting Form
The two forms attached below provide contingent personnel with a standard means of reporting on the serviceability status of ME and SS. They should be completed and submitted to the COE Unit monthly within 5 working days of the following month. This information is required in support of the COE MOU Verification Reporting Process. See instructions below concerning how to enter data into each form.

Monthly Major Equipment Self Reporting		
Serviceability status of ME should be included in this report. Items previously reported as Unserviceable or Serviceable should only be included here if their serviceability status has changed.		
SRL	**Column Name**	**Instruction**
1.	Item Generic Description	Enter the Generic Description of the Item as per the MOU, e.g., Truck Utility Cargo, 6-10 Tons, Commercial Pattern
2.	Serviceable	Enter the equipment status (YES or NO) as of the Last Day of the reporting period.
3.	Date From	Start Date of equipment unserviceability. This date can be from a previous month, if the Date To is within this month.
4.	Date To	End Date of equipment unserviceability. This date can be blank if the item remains unserviceable at the end of the reporting period.
5.	Days Unserviceable	Number of days from Date From to Date To (e.g., 25)
6.	Remarks	Enter the reason for unserviceability and note if this is for a reason beyond the control of the T/PCC (e.g., Fuel Tank leak; not fault of TCC on account of hostile action.)

Monthly Self Sustainment Self Reporting

Only SS Categories which have had changes impacting the requirements for SS as per the COE Manual should be recorded here.

Units must inform the mission immediately if the T/PCC cannot adequately supply medical equipment, drugs, or consumables.

Contingent:	
Unit:	
Primary Location:	
Month/Year:	

B. MONTHLY MAJOR EQUIPMENT SELF-REPORTING

Verified By:	
Date:	
Approved By:	
Signature:	

					Odometer Reading			**Equipment Serviceability Status**				
Srl	**UN Plate Number**	**Nat Plate #**	**Chassis/Serial #**	**Item Generic Description (1)**	**Start**	**End**	**Fuel Type**	**Service-able (2)**	**Date From (3)**	**Date To (4)**	**Days Unservice-able (5)**	**Remarks (6)**

C. SELF SUSTAINMENT SELF REPORTING FORM

Month/Year:			**Verified By:**
Contingent:			**Date:**
Unit:			**Approved By:**
Primary Location:			**Signature:**
SS Category	**Resp. CC/UN**	**Acceptable Y/N**	**Remarks**
Catering			
VHF/UHF-FM			
HF			
Telephone			
Office			
Electrical			
Minor engineering			
Explosive Ordnance disposal			
Laundry			
Cleaning			
Tentage			
Accommodation			
Basic firefighting			
Fire detection and alarm			
Medical			
Communal first aid kit			

Buddy First Aid kit			
Level 1			
Level 2 (including dental and lab)			
Level 3 (including dental and lab)			
Level 2 and 3 combined (including dental and lab)			
High-risk areas (epidemiological)			
Blood and blood products			
Laboratory only			
Dental only			
Observation			
Night Observation			
Positioning			
Identification			
Field Defense Stores			
Bedding			
Furniture			
Welfare			
Internet access			

B.7 – MAJOR EQUIPMENT CAPABILITIES

1. For ME, the Inspection Team shall verify each individual item identifying the respective equipment category/group, item description, chassis/serial number, UN/national registration number and whether the item is operational and in serviceable condition. The Inspection Team shall assess the unit's capability to maintain ME provided under wet lease arrangement. All ancillary equipment necessary for the operation of ME is also to be presented for inspection. The contingent unit representative should be requested to explain re-supply arrangements for minor equipment, spare-parts and consumables.

Vehicles

2. The COE WG 2020 established definitions of some combat and high mobility vehicles. The aim was to provide clarity to standardize verification and reporting, and not to change the standards. These are available in the 2020 COE Manual.

3. Recommended arrangements that would facilitate the inspection of COE vehicles (including Trailers) are:

   3.1. Vehicles should be lined up by types and categories, with drivers present.

   3.2. Vehicle make and model (e.g., Toyota Helix) should be recorded.

   3.3. Vehicles required for essential taskings should be inspected first and released. Alternatively, these essential vehicles may be inspected before or after the main inspection.

   3.4. For storage or utility vehicles, the specific capacity (Litres, Tons, etc.) should be recorded.

   3.5. The modifications/specifications required for considering a commercial pattern (CP) vehicle as its military pattern (MP) equivalent have been revised in 2020 COE Manual and are to be used for verification and reporting.

   3.6. For engineering, construction, or other specialized vehicles, a qualified operator should be present to demonstrate equipment serviceability and the Unit's capability to operate the vehicle. Any absence of an operator should be reflected in the VR remarks, including the period of absence.

   3.7. Ancillary equipment such as wheel changing tools and first aid kits should be placed on the ground in front of each vehicle.

   3.8. Spare wheels must be available for inspection.

   3.9. Engine and chassis numbers must be clean and visible for inspection.

   3.10. Vehicles and trailers must be painted with United Nations markings. No national markings or flags to be displayed.

   3.11. Vehicle documentation such as Logbooks and Trip Tickets should be made available for reference purposes.

   3.12. T/PCCs are encouraged to repair or replace unserviceable odometers. Odometer readings should be checked and recorded against earlier readings reported in Monthly Operational Report. Any vehicles without working odometers shall still be classified as serviceable with a clarifying remark in the VR.

3.13. Unsafe vehicles endanger the life of personnel and jeopardize the effectiveness of a mission. Inspection of vehicles shall include an equipment safety inspection as determined by Mission. Vehicles declared unsafe by the mission Chief Transportation Officer (CTO) should be deemed unserviceable.

Accommodation and Storage Equipment

4. The established Accommodation Equipment standards include minimum requirements for structural framework, exterior, substructure, insulation, ventilation, power, lighting, air conditioning, etc. The details of standards are provided in Annex A of Chapter 3 of the 2020 COE Manual.

5. Storage conditions of ammunition impact its shelf life. The mandatory and desirable specifications for ammunition containers are captured in 2020 COE Manual, Chapter 3, Annex A and should be verified for both COE and UNOE ammunition containers.

6. Other responsibilities of United Nations and T/PCCs concerning the ammunition storage area are captured in the 2020 COE Manual, Chapter 3, Annex B, Appendix 3.

Armaments

7. Weapons should be displayed by type with ancillary equipment such as sights, magazines, base plates, spare barrels, calibration kit, and tool kits. Designated crew should be present during the inspection. Armaments in boxes or stored in storehouses with poor lighting arrangements/insufficient space should be inspected in the open. Armaments issued at Company level and below (crew served machine guns) should be grouped at each sub-unit HQ for inspection (security conditions permitting).

8. When possible, particularly during Operational Readiness Inspection, the UN Ammunition Technical Officer (ATO) should be present as a member of the COE Inspection Team. The advice of Force ATO on care, handling, storage and condition on ammunition should be followed up during periodic inspection.

9. Inspection of armaments should include:

   9.1. Unit personnel demonstrating the suitable use of armaments.

   9.2. Recording specific weapon calibers.

   9.3. Ensuring that the Unit holds suitable and sufficient ammunition. Armaments without suitable ammunition or trained personnel are to be declared unserviceable until ammunition and/or personnel are made available.

   9.4. Ensuring that all field mission records and inventories of ammunition and explosives in particular the date of expiration is current and up to date.

Generators

10. Military/Police units normally deploy with generators to meet their own power requirements. Generators should be deployed in pairs to run on rotation, except for small sub-units and check points where one generator may be acceptable, or locations where grid supply is available most of the time.

11. The 2017 Working Group introduced a new system of identifying distinct functions of power generation, based on the International Standards Organization 8528 (ISO 8528). T/PCCs have the option of deploying generators based on the power ratings/roles contained in the ISO 8528 standard, namely (1) prime power, (2) limited-time running and (3) standby. The

deployment of generators under ISO 8528 must be part of an agreed and auditable energy transition plan. New types of generators that were included in the 2017 COE Manual are diesel/renewable hybrid, and renewable energy (photovoltaic). These new categories supplement and do not replace the existing categories. T/PCCs are encouraged to deploy ISO generators but can opt to continue to deploy generators under pre-existing arrangements.

12. To incentivize the deployment of renewable power equipment, T/PCCs which generate at least 10 per cent of their total energy requirements from renewable energy sources would receive a supplemental payment equivalent to 5 per cent of the maximum possible reimbursement for in the Electrical category in the MOU. Furthermore, the 2020 Working Group identified requirements for synchronized generator banks, as sets of three or more generators connected by an electronic synchronization system. All generators within such banks must be of the prime power role. Required generator sizes shall be determined in the site energy plan. Individual prime-power generators and banks of such generators must be sized to operate within the load band of 60–110 per cent, based on a KVA to kilowatt kW power factor of 0.8. The annual average load for individual generators should not exceed 85 per cent of the rated power.

13. A contingent move to ISO 8528 standards, synchronised generators, or deployment of new types of power generation equipment should be reported accordingly in the COE verification reports. The MOU amendment recommendations, if applicable, should be raised to UCSD through Mission CMMRB. Engineering experts in ORI Teams should refer to United Nations Environment Programme (UNEP) guidance documents, once available, for more information.

14. Inspection of generators should include:

    14.1. Examination of power generation equipment by Engineering experts.

    14.2. Serviceability, output (in KVA units), earthing, circuits, and junction box connections as well as proper protection against soil and water pollution. Log books should be made available for reference purposes. Specific KVA output per generator should be recorded;

    14.3. Verification of performed maintenance by Engineering experts, in line with required maintenance schedules to guarantee maximum operational efficiency. Engineering experts should refer to United Nation Global Service Center (UNGSC), guidance documents once available, for more information.

    14.4. T/PCCs are encouraged to deploy generators with hour-meters. Meter readings should be checked and noted. Serviceable generators without hour-meters or unserviceable meters shall still be declared serviceable with a clarifying remark in the VR.

15. The responsible mission entity (MSC) shall actively engage with relevant Environment and Engineering counterparts to incorporate recommendations related to site energy plans (in accordance with COE Manual Chapter 3, annex A, appendix 3), alternative energy sourcing, generator right sizing and broader environmental management in mission inputs to SURs, new MOUs, and (where appropriate) MOU amendments.

Medical Equipment

16. Medical ME should be inspected by the Civilian/Force Medical Officer Representative during the medical SS assessment. A list of medical equipment should be provided to the Civilian/Force Medical Officer in advance of the inspection. Accommodation/Tentage for medical facilities, and ambulances and other vehicles dedicated to the transport of patients, medical staff, and/or medical supplies and consumables should be clearly marked with the appropriate symbol placing it under the protection of the Geneva Convention. Medical incinerators should be fit for purpose and in good operational condition.

Engineering Equipment

17. Contingent-owned engineering equipment and plants should be inspected by an Engineering Section specialist. Any equipment out on operational taskings may be checked *in situ*. Specialist equipment operators should be available to demonstrate capability and serviceability including compliance with environmental and waste management policies and procedures.

Unmanned aircraft systems (UAS)

18. Of the three classes of UAS, the micro and mini categories of class I are deployed under the terms of an MOU while the rest are deployed under a LOA. Each micro (multirotor) and mini (hand launched) UAS included in the memorandum of understanding must: be declared operational and functional by the mission (not only upon initial inspection, but also on a regular basis). This include the verification by aviation experts for the altitude and range specifications and provision of qualified UAS operators.

19. 18UAS operators shall be trained and licensed in accordance with their country's military regulations and standards. All operators and crew shall be able to operate all features and equipment of the unmanned aircraft systems and sensor packs to the fullest extent of their capability. Minimum services to 24/7, day and night flying capability, aerial reconnaissance and surveillance to support the mission, including live video streaming with electro-optic infrared camera and data exploitation capability are required.

20. The micro/mini UAS related technical guidance/instructions shall be issued separately to the UN Field Missions so that the assets can operate in a safe and an integrated manner.

Helicopter Landing Site Kits

21. To be considered serviceable for United Nations operations, four mandatory items are required to be included in the helicopter landing site (HLS) kit. These are:

    21.1. Coloured smoke grenades (set of 6 in two different colours);

    21.2. White strobe lights (set of 6);

    21.3. Hand-held radio for air and ground communication (VHF-AM) (not mandatory, if the unit already has the equipment);

    21.4. Fluorescent marker-panels with stakes (set of 3);

22. In addition, one of the following two items may also be included: Marshalling wands (set of 2), or machete (set of 2).

23. Based on above, there are two HLS kit sets available in COE Manual Chapter 8 – (a). HLS Kit (with ground communication) and (b). HLS Kit (without ground communication)

B.8 - SELF-SUSTAINMENT CAPABILITIES

1. Field missions are to follow the SS standards stipulated in the COE Manual and in the Guidelines below while applying the principle of reasonability. The principle of reasonability within the SS verification process allows for special reimbursement in “exceptional cases” when a category of SS only partially meets applicable standards.

2. The field missions are to provide the reason in the SS verification reports whenever a category does not meet the standards for reimbursement. This information shall be used for any negotiations between UCSD and T/PCC for requests of consideration under “exceptional cases”.

3. The field missions should ensure consistency between the reporting of uniformed personnel in the USRs and the Self sustainment verification reports.

4. During the SS inspection, the contingent should be requested to explain and demonstrate its capability in all applicable categories. The Inspection Team shall verify against applicable performance standards, identify shortfalls and make an assessment for the whole category. Inspectors should also assess the standard of services for those categories that are the responsibility of the United Nations and include relevant observations in the VRs.

Catering

5. The contingent unit should be able to demonstrate operational field cooking facilities with due regard for cultural and dietary requirements. The inspection should include cooking stoves, kitchen utensils, dish washing facilities, food waste disposal arrangements, dry and cold storage capabilities, insect proofing (including mosquito and fly protection) and rodent control measures, and concrete flooring. Catering facilities should also be evaluated on the availability and adequacy of hygiene standards. The inspecting Medical Officer/Force Hygiene Officer shall assess hygiene standards while the Environmental Officer may assess environmental aspects.

Communications

6. Each formed unit’s Communication Officer should be requested to present a copy of the Unit Communications Plan along with the list of TCC- and UN-provided communication equipment at each location. The unit should be requested to demonstrate serviceability of all communication equipment, ancillaries and spare batteries, as well as arrangements for proper disposal where required. Radio sets mounted on vehicles should be inspected *in situ*. The inspection team shall also confirm:

    i. Authorized strength at locations served by contingent-provided telephone facilities.

    ii. Authorized strength of the sub-units or sub-elements in tactical or mobile operations served by HF as they are beyond the range of VHF/UHF and not served by telephone.

    iii. Number of personnel supported by Telephone, VHF/UHF-FM and HF.

7. In accordance with mission IT standards for issuance of UNOE, communications equipment based on operational requirements. UNOE is issued for communication with mission

components and neighbouring units, and to support integrated operations (UNPOL, Regional Officer, etc.) UNOE may not be used to meet required communications SS requirements**.**

Office

8. The Verification Team shall visit HQ and sub-unit offices to confirm holdings of office equipment, furniture, stationary supplies, photocopy machines and information technology capabilities to include computers, printers and necessary software as well as arrangements for proper disposal.

9. The unit may have been issued UN-owned IT equipment (PCs, software, printer, telefax) to facilitate communication with mission headquarters (regional, military, etc.). UNOE may not be used to satisfy Internet and Welfare SS requirements.

Electrical

10. The contingent unit should be requested to demonstrate its capability to provide power supply to small camps at the company, platoon or section level as well as emergency power back up for important facilities in the base camp such as the communication centre, operation or duty room, refrigeration facilities, office, etc. Emergency power must be supplied from generators other than those provided for main power supply. The inspection team shall also inspect required electrical stores, electrical wiring, switches and lighting sets, including exposed or damaged wiring that could present a health and safety risk.

Minor Engineering

11. Each formed unit should be requested to confirm holdings of construction tools, supplies and workshop equipment and be able to demonstrate the ability to carry out minor construction works, electrical repairs, repairs to plumbing and water systems, minor maintenance and repair work in compliance with environmental and waste management policies and procedures.

12. Inspection of Minor Engineering may also be conducted by a representative from the mission Engineering Section in coordination with the Environmental Officer assessing environmental aspects.

Explosive Ordnance Disposal (EOD)

13. EOD SS capabilities are limited to the Unit's capability to secure its accommodation area against unexploded ordnance. The Unit should be requested to present the list of demolition stores and demonstrate its capability (equipment, consumables, and personnel) to:

    i. Locate unexploded ordnance using Mine/Explosive detectors.

    ii. Dismantle or destroy ordnance using explosives, demolition kits and other equipment including primers, cortex, and battery.

    iii. Provide necessary protection to EOD personnel using personal protective clothing (e.g. bomb-suits). NB: A helmet and fragmentation vest in lieu of a bomb-suit does not meet required standards.

14. A formed unit deployed to multiple locations may store its EOD equipment at a central location such as the Battalion Headquarters. The unit may be referred to the mission's Senior Ammunition Technical Officer (SATO) for guidance on the storage of EOD equipment, explosives and detonators.

15. The COE Manual stipulates that a formed unit can be qualified as self-sustained under EOD only if it is also self-sustained under Observation and Identification. This requirement is applicable when the other two categories are the unit's responsibility under the MOU. In such cases, mission CMMRB are to provide recommendations for MOU amendments where the other two SS categories need to be included in the MOU, based on mission experts (SATO or UN Mine Action Service (UNMAS)) opinion.

Laundry

16. A separate facility and associated supplies are required to meet laundry SS capability standards outlined in the COE Manual. Designated ablution facilities may not be used to meet laundry SS capabilities.

Cleaning

17. The unit should be requested to confirm arrangements including the provision of cleaning materials for living and working accommodation.

Tentage

18. The formed unit should be requested to indicate the provision of necessary tented accommodation for personnel, offices and workshops including flooring and heating/cooling arrangements. The inspection team shall verify the number of personnel living in contingent-provided tentage and in UN-provided tentage. The tentage deployed under major equipment is not counted against the self-sustainment category. The formal is specifically for short terms deployments outside the main camp areas.

19. Ablution facilities provided by the T/PCC may be entitled to a reimbursement for ME. However, reimbursement for T/PCC-provided chemical toilets under rental arrangement requires prior approval by UCSD.

20. The T/PCC may be eligible to receive an additional 5 percent to the reimbursement for Tentage (both ME and SS) if the provided tentage has supplementary capabilities designed to improve the heating and cooling effectiveness and efficiency of the facility. Details of these supplementary capabilities are listed in Annex B to Chapter 3 of the COE Manual.

Accommodation

21. This category includes prefabricated containers/modules or other type of living, office and workshop accommodation, ablution facilities, and furniture for dining and welfare facilities. The formed unit should be requested to demonstrate that the living accommodation provides sufficient space and appropriate segregation of males and females based on national policies.

22. Accommodation should meet the minimum standards established in Annex A of Chapter 3 of the 2020 COE Manual and include adequate power and lighting systems and heating, ventilation, and air-conditioning system appropriate to the environmental conditions and for the intended occupancy. The type of accommodation suitable for reimbursement may range from high quality tensioned membrane facilities to prefabricated buildings to normally constructed facilities. The inspection team shall verify the number of personnel living in T/PCC- or UN-provided accommodation or in existing buildings and ascertain whether the accommodation is up to UN standards including environmental and waste management policies and procedures.

23. The T/PCC may be eligible to receive an additional 5 percent to the reimbursement for accommodation if the provided accommodation (including warehouses and equipment storage) is shown to have supplementary capabilities designed to improve the heating and cooling effectiveness and efficiency of the facility. Details of these supplementary capabilities are listed in Annex A and B to Chapter 3 of the COE Manual.

Basic Firefighting

24. Contingent units should be able to demonstrate the availability of sufficient basic firefighting equipment, i.e., buckets, beaters and fire extinguishers, in accordance with the International Fire Code. Arrangements to replenish necessary minor equipment and consumables should be evaluated.

Observation

25. The contingent unit should be requested to present all observation equipment including binoculars, night observation equipment, global positioning systems and laser range finders for inspection grouped in one place at each location. Inspectors should determine, based on the operational tasking of each unit or on the Force HQ directive (if available), whether the quantities and capabilities held in each location are sufficient to carry out tasks. The inspection team shall inspect the equipment for proper storage, maintenance and serviceability and verify the holding of spare batteries for night vision devices (NVDs) and global positioning system (GPS).

Soldier's/Police Kit

26. The contingent unit should be requested to present the list of soldier's/police kit. The inspection team shall assess whether soldier's/police kit items are deployed are in accordance with the Appendix to the MOU Annex A. The first-aid kits have been removed from these lists by 2020 COE WG as a separate medical self-sustainment category of buddy first-aid kit (BFAK) has been introduced. Until the T/PCCs deploy the BFAK, the T/PCCs are required to continue to maintain the first aid kits as part of soldier's/police kits (refer paragraph on BFAK).

B.9 - MEDICAL CAPABILITIES

1. The inspection of medical facilities shall be conducted by the FMO/CMO or their deputy. The contingent unit's Medical Officer shall demonstrate the unit's ability to provide medical facilities specified in Annex C of the MOU.

2. **Buddy first aid.** Contingent personnel should be requested to present BFAK as listed in Appendix 1.1, Annex C of Chapter 3 of the COE Manual. The inspection team shall also ascertain that all non-medical personnel are trained to a sufficient level of buddy first aid proficiency as stated in the Medical Support Manual for United Nations Field Missions and are compliant with the requirements and standards outlined in the Appendix 1, Annex C of Chapter 3 of the COE Manual, which include: cardio pulmonary resuscitation, hemorrhage control, fracture immobilization, wound dressing and casualty transport and evacuation**.** All

contingents are required to transition from the former Individual First Aid Kits (soldier/police kits) to the BFAK by 01 Jul 2022, after which the BFAK shall be mandatory.

3. **Communal first aid.** Contingent personnel should be requested to lay out the communal first-aid kit, as listed in the Appendix 2.1, Annex C of Chapter 3 of the COE Manual. At least one such first-aid kit should be available in each vehicle, in all workshop/maintenance facilities and in kitchens.

4. **High Risk Areas (Epidemiological).** The inspection team shall check provision of chemoprophylaxis and other medical supplies and consumables for the prevention of endemic infectious disease. (NB: Rodent control measures are under catering SS capabilities.)

5. **Medical Levels 1, 2 and 3.** Force/Chief Medical Officer (FMO/CMO) representative shall conduct the inspection referencing COE Manual standards. The recommended scale of medical personnel for the Level 1 of a standard infantry battalion is two medical doctors and six medics/nurses. This allows the Unit to split into two forward operating medical teams, each with a doctor and up to three medics/nurses. For smaller units, the number of medical personnel in the unit should meet the operational requirements based on guidance from the FMO/CMO. Any medical services provided to other military/police personnel should be confirmed and reported in the monthly “Assignment of personnel to medical facilities”.

6. The contingent unit should be requested to demonstrate that all the medical equipment is in working condition. The medical facility area should be provided with proper flooring, cooling system and kept clean. The storage area for medicines and drugs should be well ventilated and with the necessary temperature control. Separate refrigerators should be provided for drugs and vaccines and for food items. The expiry dates for drugs and other consumables should be ascertained.

7. **Basic Gynecology Capability – Level 2 Hospitals.** The presence of a qualified Gynecologist is to be confirmed. Female dependency on T/PCC Level 2 Hospitals to be reported in line with UNHQ guidelines.

8. **Aero-Medical Evacuation Team (AMET).** The AMET is a separate module but may remain under the command and control of the Level 1 or 2 medical unit through which it also replenish its consumables. Medical personnel composition remains at two physicians and four nurses/paramedics. Two sets of associated equipment is required to allow for the simultaneous deployment of two sub-teams at any given time.

9. **Ambulance.** All medical equipment inside ambulances are to be inspected. An ambulance is deemed operational only if it is equipped with required items outlined in Chapter 3, Annex C, Appendix 2.1, Table item F, of COE Manual. Two fully equipped ambulances, reimbursed separately as ME, shall be required for Level I Hospitals. The naval vessels Level 1 Hospitals are exempted from the requirements to have Ambulances.

10. **Laboratory**. Laboratories should be clean and with the required analysers listed in the COE Manual.

11. **Dental**. Equipment should be inspected to make sure that all accessories are available, kept clean and duly maintained. The unit should have sufficient stocks of dental equipment supplies.

12. **Radiography**. Digital X-ray machines should be inspected to make sure that they are in working condition. Required protective clothing should also be available, in accordance with the International Atomic Energy Agency Safety Standards Series No. SSG-46 (Radiation protection and safety in medical uses of ionizing radiation). The FMO/CMO are required to verify the unit’s compliance.

13. **Medical waste.** Waste collection and waste treatment/disposal systems should be present in Level 2 and Level 3 facilities in accordance with standards outlined in the United Nations

Environment Programme (UNEP) Compendium of Technologies for Treatment/Destruction of Health-Care Waste. The FMO/CMO are required to verify the unit's compliance.

14. **Operating Theatres**. Operating theatres should be up to required standards, kept clean and sterile with adequate surgical consumables. The expiry dates of oxygen cylinders should be assessed.

15. **Hospital Kitchen and Laundry**. Separate washing equipment should be available for medical personnel and patients. There should also be a separate kitchen facility for patients.

16. **Incineration**. Adequate and fit for purpose incinerators should be available for the disposal of medical waste. No medical waste, including expired medicine and drugs, may be disposed of in the normal, non-hazardous garbage. All medical waste, including expired drugs, should be properly segregated, stored in appropriately labelled bags or containers and disposed to medical waste standards according to the Mission Waste Management Plan and Standard Operating Procedures.

Technical clearance of medical personnel

17. Technical clearance of all medical personnel is a core requirement for any troop/police contributor medical facility deployed to field missions. All required documents for such technical clearance must be submitted by the troop/police contributor ahead of the planned deployment or rotation to the United Nations for verification in accordance with the procedures and timelines outlined in the most recent edition of the Medical Support Manual for United Nations Field Missions. Failure to fulfil the technical clearance criteria renders the medical support non-operational and ineligible for reimbursement.

Backfilling of medical personnel during leave

18. T/PCC must ensure that medical staff are backfilled during periods of planned leave. During periods of unforeseen absence (e.g. compassionate or emergency leave), T/PCC is responsible to backfill the required personnel within 72 hours. Absence of key staff shall result in medical modules being reported as non-operational. Absence of medical personnel shall be reported in VR's based on notification from the FMO/CMO.

Field medical assistance kit

19. The field medical assistance kit is an advanced first responders medical kit designed to provide a more sophisticated range of equipment and consumables and to deliver life-saving assistance to a casualty at the point of injury. The United Nations requirement for field medical assistance kits is set out in appendix 3, Annex C, Chapter 3 of the COE Manual. One kit is recommended per company-sized unit, with exact requirements to be determined at memorandum of understanding negotiations, based on the operating conditions. The troop/police contributor shall prepare a minimum of one trained person per company-sized unit (see above), providing them with the required advanced medical skills and training to a sufficient level of proficiency, in accordance with the United Nations Field Medic Course (or equivalent training accepted by the Division of Healthcare and Occupational Safety and Health (DHMOSH).

B.10 – SOLDIER'S/POLICE KIT

1. The contingent unit should be requested to present the list of soldier's/police kit. The inspection team shall assess whether soldier's/police kit items are deployed are in accordance with the Appendix to the MOU Annex A. Inspections of soldier's/police kit should follow the revised composition and quantities as specified in the 2020 COE Manual. The first-aid kits have been removed from these lists by 2020 COE WG as a separate medical self-sustainment category of BFAK has been introduced. Until the T/PCCs deploy the BFAK, the T/PCCs are required to continue to maintain the first aid kits as part of soldier's/police kits (refer paragraph 2 of Annex B.9 of these Guidelines).

B.11 – PREPARATION, REVIEW AND SUBMISSION OF VERIFICATION REPORTS

A. CREATION OF VERIFICATION REPORTS

1. **Automated Elements**. On generating a Major Equipment VR, the start and end dates shall be restricted within a quarter period. The quantities of equipment actual and per MOU, quantities of serviceable and unserviceable, period of serviceability and unserviceability days, arrival and departure dates of equipment, and un-serviceability dates quantity repatriated, Absent and Non-functional equipment records and reasons are all populated automatically in the VR based on completed and submitted inspection records. The same is true in the For SS VR: categories and authorized troop strength per MOU are automatically included when generating the VR. The SS categories which do not meet standards or are unacceptable for reimbursement and the reasons in the comments section, are populated automatically in the VR based on inspection records when generating the VR.

Major Equipment and Self-sustainment Verification Reports

2. **Arrival Verification Report**. Only one Arrival VR should be created per formed military or police unit. The COE Unit should conduct the ME Arrival Inspection within 30 days of the initial deployment of the unit's COE to the mission area. Date of arrival of the COE to the mission is the date when equipment is received from a carrier upon arrival at the port of entry to the mission or border crossing for landlocked missions. If an equipment arrives to the mission even one day prior to the end of a quarter, the arrival VR should be raised for that one day. Any future arrivals of COE are to be reflected in the VR covering the quarterly inspection period when such arrivals occurred. An arrival VR should be raised for the quarter in which the equipment arrived, even if the VR covers only one day within that quarter. No arrival of equipment or personnel should be reflected as remarks in the subsequent quarter VR. Once the Arrival VR is generated, the dates of deployment shall automatically show in the UCM (eCOE) system, in the Global Lookup tab for each Unit.

3. Periodic Verification Report. Periodic VR cover three-month periods, and each period is designated a quarter in UCM (eCOE). Q1 is 1 January to 31 March, and so on. All arrivals or departures of COE which occur after the initial deployment of the contingent to the mission area and prior to the complete withdrawal of the unit from the mission should be indicated in the regular VRs of the appropriate period.

4. Operational Readiness Inspection Verification Report. ORI VR should be prepared after each Operational Readiness Inspection, and on a semi-annual basis (i.e., every other quarterly VR may be an ORI.) While the inspection scope and procedure for an ORI differs from a regular periodic inspection, the procedure for creating and entering the inspection data in UCM, and creation of the VR, is the same. It is not necessary to create a separate ORI Verification Report in the same period as a Periodic Report. Only one VR needs to be submitted to UNHQ per unit per reporting period, as long as each VR covers the entire period.

5. Repatriation Verification Report. The COE Unit should create Departure VR only once upon final withdrawal/repatriation of all contingent's COE from the mission area. The Period covered 'From' on the Departure VR it should normally be the first day of the reporting period in which the departure takes place. The date will default to the period start date and will not be editable for the users. The "Period To" is the date of departure of the COE from the mission, which should be considered the date when equipment was loaded to the carrier for the departure. For example, if the departure date is 15 February, the Departure VR shall cover the period 1 Jan to 15 Feb. If there is any change to repatriation date of COE, the system will allow the COE Unit to change the 'Period To' in the VR, through 'Change Dates' button provided that the end date is only within the reporting quarter. The VR counts (quantity and unserviceability reports (if any), will be refreshed automatically with the Date change to show only records which fall within the range of selected 'From' and 'To' dates. An additional field for Quantity Repatriated Quantity is available in ME VR line items to show the repatriated equipment quantity.

6. In addition to completing Repatriation inspection worksheets, the COE Unit should obtain copies of the documents proving the date of departure of the COE and a document providing the official date of the cease of operations (fax, fragmentary order (FRAGO) etc.) and file them together with the signed worksheets. As with the Arrival VR, these documents do not need to be submitted to UNHQ along with the signed Repatriation VR.

7. Regular repatriations of individual equipment items during the contingent's deployment shall be reflected in the VR covering the period when such repatriation occurred. Under the general "VR Comments" section, the inspector should enter the inspection dates, dates of departure and date of the cease of operations. In cases where a cease of operations is declared for a unit, and the unit personnel repatriate but the equipment is held in the mission area for reasons relating to delays in transportation, customs, etc., regular Periodic VR should be created until the equipment repatriates. At that time, a final Repatriation VR should be created.

8. Based on 2020 COE WG, the reimbursement for major equipment shall be in effect at full rates until the date of cessation of operations by a troop/police contributor or termination of the mission. Thereafter, reimbursement shall be reduced to 50 per cent of the rates agreed in the memorandum of understanding and shall cease once equipment departs the mission area or 90 days after the date of cessation of operations or the termination of the mission (whatever happens earlier), except in those instances deemed to be outside the control of the troop/police contributor, as determined by the United Nations. The 90-day clock following a cease-of-operations for repatriating units is only applicable on or after 1 July 2020. For units with cease of operation before 01 July 2020, the 90 days clock shall start from 01 July 2020.

9. In order to comply with the recommendations of the COE WG and in order to capture the 90-day clock following a cease-of-operations for repatriating units, UCM (eCOE) has the ability to count the number of days elapsed from cease of operation to repatriation of the unit. This information is available in the VR header and the COE Unit shall be able to select whether the delay in repatriation is T/PCC or UN fault. In the dropdown field within the VR, the COE Unit shall be able to select whether repatriation is 'Beyond T/PCC control' with values 'Yes' and or 'No'. The system shall also alert the user that a document with proper justifications should be attached under the VR and the dropdown field 'Justification Attached' to be set to 'Yes'. This process applies only to the Periodic, Operational Readiness and Repatriation VRs.

10. Under the space on the VR for VR Comments, the dates of inspection and dates of arrival of each shipment of equipment should be noted. When available, the COE Unit should obtain copies of the documents proving the date of arrival and file them together with the signed inspection worksheets. These documents do not need to be submitted to UNHQ along with the signed VR. COE Units have the option to also store documents in UCM (eCOE) through Global Lookup – > Mission Attachments or under Mission specific Unit Attachments view. In the Unit Attachment view, the COE Unit should attach various documents pertaining to the Unit. UCM (eCOE) provides a list of dropdown values for attaching the required documents available under Attachment Type in Unit Attachments view.

11. **Painting of COE in UN Colours.** An item attribute required for inspection and recording during conduct of the Arrival Inspection is the UN Colour (Painted) status of applicable equipment. Applicable equipment categories are defined in the COE Manual as having rates of reimbursement for Painting/Repainting. Apart from written exceptions, vehicles not painted in UN Colours are to be considered not operational. UCM (eCOE) provides an option to record the status of UN Colour (Painted) field with the following dropdown values: 'Yes-By T/PCC'; 'Yes-By UN'; 'No'; 'No-Has Waiver'; 'Not Applicable'. The COE Unit is able to mark 'No' as unserviceable reason for vehicles. To update the status from 'No' to 'Yes-By T/PCC', can be done through inspection process only. If the equipment is not painted because it has a Waiver and the status in UN Colour (Painted) is 'No-Has Waiver', the COE Unit should attach the painting waiver to VR view-> Unit Attachments. The painting waiver is attached, if only available to COE Unit, however, it will not stop the VR process/submission for staffing for signatures and subsequently to UNHQ.

12. **Equipment Classification.** Ordinarily, a T/PCC will agree upon deployment of specific types of equipment during the MOU negotiation and provide COE inspectors with a list of such equipment prior to conduct of the Arrival inspection. The Arrival VR verifies or establishes the correct classification of deployed equipment. Any equipment not deployed as per agreed MOU category must be included in the VR. All applicable item details justifying its classification should be included in the 'Remarks' column in the equipment line item.

13. **Reason for Unserviceable Major Equipment**. If an equipment is marked unserviceable during the inspection process, in UCM (eCOE), the 'Unserviceability Start Date' is entered, with Unserviceability Reason as a mandatory field. COE Unit shall be required to add the Reason of the unserviceable equipment on the Inspection list applet. The reason of unserviceable equipment shall be rolled directly to the ME – VR and shall show under each category/sub- category/item description that has relevant data from the inspection results.

14. **Recording Unacceptability of Self-sustainment categories**. UCM (eCOE) provides the ability to capture unacceptability of any SS category during the inspection process. In the Inspection list applet, the COE Unit shall be able to enter the Start and End date and reason of unacceptability along with the applicable troop strength that is unacceptable in a particular SS category. This information shall be rolled directly to the SS – VR and shall show under each category/sub- category that has relevant data from the inspection results.

15. **Recording Supported and Supporting Units in Self-sustainment VR**. UCM (eCOE) provides the ability to capture if a Unit provided support to other Units for one or more SS categories or it received support from another Unit in one or more SS categories. Any supported units defined in the Annex C of MOU should NOT be copied to the Unit provided support to. Based on inspection results, this information is entered during the SS VR process under each category/sub-category.

16. **Senior Advisory Group (SAG) Reporting**. UCM (eCOE) has a SAG reporting component connected to the VR module which enables users to enter data specific to SAG reporting requirements. For every line item which is absent or unserviceable, the SAG module enables users to enter the specific reason for unserviceability or absence and if these are the fault or beyond the control of the T/PCC. SAG module also enables users to indicate whether absent

equipment has other items which have been deployed as “in lieu of” (ILO). This information is entered during the VR process.

17. **In Lieu Of.** In some cases, a T/PCC deploys equipment not on the MOU but which can serve the same purpose, i.e., ILO the equipment on the MOU. ILO equipment must be described in the VR as such and include the supporting opinion of the mission FHQ/PHQ, before the VRs are finalized. Any discussion of eligibility for reimbursement is to be omitted from the VR, and is only made in UNHQ, based on negotiations with the relevant T/PCC.

B. REVIEW AND SUBMISSION OF VERIFICATION REPORTS

18. UCM (eCOE) automates the population of most information required in the Verification Report. If all Inspection Records have been properly created, completed and submitted, the required information in the VR should already be included. The purpose of the VR review is to conduct quality control to ensure accuracy of information based on inspection results.

19. **Quality Control.** Before submitting a VR for approval by the COE Programme Manager/Chief COE Unit, and further circulation dissemination of the VR in the mission for signature, as minimum, the following must be verified:

    19.1. For Unserviceable Equipment or Unacceptable SS category which does not meet the requirements, there is a corresponding reason/explanation in the remarks section below the line item, along with item details. Unserviceability dates for equipment and unacceptability days for self-sustainment categories, should correspond with the inspection results.

    19.2. In the SS VR, ‘Authorized Troop Strength’ shall flow from the Annex C of MOU and it is not editable by the user.

    19.3. In the SS VR, a value of ‘NO’ in the acceptable column, must have unacceptability details in the VR along with the troop strength where the SS category is unacceptable.

    19.4. In the SS VR, a value of “N/A” in the Acceptable column must be accompanied by an explanation in the VR Remarks if the category of SS is a responsibility of the UN or T/PCC; likewise, a value of N/A in the “Responsibility” column with a value of “YES” or “NO” in the “Acceptable” column should also have explanatory remarks. If SS is unacceptable, information should be captured in the “unacceptability table”, with the “from and to dates”, the number of applicable personnel and the reasons of unacceptability. If a T/PCC moves from T/PCC owned tents to the UN accommodation, tentage should be captured as unacceptable under the “unacceptability table” with the remarks that unit moved to UN provided accommodation. Though the tentage is in actuality not “unacceptable”, the information should be captured as such for reimbursement calculation and processing purposes.

    19.5. The VR “Period From” and “Period To” must match the quarter for which the VR is covering. This is system generated and should correspond with the quarter that VR is being raised.

    19.6. The names of parties responsible for signing the VR (COE Inspector, Chief COE Unit, Chief, Contingent Representative, Force Commander/Police Commissioner, Director/Chief Mission Support (DMS/CMS), etc., must be included in the VR.

    19.7. Inspection dates are included in the VR Comments section on the VR, as well as any other relevant general information.

20. To assist the review of VRs UCM (eCOE) users can produce a formatted draft VR at any time during the VR editing process.

21. **Submission of Signed Verification Reports.** Once the hard copy of the VR has been circulated for signature and has returned to the COE Unit, it is to be scanned and attached to each corresponding VR record in UCM (eCOE). At this point, the VR is ready for submission to UNHQ. When distributing the VR to users in UNHQ, the VR should not be sent as an attached pdf, but as email with the link available in UCM (eCOE) as 'VR Bookmarks'.

22. To help ensure that the deadlines of submission of quarterly VRs are met, the following series of actions are recommended:

    22.1. Confirm the above deadlines with the applicable desk officer in UCSD, as these can be subject to change;

    22.2. Request the Contingent Commander, FC/PC and DMS/CMS and other offices responsible for providing signatures to the VR, to advise the COE Unit in writing as to the designated official responsible for signing VRs and other reimbursement documents (issue vouchers, etc.) in case of their absence. In addition, all officials responsible for the signing of the VRs should be informed in writing on the existing deadlines for the submission of VRs and on the consequences of any delay. Each official responsible for the signing of the VRs should establish reasonable time frames during which the VRs should be reviewed and signed or returned to the COE Unit for required corrections;

    22.3. Whenever possible, the VRs should be submitted for signature in consolidated packages e.g. by region, sector, etc. Completed sets of VRs can be forwarded to RCMPS/UCSD/DOS via email from UCM (eCOE) as soon as they are signed. In missions with a small number of formed units it may be possible to process all the VRs for the reporting period at once. It should be noted that at times, UCSD desk officers will want to begin reviewing VRs which are still in draft form in order to get an advance start on processing the claims.

    22.4. While UCM (eCOE) automatically notifies the Chief COE Unit when VR are submitted for approval and allows COE staff to monitor the progress of VRs, the signature process still takes place offline, in hard copy. It is recommended that a staff member within the COE Unit be designated as responsible for tracking the VR approval process in the mission and submitting the VR to UNHQ. In addition, in anticipation of the absence of the staff member holding the designated role as COE Chief, the next in line focal point should request role of VR approver through Unite Self Service portal for UCMs/eCOE support.

B.12 – PROPORTIONAL DEDUCTIONS FOR ABSENT OR NON-FUNCTIONAL EQUIPMENT

A. INTRODUCTION

General Assembly Resolution 67/261 (Sect II Absent or non-functional ME) requires that:

1. To the extent that ME specified in relevant MOU is absent or non-functional, thereby impacting on the ability of a contingent to perform the responsibilities required of it, the rate of personnel reimbursements to troop or police contributing countries be reduced proportionally.
2. No deduction, to personnel reimbursements, shall be applied until after two consecutive unsatisfactory quarterly contingent-owned equipment verification reports, in order to provide contributing countries with sufficient opportunity to address shortfalls.
3. No deductions, to personnel reimbursements, shall be made for ME that is absent or non-functional for reasons deemed by the Secretariat to be beyond the control of the T/PCC.

B. VERIFICATION REPORTING REQUIREMENTS (ABSENCE)

4. In the VR, the UCM (eCOE) system provides the ability to report equipment that is being used as ILO for the Absent item. Item(s) that is/are absent or non-functional can be replaced by multiple equipment. In case of Absent equipment, if the held qty is less than required MOU quantity, the COE Unit shall be able to select the 'Surplus items' through 'Compute Surplus' button that is available in the VR line item view to associate a serviceable and available equipment as an ILO.

5. Upon recording inspections, the following information shall be system generated available in verification reports in relation to absent ME:
   5.1. Quantity of equipment absent in the respective ME line item;
   5.2. The from/to dates of absence;
   5.3. The reason for absence;

5.4. Indication whether the item(s) is/are absent for reasons considered beyond the control of the T/PCC and why;
5.5. Indication as to whether ILO ME has been made available and the authority (military, police or support management) who has endorsed that other specific equipment has been found an acceptable replacement of the absent item.
5.6. Surplus items and Compute surplus buttons to apply in selecting equipment as ILO.

C. VERIFICATION REPORTING REQUIREMENTS (NON-FUNCTIONALITY)

6. To ensure consistency in intent between the terminology used in the COE Manual and GA resolution 67/261, for VR reporting purposes, ME considered “unserviceable” in the context of the current COE reporting system is to be considered to be “non-functional”, in the context of the GA resolution. In the VR, the UCM (eCOE) system provides the ability to report equipment that is being used as ILO for the Non-functional item. Item(s) that is/are non-functional can be replaced by multiple equipment. In case of non-functional equipment, the same process is followed in reporting the ILO, by selecting the ‘Surplus items’ through ‘Compute Surplus’ button based on available and serviceable equipment.

7. Upon recording inspections, the following information should be available in verification reports in relation to non-functional ME:

7.1. The Serial Number, UN Plate number, and/or other unique identifying attributes for each non-functional ME item;
7.2. The from/to dates of non-functionality for each item;
7.3. The reason for non-functionality of each item;
7.4. Indication whether each item is non-functional for reasons considered to be beyond the control of the T/PCC and why;
7.5. Indication as to whether ILO ME has been made available to make for the non-functional and the authority (military, police or support management) who has endorsed it.
7.6. Surplus items and Compute surplus buttons to apply in selecting equipment as ILO.

D. VERIFICATION REPORTING REQUIREMENTS (BEYOND THE CONTROL OF THE T/PCC)

8. In determining whether the absence or non-functionality of ME is due to circumstances beyond the control of the T/PCC the principle of “reasonability" is to be followed. In some cases, the circumstances leading to absence or non-functionality of ME may be unclear and will need to be subject to investigation by the mission, including when appropriate, by mission Boards of Inquiry (BOI). In cases when the results of investigations or BOI are pending, the T/PCC should initially be given the benefit of the doubt, i.e. the absence or non-functionality is to be reported as being **“**beyond the control of the T/PCC”,

until the results of the investigation are confirmed by missions. If after investigation the mission determines that the circumstances were within the control of the T/PCC, subsequent VR should indicate this. It is recommended that missions utilize their CMMRB to confirm the results of investigations.

9. UCM (eCOE) provides the field to record if the equipment is unserviceable and or absent 'Beyond the Control of T/PCC'. This information should be entered through Inspection records and VR process.

10. Circumstances considered to be "Beyond the Control of the T/PCC" are generally those where:

    10.1. **Absence**. The T/PCC has done its utmost to deploy the equipment to the field mission or the area of responsibility or to make the equipment available for operations but has been prevented from doing so due to factors that are clearly beyond its control.
    10.2. **Non-Functionality**. The T/PCC has done its utmost to maintain the equipment in a functional condition or to return it to functionality but has been prevented from doing so due to factors that are clearly beyond its control.

11. **ABSENCE OF ME.** The absence of ME may be considered to have been caused by factors beyond the T/PCCs control if:

    11.1. The absence has been caused by the transportation delays in the delivery of ME to the mission area/area of responsibility/area of operations.
    11.2. The absence has been caused by hostile action or force abandonment.
    11.3. The absence has been caused by a natural disaster.
    11.4. The absence has been caused by an accident.
    11.5. The absence has been caused by external factors affecting the redeployment of a unit from one mission to another.

12. **NON-FUNCTIONALITY OF ME.** The non-functionality of ME may be considered to have been caused by factors beyond the T/PCCs control if:

    12.1. The non-functionality arises as a result of external factors during initial deployment, augmentation or rotation organized by the TCC, such as damage incurred during transport to mission area.
    12.2. The non-functionality arises as a result of hostile action.
    12.3. The non-functionality arises directly as a result of a natural disaster.
    12.4. The non-functionality arises directly from an accident.
    12.5. Delays in deployment of spare parts and consumables beyond the control of T/PCC, such as, the host government delaying its release from the port.

E. EXAMPLES OF DETERMINATIONS OF BEYOND THE CONTROL OF T/PCC

13. A matrix providing cases, examples and remarks involving the absence or non-functionality of ME is attached as Appendix to Annex B.12. These cases are presented to assist missions to determine whether the absence or non-functionality of COE ME should be considered as beyond the control of T/PCC. **The examples given are not exhaustive and are a guide only**. Each instance of absence or non-functionality of ME is to be considered on a case by case basis and subjected to investigation and confirmation where necessary. The dispute resolution mechanism as detailed in Chapter 2 of the COE Manual applies to the final determination whether the absence or non-functionality of ME was beyond the control of the T/PCC.

APPENDIX TO ANNEX B.12

Guidelines for the determination whether the absence or non-functionality of major equipment has resulted for reasons considered beyond the control of the T/PCC in the context of linking COE reimbursement with personnel reimbursement:

1. Introduction

The United Nations General Assembly approved the conclusions and recommendations in the Report of the Senior Advisory Group and requested the Secretary General to ensure their implementation in accordance with the provisions in 67/261 dated 06 June 2013.

The purpose of these guidelines is to assist field missions to determine whether the absence or non-functionality of COE ME has resulted for reasons considered beyond the control of the troop/police contributing country in the context of linking COE reimbursement with Personnel reimbursement.

These guidelines comprise two sections outlining general principles, cases, examples of absence and non-functionality and remarks clarifying each case. Examples in both sections are not exhaustive. These, however, address broad cases that may occur in missions.

2. Absence of COE Major Equipment

In the context of determining whether the absence has resulted for reasons considered beyond the control of the T/PCC, "absence of COE ME" means:

- Upon initial deployment, the COE ME required by the MOU has not been deployed in the mission;
- Even if the COE ME has arrived in the mission, the unit has not taken possession of it yet;
- Upon rotation of equipment, regardless of who is responsible for the movement, there is a delay in the delivery of COE at the unit's area of responsibility (AOR);
- Upon initial deployment, augmentation or rotation of COE, regardless of who is responsible for the movement, COE is lost in transit from the port of debarkation in the mission area to the unit's AOR.
- The unit has lost control of its COE resulting from acts of force majeure, hostile action, forced abandonment, or an accident;
- Upon redeployment of a unit from one mission to another in the framework of intermission cooperation, a T/PCC is prevented from taken control of their COE due to external factors;
- Upon the Arrival Inspection the equipment deployed doesn't match the category/description required by the MOU however, it may preliminary be considered as an acceptable replacement of the absent equipment;

General Principles

- The consideration of "absence of COE ME" should be consistent with the provisions in COE Manual, Chapter 6, "Procedures for reimbursement for loss or damage of contingents-owned equipment.

- Where an investigation is required, the "absence of COE ME" shall be reported for reasons considered beyond the control of the TCC until the case is being formally addressed and decided by the pertinent authority.

Serial	Cases on Absence of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
1	Upon initial deployment, regardless of who is responsible for the movement, there is a delay in the delivery of COE at the unit's area of responsibility (AOR).	The transportation of an Infantry Battalion's COE from the point of debarkation in the mission area to the unit's AOR has been planned to be conducted in five convoys. Four COE convoys have already reached the unit's AOR. The unit's troops have been recently deployed in the AOR. The fifth COE convoy, which comprises most of Company B's equipment, is delayed due to poor prevailing mobility.	Yes. The Infantry Battalion didn't control the movement, therefore; the absence of COE in the fifth convoy due to adverse environmental conditions doesn't have any impact on personnel reimbursement. The Arrival Inspection of the delayed COE is pending. Normally, the movement of personnel is executed following the deployment of the COE in the unit's AOR.
2		An Infantry Battalion is deploying to a mission. Some COE has been held in customs by the Host Nation. UN Mission has requested the Government to allow the entry and movement of COE to the unit's AOR.	Yes. Since some COE is held by the Host Nation its absence doesn't have any impact on personnel reimbursement. The Arrival Inspection of the delayed COE is pending. Normally, the movement of personnel is executed following the deployment of the COE in the unit's AOR.
3	Upon augmentation authorized by the UNSC, regardless of who is responsible for the movement, there is a delay in	A Mechanized Company size augmentation is deploying to a mission. COE in transit from the point of debarkation to the unit's AOR is delayed due to adverse prevailing environmental conditions affecting mobility.	Yes. The prevailing environmental conditions prevent the TCC from controlling its COE. There are no implications on personnel reimbursement. The Arrival Inspection of the delayed COE is pending.

Serial	Cases on Absence of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
	the delivery of COE at the unit's AOR.		Normally, the movement of personnel is executed following the deployment of the COE in the unit's AOR.
4		A Mechanized Company's incoming COE, for the augmentation of a deployed Mechanized Infantry Battalion, has been held in customs by the Host Nation. UN Mission has requested the Government to allow the entry and movement of COE to the unit's AOR.	Yes. Since the equipment is held by the Host Nation therefore; this absence doesn't have any impact on personnel reimbursement. The Arrival Inspection of the delayed COE is pending. Normally, the movement of personnel is executed following the deployment of the COE in the unit's AOR.
5	Upon rotation of equipment, regardless of who is responsible for the movement, there is a delay in the delivery of COE at the unit's AOR.	A Transport Company incoming COE for rotation has not reached the unit's AOR due to adverse prevailing environmental conditions affecting mobility.	Yes. The prevailing environmental conditions prevent the TCC from controlling its COE. There are no implications on personnel reimbursement. The Arrival Inspection of the delayed COE is pending.
6		An Infantry Battalion's incoming COE for rotation has been held in customs by the Host Nation. UN Mission has requested the Government to allow the entry and movement of COE to the unit's AOR.	Yes. Since the equipment is held by the Host Nation therefore; this absence doesn't have any impact on personnel reimbursement. The Arrival Inspection of the delayed COE is pending.
7	Upon initial deployment, augmentation or rotation of COE, regardless of who is responsible for the movement, COE is lost in transit from the port of debarkation in the mission area to the unit's AOR.	A contractor is responsible for moving the COE to an Infantry Battalion's AOR. Belligerents seized and/or destroyed an Infantry Battalion COE in transit.	Yes. The loss of COE has resulted for reasons considered beyond the control of the TCC. There are no implications on personnel reimbursement. Normally, for the initial deployment or augmentation, the movement of personnel is

Serial	Cases on Absence of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
			executed following the deployment of the COE in the unit's AOR.
8		The TCC has undertaken the movement of COE from the capital to an Infantry Battalion's AOR, under a LOA. Belligerents seized and/or destroyed an Infantry Battalion COE in transit. The TCC has not been made responsible for providing force protection for the movement.	Yes. The loss of COE has resulted for reasons considered beyond the control of the TCC. There are no implications on personnel reimbursement. Normally, for the initial deployment or augmentation, the movement of personnel is executed following the deployment of the COE in the unit's AOR.
9	COE is lost as a consequence of hostile action or forced abandonment.	An Infantry Battalion's COE have been destroyed by belligerents. Following the investigation, the FC has approved the loss on the grounds of hostile action.	Yes. There are no implications on personnel reimbursement. COE reimbursements ceases, however; the Government may claim on the grounds of hostile action.
10		As a result of a carjacking COE is abandoned by force. Following the investigation, the FC has approved the forced abandonment.	Yes. There are no implications on personnel reimbursement. COE reimbursements ceases, however; the Government may claim on the grounds of forced abandonment.
11		An Infantry Battalion's COE have been abandoned by force resulting from hostilities by belligerents. Following an investigation, the Force Commander has not approved the loss on the grounds of forced abandonment.	No. The loss has to be reported not for reasons considered beyond the control of the TCC. COE reimbursement ceases. There are implications on personnel reimbursement.
12		A FPU COE vehicle is stolen following being parked, unattended and unguarded while FPU staff carried out administrative tasks in town. The mission's UNDSS Internal Investigation Unit has not found any negligence on the part of the	Yes. There are no implications on personnel reimbursement; however, the contingent is required to replace the vehicle in order for the FPU to be MOU compliant.

Serial	Cases on Absence of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
		FPU staff. The PC has approved the forced abandonment.	
13		An Infantry COE vehicle is stolen following being parked, unattended and unguarded while troops in charge carried out purchases in a village out of bounds. MP investigation reported negligence on the part of the Infantry staff in charge of the vehicle and security breaches by the troops manning the camp's main gate that allowed the vehicle to leave the camp without force protection. The FC has not approved the forced abandonment.	No. The loss has to be reported not for reasons considered beyond the control of the PCC. Normally, at times of an increased security alert, COE vehicles may have to be provided with force protection whenever they move out of the camp/installation. There are implications on personnel reimbursement.
14	Loss caused directly as a result of a natural disaster	An earthquake directly results in the loss of an Infantry Battalion's COE.	Yes. All force majeure are events outside human control, such as sudden natural disasters for which no one can be held responsible, therefore the loss has to be reported for reasons considered beyond the control of the TCC. COE reimbursement ceases; however, there are no implications on personnel reimbursement. Examples of force majeure are: earthquakes, floods, volcano eruptions, fires, tsunamis, hurricanes, landslides, typhoons, violent storms etc.
15	Loss caused directly by an accident.	Following a COE vehicle accident and the subsequent investigation it has been concluded that the accident was due to a no-fault incident.	Yes. The loss resulting from a no-fault incident has to be reported for reasons considered beyond the control of the TCC. COE Reimbursement ceases however, there a no implications on personnel reimbursement.

Serial	Cases on Absence of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
			A no-fault incident is defined as an incident resulting from a mishap that is not attributable to wilful misconduct or gross negligence on the part of an operator/custodian of equipment. Mishap means an unfortunate accident, bad luck.
16		Following a COE vehicle accident and the subsequent investigation it has been concluded that the accident was due to negligence by the contingent driver.	No. The loss resulting from negligence by the operator has to be reported not for reasons considered beyond the control of the TCC. COE reimbursement ceases and there are implications on personnel reimbursement.
17	Upon redeployment of a unit from one mission to another in the framework of intermission cooperation, a T/PCC is prevented from taken control of their COE due to external factors.	Due to deterioration of the security situation in a mission, a Formed Police Unit (FPU) is redeployed to another mission. The unit's personnel are promptly deployed by air with some COE. The bulk of COE has remained in the dispatching mission, because the Host Nation at the receiving mission has not authorized the movement of COE on the grounds of potential hazards to its population at the time of an epidemic.	Yes. The Host Nation has the right to reject the deployment of personnel and/or equipment which it deems a hazard to its population; therefore, the absence of equipment in the receiving mission should be considered for reasons beyond the control of the PCC. There are no implications on personnel reimbursement. COE reimbursement continues until the remaining COE leaves the mission area from the original mission.
18	Upon the Arrival Inspection the equipment deployed doesn't match the category/description required by the MOU however, it may preliminary be considered as an acceptable replacement of the absent equipment.	A Multi-Role Logistics Units has not deployed 10 Support Vehicles (Military Pattern) (6 to 10 tons) required by the MOU. COE Inspectors have verified the deployment of 25 Support Vehicles (Military Pattern) (2.5 to 5 tons), 15 of which are required by the MOU. The Mission's CMMRB acknowledges that the transportation capability of 10 surplus (2.5 to 5 tons) is half of that required from (6 to 10 tons) vehicles, however, it regards the surplus	No. The TCC is not complying with the MOU requirement however; given the recommendation made by the Mission's CMMRB an amendment to the MOU is now required. There are no implications on personnel reimbursement.

Serial	Cases on Absence of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
		equipment as an acceptable replacement of the absent on the grounds that the unit meets the transportation requirements on ground. CMMRB has recommended the amendment of the MOU to reflect what the TCC has deployed.	
19		An Infantry Battalion has deployed 4 Ambulance (commercial pattern) (CP) (4 x 4) instead of (military pattern) (MP). Four Ambulances (military pattern) are reported absent in the Arrival VR. Four Ambulances (4 x 4) (CP) are recorded in the relevant line item of Commercial Pattern vehicles. Arrival VR Remarks read that these (CP) vehicles may be considered as an acceptable replacement of the absent required contingent upon its proven effectiveness and the required endorsement by the Mission's CMMRB. Two months later, the ambulances (CP) have proven ineffective in casualty evacuation in several instances. Force Medical Officer (FMO) and Chief Transport Section (TS) have concluded that the model deployed is not satisfactory due to the poor mobility in the AOR most of the year.	No. The TCC is not complying with the MOU. There may be personnel reimbursement implications based of evidence submitted by the Mission.

Serial	Cases on Absence of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
		CMMRB has endorsed the evaluation made by FMO & Chief TS and recommended the deployment of ambulances military pattern as soon as possible.	

3. <u>Non-functionality of COE Major Equipment</u>

In the context of determining whether the non-functionality has resulted for reasons considered beyond the control of the T/PCC, “non-functional equipment” is equipment which a COE Verification Team has found unserviceable/out of order/unsuitable to provide the services for which it has been manufactured.

General Principles

This consideration of “non-functionality of COE ME” should be consistent with the provisions in COE Manual, Chapter 6, “Procedures for reimbursement for loss or damage of contingent-owned equipment." Where an investigation is required, the “non-functionality of COE ME” shall be reported for reasons considered beyond the control of the T/PCC until the case is being formally addressed and decided by the pertinent authority. These can be but not limited to:

- Upon initial deployment, augmentation or rotation of COE for which the UN/contractor has been responsible;
- Upon initial deployment, augmentation or rotation of COE for which the TCC’s Government has been responsible;
- COE is damaged becoming non-functional because of hostile action;
- Damage caused directly as a result of a natural disaster;
- Damage caused directly by an accident;
- COE ME is found unserviceable during COE Inspection;
- A third party responsible for providing maintenance to a TCC unit’s equipment does not fulfil the obligations under the wet/dry lease Options 2-5 as detailed in the 2020 COE Manual.

Serial	Cases of Non-functionality of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
1	Upon initial deployment, augmentation or rotation of COE for which the UN/contractor has been responsible.	An Engineering Company COE Bulldozer medium D7 is found non-functional at the Arrival Inspection.	No. Unless the COE became non-functional due to damage during transportation for which an investigation is required, there are COE and personnel reimbursement implications.
2	Upon initial deployment, augmentation or rotation of COE for which the TCC's Government has been responsible.	An Infantry Battalion COE APC Infantry Carrier – armed (class II) is found non-functional at the Arrival Inspection.	No. Unless the COE became non-functional due to damage during transportation for which an investigation is required, there are COE and personnel reimbursement implications.
3		A contingent's COE is damaged during transportation and is found non-functional at the Arrival Inspection. However, the T/PCC claims that damages were sustained during the stay at the point of debarkation or staging area where T/PCC super-cargos' control had been hindered by external factors.	Yes. Even if the T/PCC was responsible for the transportation of COE to the unit's AOR the claim leads to an investigation. Until the investigation comes to an end, there are no personnel reimbursement implications for non-functional equipment.
4	COE is damaged becoming non-functional as a consequence of hostile action.	An Infantry Battalion's COE becomes non-functional directly or indirectly as a consequence of hostile action. Following an investigation, the Force Commander has approved the hostile action.	Yes. The non-functionality has to be reported for reasons considered beyond the control of the TCC. COE reimburses ceases while the COE remains unserviceable. There are no implications on personnel reimbursement.
5		An Infantry Battalion's COE becomes non-functional directly or indirectly as a consequence of hostile action. Following an investigation, the Force Commander has not approved the hostile action.	No. The non-functionality has to be reported not for reasons considered beyond the control of the TCC. There are implications on personnel reimbursement.
6	Damage caused directly as a result of a natural disaster	A major flood in an Infantry Battalion's AOR results in the non-functionality of COE.	Yes. All acts of God are events outside human control, such as sudden natural disasters for

Serial	Cases of Non-functionality of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
			which no one can be held responsible, therefore the damage has to be reported for reasons considered beyond the control of the TCC. COE reimbursement ceases, however, there are no personnel reimbursement implications. Examples of Acts of God are: earthquakes, floods, volcano eruptions, fires, tsunamis, hurricanes, landslides, typhoons, violent storms etc.
7	Damage caused directly by an accident.	Following a COE vehicle accident and the subsequent investigation it has been concluded that the accident was due to a no-fault incident.	Yes. The non-functionality resulting from a no-fault incident has to be reported for reasons considered beyond the control of the TCC. COE Reimbursement ceases however, there a no implications on personnel reimbursement. A no-fault incident is defined as an incident resulting from a mishap that is not attributable to wilful misconduct or gross negligence on the part of an operator/custodian of equipment. Mishap means an unfortunate accident, bad luck.
8		Following a COE vehicle accident and the subsequent investigation it has been concluded that the accident was due to negligence by the Formed Police Unit driver.	No. The non-functionality resulting from the accident due to the negligence of the operator should be reported not for reasons considered beyond the control of the PCC. COE Reimbursement ceases and there are implications on personnel reimbursement.

Serial	Cases of Non-functionality of COE Major Equipment	Examples	Beyond the Control of T/PCC? - Yes/No and Remarks
9	COE is found unserviceable at a COE Inspection.	The boom lift cylinder of an Engineering Company Crane, mobile heavy (25-30 tons) has been found unserviceable.	No. The TCC has deployed the Engineering Company under wet lease, therefore is responsible for the maintenance of its ME. COE Reimbursement ceases and there are implications on personnel reimbursement.
10	A third party responsible for providing maintenance to a TCC unit's equipment does not fulfil the obligations under the wet/dry lease Options 2-5 as detailed in the COE Manual.	One Truck utility/cargo (2.5 to 5 tons) of TCC "A" Infantry Battalion has been unserviceable from 05 January to 31 March 2015. TCC "B" responsible for carrying out the maintenance of TCC "A" COE, under wet lease Option 2, has not fulfilled its obligations for lacking spare parts and consumables.	Yes. It is beyond the control of TCC "A" therefore there are no personnel reimbursement implications. However, there may be COE and personnel reimbursement implications for TCC "B".

Annex C: COE and MOU Management Review Board (CMMRB)

TERMS OF REFERENCE OF THE MISSION COE AND MOU MANAGEMENT REVIEW BOARD

A. GENERAL

1. Terms of Reference for the Mission Contingent-Owned Equipment (COE)/Memorandum of Understanding (MOU) Management Board (CMMRB) derive from the responsibilities of the Special Representative of the Secretary-General/Head of Mission, the Force Commander/Police Commissioner (FC/PC), and the Director/Chief of Mission Support (D/CMS) for managing COE and MOU as defined in Chapter 10 of the COE Manual.

B. PURPOSE

2. The CMMRB is established as a senior management decision-making mechanism to ensure an integrated and systematic approach in executing COE/MOU management and control functions in the Mission. The Review Board is to provide high-level, cross-functional guidance on the assessment of COE and review periodically the capabilities of contingents, their major equipment holdings and their self-sustainment capabilities needed to meet the operational requirements of the mission. The Review Board shall review and provide Mission's inputs and recommendations to the Department of Peace Operations (DPO)/Department of Operational Support (DOS) with regards to COE policy issues, formation/amendment of Mission MOUs, and actions requiring attention of Troop/Police-contributing Countries (TCC/PCCs) concerned, at UNHQ level.

C. ROLES AND RESPONSIBILITIES

3. The Mission CMMRB is responsible for reviewing the Mission COE/MOU programme which includes but is not limited to the following:

3.1. Oversee the implementation and management of the Mission COE Programme.
3.2. Review the Mission's Quarterly COE Status Report. Assess contingent performance, analyse shortfalls and other deficiencies and recommend remedial actions.
3.3. Assess the compliance of the contingents with respective MOU and ensure the Mission complies with its responsibilities under the terms of MOUs.
3.4. Review mission specific requirements, standards and scales of issue for facilities, equipment and supplies associated with self-sustainment categories such as Accommodation, Communications, Observation, etc.
3.5. Ensure optimal utilization of military and civilian resources in support of the Mission, review and recommend cost-effective support solutions.
3.6. Ensure adherence to the established COE verification and reporting procedures and review Mission Standard Operating Procedures (SOPs) to ensure conformity

with the requirements of the COE Manual and the Guidelines for Field Verification and Control of COE and Management of MOU.

3.7. Recommend amendments to MOUs resulting from changes in operational requirements and contingent performance including reinforcements, repatriation of surplus equipment, transfer of responsibilities for self-sustainment support, etc.
3.8. Recommend amendments to MOU to include items of major equipment if deployed in lieu of different types of major equipment (if COE has similar capability/performance or meets the operational requirement).
3.9. Periodically review, at least once every 3 years, Mission Factors for confirmation or recommendation for adjustments.
3.10 Review the requirement for Explosive Ordnance Disposal (EOD) self-sustainment 18 months after deployment

3.11. Resolve disputes with the contingent representatives on COE/MOU related issues that cannot be resolved at the working level.
3.12. Review the findings on whether absent or non-functional major equipment result for reasons beyond the control ofthe TCC/PCC.
3.13. Review the UN compliance to standards, wherein the responsibility of provision of service is with UN such as accommodation, field defence stores etc.
3.14. Review the equipment damaged due to hostile action/force abandonment and ensure process for claim and rotation of damaged equipment has been initiated.
3.15. Review, on the basis of operational requirements within the mission, the status of armoured personnel carriers (tracked), armoured personnel carriers (wheeled), engineering vehicles, and support vehicles (military pattern), which are not operationally serviceable non-operable or for which continued maintenance is not economical in the mission area and meet the conditions set in the COE Manual for consideration for rotation. Make appropriate recommendations to UNHQ in this regard.
3.16. While the Mission COE Unit acts as the Secretariat of the Board, all stakeholders and specialists are required to draft the agenda papers for applicable issues. The Force HQ and Police HQ should provide their analysis on operational impact of COE shortfalls in their agenda papers for the Board to make informed recommendations on course(s) of action.

D. COMPOSITION OF THE CMMRB

4. It is recommended that the Mission CMMRB has the following composition, subject to adjustments as determined by Mission senior management:

4.1. Chairperson: DMS/CMS
4.2. Deputy Chairperson(s): Deputy Force Commander (DFC)/Deputy Police Commissioner (DPC)
4.3. Members:
- Force HQ Chief of Staff (COS)/Chief Operations Officer (COO)
- Formed Police Unit Coordinator
- Chief, Supply Chain Management/Service Delivery
- Chief Logistics Officer (Military and/or Police)
- Chief, Mission Support Centre/ Chief, Joint Logistics Operation Centre

- Chief COE Unit shall act as CMMRB Secretary

4.4. On call as required:

- Contingent Commander and/or Chief Logistics Officer (Military/Police)
- Specialists from Administrative and Technical Sections

E. PROCEDURES

5. The CMMRB is required to convene on a quarterly basis preferably in alignment with the completion of the quarterly COE inspection and reporting cycles. The COE Status Report should be a permanent item on the agenda of quarterly CMMRB meetings hence the meetings to be held at the earliest opportunity following the finalization of the Report. If it is not feasible to convene a regular CMMRB meeting at short notice, the missions may opt for an "e-CMMRB" procedure whereby the CMMRB agenda with the COE Quarterly Status Report are circulated electronically to the co-Chairs and members of the Board for review and comments. Minutes of the e-CMMRB should reflect the comments received and that the Report was noted by the Board.

6. The Minutes and Recommendations of the CMMRB signed by the Chairperson and Deputy Chairpersons should be formally communicated by fax, signed jointly by the DMS/CMS and FC/PC, to the Military/Police Advisor/DPO, the Director of Logistics Division/DOS and the UCSD/DOS. Sample of meeting minutes is attached as appendix to this Annex.

F. REFERENCES AND RELATED PROCEDURES/ GUIDELINES

- Manual on Policies and Procedures concerning the Reimbursement and Control of COE of Troop/Police Contributors Participating in Peacekeeping Missions, COE Manual, Edition 2017.

- Memorandum of Understanding with Troop/Police Contributing Countries providing resources to the UN Mission.

- DLSD Fax COE Verification Reporting: Recommendations of the Board of Auditors dated 04 March 2010.

- GA Resolution A/RES/67/261-Section II Absent or non-functional major equipment, dated 06 June 2013 and associated Interim Technical Instructions issued 24 January 2014.

<Mission Name (Acronym)>

COE/MOU Management Review Board (CMMRB)

DD/MMM/YY

A. Board Members:

NAME TITLE BOARD ROLE

B. Opening Remarks:

1. The Chairperson opened the meeting. He welcomed all the board members to the CMMRB meeting in [MISSION].

2. The secretary presented the agenda items as follows:

C. Agenda item 1: Review of Recommendations from previous CMMRB meeting of DD/MMM/YYYY:

Sri	Item	Responsible Party	Status	Board Recommendations
1	Description	Mission/ UNHQ/ Other	Pending/ Closed	Recommended further action
2				

3. Discussion on pending items.

D. Agenda item 2: Review of Quarterly COE Status Report

4. Discussion on the performance of Military and Formed Police Units within the Mission based on the Quarterly COE Status report covering the period

DD/MMM/YYY to DD/MMM/YYY. Focus should be on operational impact of COE shortfalls especially when it relates to safety and security of personnel. Discussion should cover the points below. **Note: This is a standing agenda item for all CMMRB. If nothing to report, indicate NTR.**

a. Major Equipment Shortfalls
b. Self-Sustainment Shortfalls
c. Impact Analysis by the Force/ Police HQ
d. Impact analysis by Mission Support

Board Recommendations:

E. <u>Agenda item 3:</u> Recommendations for Amendment of MOU

5. Discussion of amendments to MOUs resulting from changes in operational requirements and contingent performance including reinforcements, repatriation of surplus equipment, transfer of responsibilities for self-sustainment support, etc.

6. Discussion of amendments to MOU to include items of major equipment deployed in-lieu of different types of major equipment if such COE has similar capability/performance or meets the operational requirement (and is at a lower cost than the ones stated in the MOU).

7. **Note: This is a standing agenda item for all CMMRB. If nothing to report, indicate NTR.**

Board Recommendations:

F. <u>Agenda item 4</u>: Rotation of COE at UN Expense

8. Details concerning new recommended and previous cases of items for rotation are available in Annex A.

9. **Note:** This is a standing item for all CMMRB. If nothing to report, indicate NTR.

Board Recommendations:

10. QTY XX of equipment items with an estimated$$ cost are recommended for

rotation this period. QTY xx qty were approved/pending from previous period.

G. Agenda item 5: Status of Disposal of COE in Mission Area

11. **Note:** This is a standing item for all CMMRB. If nothing to report, indicate NTR.

Board Recommendations:

H. Agenda item 6: COE Damaged by Hostile Action/Forced Abandonment and claims status

10. **Note:** This is a standing item for all CMMRB. If nothing to report, indicate NTR.

Board Recommendations:

I. Agenda item 7: Mission Specific Agenda Item

12. Include all following Mission Specific items.

Board Recommendations:

J. Table of Consolidated Board Recommendations and Action Items

Note: Assemble all Agenda Board Recommendations in the table below. When any issue is raised for action to UNHQ, instruction must be actionable and as specific as possible, including QTY of required equipment for Self-Sustainment, or Generic Description and QTY of required ME items. See example below.

Srl	Item	Responsible Party	Board Recommendation	Status
New Items				

1	Description	UNHQ/ Mission/ Other		Recommended further action
2	TCC B no longer needs 2 x Truck, utility cargo (up to 1.5 Tons)	UNHQ	To be forwarded to UNHQ	Amend MOU
Old Items				
3	TCC A QRF requires deployment of additional QTY 8x Night Vision Devices to meet SS requirements.	UNHQ	Request UNHQ to contact the PM of the troop contributor	LSD/COE unit has informed that TCC has been contacted and will send the equipment by end of July

K. Closing remarks:

13. In the absence of any other business, the Chairperson adjourned the Board at **HHHH** hrs.

Minutes approved by:

(Names of approvers and their respective signatures will appear in this part.)

Annex D: Other Procedures and Guidance

D.1 – COE DISPOSAL

A. PURPOSE

1. This document provides general guidance which should be followed by missions regarding the in-mission disposal of Contingent-Owned Equipment (COE). Missions should use this guidance, and those provided in the References, as a basis for developing mission specific standard operating procedures (SOP) relating to the disposal of COE.

B. GENERAL

2. COE is defined as major and minor equipment, spare parts and other consumables deployed by Troop/Police Contributing Country (T/PCC) to support their contingents in missions. COE includes equipment that is provided under Memorandum of Understanding (MOU). COE may also include equipment that is provided by T/PCC to their contingents as national support equipment (NSE).

3. According to the general conditions for ME and SS provided by T/PCC under a MOU, COE remains the property of the T/PCC. Therefore, the disposal of COE is a T/PCC responsibility, unless ownership and/or responsibility for the COE have been legally transferred to another entity.

4. The accumulation within mission areas of COE which has become surplus to operational requirements or is unserviceable and beyond economical repair may result in logistical challenges both to affected contingents and the mission. In-mission disposal of such items is often more cost effective and practical than repatriation to the contingent home country, and the UN should encourage T/PCCs to regularly dispose their long-term unserviceable equipment through the sustainment phase of the Mission.

5. In-mission disposal of contingent-owned equipment should be an on-going process, rather than an action undertaken shortly before contingent repatriation. T/PCCs should repair or dispose of and replace the COE which is found to be non-functional for four consecutive quarters (12 months), within the ensuing six months. T/PCC should be guided to conduct regular analysis of COE that has become unserviceable beyond economical repair (BER) or obsolete with a recommendation for disposal actions.

6. UN involvement in contingent owned equipment disposal can help mitigate environmental and/or waste management hazards. The UN can assist contingents to ensure that COE disposal actions are in accordance with all applicable host country and international laws and meet security requirements pertaining to End-User-Certificates and military pattern equipment. Waste disposal by the UN of COE equipment must be agreed to and prearranged to enable adequate disposal to be conducted.

7. The in-mission disposal of COE, like the disposal of UN property, should be an ongoing process rather than a last-minute action undertaken shortly before contingent repatriation. Like the formal COE/MOU quarterly verification process, missions should consider instituting a quarterly cycle of in-mission COE disposal analysis. This analysis should include a list of COE

recommended for disposal. Any in-mission disposal of COE should be included in the quarterly COE Verification Reports.

C. DISPOSAL METHODS

8. COE may be disposed of by repatriation, sale, donation, or by disposal action by the mission on behalf of T/PCC. In-mission disposal of COE, by any method, must be in compliance with mission Status of Forces Agreement/Status of Mission Agreement (SOFA/SOMA), host country customs and tax rules, regulations and procedures and other relevant host country and international laws. These restrictions may preclude specific types of COE from being disposed of in-mission by any disposal method, or by one or more of the methods described below. Missions disposing of COE on behalf of T/PCC should apply procedures which are in general conformity to those used for the disposal of United Nations—Owned Equipment (UNOE) as detailed in the reference document to this Annex.

9. The T/PCC must complete all procedures required by their respective national regulations for the authorization of write-off and disposal of equipment. National contingent commanders shall certify that the appropriate national administrative write-off procedures have been followed authorizing the in-mission disposal of COE. For high value equipment such as vehicles, official documents from the national government evidencing the write-off and in-mission disposal authorization with the appropriate translation to English shall be presented to the mission. In some cases, national contingent commanders may not have delegated national authority to initiate the administrative write-off or approve the in-mission disposal of their COE. In these cases, contingent commanders are to seek the required authorizations from their national authorities or, alternatively, missions may formally request Uniformed Capabilities Support Division (UCSD) to approach T/PCC Permanent Missions to obtain the necessary approvals.

10. **Repatriation to Home Country**. The current T/PCC entitlements to repatriation of COE deployed under MOU at UN expense are that the amount of major and minor equipment, spare parts and consumables entitled to repatriation at UN expense should broadly equal the quantities of COE given prior approval to deploy by the UN. The repatriation of additional COE beyond these quantities, including any NSE equipment, is the responsibility of T/PCC. Additional COE may be included with the shipment of the COE entitled to be repatriated at UN expense, but any additional costs of including this extra COE in the entitled shipment are the financial responsibility of the T/PCC.

11. **Sale of COE.** T/PCC may dispose of COE by sale directly to other T/PCC, the mission, UN Agencies, Programmes and Funds, NGOs, and local governmental entities, or through commercial sale. Contingents should inform missions of their intentions to sell COE by providing details of the items to be sold. The Contingent shall abide by host country regulations on the import and taxes as required by the condition of the buyer. A formal statement from the T/PCC/Contingent authorities indicating that the UN shall have no further liability for the COE sold, accompanied by the copy of the sale document identifying the buyer and, if required, tax payment documents shall be presented to the Mission.

12. All UN markings, vehicle registration plates and UNOE fitted to the COE must be removed from the equipment before handover of the COE to the buyer; unless, and with the prior agreement of the mission, the sale is directly to the mission to which the contingent is deployed. As all COE is inducted into the mission area free of tax and customs duties it is required that COE, like any other article imported by the mission under such exemptions, shall not be sold in the country into which it is imported except under conditions as agreed with the host country. Contingents shall thus need to obtain the formal approval of the host country to dispose of COE through sale. Contingents should be requested to provide copies of the Bill of Sale or other sales agreement, with the third party, copies of importation documents, any tax or customs receipts or exemptions and other appropriate documents to the mission for records purposes.

13. COE which is of military or police pattern or value that is rendered unusable is to be repatriated or - disposed of locally as scrap (i.e. cut into pieces). Contingents should inform the mission of their disposal plans for this type of equipment and provide a formal statement that the UN shall have no further liability for the equipment rendered unusable. It is important that contingents inform the mission in advance when such equipment is being disposed as scrap, so that verification of the conversion to scrap and other evidence such as a certificate of destruction, is obtained prior to handover of the scrap to the third-party buyer.

14. **Donation of COE.** Contingents may dispose of COE by donation to the host country Government, other T/PCC contingents, UN Agencies, Programmes and Funds, and NGOs. Such donations must conform to the requirements of the mission SOFA/SOMA and any applicable host country and international laws. A formal statement from the T/PCC national authorities should be provided indicating that the UN shall have no further liability over the COE once it has been donated to a third party. Contingents should inform the mission of the items to be donated and to whom. All UN markings, registration plates etc., as required for COE sold to third parties, must be removed at the time of hand-over.

15. T/PCC may also request to donate COE to the mission/UN. It is a very complex process and mission stakeholders must conduct a due diligence taking into consideration the financial and property management rules. In such cases, the concerned mission must seek the formal approval of the competent UN authority in accordance with the following:

    15.1. The acceptance of donations/voluntary contributions is now delegated to the Head of Entity under the delegation for budget and finance (section II of the Delegation of Authority Instrument refers);

    15.2. The text of the delegation of authority provides for “consultation with the Management Strategy, Policy and Compliance (DMSPC), as necessary.” In this regard, a memorandum is sent to the attention of the Controller, with copy to Global Asset Management Policy Service (GAMPS) as part of the DMSPC consultation process. The memorandum should include the business case/analysis that the mission has carried out before accepting the donations;

    15.3. Confirmation that acceptance of the donation does not constitute additional financial responsibility for the Organisation;

    15.4. Verification that the equipment is functional, useful and meets the exact requirements of the mission;

    15.5. Verification that the mission undertook a thorough cost-benefit analysis, considering all relevant factors (e.g. advantage of donations versus procurement of new equipment, warranties, insurance costs, need for standardization of equipment etc.);

    15.6. Determine the fair value of the items – once the acceptance is approved, the assets/equipment/materials must be recorded in Umoja at fair market value and with recognition date corresponding to the date of transfer of control, documented through hand over document;

    15.7. It is suggested that any acceptance of donation, incl. terms and conditions are reviewed by the Entity’s Legal Office. There are also financial reporting requirements that would need to be handled by Entity’s Finance Section in terms of reporting on contributions in-kind for the year-end financial reporting.

16. Pending the formal approval of the donation, missions may be authorised to accept the COE with a Certificate of Temporary Possession. An example of a Certificate of Temporary Possession is given in the referenced Property Management Manual. Missions are to obtain the advice of their Legal Office in the drafting of all such documents.

17. **Disposal of COE by Missions on behalf of T/PCC.** Contingents may request the assistance of missions to dispose of COE through arrangements established by missions to dispose of UNOE. In these cases, a formal agreement between the T/PCC/Contingent involved and the mission shall need to be prepared to formalize the hand-over of COE to the mission for subsequent disposal action. The agreement should specify that the T/PCC shall make no claims for financial compensation for any potential revenue generated from the disposal action associated with the COE. The mission should dispose of the COE applying the procedures set out in the Property Management Manual and Missions' Waste Management Plans

18. In accordance with the COE Manual, T/PCC may be reimbursed for the costs of ammunition that becomes unserviceable in mission areas, including ammunition that has exceeded its expiry date, and is considered unsafe or not cost effective to repatriate to T/PCC home countries. Missions should assist T/PCC to dispose of this ammunition by destructive means utilising the mission's Force Explosive Ordnance Disposal (EOD) capabilities, United Nations Mine Action Service (UNMAS), or commercial means. T/PCC may submit claims for the costs of this disposed ammunition using the Operational Ammunition Expenditure Certificate (OAEC) and associated procedures as detailed in the COE Manual. Missions should provide contingents with an appropriate certificate of destruction for ammunition so disposed.

19. When hazardous materials, such as expired batteries, oil filters, etc. are involved in the COE disposal process, contingents should be encouraged and assisted to dispose of this material in compliance with the UN Environmental and Waste Management policies and procedures (see reference attached) and according to the Missions' Waste Management Plan as well as any local mission amplifying instructions.

REFERENCES

- UN Property Management Manual
- UN Delegation of Authority Instrument
- UN Environmental and Waste Management Policies and Procedures
- Missions Waste Management Plans and Procedures

D.2 – DAMAGE TO COE DURING TRANSPORTATION

A. RESPONSIBILITY

1. In case of loss or damage during transportation, the party making transportation arrangements is responsible for loss or damage incurred during transportation. Following the inspection and investigation, it has been established that loss or damage resulted during the transportation and is to be applied to ensure that troop/police contributors are reimbursed where "Significant damage" occurs to COE during transportation. "Significant damage" is defined as damage where the repairs amount to 10 per cent or more of the Generic Fair Market value (GFMV) of the item of equipment.

2. Where the transportation on deployment and repatriation of COE is arranged by the TCC/PCC under a Letter of Assist, the mission COE Unit may be able to assist field Movement Control (MOVCON) Section and Reimbursement Claims Management and Performance Section (RCMPS)/UCSD in providing facts resulting from the respective Arrival and Repatriation Inspections and other supporting documents only. However, if the transportation on deployment and repatriation of COE is arranged by the UN the procedure outlined in Movement Control Manual to be followed.

B. MISSION AREA

3. Upon arrival in the mission area, any loss or damage during transportation should be reported by MOVCON in the mission inclusive of evidence such as photographs and video. That report should be distributed in the mission to offices concerned. A similar report should be prepared when loading the equipment for repatriation to home country. Such reports should contain all relevant documentation and be filed within 30 days of the arrival/departure of the equipment.

4. For damages during deployment, the contingent should present a report to the COE Unit/Section and their national chain of command indicating the extent of the loss/damage inclusive of repair cost estimates and supporting documentation. Such report should be filed within 30 days of arrival of the equipment.

5. The COE Unit/Section should ensure that all documentation is kept in their records should Department of Peace Operations (DPO) or Department of Operational Support (DOS) require evidence to substantiate a claim. The COE Unit/Section may request technical assessment should it be deemed necessary (e.g. from a transport or engineering specialist, to ascertain extent of damages and costs of repair).

6. When substantive loss/damage of ME is recorded (10 % or more of GFMV), the mission is required to forward the report to UCSD and copy to MOVCON/Logistics Division (LD) in anticipation of a claim filed by the member state.

7. The damage that occurred on board of the contracted carrier is not subject to the investigation of any mission's authority. Damage that occurred within the mission area including by the third parties (contractors) may be reported to the mission's Board of Inquiry if warranted by the magnitude and the circumstances of the case.

C. CLAIMS

8. UCSD shall entertain a claim from a contributing country, via its Permanent Mission, provided the damage amounts to 10 per cent or more of the GFMV of the item(s) of ME. The United Nations shall not entertain a claim for damage of ME which is less than 10 per cent of the GFMV of the item(s). Should, however, the UN receives compensation - from the shipping company in settlement of loss or damage less than 10 per cent of the GFMV, the UN shall reimburse the contributing country accordingly.

9. The United Nations shall not entertain a claim from a contributing country for the loss or damage of SS items. However, if UN receives a settlement from the shipping company on SS items, money shall be turned over to the contributing country. The settlement is usually based on the declared value of the SS items (loading lists).

10. For damage during deployment of equipment, MOVCON shall compare the loading survey report against the PM claim and request the peacekeeping mission to provide their report. For damage during repatriation of equipment, MOVCON shall coordinate with the mission regarding the loading report and compare to the claim presented by the Member State.

11. Further to the procedures indicated above, it is understood that contingents with damaged equipment during their initial deployment, may not be fully operational upon arrival. In these cases, missions are requested to extend their cooperation to the contingents, just as during the sustainment phase, to ensure that the contingent meets its capabilities in terms of becoming fully operational and ensuring safety and security of their troops. For this, the mission may be requested by the contingent to assist in conducting repairs to COE. Such assistance should be provided by the mission at their

discretion, fully documenting all support provided on cost recovering basis, and reported following the established procedures.

NOTE: Additional references are available in the Movement Control Manual.

D.3 – Recovery of Support Provided by the UN to Contingents

1. Field missions should establish clear procedures to handle contingent requests for SS services, spare parts, consumables, minor equipment, etc. that are customarily part of MOU obligations. The provision of these capabilities by the mission are customarily offset by recoveries against reimbursements due to T/PCCs.

2. Upon a formal request from contingent commanders and when there is an urgent operational requirement for the restoration of capability the mission may consider providing the required capability where a T/PCC is not able to repair, rent or deploy replacement equipment, spare parts or consumables. Such arrangements should be reflected in the Verification Reports (VRs). Cost recovery reports and supporting documentation duly certification by the contingent commander and the mission should be attached to the appropriate VR.

D.4 - Environmental Compliance and Waste Management

1. Article 7 of the MOU between T/PCCs and the Organization includes the following sub-articles on *Environmental compliance and waste management:*

   1.1 T/PCCs shall ensure that all members of the national contingent conduct themselves in an environmentally conscious manner. They shall observe established United Nations rules and regulations applicable to the functioning of peacekeeping operations, endeavoring to achieve full compliance with United Nations environmental and waste management policies and procedures for field missions, as set out in [Environmental policy for United Nations field missions].

   1.2 National contingents shall appoint, where requested by the Force Commander/Police Commissioner, officials to serve as environmental focal points. National contingents undertake that they will “do no harm” to the local environment (including wild plants and animals) and, upon departure, will leave the premises and physical environment in the condition in which it was provided to them. The only exceptions to this requirement to remediate will be in exceptional cases of operational imperative where the Mission has been informed. They shall observe a policy of no littering around the bases or on patrols. They shall take concrete steps to conserve water and energy, reduce and segregate waste and properly manage hazardous waste and wastewater for which they are responsible. Where possible, the use of renewable energy shall be prioritized.

1.3 The United Nations shall provide assistance to national contingents to enable them to comply with United Nations environmental and waste management policies and procedures. Such assistance shall include providing national contingents with the agreed infrastructure and services that enable them to operate in an environmentally conscious manner. The United Nations shall provide mission specific briefings, induction and continuing training on field mission policies and procedures regarding environmental and waste management, comprising practical actions that can be taken by uniformed personnel to ensure a responsible presence in accordance with the Environmental Policy for United Nations Field Missions and the Waste Management Policy for United Nations Field Missions.

2. UN Environmental Policy requires that the Heads of the Military and Police Components appoint environmental focal points. These focal points liaise with the field mission's environmental officer on environmental issues including monitoring, assessing and reporting of contingents' compliance with environmental, energy and waste management policies/procedures and ensuring that environmental briefings are provided during induction training.

3. Inspection Teams should request the participation of mission environmental and waste management staff during appropriate verification inspection activities. Related reports prepared during the inspection may be attached to the respective VR.

4. The responsible mission entity - Mission Support Centre (MSC) - is required to actively engage with relevant Environment and Engineering counterparts to incorporate recommendations related to site energy plans (in accordance with COE Manual Chapter 3, annex A, appendix 3), alternative energy sourcing, generator right sizing and broader environmental management in mission inputs to Statements of Unit Requirements (SURs), new MOUs, and (where appropriate) MOU amendments. Additional support is available through UNGSC.

D.5 – ROTATION OF COE AT UN EXPENSE

A. PURPOSE

1. The purpose of these Instructions is to detail how field missions implement General Assembly 74/279 relating to the rotation at UN expense of troop/police contributing countries.

B. RATIONALE

2. The rotation at UN expense of specific categories of TCC/PCC ME deployed to field missions was initially recommended by the 2014 Contingent-owned Equipment Working Group (COE WG) and further revised by the 2020 COE WG.

3. As per Chapter 4 of the 2020 COE Manual;

> *Para 28: Certain categories of major equipment under prolonged deployment to peacekeeping missions which are non-operable, or for which continued maintenance is not economical in the mission area, can be considered for rotation at United Nations expense at the discretion of a mission contingent-owned equipment/memorandum of understanding management review board in consultation with the applicable contingent commander, on the basis of operational requirements within the mission. These categories are as follows: aircraft/airfield support equipment, combat vehicles, police vehicles, engineering*

equipment, engineering vehicles, support vehicles (commercial pattern) and support vehicles (military pattern).

Para 29: To be eligible for consideration, equipment must have been continuously deployed in peacekeeping operations for at least seven years or 50 per cent of its estimated useful life, whichever comes earlier. Rotation will be considered when the amount of equipment proposed for rotation represents 10 per cent or more of the amount of equipment in at least one eligible category. Equipment to be rotated at United Nations expense shall be treated by the United Nations as if it were contingent-owned equipment being repatriated at the end of the unit's deployment to a mission area. Replacement equipment shall be treated as if it were equipment being deployed under the contingent's initial deployment to a mission area. In exceptional circumstances, such as higher-risk missions, the seven years requirement could be reduced to five years for equipment that is unserviceable due to operational tempo, environmental conditions, extreme climate, location, mileage, hours of usage, trafficability or non-negotiable terrain, to be determined and recommended by the mission leadership and decided by the Secretariat. The rotation at United Nations expense will not include equipment that is not serviceable due to lack of maintenance.

Para 30: In addition to the categories included in paragraph 28, major equipment of eligible categories lost or damaged as a result of hostile action or forced abandonment will also be considered for rotation at United Nations expense. The requirements stipulated in paragraph 29 of at least seven years or 50 per cent of the estimated useful life will not apply to equipment lost or damaged as a result of hostile action or forced abandonment.

4. The General Assembly further approved that the total amount across all missions for the associated expenses for a financial year should not exceed $8 million.

5. These Instructions are issued to ensure procedures are in place to establish the priorities, on a mission and global basis, for equipment to be rotated and that the process is managed to ensure the most efficient and effective use of available financial resources to improve the operational capabilities of contingents and field Missions.

D. PRINCIPLES

6. The rotation of T/PCC major equipment at UN expense shall be based on the following principles:

   6.1. The recommendation, decision and execution of the rotation of COE major equipment shall be driven by operational considerations.

   6.2. The rotation of COE at UN expense is not an entitlement. T/PCC may request the rotation of eligible COE major equipment through the Contingent Commander for consideration of the mission CMMRB, utilising the formats and criteria as detailed at Appendices A and B to these Instructions.

   6.3. Based on operational requirements and in accordance with the criteria as detailed in Appendix B to these Instructions, field Mission CMMRB shall assess and recommend to UNHQ the eligibility and priority for rotation at UN expense of COE major equipment. UNHQ, in consultation with applicable T/PCC, shall review mission CMMRB recommendations and, based on global mission operational requirements and priorities,

the availability of replacement major equipment from the T/PCC and available financial resources before approving the rotation of COE at UN expense.

6.4. COE major equipment becomes potentially eligible for consideration for rotation at UN expense when it meets the following conditions:

6.4.1. **Duration in the field**: Equipment must have been continuously deployed in peacekeeping operations for at least seven years or 50 per cent of its estimated useful life, whichever comes earlier. In exceptional circumstances, such as higher-risk missions, the seven years requirement could be reduced to five years for equipment that is unserviceable due to operational tempo, environmental conditions, extreme climate, location, mileage, hours of usage, trafficability or non-negotiable terrain, to be determined and recommended by the mission leadership and decided by the Secretariat. The rotation at United Nations expense shall not include equipment that is not serviceable due to lack of maintenance.

6.4.2. **Eligible categories:** Eligible categories are i- Aircraft/airfield support equipment; ii-Combat vehicles iii-Police vehicles iv-Engineering equipment; v-Engineering vehicles; vi-Support vehicles (commercial pattern); and vii-Support vehicles (military pattern).

6.4.3. **Condition of equipment:** to be considered for rotation at UN expense, equipment must be non-operable, or for which continued maintenance is not economical in the mission area;

6.4.4. **Amount of equipment:** The amount of equipment proposed for rotation must represent 10 per cent or more of the amount of equipment in at least one eligible category;

6.4.5. ME items lost or damaged due to hostile action or forced abandonment after 1 July 2017, and which belong to one of the categories cited in para 8.4.2 are considered eligible for rotation despite their duration in the field mission.

6.5. Equipment deployed in one field mission and subsequently deployed directly to another field mission shall be considered to have been continuously deployed in peacekeeping operations from the date of arrival in the initial field Mission.

6.6. The assessment, recommendation, approval and execution of the rotation of major equipment at UN expense shall be managed on an annual cycle corresponding to the financial year (July-June) of DPO/DOS field missions.

6.7. The deployment of replacement COE major equipment, to restore or maintain contingent and Mission operational requirements, takes priority over the repatriation of major equipment being replaced. As such, the deployment should precede the repatriation of equipment being replaced. Deployment of replacement major equipment may occur in a different financial year (FY) to the repatriation of the major equipment being replaced. T/PCC are to be encouraged and proactively assisted by field missions to consider, where appropriate, alternatives to the repatriation of major equipment such as the disposal of unserviceable major equipment, in the Mission area.

6.8. Where appropriate and cost-effective, rotations of COE at UN expense can be combined with rotation/deployment of COE that is the responsibility of T/PCC. The cost of such combined COE movements should be apportioned accordingly. The UN and T/PCC shall agree in writing to cost recovery action dependant on which party is responsible for transportation.

DOS, in consultation with field Missions and T/PCC, shall concur, on the basis of T/PCC technical analysis, whether the continued maintenance of eligible major equipment is not economical in the mission area.

E. PROCEDURES

7. The procedures outlined below are intended to facilitate informed decision making at all levels in response to T/PCC requests to rotate ME, to maximise the utilization of available financial resources in the most effective and efficient manner and to ensure effective on-going dialogue with T/PCC to restore or maintain contingent and Mission operational capabilities.

8. The table below outlines the step by step, by phases, processes for preparation, submission, review and consideration of T/PCC requests for rotation of eligible COE major equipment at UN expense; at the Mission level. The table describes the actions required and the lead office.

Phase 1: Preparation of Contingent Request to Rotate COE at UN Expense	Lead
The Contingent Commander shall assess COE vehicles under prolonged deployment that are non-operable, or for which continued maintenance is not economical in the mission area in terms of impact on the operational capability and readiness of the formed unit(s) concerned to perform mandated tasks.	Contingent Commander (CC)
In accordance with these Instructions, the Contingent Commander shall identify COE ME that is eligible for rotation at UN expense and prepare the equipment listing as per Appendix A.	CC
The Contingent Commander shall coordinate with the national authorities of the T/PCC regarding the intent to rotate, the availability and details of replacement equipment and the estimated time of deployment.	CC
Following consultations with T/PCC national authorities, the Contingent Commander shall generate a request for rotation of eligible COE at UN expense that should include the following information: • Assessment of the impact on operational capability of the formed unit(s) resulting from the prolonged deployment of the COE involved.	CC

• List of COE ME proposed for rotation at UN expense with indication of numbers and types of replacement items of major equipment as per Appendix A. • Checklist for eligibility of COE ME for rotation at UN expense as per Appendix B. • Undertaking and substantiation when continued maintenance is not economical in the mission area. • Indication that the rotation involving ineligible equipment, for example trailers, Electrical equipment etc, shall be at no additional cost to be incurred by the UN or that the T/PCC has agreed in writing to cost recovery action for any additional costs. • T/PCCs are encouraged to dispose old COE in mission area. In such case, Contingent Commander is requested to mention the preferred alternative disposal methods of the equipment to be replaced i.e. disposal locally through the Mission's asset disposal program, commercial sale or donation based on bilateral arrangements with a third party (DOS/DPO "Guidelines for the Field Verification and Control of COE and Management of MOU", refers) • T/PCC intent in terms of timelines and method of rotation arrangements (UN vs LOA) The mission COE Unit should provide policy and procedural advice to the Contingent Commander in staffing the request.	
The Contingent Commander shall submit the request with all supporting documentation to the Secretariat of the Mission CMMRB (COE Unit) for review and case presentation.	CC
The Contingent Commander shall send a copy of the request to T/PCC national authorities for information and concurrent coordination with UNHQ	CC
Phase 2: Preparation of Mission CMMRB case	**Lead**
Upon receipt of a request for rotation of COE equipment from a Contingent Commander, the Mission COE Unit shall review its eligibility in line with criteria highlighted in para 8.4 of this guideline. If needed COE Unit can share the list of equipment with MRPS/UCSD for further review and verification.	Mission COE Unit

Mission MOVCON Section in coordination with applicable entities in the field mission and MCS/LD in UNHQ: -Ensure availability of funds and provides estimated costs for implementing the rotation, taking into consideration possibilities for economy of scale resulting from potential consolidation of cargo movement requirements.	Mission MOVCON
If required, Mission Transport Section (TS), in consultation with HQ Surface Transport Section (STS), confirms that continued maintenance of vehicles eligible for rotation is not economical in the mission area.	Mission TS
In its capacity of secretariat of the mission CMMRB, the mission COE Unit prepares a report indicating mission-wide status and projection for the current and, when requested by CMMRB, next financial year of COE vehicles potentially eligible for rotation at UN expense and with information on previously submitted requests that are being initiated by other contingents in the Mission.	Mission COE Unit
Mission COE Unit prepares a CMMRB case presentation including all relevant information, distributes the case to all members of the CMMRB for review and comments prior to the CMMRB meeting. This has to cover the following aspects: eligibility, readiness of replacing vehicles, availability of funds and financial impact.	Mission COE Unit
The CMMRB Secretariat invites the Contingent Commander to attend the CMMRB meeting considering the request. Representatives of Mission MOVCON and TS may also be invited to provide technical advice as necessary.	CMMRB Secretariat
Phase 3: Mission CMMRB review of requests for COE Rotation	**Lead**
The CMMRB reviews the request in consultation with the Contingent Commander or his/her representative, who must attend the CMMRB meeting and provide additional information as may be necessary, including confirmation of the readiness of replacing vehicles	CMMRB
The CMMRB determines the operational requirement for rotation of COE ME taking into consideration the current and foreseen operational situation in the Mission, Rules of Engagement, Statement of Unit Requirements, operational readiness and gaps in capabilities of the formed unit(s) involved against the MOU. The Board is requested to	CMMRB

give priority to rotate capabilities operationally required, when dealing with multiple rotation requests.	
The CMMRB confirms the eligibility of COE ME for rotation, determines the most effective and efficient method of execution of the rotation, where appropriate, confirms the recommended alternative methods of disposal of non-operable equipment in the mission area where applicable, estimated cost of rotation and confirm availability of funds to implement the rotation	CMMRB
The CMMRB determines the priority for the rotation based on the role of the unit(s) concerned and taking into consideration eligibility and operational requirements for rotation of COE at UN expense of other contingents in the Mission. The CMMRB shall assign a priority to each request for rotation as being either, High, Medium or Low (Priorities are defined in Section G of these Instructions).	D/CMS
CMMRB takes a decision to recommend or to reject the rotation request. In both cases, the CMMRB minutes shall reflect the Board assessment and decision.	CMMRB
The recommendation of the CMMRB supporting the Contingent's request for rotation of eligible COE at UN expense shall be transmitted to HQ (Director, Uniformed Capabilities Support Division in his capacity of Chair of the HQ CMMRB) for further processing and consideration of UNHQ CMMRB and final decision by the USG/DOS. The minutes must give all necessary details to facilitate decision making process, appendixes A, B and C to be annexed to the minutes.	D/CMS
In case a rotation was recommended by the mission and was not considered for approval at UNHQ level for whatever reason, the mission COE Unit and D/CMS shall ensure that any further request for the same unit is consolidated with the previous one. In this context, the mission CMMRB shall take into consideration the previous request and recommend one consolidated list of equipment to be rotated at UN expense. The proposed equipment shall be submitted for the approval process at UNHQ as one case.	D/CMS Mission COE Unit
Phase 4: Action at UNHQ on the recommendations for rotation of COE at UN expense	
MRPS, UCSD reviews the recommendations, confirms the eligibility and fund availability against the yearly ceiling (eight million USD authorized by GA for rotation of COE at UN expense for a financial year) , coordinates with the respective Permanent Missions	MRPS, UCSD

(PMs) with reference to the cargo readiness date, confirms with OMA and PD of DPO for continued presence of the t unit in the mission area.	
MRPS, UCSD prepares Case papers for submission to the HQ CMMRB for consideration of the request.	MRPS, UCSD
The case is recommended/rejected.	HQ CMMRB
Once endorsed by the HQ CMMRB, the case is submitted to the USG, DOS for approval.	MRPS, UCSD
After USG-DOS approval, decision shall be communicated by UCSD to the PM, through an official correspondence, with copy to MCS/LD.	MRPS/UCSD
On approval of the case, implementation of the rotation commences. MCS is to ensure that the load list is submitted as per the approved COE list for rotation. Where appropriate and cost-effective, rotations of COE at UN expense can be combined with rotation/deployment of COE that is the responsibility of T/PCC. The cost of such combined COE movements should be apportioned accordingly. The UN and T/PCC shall agree in writing to cost recovery action dependant on which party is responsible for transportation. MCS/LD is requested to maintain records of cost of rotations and update UCSD on progress in implementing rotations of COE at UN expense.	MCS, LD

F. TERMS AND DEFINITIONS

9. **Priority for Rotation.** Mission CMMRB are to assign a priority to each request for the rotation of COE major equipment. The priorities are as follows.

   9.1. **High Priority.** The rotation of the equipment is considered critical to restore or maintain the operational capabilities of the contingent and the Mission, to complete mandated tasks.

   9.2. **Medium Priority.** The rotation of the equipment shall contribute significantly to the restoration or maintenance of the operational capabilities of the contingent and the Mission to complete mandated tasks.

   9.3. **Low Priority.** The rotation of the equipment shall contribute to the restoration or maintenance of the operational capabilities of the contingent and the Mission.

G. REFERENCES

Normative or superior references

- General Assembly Resolutions 68/282 and 74/279 of 2014 and 2020 respectively
- Contingent-Owned Equipment Manual (2020)

Related procedures or guidelines

- Guidelines for the Field Verification and Control of COE and Management of Memoranda of Understanding
- Generic T/PCC Guidelines

H. GLOSSARY

CC	Contingent Commander
CRD	Cargo Readiness Date
COE	Contingent owned equipment
CMMRB	COE&MOU Management Review Board
D/CMS	Director/Chief of Mission Support
DOS	Department of Operational Support
DPO	Department of Peace Operations
FC	Force Commander
FY	Financial Year
MOU	Memorandum of Understanding
MOVCON	Movement Control Section (Mission or LD/DOS level)
MRPS	MOU Reimbursement Policy Section
OMA	Office of Military Affairs.
PC	Police Commissioner
PD	Police Division
T/PCC	Troop/Police Contributing Country
SAG	Senior Advisory Group
UCSD	Uniformed Capabilities Support Division
USG	Under Secretary-General
VR	Verification Report (COE)

APPENDICES

A. Example template for list of COE Major Equipment (ME) proposed for Rotation at UN Expense (for use by Contingent Commanders)

B. Eligibility for Rotation of COE major equipment at UN Expense – Checklist

C. Summary of requests of rotation of COE at UN expense to be annexed to the CMMRB minutes

APPENDIX A TO ANNEX D.5

List of Major Equipment proposed for Rotation at UN Expense

(To be attached as Annex A to the rotation request))

Date:
Unit:
Contributing Country:

Ser	ME category	Item description	Total qty of the category (b) on the MOU	Un plate #/ equip serial #	`deployment date	Estimate useful life as per the COE manual (Years)	Total period of unserviceability in past two verification report	To be replaced by	Length	Width	Height	Weight (KG)	Readiness for the replacing vehicle (ready/not ready)	Remarks
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)
1	VEHICLE (COMBAT VEHICLE)	APC WHEELED INFANTRY CARRIER ARMED (Class-ii)	12	UN-34500	15-11-2005	25	0 Days	APC wheeled infantry carrier – NIJ Level –III ballistic protection Armed (Class-II) Technical specification of APC has been attached as appendix –'A'	5.4	2.45	3	4200	Ready	This ME item has been in the mission for about 13 years, has consumed 52% of its estimated useful life and continued maintenance of the equipment is not economical in the field environment

1- Columns (b) and (c) – ME category and item description as per MOU/COE Manual.
2- Column (d) total quantity on the MOU of the category given under column (b)
3- Column (g)- Estimated useful life as detailed in chapter 8 of the COE Manual.
4- Column(i) – Insert manufactures and/or specific equipment details. If the proposed replacement equipment does not match the MOU Major equipment Category and/or item

5- Column (0) –Any further details or remarks.

Signature
Rank & name of the contingent commander
the name of the unit

APPENDIX B TO ANNEX D.5

Checklist to be prepared and signed by contingent commander and verified by the mission Chief COE Unit

1. This document contains basic checks to determine eligibility for rotation of COE major equipment at the Expense of the United Nations on the basis of criteria approved by General Assembly Resolutions 68/282 and 71/296.

2. The Checklist should accompany the list of COE major equipment as per the enclosed format (Appendix A) and forms part of the Contingent's request for rotation of COE at UN expense.

Annex B to the rotation request of (name of T/PCC, name of the unit) **Eligibility Checklist**	
☐ **- Yes** ☐ - No	All items of COE correspond to the categories of Major Equipment as per the COE Manual 2020, Chapter 8. Annex A as follows: • Aircraft/airfield support equipment • Combat Vehicles • Police Vehicles • Engineering equipment • Engineering Vehicles • Support vehicles (commercial pattern) • Support Vehicles (Military Pattern)
☐ **- Yes** ☐ - No	All COE are items of Major Equipment deployed in accordance with the provisions of the MOU, Annex B or items held in lieu of those on MOU
☐ **- Yes** ☐ - No	Includes Special Case major equipment items which are listed in Annex B of MOU and which are considered to be generically similar to the specified categories of eligible major equipment.

☐ **- Yes** ☐ - No	Includes COE items that have been continuously deployed in UN peacekeeping operations for at least 7 years.
☐ **- Yes** ☐ - No	Includes COE items that have been deployed in UN peacekeeping operations for less than 7 years but for a period exceeding 50 percent of their estimated useful life as indicated in the COE Manual, Chapter 8, Annex A, or as agreed in writing between the T/PCC and UN and recorded in individual MOU.
☐ **- Yes** ☐ - No	Includes COE items unserviceable due to operational tempo and environmental conditions, that have been continuously deployed in UN peacekeeping operations for at least 5 years and are submitted to the mission CMMRB for consideration **on exceptional basis** for rotation at UN expense.(The list of COE items does not include equipment that is not serviceable due to lack of maintenance)
☐ **- Yes** ☐ - No	The amount of equipment proposed for rotation represents 10 per cent or more of the amount of deployed equipment in at least one eligible category.
☐ **- Yes** ☐ - No	All identified items of COE are non-operable or continued maintenance is not economical in the mission area
☐ **- Yes** ☐ - No	Replacement COE items are identified and ready for shipment

NOTE: The potential eligibility for rotation of special case equipment items is to be determined as part of the special case procedures agreed during MOU negotiations and the MOU annotated accordingly.

Contingent Commander: _____ Date: _____

Eligibility criteria verified by:

Chief COE Unit:_____ Date: _____

Summary of rotation requests of COE at UN Expense to be annexed to the minutes of (mission) CMMRB of (date)

Annex XYZ to the (name of the mission) CMMRB minutes on requests of rotation of COE at UN expense

Troop/police Contributing country (a)	Unit (b)	Total items to be repatriated (c)	Total items to be deployed (d)	Total estimated cost (USD) (e)	Availability of funds (f)	Eligibility status (g)	Readiness of replacing vehicles (h)	Acceptability of the replacing vehicles (i)	Remarks (j)	CMMRB Decision
XXXX	Infantry Battalion 1	24	24	243,400.00	Available	All items are eligible	Unit commander confirmed readiness of replacing vehicles	The mission accepts the replacing vehicles as described in the appendix A submitted by the contingent commander		The rotation request was assessed by the CMMRB. The Board recommends this rotation request.
YYYY	Engineering Company	15*	17	855,441.00	Available	All items are eligible	Unit commander confirmed readiness of replacing vehicles	The mission accepts the replacing vehicles as described in the appendix A submitted by the contingent commander	The unit agrees to dispose of two vehicles in mission area. TUC (1.5 to 2.4T) UN 3456 and TUC (1.5 to 2.4T) UN 3457	The CMMRB has rejected the rotation request due to the ongoing review of engineering capabilities in the mission. The Board will reconsider this request once the new SUR is finalized and signed by OMA.

Notes: Missions can recommend rotations of COE at UN expense to UNHQ only if:
. Funds are available;
. Items requested for rotation are eligible;
. Unit commander confirmed readiness of replacing vehicles.

Annex E: Ammunition Reimbursement

E.1 – Reimbursement for Expenditure

1. Troop/Police-contributing country (T/PCC) may be entitled to reimbursement for ammunition/explosives expended for operational purposes, or for 'specifically authorized operational training beyond accepted UN readiness standards' as authorized and directed by the Force Commander/Police Commissioner. T/PCC may also be entitled to reimbursement for ammunition and explosives which become unserviceable/life expired in the mission area and for explosives expended when disposing of Unexploded Ordnance/Improvised Explosive Device (UXO/IED) as a Force Task. Explosives expended in support of the Explosive Ordnance Disposal (EOD) self-sustainment (SS) category may not be claimed for by T/PCC, as the expenditure is covered by monthly reimbursements for the category.
2. The expenditure of ammunition and explosives is reported, for reimbursement purposes, using Operational Ammunition Expenditure Certificates (OAEC). The initial preparation of OAEC is a contingent responsibility. Once processed by the mission, a copy of the OAEC should be provided to the contingent and a copy forwarded to OSCM/DOS. Additionally, a copy of the OAEC should be attached to the next Major Equipment (ME) Verification Report (VR) submitted to UNHQ. Detailed procedures for the preparation and submission of OAEC are found in Annex E.2.

E.2 – Operational Ammunition Expenditure Certificate

Introduction

1. According to the COE Manual, T/PCCs may be reimbursed for ammunition expended for operational purposes or during 'specifically authorized training beyond accepted UN readiness standards[3],as directed by the Force Commander or Police Commissioner. T/PCC may also be reimbursed for ammunition or explosives which becomes unserviceable in the mission area including life expired ammunition and explosives. This annex outlines the procedures for submission of Operational Ammunition Expenditure Certificates to report ammunition and explosives so expended.

Procedures

2. Field missions should guide the Contingents to report operational or authorized training expenditures of ammunition and explosives to Operations Branch (Military or Police respectively) using two (2) copies of the OAEC attached as Appendix. Reporting should take place as soon as possible following the expenditure. Certificates are to be supported by appropriate Situation Reports, Flash Reports, After Action Reports, Aircraft Use Reports, and

1. Accepted UN readiness standards are that every unit, formation, ship, weapon system or equipment must be capable of performing the missions or functions for which it is organized or designed to enable the Mission's Mandate to be achieved.

Incident Reports or, in the case of specially authorized training, the written directions signed by the Force Commander (FC) or Police Commissioner (PC) authorizing the training. Ammunition and explosives, both operational and training, which become unserviceable/life expired in the mission area, and which, with the prior written concurrence of the mission, have been destroyed are also to be reported utilizing OAEC.

3. Following concurrence and FC or PC certification, Operations Branch passes the completed, original documents to the Military Representative in the COE Unit for final DMS/CMS certification, collation and forwarding on a quarterly basis to OSCM/DOS.

4. Contingents should be briefed that claims relating to the operational expenditure of ammunition and explosives are to be submitted by their respective Governments at UNHQ level, and not by contingents/units within the Mission. UNHQ uses the certified OAECs submitted by the Mission to substantiate claims made by T/PCC. Without fully supported and certified OAECs such claims are either delayed or possibly not accepted. Units should also note that ammunition for training, sighting, calibration and test firing is classified as a consumable and is included in the Wet Lease for ME. Training ammunition is therefore a national responsibility unless specifically authorized by the FC or PC for special training outlined above.

APPENDIX TO ANNEX E - OPERATIONAL AMMUNITION EXPENDITURE CERTIFICATE

Unit:	

Serial Number	**Ammunition Nature and Type**	**Quantity Expended**	**Reason for Expenditure**	**Operation & SITREP #**	**Dates/Remarks**
(a)	(b)	(c)	(d)	(e)	(f)
1					
2					
3					

Commanding Officer:

Rank:		I certify that the ammunition listed above was expended by members of my unit during operations as detailed in the attached supporting SITREPs. **OR** (delete as necessary): I certify that the ammunition listed above was expended by members of my unit during special operational training as directed and authorized by the Force Commander/Police Commissioner in the attached document.
Name:		
Signature:		
Date:		

Sector Commander Concurrence: (if applicable)

Rank:	
Name:	
Date:	
Signature:	

Force Commander/Police Commissioner Certification:

Rank:	
Name:	
Date:	
Signature:	

CMS/DMS Certification:

Name:	
Date:	
Signature:	

Notes:

1. Col (b) Give as many detail as possible of the type of the ammo expended. Eg Grenade Hand Colored Smoke Red M18; 7.62mm Ball Linked; Signal 1.5 inch White.
2. Col (d) eg: Contact; or Movement outside perimeter; or Return of fire.
3. Col (e) eg: Op Lion Roar. Sitrep 004 dated 12/12/03. Provide After Action Reports, Aircraft Use Reports or Incident Reports as appropriate.
4. Col(f) eg: Give dates and any other remark.

Annex F: COE Performance Analysis Framework

A. GENERAL

1. The development of a Contingent-Owned Equipment (COE) performance analysis framework derives from best practices in other functional areas, where uniform, cross mission reporting requirements based on Key Performance Indicators (KPIs) enhance the capacity to make informed decisions on the management and control of COE. Compliance is mandatory for all field missions which are responsible for or tasked with COE functions.

B. PURPOSE

2. The purpose of COE performance analysis is two-fold: to present to field mission senior management a quarterly analysis of the COE verification reports; and to present mission level COE performance analysis to COE stakeholders in UNHQ under a uniform reporting format and methodology, to enable consolidation and analysis of global COE performance and to support CMMRB decision making.

C. PROCEDURE

3. The foundation of the Department of Operational Support (DOS) performance analysis framework is the quarterly COE Status Report that provides an overview of the mission verification and reporting activities, assessment of COE and self-sustainment (SS) capabilities including trend analysis, identification of critical shortfalls and compliance with provisions of memorandum of understanding (MOU). Field COE Units are to prepare the COE Status Report within 2 weeks of submission of all COE Verification Reports and forward it to the Office of Director Uniformed Capabilities Support Division (UCSD). The COE Status Report should be a permanent item on the agenda of quarterly COE and MOU Management Review Board (CMMRB) meetings that should be held at the earliest opportunity following the finalisation of the Report. In case when the review of the COE Status Report is the only item on the agenda, and when it is not feasible to convene a regular CMMRB meeting at short notice, the missions may opt for an “e-CMMRB” procedure whereby the CMMRB agenda with the Report are circulated electronically to the co-Chairs and members of the Board for review and comments. Minutes of the e-CMMRB should reflect the comments received and that the Report was noted by the Board.

4. Management objectives are defined in the set of COE KPIs which cover both performance of troop and police contributing countries. The KPIs are also used for evaluation of the operational effectiveness and efficiency of the COE management programme in the mission.

5. A sample Quarterly COE Status Report is attached in the appendix to this Annex. Use it as a guide for completing the report, both in terms of content and format.

D. KEY PERFORMANCE INDICATORS

6. Two groups of COE KPIs have been developed:
   6.1. Compliance of the field mission COE Unit with COE/MOU management business processes;

6.2. COE Performance Analysis in relation to MOU;

7. All KPIs are to be produced using templates provided. Data for the KPIs 1 and 2 are to be entered manually by mission COE field staff into provided templates. KPIs 3, 4, 5, and 6 shall be generated in Business Objects using templates provided by UNHQ. Templates shall be updated on an ongoing basis to reflect updates in reporting requirements and or changes in KPI formulae.

8. **Key Performance Indicator 1: Verification Report (VR) Submission Compliance.** Deadline for submission of Verification Report is outlined in table below. This KPI measures the time taken to submit Verification Reports within the reporting period deadline. **The number of days taken to submit the last VR of the quarter to UNHQ after the end of inspection period shall ascertain verification report submission timeline.** A KPI target for submission of VR to UNHQ has been set for 30 days with 15 days tolerance for all quarters except the quarter ending 30 September, which does not have any tolerance, and must be submitted within 30 days.

Reporting Cycle	**Submission Deadline**
Period 1: Jan – Mar	15 May
Period 2: Apr – Jun	15 August
Period 3: Jul – Sep	**30 October**
Period 4: Oct – Dec	15 February

Figure 1: Verification Report Submission Deadline

9. The submission of VR shall be considered completed when field COE unit either attaches all complete, signed VR to Uniformed Capabilities Management (UCM), or sends the completed, signed VR to UCSD.

10. **Key Performance Indicator 2**: **Ensure Maximum Quarterly Physical Verification of Contingent Owned ME.** All COE units are to perform 100 % physical verification of all contingent owned ME within each reporting cycle. This shall ensure the quality and relevance of the data in UCM and in the verification reports. For counting the number of inspections, **'Any visit to any unit for examination of ME and/or SS categories to determine compliance to applicable MOU'** is to be considered as an inspection, which includes the following:

    10.1. Periodic/Spot Check Inspection.
    10.2. Operational Readiness Inspection (as required)
    10.3. Arrival Inspection (as Required).
    10.4. Repatriation Inspection (as required).

11. The target of 100% inspection of COE and SS includes a tolerance of 10% to provide for contingencies concerning operational environment, geographical factor, flight schedule etc. affecting the realization of the inspection program in full. Information reflected in the Monthly Standard Operational Report to be used as a basis for reflection of ME and SS compliance status in the VR when physical verification could not be completed.

12. Summary of COE Business Process KPIs is shown in Table 2.

RL	KPI Name	Formula	UoM	Target	Tolerance	Business Need
1	Verification Report Submission Compliance	Time taken for submission of VR after completion of Quarterly Inspection Period	Days	30 days	15 days (except QE September)	Timely initiation of reimburseme nt actions
2	Ensure Maximum Physical Verification	Percentage of total inspection target that has been met during the reporting quarter	%	100 %	10 %	Accurate verification of ME and SS status for reporting purposes

Figure 2: COE Business Process KPIs

13. **Key Performance Indicator 3**: **ME Deployment**. This KPI measures the deployment of ME against the MOU requirement. The unit of measurement is days deployed per reporting period.

14. **Key Performance Indicator 4: ME Serviceability**. This KPI measures the serviceability of ME against the total quantity of equipment deployed. The unit of measurement is serviceable days deployed per reporting period.

15. **Key Performance Indicator 5**: **ME Capability**. This KPI measures the serviceability of ME against the MOU requirement. The unit of measurement is serviceable days deployed per reporting period.

16. **Key Performance Indicator 6: SS Compliance**. This KPI measures the T/PCC performance against each SS category for which it is responsible. For example, if a unit is required to be self-sustained in 10 categories of SS, and only meets 9, their performance is 90%. A target of 100% has been set to ensure that appropriate support structure is available in the mission. No specific tolerance level has been set to allow flexibility in assessing the impact of the SS shortfall and mission specific issues.

17. Summary of KPIs on COE Performance Analysis in relation to MOU is as follows:

SRL	KPI	Formula	Measure
3	Deployment	Deployed ME/MOU requirements	T/PCC compliance in deploying the required quantity of equipment to the mission area.
4	Serviceability	Serviceable ME/Deployed ME	Contingent capability to maintain equipment deployed to the mission area.
5	Capability	Serviceable ME/MOU requirements	COE capability as per requirements in the MOU.

SRL	KPI	Formula	Measure
6	SS Compliance	Quantity of Self–sustainment categories which meet requirements for reimbursement, against all categories required for contingents in the MOU.	Performance of contingents/units in respect of SS support and compliance with the obligations under the MOU

Figure 3: Summary of KPIs on COE Performance Analysis in relation to MOU

18. Performance levels for each KPI are coded in the following manner:

Performance Standard	Key
Fully Compliant	**>=100%**
Satisfactory	**90-100%**
Un-Satisfactory	**70-90%**
Critical Shortfall	**<70%**

Figure 4: Performance Coding

19. KPIs for ME are applied for the categories and sub-categories of equipment by type of units, by contingent. The equipment is segregated into two categories: 'Vehicles', which includes all vehicle types except trailers; and 'Non-Vehicles, which consists of all other equipment types. Items under the "Vehicle" category are further depicted in under the following sub-categories:

Combat	All APCs, tanks, and reconnaissance vehicles.
Support (military pattern - MP)	All military pattern utility/cargo, water/tanker, recovery, crane, tractor, and refrigerator trucks, jeeps, ambulances, and motorcycles.
Support (commercial pattern - CP)	All commercial pattern versions of the above, plus sedans and buses.
Other	This category includes engineering, communications, police, and airfield support vehicles, and material handling equipment.

Figure 1: Vehicle Sub-Categories

20. Items under the "Non-Vehicle" are further shown depicted under the sub-categories of Armaments, Generators, Logistics (water and fuel storage), and other (Trailers, Observation, Medical Equipment, etc.)

E. OTHER REPORTING REQUIREMENTS

21. Other reporting requirements as part of COE Performance Analysis Framework are as follows:

21.1. UN Provided Accommodation
21.2. SAG Reporting - Non- Functional and Absent Equipment
21.3. Rotation of ME at UN Expense.

F. QUARTERLY COE STATUS REPORT

22. The Quarterly COE Status report is to be structured as follows:

    22.1. Summary of KPIs 1 and 2 (MOU Management processes), with an explanation of any shortfalls in meeting performance targets.
    22.2. Analysis of KPIs 3, 4, and 5 (ME performance), including explanation of shortfalls, trends, and recommended or pending corrective actions.
    22.3. Analysis of KPI 6 (SS performance), including explanation of shortfalls, trends, and recommended corrective actions.
    22.4. Status of UN provided accommodation, including explanation of shortfalls and trends.
    22.5. Status on SAG Reporting -Non-functional and Absent Equipment
    22.6. Status on Rotation of ME at UN Expense
    22.7. Review of Previous CMMRB Recommendations
    22.8. Any Other Issues
    22.9. Annexes to the report, which contain the completed KPI templates.

23. **Instructions for KPI Report Generation.** UCSD provides report templates for all Key Performance Indicators. As the KPI reporting matures, these shall evolve and change. Some KPI templates are provided in excel format. Instructional resources and training sessions in Business Objects are available on an ongoing basis from UCSD. All reports to be submitted electronically in word/excel format to UCSD with the COE Quarterly Status Report.

24. **Principles of KPI Analysis**. The KPIs are designed to provide an overview of COE management activity and contingent performance against the MOU, but do not constitute an analysis per se. The analysis, derived from the KPI results, should be brief and focus on key issues affecting operational capability, mission resources, and areas requiring corrective action. It may not be possible to analyze or identify key issues based on a review of the KPI statistics alone. For example, the KPI's on ME may display very low levels of serviceability in some units and categories of equipment, while an analysis of said equipment/units reveals that these shortfalls are from units which are in process of repatriation, and so do not represent issues for pending corrective action or mission critical shortfalls. In contrast, the analysis may point to other areas not explicit in the report itself. Analysis should not be a reproduction of tabular data into text. The mission is at liberty to include additional areas of reporting to address Mission specific need. A standard layout shown as example in the Appendix is to be followed.

25. **Major Equipment Analysis.** The analysis does not need to mention all contingents/units, but provide a general assessment, and then focus on key issues affecting operational capability or mission resources. Contents of this section may include the following:

    25.1. Assessment of shortfalls of important vehicular sub-categories, with related trends if critical and necessary.
    25.2. Assessment of shortfalls in any non-vehicular sub-category, if critical and necessary.
    25.3. Any impending major deployment and repatriation of ME and related issues thereof.
    25.4. Pending disposal actions related to ME if any.
    25.5. Any other issues relating to status of ME.

26. **Self-sustainment Analysis.** Likely contents of this section should include but may not be limited to following:

26.1. General trends of performance on various self–sustainment categories with comparison to previous quarter where the performance is critical and needs attention.
26.2. Any contingent or unit or category where performance level is critical should be highlighted with relevant details and trend.

27. **Status of UN Provided Accommodation.** The UN is mandated to provide accommodation to contingents within six months of arrival in the mission area. Inability to provide standard UN field mission accommodation to a contingent within six months results in a financial "penalty" to the UN, as the T/PCCs are reimbursed at both the Tentage and Accommodation SS rates. Any shortfall for providing accommodation under UN responsibility should be clearly indicated.

28. **Status on Reporting on Non-functional and Absent Equipment.** Following the SAG reporting Technical Guidelines, this section consists of a general overview of absent and non-functional equipment. Major cases of absence and non-functionality in respect of category and unit should be highlighted. Any issues related to absent and non-functionality 'beyond the control of T/PCC' should be included here.

29. **Status on Rotation of COE at UN Expense**. A summary of ongoing or pending activities related to rotation of ME at UN expense is to be provided here. Details concerning the ME eligible for rotation at UN expense, and the requests received from contingents with estimated costs for rotation, are to be attached to the report using the template provided in Appendix 1 to this Annex.

30. **Status of Previous CMMRB Recommendations**. The report should reflect an overview of key issues mentioned in the last CMMRB meeting.

31. **Any Other Issues**. The report may include any other major or relevant issues related with COE and MOU management as deemed appropriate to address the mission specific need. This may pertain to ME/SS or other issues such as status of ammunition, personal weapons/kit, NSE, and so on.

G. APPENDIX

32. The Appendix is a sample COE Quarterly Status Report, which is to be used as a guide on how to produce the main body of the Report.

SAMPLE OF A QUARTERLY COE STATUS REPORT

Contents:

A. PURPOSE

1. The purpose of this Report is to present Senior Management with the results of activities related to COE verification and control, for the period 01 July to 30 September 2014, and an analysis of status of COE deployed in the Mission and relevant trends thereof.

2. The analysis includes consideration of data from 6 Key Performance Indicators (KPIs) for COE, covering both the COE/MOU Management Unit's own activities, and contingent and mission performance in meeting the requirements of the Memoranda of Understanding (MOU). The KPIs were established by DOS to set levels of process controls in COE management and enhance visibility of COE capabilities. The KPIs provide uniform, scalable reporting for all missions with COE.

B. COE INSPECTION AND REPORTING ACTIVITIES

3. The COE/MOU Management Unit uses three KPIs to measure its performance in the following areas:

   3.1**. KPI 1: Verification Report Submission Compliance.** The target is 20 days after the end of the reporting period with a tolerance limit of 10 days.

   3.2. **KPI 2: Percentage of Major Equipment items inspected within the reporting period.** The target is 100% inspection of contingent owned Major Equipment Items.

4. Total quantities of the military and police units in the mission, their equipment, and the performance against each KPI are in the table below. Detailed results of performance against KPI 1 and 2 are attached in Annex A.

							KPI1	KPI 2
QTY UNITS	QTY MIL UNITS	QTY POL UNITS	TOTAL INSPECTIONS	TOTAL INSPECTIONS CONDUCTED	TOTAL QTY ME	TOTAL QTY INSPECTED	AVG DAYS SUBMITTED AFTER INSP PERIOD	% ME INSPECTED
23	7	15	23	23	2,646	2578	**43**	**96%**

Figure 1: Summary of Performance on COE Business Process KPIs

5. As per Figure 1, the COE Unit had acceptable performance in meeting the target.

C. CONTINGENT OWNED MAJOR EQUIPMENT PERFORMANCE

6. The following three KPIs are used to monitor formed military/police unit performance in meeting requirements of the MOU:

6.1. **KPI 3: Deployment against MOU.** Total Days Deployed, divided by Days Required on MOU.
6.2. **KPI 4: Serviceability of Deployed Equipment**. Days Deployed less Days Unserviceable, divided by Days Deployed.
6.3. **KPI 5: Capability against MOU.** Serviceable of deployed, divided by days required on the MOU.

7. A summary of the mission-wide performance against the ME KPIs is in the table below. Details for each unit, and performance of each unit concerning specific categories of equipment, are on Annex B. Also available in Annex B is an overview of unserviceability below 90% of MOU requirements, by vehicle and non-vehicle sub-category.

VEHICLES			NON-VEHICLES		
Deployed/MOU	Serviceable/Deployed	Serviceable/MOU	Deployed/MOU	Serviceable/Deployed	Serviceable/MOU
109.%	90.%	97.%	117.%	89.%	104.%

Figure 2: Summary of Contingent Major Equipment Performance

8. Overall performance of formed units during this reporting period was satisfactory in terms of serviceability per MOU requirements. Serviceability rates for deployed equipment were 90% of vehicles, and 89% for non-vehicles. However, since deployment quantity exceeded MOU requirements, overall serviceability was close to 100% in both categories. Key points are as follows:

8.1. There were no significant cases of absence/failure to deploy required equipment items.

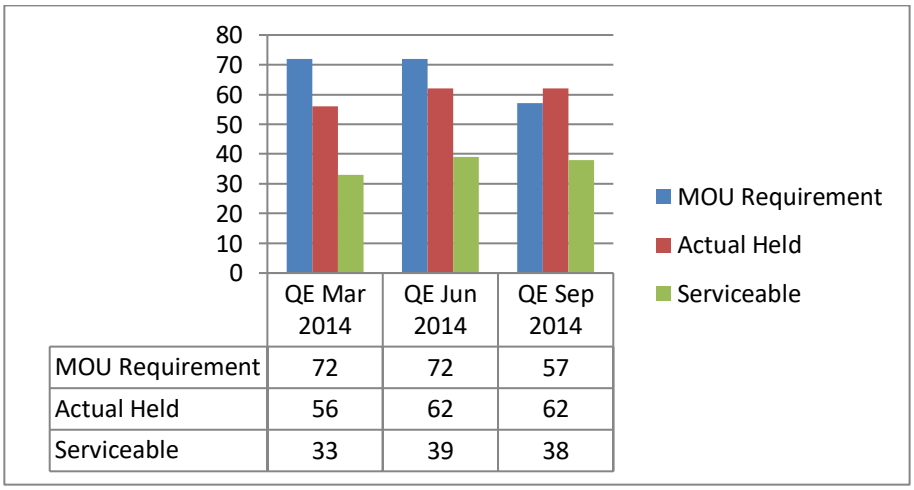
8.2. Vehicle deployment against MOU requirement increased from 101% in the previous quarter to 109% of this quarter. Non- vehicular deployment increased from 102% to 104%.

9. Higher shortfalls in serviceability are reported in the following units:

9.1. **[Sample Unit 1**]: Overall ME serviceability state remained at 84%, while vehicle serviceability state remained at 70%. Unit representatives explain low serviceability as resulting from lack of spare-parts, and that deployment of the required re-supplies from the contingent national supply chain is pending. COE/MOU Management Unit recommends raising the issue to DOS/UNHQ via facsimile.

9.2. **[Sample Unit 2]:** The serviceability of vehicles improved from **52%** in the previous quarter to **83%** in this quarter. This is attributed to the deployment of new vehicles.

9.3. **[Sample Unit 3]:** The serviceability of vehicles showed improvement, from **20%** in the previous quarter to 50% in this quarter. However, this remains critical as 04x APCs, 06X Support vehicles (CP), 13 X Support vehicles (MP) are still found non-functional in this reporting period. According to the information from the [**Contributing Country**] Permanent mission, received through DOS /UNHQ, the contingent national authorities plan to deploy additional vehicles to meet operational requirements. The following graph reflects the trend of vehicle serviceability for [**Contingent**] in Q1, Q2 and Q3 2014:



	QE Mar 2014	QE Jun 2014	QE Sep 2014
MOU Requirement	72	72	57
Actual Held	56	62	62
Serviceable	33	39	38

Figure 3: Vehicle Serviceability for [Sample Unit]

D. CONTINGENT SELF-SUSTAINMENT COMPLIANCE

10. KPI 6 on SS Compliance is used to monitor formed military/police unit performance in meeting requirements of the MOU. Quantity of Self–sustainment categories which meet requirements for reimbursement, against all categories required for contingents in the MOU. The KPI table for SS compliance is attached in Annex C. Key findings are as follows:

10.1. The overall SS performance of all the contingents was satisfactory.
10.2. The category with the highest instances of non-compliance was HF radio, as 16 units out of 29 formed units failed to meet the standard for reimbursement. In most cases this is due to non-use of HF sets as the primary means of communication, not failure to deploy or maintain the required equipment.
10.3. [**Sample Units]** of **[Sample Contingent]** did not meet standards for Electrical because of non-functional/unavailable backup generators. This represents a continued shortfall for 4 consecutive reporting periods.
10.4. [**Sample Unit 4]** does not meet standards for reimbursement in Catering, Minor Engineering, Cleaning, Furniture and Basic Firefighting. For Catering, the unit depends upon a Reefer Container provided by the Mission and demonstrated sub-standard hygienic equipment. The Unit fire extinguishers are found expired, and the unit is not equipped with sufficient minor engineering tools and or cleaning systems.

E. ACCOMMODATION (UN RESPONSIBILITY)

11. Mission wide status of provision of Accommodation to contingent personnel is available in Annex D. Summary is as follows:

QTY UNITS	QTY MIL UNITS	QTY POL UNITS	TOTAL UN RESPONSIBILITY (PAX)	TOTAL IN ACCOM	SHORTFALL (PAX)	%SHORTFALL
23	7	15	1,395	998	397	**20%**

Figure 4: Status of Accommodation

12. **[Sample Unit 5]** has a critical shortfall in terms of Accommodation as only 25% of the personnel are accommodated to standard. The following graph represents the trend of shortfall in accommodation in last four quarters which shows slow improvement.

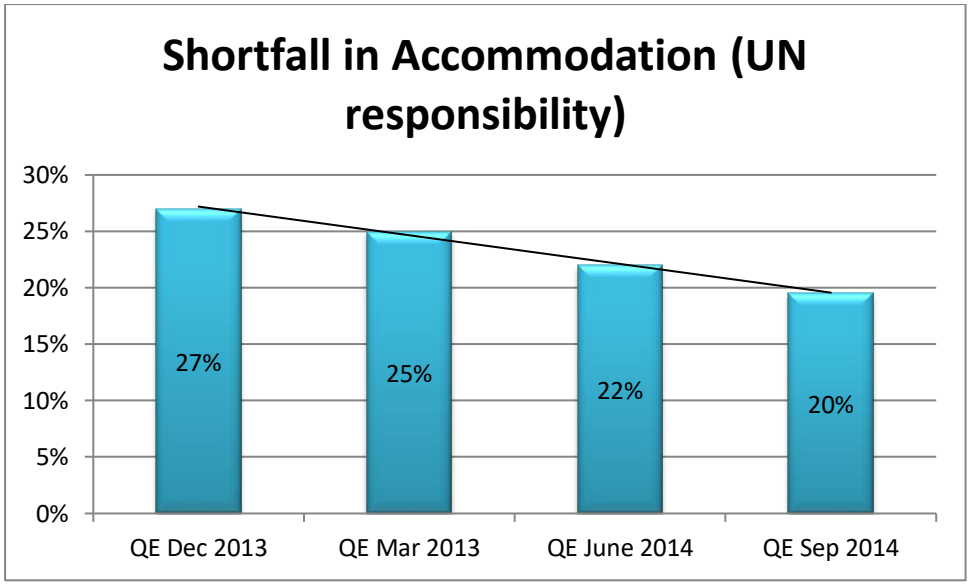


Figure 5: Trend of Shortfall in UN provision of Accommodation

F. NON-FUNCTIONAL AND ABSENT EQUIPMENT

13. Based on the SAG Reporting Technical Guidelines, details concerning the all absent and non-functional equipment for all units and contingents are reported in the VR. The major cases for absent and non-functionality of ME beyond the control of T/PCCs are appended below:

13.1. ME **Absent for Reasons Considered Beyond the Control of T/PCC.** QTY x 02 Truck Utility Cargo of [**Sample Unit 1]** because of forced abandonment because of hostile action during operations.

13.2. ME **Non-functional for Reasons Considered Beyond the Control of T/PCC**. The following items were sustained damage resulting from Hurricane Ana during the period 12-13 June 2014:

- 01 X Forklift of Bangladesh Construction Engineering Company.
- 06 X Jeep and 4x 4 with military radio of Pakistan Infantry Battalion 1.

G. ROTATION OF MAJOR EQUIPMENT AT UN EXPENSE

14. Details of equipment eligible and requested for reimbursement for each unit are available in Annex E. Summary is shown in the figure below:

TYPE OF EQUIPMENT	QUANTITY ELIGIBLE	QUANTITY REQUESED	QUANTITY TO BE REPLACED	ESTIMATED COST (US $)	REMARKS
COMBAT VEHICLES					

ENGINEERING VEHICLES					
SUPPORT VEHICLES (MP)					
SUPPORT VEHICLES (CP)					
OTHER EQPT					
TOTAL					

Figure 2: Rotation of Equipment at UN Expense Status

H. STATUS OF PREVIOUS CMMRB RECOMMENDATIONS

15. The latest on recommendations forwarded from last CMMRB held on 26 July 20xx is as under:

15.1. Recommendation on amendment of MOU for generators of [Sample Unit 2] has not yet been formalized.

15.2. PM of [Contingent] has been approached by FGS to arrange repair of unserviceable APCs held in the mission area. PM apprised that they are ready to rotate QTY x 06 APCs at UN expense.

ANNEXURES (Available separately):

A. Results of KPI on COE Business Process.

B. Results of KPI on ME Performance.

C. Results on KPI on SS Compliance.

D. Status of Accommodation (UN Responsibility).

E. Status of Rotation of ME at UN Expense.