United Nations

Department of Peace Operations (DPO)

Ref. DPO 2022.10

Standard Operating Procedures

Assessment and Evaluation of Formed Police Unit Performance

Approved by:	Jean-Pierre Lacroix, USG DPO
Effective date:	1 January 2023
Contact:	DPO/OROLSI/PD
Review date:	1 January 2025, or as needed

DEPARTMENT OF PEACE OPERATIONS (DPO) STANDARD OPERATING PROCEDURE ON THE ASSESSMENT AND EVALUATION OF FORMED POLICE UNIT PERFORMANCE

Contents:
- A. **Purpose**
- B. **Scope**
- C. **Rationale**
- D. **Principles**
- E. **Procedures**
- F. **Roles and Responsibilities**
- G. **Terms and Definitions**
- H. **References**
- I. **Monitoring and compliance**
- J. **Contact**
- K. **History**

ANNEXURES

A. Assessment and Evaluation Process

B. Performance Assessment and Evaluation Report (PAER)

A. PURPOSE

1. The purpose of this Standard Operating Procedure (SOP) is to standardize the required methodology and format for the Assessment and Evaluation of the Operational Performance of Formed Police Units (FPU). The assessment and evaluations, undertaken utilising the Performance Assessment and Evaluation Report (PAER) methodology, will be carried out by an evaluation team selected by the Head of the Police Component (HoPC). The assessments and evaluation findings and recommendations will be validated periodically by representative(s) of the Department of Peace Operations (DPO) to ensure the performance of FPUs operating in peace operations maintain the required standard or above.

B. SCOPE

2. The contents of this SOP apply to all United Nations FPU contingent personnel serving in United Nations field missions.

3. This SOP is intended for those entrusted with managerial roles over the FPUs and who are responsible for assessing and evaluating the performance of the FPUs in United Nations peace operations.

C. RATIONALE

4. Member States are responsible under General Assembly resolution 49/37 of December 1994 for the pre-deployment training of all military and police personnel provided to UN peace operations. Training should be provided in conformity with UN peace operations training standards. The training standards include core pre-deployment training materials (CPTM) and specialised training materials for police (STM).

5. Prior to deployment, an agreement is reached between the United Nations and the Police Contributing Country through a formal Memorandum of Understanding (MoU) based upon a mission specific 'Statement of Unit Requirements' (SUR) for the given FPU. This agreement clearly outlines the standards necessary to maintain an effective operational capability. Compliance with the SUR, along with undertaking the Mission mandated tasks in accordance with all United Nations requirements, including respective plans and guidance, represents the **Required Standards** of operational performance.

6. The revised DPKO-DFS Policy on Formed Police Units in United Nations Police in Peacekeeping Operations (2016.10) ("FPU Policy") and its subsequent iteration, further articulates the required conduct of FPUs in the field as well as a clear delineation of tasks. This policy also states that FPUs will be subject to regular inspections and the assessment of their operational abilities, including of their logistic capabilities.

7. The operational and logistical ability to perform mission-mandated tasks and the level of their performance by a particular FPU, are subject to continuous assessment, conducted on behalf of the HoPC, by the FPU Coordination Office or by UNHQ, if necessary. These assessments and their reporting are in line with the requirements of Security Council resolution 2436 (2018). Further, the evaluations are subject of discussions in, amongst others, Quarterly Integrated Performance Meetings amongst DPO / DOS / DMSPC senior leadership, form part of DPO T/PCC Knowledge Management System, used in selection and other decisions and PCC feedback meetings as well as Mission-specific Security Council reports. The evaluations are also critical for identifying outstanding performance and shortfalls, including remedial measures.

8. Any observation regarding underperformance or non-compliance with United Nations standards or undeclared caveats must be immediately communicated to the HoPC and Police Division for further review and action, in consultation with mission leadership.

9. This SOP provides detailed guidance on the processes to be followed to assess and evaluate the performance of all deployed FPUs.

D. PRINCIPLES

10. In addition to the regular inspections and evaluations already mandated in the various policies and operating procedures of the United Nations related to FPUs, every FPU deployed in a field mission will be also assessed in accordance with this SOP.

11. During the implementation of this SOP, the assessment and evaluation of the deployed FPUs should be carried out on a quarterly basis by an evaluation team selected by the Head of the Police Component (HoPC) and which remains under the HoPC's overall supervision and control.

12. The in-mission assessment and evaluations will be recorded in a standardised Performance Assessment and Evaluation Report (PAER). In all cases, PAERs are to be

prepared in the English language. In the case of Francophone FPUs, the PAER should additionally be translated in French language.

13. Once the PAER of an FPU is completed and approved by the HoPC, the Evaluation Team Leader should ensure (within no more than one week) the PAER results are entered in the PAER On-Line Survey tool via a link provided by the FPU Coordination Office and distributed to mission leadership.

14. The online database securely stores this information and allows it to be used to inform future decision-making processes at United Nations headquarters.

15. The HoPC is responsible for the recommendations and evaluation made on a PAER which need to be supported by documented evidence.

16. It is therefore essential that these final recommendations contained in the PAER are fully consulted, transparent, fair and documented.

17. The process of documenting the PAER and its submission to PD should normally be completed and aligned with the rotation cycle of the respective FPU and be co-ordinated with the other assessment processes, including the COE Quarterly Verification Inspection.

E. PROCEDURES

18. The Assessment and Evaluation of the Performance of FPUs should be carried out in full compliance with this SOP and other applicable guidance of the United Nations. This should not be supplemented with or substituted in its entirety by the principles, policies, procedures or practices of national authorities or regional organisations.

19. The Formed Police Assessment Team/ Assessment of Operational Capability (FPAT/AOC) process is important for readying the unit for the assessment of performance in the field once deployed. Therefore, it is essential that recommendations from performance assessments undertaken within the purview of this SOP be shared with PCCs so that they can integrate these recommendations into the FPU pre-deployment trainings of future rotations.

20. This SOP details the assessment and evaluation that takes place routinely during each quarter of a regular 12-month deployment (or every 3 months in the event of a deployment of longer duration). Given the relatively short duration (twelve months) of a typical deployment, the overarching principle of this evaluation process is one of continuous improvement to both address any issues for FPUs coming to the Mission in the next rotation as well as to improve overall service delivery.

21. As all operational FPU members are required to be tested on their weapons handling and shooting skills once every six months, the first of such testing should coincide with the second quarterly performance assessment conducted under this SOP. Similarly, HOPCs are to ensure that as far as practicable, quarterly COE inspections also coincide with the quarterly performance assessments conducted under this SOP.

22. Performance shortcomings often first show up during the initial few weeks or months of deployment, hence this initial period provides a key opportunity for HOPCs to address performance gaps and take action. As such, the "First Quarterly Assessment" process should include the development of a Performance Improvement Plan (PIP).

23. To allow for performance improvements, following all subsequent evaluations, the PIP should be updated addressing in detail, areas needing improvement, and which will make up part of the following quarter's assessment.
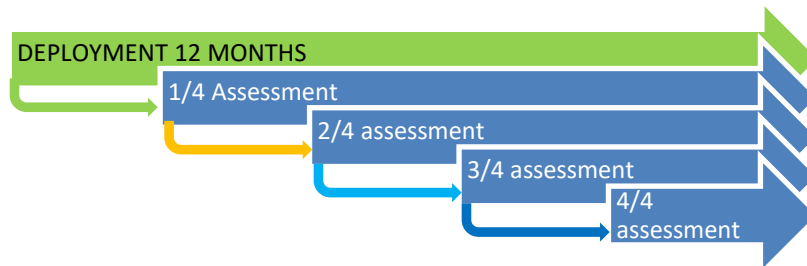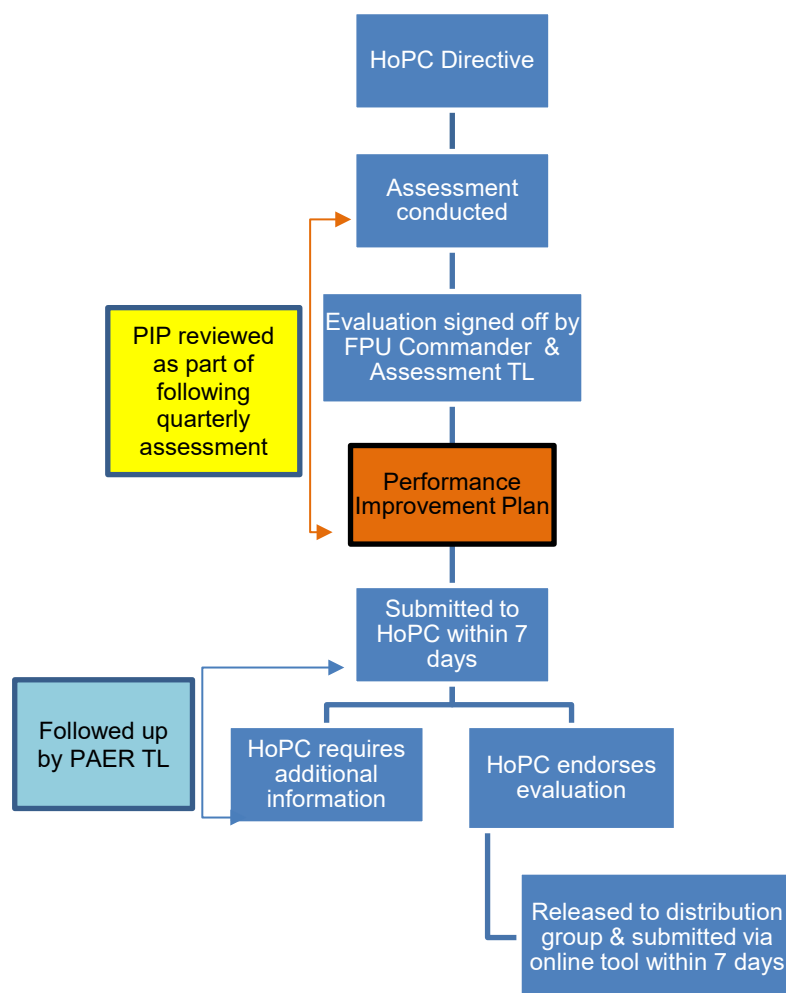

24. The assessments in each of the quarterly performance reports should build on the previous quarter assessment. As such, the final quarter assessment would serve as the End of Mission/ final evaluation of the Unit's performance, including within the context of Para. 46 of the FPAT/AOC SOP 2017.09.

E. 1 Assessment Process

25. The primary consideration for assessing the overall performance of an FPU will be based on the following main areas of: (1) Comprehension and Support of the Mission Mandate, (2) Command & Control, (3) Protection of Civilians (POC), (4) Operational Readiness and Capability; (5) Administration; (6) Sustainment, Logistics and Memorandum of Understanding (MOU) compliance; (7) Training aspects, (8) Conduct and Discipline, (9) Health and Welfare and (10) Commentary.

26. The PAER process described in this SOP offers a framework for conducting a structured, well-coordinated and gender responsive assessment and evaluation of a FPU and proceeds according to the following process:

27. **HoPC Directive**: During the initial Commanders' Meeting, the HoPC will introduce and describe the PAER process, and discuss the scheduling of the assessment visits with FPU commanders. This will take into consideration the different lengths of the various contingent deployments, and the organization/national composition of the different units.

```
                    ┌─────────────────┐
                    │  HoPC Directive │
                    └────────┬────────┘
                             │
                    ┌────────┴────────┐
              ┌────▶│   Assessment    │
              │     │    conducted    │
              │     └────────┬────────┘
              │              │
┌──────────────┐   ┌────────┴────────────┐
│ PIP reviewed │   │ Evaluation signed off by │
│ as part of   │   │ FPU Commander  &    │
│ following    │   │   Assessment TL     │
│ quarterly    │   └────────┬────────────┘
│ assessment   │            │
└──────────────┘   ┌────────┴────────┐
              │    │  Performance    │
              └───▶│ Improvement Plan│
                   └────────┬────────┘
                            │
                   ┌────────┴────────┐
              ┌───▶│  Submitted to   │
              │    │  HoPC within 7  │
              │    │      days       │
              │    └────────┬────────┘
┌──────────────┐     ┌──────┴───────┐
│ Followed up  │  ┌──┴─────┐  ┌─────┴──────┐
│ by PAER TL   │  │ HoPC   │  │ HoPC       │
└──────────────┘  │requires│  │ endorses   │
                  │additional│ │ evaluation │
                  │information│└─────┬──────┘
                  └────────┘        │
                           ┌────────┴────────────┐
                           │ Released to distribution │
                           │ group & submitted via    │
                           │ online tool within 7 days│
                           └──────────────────────────┘
```

28. After this meeting, a schedule of FPU assessment and evaluation cycle is circulated to the FPU concerned.

29. **Assessment Team**: The assessment will be conducted on behalf of the HoPC by the PAER Team. The team may vary in composition and size according to its tasks, however, the HOPC should ensure that the team is proficient in their areas of assessment, has a clear understanding of the evaluation process, utilises standardized evaluation criteria (see para. 32), is unbiased and understands the implications of the ratings it provides. The HoPC defines an appropriate team based on the specific areas requiring evaluation and taking into consideration, gender balance. Depending on the areas being evaluated, the HoPC should include appropriate subject matter expertise, such as gender advisers, personnel specialists, etc. If not available from within the Police Component or the Mission, certified specialists can be obtained from outside elements, including UNHQ, in consultation with PD.

30. Prior to any PAER, the designated team leader will provide the FPU commander with an Evaluation Plan. The Evaluation Plan will consist of the PAER template and a schedule which details any specific activities, areas of interest and key documents that will be used to 'demonstrate' each evaluated criterion. At the same time, the PAER team leader starts the coordination of practical requirements for the visit. The PAER team will follow the

approved evaluation SOP protocol. No changes should be introduced to the evaluation plan unless approved by the HoPC.

31. **Assessment:** the assessment will be conducted as per the schedule outlined in Annex A. The full assessment will take place during the PAER visit, and the initial findings collated, and the evaluation made prior to departure. The evaluation results will be shared with the FPU Commander through a formal briefing and the FPU commander will be given the opportunity to make any comments on the evaluation prior to signing it off.

32. **Evaluation Criteria**

#	Rating	Explanation of Rating
1	**Unsatisfactory**	Performance Significantly Below Required Standards.[1] Displays serious and systemic performance issues[2] in this area. Engagement by mission and UN HQ with unit and PCC required to urgently resolve.
2	**Needs Significant Improvement**	Below Required Standards. Displays at least one systemic performance issue in this area
3	**Needs Improvement**	Meets most minimum standards in this area but has at least one issue requiring improvement to meet required standard/s.
4	**Satisfactory**	Achieves Required Standards. Meets performance expectations in this area and is fully operational on this dimension.
5	**Good**	Meets all required standards in this area and exceeds expectations on at least one area.
6	**Excellent**	Exceeds Performance Standards. Displays good practices and exceed expectations in this area.
7	**Outstanding[3]**	Displays exceptionally good practices and far exceeds expectation in this area Note: A unit that receives 'Outstanding' ratings in multiple / all areas is understood as displaying practices, standards, and outcomes that are exceptional and well above normal unit performance in UN peacekeeping.

1 See para.5 - Compliance with the SUR, along with undertaking the Mission mandated tasks in accordance with all United Nations requirements, including respective plans and guidance, represents the Required Standards of operational performance.
2 Serious & systemic performance issues are shortfalls in one area that have a serious and lasting negative impact and that cannot be resolved ahead of the next evaluation (i.e. within 3 months).
3 "Outstanding" as used here are for quarterly ratings in specific areas. These are distinct from "Outstanding" as used for Unit/s nominated for recognition of Outstanding Performance to the UNHQ, which should be done by the HOPCs in line with Annex 3B, including within the purview of the exclusion criteria stipulated in the DPO Integrated Peacekeeping Performance and Accountability Framework (IPPAF). Any unit rated as extraordinarily high (such as 7 on all dimensions with very positive commentary), could also prompt the mission to ask if the unit would deserve a recognition of Outstanding Performance by the UNHQ.

		A clear explanation should be provided as to how the unit substantially exceeds the performance of most FPUs.

33. As previously mentioned, an FPU is required to maintain a constant state of operational readiness that enables it to deliver its mandated tasks and functions. This 'Required Standard' of operational readiness will be measured through a combination of:

   - Maintaining the standards of the AOC

   - Maintaining the fitness of the COE against the MoU

   - Compliance with the SUR

   - Compliance with all relevant United Nations guidance and training requirements

   - Service delivery of Mission mandated tasks and functions

34. **Performance Improvement Plan (PIP).** In all cases, a Performance Improvement Plan will be agreed between the PAER Team Leader and the FPU Commander. The overarching aim of a PIP is not to be a punitive measure, but rather to assist with bringing the unit to optimal performance.

35. As outlined in Annex 'B', the PIP will be an agreement between the PAER TL and the FPU commander and will:

   - Clearly identify what the issue that needs addressing is

   - Determine what remedial action is required to bring it up to the Required Standard

   - Whose responsibility it is to deliver this action

   - What additional resources can be utilised to support PIP e.g., support from UNPD etc

   - The timeline for having it completed

   - Risks or challenges that may affect its completion, e.g., host state-imposed restrictions

   - How those outstanding matters will be re-assessed

36. **Post Assessment.** The finalized PAER and supplementary PIP will be submitted to the HoPC within 7 days of the visit being conducted. The HoPC will review the report and endorse the findings or return to the PAER TL for additional information.

37. Once the HoPC has signed off the report, it should be disseminated immediately to the following Distribution Group:

   - SRSG

   - D/SRSG

   - Chief of Staff - Police

   - Deputy Chief of Operations - Overall FPU Commander

   - FPU Unit Commander

   - Police Division – DPO UNHQ (through UNPD FPU Coordination Office)

- Member State via Permanent Mission[4] (through UNPD)

38. In the event of significant operational deficiencies, performance failure or operational caveats to resist orders, or if the terms and conditions of a PIP are not met, the HoPC will consult with the Police Division regarding additional actions required to ensure performance improvement. This may include (but not limited to) measures including withholding the reimbursement or repatriation of responsible personnel or the unit.

39. The HoPC endorsed quarterly PAER evaluations and findings that are forwarded to the Police Division at UN HQ should form the basis of the ongoing consultations with PCCs. These reports will be discussed with relevant PCCs to better identify and remedy specific PCC contingent shortfalls.

40. The consolidated PAER (As per Appendix B) sent to PD should:

- Consist of an executive summary of the strengths and weaknesses of the FPU evaluated, focusing on the performance of the progress made from any previous evaluations.

- Evaluate the ability of the FPU to perform the specific capabilities and tasks required in the evaluated entity's Statement of Unit Requirement and the FPU Policy.

- Provide recommendations for the evaluated unit's improvement, or the improvement of replacement units, including a statement of additional resources required from Police Component, Mission Headquarters, PCCs or UN Headquarters. Recommendations for improvement may include actions to address personnel skills and capabilities (including professional and language skills in line with the mission requirements and overall objectives), training, staffing, gender, equipment capabilities, readiness and logistical requirements.

41. **End of Rotation / Final evaluation report (EOR) (see para. 24):** The final quarter performance assessment should serve as the End of Mission / final evaluation of the Unit's performance. In addition, within the HOPCs comments, the EOR should accurately detail the consistency across evaluations, the management of PIPs and note any significant improvements or declines in performance within the rotation cycle.

F. Roles and Responsibilities

42. While the HoPC has the responsibility to ensure that all FPUs are aware of this assessment and evaluation process, its implementation will be overseen by the Officer in Charge of FPU Operations (typically the Deputy Chief Operations/FPU Coordinator), with the appropriate liaison and co-ordination with the FPU Commander and appropriate mission components. As applicable to all other assessment and evaluation processes, the HOPC should ensure that a gender lens is applied holistically throughout the PAER process.

43. The Evaluation Team Leader as designated by the HoPC, will be responsible for conducting the assessment and evaluation of the units.

44. To ensure appropriate impartiality and integrity of the PAER, the exercise will be conducted at least by two officers, nominated by the HoPC. Wherever possible, the

---

[4] A limited number of Integrated T/PCC performance feedback meetings are also held each year to provide feedback to Member States via the Permanent Mission.

Evaluation Team should avoid selecting members from the same country as the FPU being assessed. The evaluation team should familiarise themselves with the last evaluation for the unit prior to conducting any evaluation. In the case of a first quarter evaluation, the Evaluation Team should familiarise themselves with the Assessment of Operational Capability (AOC) of the deployed FPU.

45. The evaluated FPU is responsible for ensuring that any recommendations or PIP requirements for performance improvement provided in the PAER are implemented to the best of its ability, and progress reported to the HoPC through the chain of command, in accordance with this SOP.

46. Travel and subsistence costs for the evaluation team will be covered by the Police Component's budget.

G. TERMS AND DEFINITIONS

Assessment: The process of objectively understanding the state or condition of a thing, by observation and measurement.

Assessment of Operational Capability (AOC): The pre-deployment assessment carried out by Police Division of a prospective FPU to determine suitability for deployment. Assessment includes both operational and administrative/logistical criteria.

Command: The United Nations concept of command corresponds with the notion of Operational Command and denotes the authority to direct, coordinate and control police personnel. Command has a legal status and denotes functional and knowledgeable exercise of police authority to attain police objectives or goals.

Formed Police Unit (FPU): Cohesive mobile police units that provide support to United Nations operations and ensure the safety and security of United Nations personnel and missions, primarily in the area of public order management.

End of Rotation (EOR): The conclusion of the individual FPU deployment.

Evaluation: The process of observing and measuring something for the purpose of judging it and of determining its "value," either by comparison to similar things, or to a pre-determined standard.

Gender Responsive Operation [5] : A gender-responsive approach/planning/operation integrates gender perspectives in analysis (of situations/contexts/dynamics- mapping processes etc); factors all aspects of gender and sex -disaggregated data (women, men, girls, boys, and gender-diverse people, as well as persons with disabilities, older persons, those economically disenfranchised, ethnic, political or religious minorities) and considers how gender shapes, impacts, and

---

[5] Definition courtesy of the DPO Gender Team as it relates to Annex B, Part 3.1 on operations

informs the trends and influences interventions. This also includes the composition and representation of all genders in the actual responsive measures. Gender responsiveness is applicable to everyone, every situation, and every context.

Host State Police (HSP): The police, gendarmerie, customs, immigration, border services and other law enforcement agencies of the host State, as well as their related oversight bodies, such as ministries of the interior and/or justice.

Individual Police Officer (IPO): Police or other law enforcement personnel assigned to serve with the United Nations on secondment by Governments of Member States at the request of the Secretary-General.

Law enforcement officials: All officers of the law, whether appointed or elected, who exercise police powers, especially the powers of arrest or detention. In countries where police powers are exercised by military authorities, whether uniformed or not, or by State security forces, the definition of law enforcement officials should be regarded as including officers of such services.

Operational Control: The authority to perform those functions of command over subordinate police forces involving organizing and employing commands and forces. Operational control includes assigning tasks, designating objectives and giving authoritative direction to all individual personnel, units and sub-units within the police component necessary to accomplish the mission. This may be delegated to the appropriate subordinate level.

Performance Assessment and Evaluation Report (PAER): The mandated document and process used to measure the operational capabilities of a FPU in the field.

Police component: All United Nations police officers in a given mission, i.e., Individual Police Officers (IPOs), Specialised Police Teams (SPTs) and/or Formed Police Units (FPUs).

Public order management: Police actions aimed at facilitating the population's exercise of their fundamental rights without any disturbance or unjustified hindrance and preventing assemblies from threatening or actually harming public safety.

Public safety: Day-to-day security that allows full freedom of movement; virtual absence of crime and disturbances.

Required Standard: The constant state of operational readiness that enables an FPU to deliver their mandated tasks and functions. Measure through a combination of maintaining the standards of the AOC, maintaining the fitness of the COE, maintaining the SUR, compliance with all relevant United Nations Policy, SOP's and training requirements and service delivery of Mission mandated tasks and functions.

Rule of law: Principle of governance in which all persons, institutions and entities, public and private, including the state itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards. It requires, as well, measures to ensure adherence to the principles of supremacy of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency. (Report of the Secretary-General, S/2004/616).

Special operations: Police operations that require specialized skills including explosive ordinance disposal, special weapons and tactics teams (SWAT), small arms and light weapons disarmament and disaster response.

Statement of Unit Requirements (SUR): Details the equipment and logistical provisions required by the FPU to maintain both self-sustainment, and operational readiness while in the field.

Tactical Command: The authority delegated to a commander to assign tasks to forces under his or her command for the accomplishment of the mission assigned by a higher authority.

Tactical Control: The command authority over assigned or attached forces or commands or forces made available for tasking. Tactical control is limited to the detailed, and usually, local direction and control of movements necessary to accomplish the assigned tasks. It may be delegated to and exercised at the level of subordinate sector and/or unit commander.

United Nations Operational Authority: The authority transferred by Member States to the United Nations to use the operational capabilities of their national Formed Police Units to undertake mandated missions and tasks. This includes the full authority to issue operational directives within the limits of (1) a specific mandate of the Security Council; (2) an agreed period of time; and (3) a specific geographic area. This does not include responsibility for some administrative matters, such as pay, allowances and promotions.

United Nations Police (UNPOL): Includes both Headquarters staff in the United Nations Police Division (inclusive of the Standing Police Capacity) and mission staff in United Nations police components in the field.

H. REFERENCES

Normative or superior references

- Report of the High-Level Independent Panel on United Nations Peace Operations, 16 June 2015

- DPKO-DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (2014.01)

- DPKO-DFS Policy on Formed Police Units in United Nations Police in Peacekeeping Operations (2016.10) (under revision)

- DPKO-DFS Policy on Gender Responsive United Nations Peacekeeping Operations (2018.01)

- Security Council Resolutions 2167 (2014), 2185 (2014), 2382 (2017) and 2436 (2018)

- Security Council Resolution 1325 and subsequent resolutions on Women, Peace and Security

- Securing states and societies: strengthening the United Nations comprehensive support to security sector reform, Report of the Secretary-General, A/67/970-S/2013/480

- Secretary-General's bulletin on the Organization of the Department of Peacekeeping Operations, ST/SGB/2010/1, 5 February 2010

- United Nations Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, welcomed by General Assembly resolution 45/121, 18 December 1990

- Code of Conduct for Law Enforcement Officials (General Assembly resolution 34/169, 17 December 1979)

- Manual on Policies and Procedures Concerning the Reimbursement and Control of Contingent-Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (COE Manual)

- Report of the Panel on United Nations Peace Operations ("Brahimi Report"), A/55/305-S/2000/809, 21 August 2000

Related Policies

- DPO/DPPA/DSS Standard Operating Procedure on the Handling of Detention in United Nations Peacekeeping Operations and Special Political Missions (2020.13)

- DPO/DOS Policy on Authority, Command and Control in UN Peace Operations (2019.23)

- DPA/DPKO/DFS Policy on Accountability for conduct and discipline in Field Missions (2015.10)

- DPKO-DFS Guidelines on Police Command in Peacekeeping Operations and Special Political Missions (2015.14)

- DPKO-DFS Guidelines on Police Operations in Peacekeeping Operations and Special Political Missions (2015.15)

- DPKO-DFS Guidelines on Police Capacity-Building and Development, (2015.08)

- DPO Policy on Joint Mission Analysis Centres (JMAC) (2020.06)

- DPO Standard Operating Procedure on the Directives for Heads of Police Components of United Nations Peacekeeping Operations and Special Political Missions (2022.02)

- DPKO/PD Guidelines for Formed Police Units on Assignment with Peace Operations, (2006.00015) (revision forthcoming)

- DPKO-DFS Standard Operating Procedure on Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations, (2017.9), (forthcoming)

- DPO-DOS Standard Operating Procedures on Planning and Conducting Assessment and Advisory Visits (AAVs) (2020.10)

- DPKO-DFS Guidelines for Integrating Gender Perspectives into the Work of United Nations Police in UN Peacekeeping Missions, June 2008

- Directives on Disciplinary Matters Involving Civilian Police Officers and Military Observers, DPKO/CPD/DDCPO/2003/001, DPKO/MD/03/00994

- DPKO-DFS Policy on Internal Evaluations and Inspections of United Nations Police (2012.13)

- United Nations Policy on Integrated Assessment and Planning, 09 April 2013

- DPKO-DFS Standard Operating Procedure on Integrated Reporting from DPKO-Led Field Missions to UNHQ (2012.01)

- United Nations Policy on Human Rights Screening of United Nations Personnel, 2012

- OHCHR/DPKO/DPA/DFS Policy on Human Rights in UN Peace Operations and Political Missions (2011.20)

- DPKO-DFS Guidelines on Improvised Explosive Device (IED) Threat Mitigation in Mission Settings (2016.14)

- DPKO Handbook on United Nations IED Threat Mitigation for Military and Police (2017.18)

- DPKO/DFS Environment Policy for UN Field Missions (2009.6)

- DPKO/DFS Waste Management Policy for UN Field Missions (2015.06)

- DPO Integrated Peacekeeping Performance and Accountability Framework (IPPAF)

- Guidelines UN Strategic Assessment (May 2009)

I. MONITORING AND COMPLIANCE

47. All missions with FPUs should comply with this SOP. The Police Adviser in the Department of Peace Operations should monitor compliance with this document.
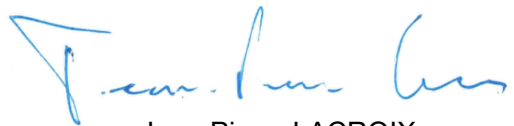
J. CONTACT

48. The contact office for this SOP is the Police Division, Office of Rule of Law and Security Institutions.

K. HISTORY

49. This SOP replaces the DPO/OROLSI/PD Standard Operating Procedure on the Assessment and Evaluation of Formed Police Unit Performance (2019.11) (amended on 31 March 2020). The current iteration of the SOP addresses issues identified following analysis of evaluation reports submitted via the online tool stipulated in the SOP.

APPROVAL SIGNATURE

Jean-Pierre LACROIX
Under-Secretary-General for Peace Operations

Date:

31 December 2022

PAER Process of a Formed Police Unit (FPU)

Timeframe	Action	Responsibility
During AOC	• Awareness to form a baseline for performance assessment	PD
During FPU Commanders Conference During induction briefing	• Presentation of the UNPOL/FPU PAER process evaluation cycle • Presentation of procedures	HOPC FPU Office FPU Commanders
After the FPU Commanders Conference	• schedule of PAER visits agreed	HOPC FPU Office
Before the initial PAER	• FPU Commander's self-assessment	HOPC FPU Office FPU Commanders
Before PAER Visit	• HoPC identifies PAER team composition, Team Leader. Advises FPU office of same	HOPC FPU Office
Before PAER visit	• The HOPC signs the directive for evaluation	HOPC FPU Office
Before the PAER visit/evaluation	• The PAER TL forms Evaluation Plan, requests any documents or other relevant information to considered as part of the PAER.	FPU Office FPU Commander PAER Team
PAER	• During the visit, the Evaluation Team will evaluate and assess the FPU's performance as per standardised UN policies and guidelines.	FPU Commander Evaluation Team
Upon completing the evaluation	• The PAER Evaluation Team Leader briefs the evaluated FPU Commander on the team's preliminary findings	Evaluation Team Leader
One week or less after the evaluation	• The Evaluation Team produces a report • The report is shared with the evaluated FPU	Evaluation Team
One week or less after receipt of the evaluation report	• The Commander of the evaluated FPU shares with the FPU Office its performance improvement implementation plan and any pertinent observation	FPU Commander
Immediately after signing off the PAER and at the end of Each Quarter	• The HOPC provides UNHQ/PD the summarized and consolidated report of FPU evaluations and findings • PAER entered into On-Line Evaluation Tool	HOPC FPU Office Evaluation TL

Performance Assessment and Evaluation Report (PAER) of Formed Police Units (FPUs)

Contact Information

Please enter the contact information for the person completing this evaluation report:

Full Name _____

Position _____

Email Address _____

Please enter the names of all evaluation team members:

Evaluator 1 _____

Evaluator 2 _____

Evaluator 3 _____

Evaluator 4 _____

Evaluator 5 _____

Was this evaluation conducted in-person or in the case of exigent circumstances, remotely / virtually?
☐ In-person
☐ Entirely remotely / virtually (Please explain: _____)
☐ Combination / other (Please explain: _____)

Evaluation Information

Mission
☐ MINUSCA   ☐ UNAMID
☐ MINUSMA   ☐ UNISFA
☐ MONUSCO   ☐ UNMISS

Police Contributing Country (PCC) _____

Rotation Number
Please respond with rotation number.

_____

Unit Name
Please enter name as per Memorandum of Understanding (MOU).

_____

Unit Location(s)

_____

Unit Strength
Please respond with number of personnel in the unit.

Authorized: _____

Actual (Male): _____

Actual (Female): _____

Entry on duty of this rotation

_____

Evaluation Date

_____

Expected end of tour of duty of unit

_____

Rating Scale

#	Rating	Explanation of Rating
1	**Unsatisfactory**	Performance Significantly Below Required Standards[6]. Displays serious and systemic performance issues[7] in this area. Engagement by mission and UN HQ with unit and PCC required to urgently resolve.
2	**Needs Significant Improvement**	Below Required Standards. Displays at least one systemic performance issue in this area.
3	**Needs Improvement**	Meets most minimum expectations in this area but has at least one issue requiring improvement to meet required standard/s.
4	**Satisfactory**	Achieves Required Standards. Meets performance expectations in this area and is fully operational on this dimension.
5	**Good**	Meets all required standards in this area and exceeds expectations on at least one point.
6	**Excellent**	Exceeds Performance Standards. Displays good practices and exceed expectations in this area.
7	**Outstanding[8]**	Displays exceptionally good practices and far exceeds expectation in this area. Note: A unit that receives 'Outstanding' ratings in multiple / all areas is understood as displaying practices, standards, and outcomes that are exceptional and well above normal unit performance in UN peacekeeping. **A clear explanation should be provided as to how the unit substantially exceeds the performance of most FPUs**.

Part 1. Comprehension and support of the Mission mandate

---

6 See SOP para.5 - Compliance with the SUR, along with undertaking the Mission mandated tasks in accordance with all United Nations requirements, including respective plans and guidance, represents the Required Standards of operational performance.

7 Serious & systemic performance issues are shortfalls in one area that have a serious and lasting negative impact and that cannot be resolved ahead of the next evaluation (i.e. within 3 months).

8 "Outstanding" as used here are for quarterly ratings in specific areas. These are distinct from "Outstanding" as used for Unit/s nominated for recognition of Outstanding Performance to the UNHQ, which should be done by the HOPCs in line with Annex 3B, including within the purview of the exclusion criteria stipulated in the DPO Integrated Peacekeeping Performance and Accountability Framework (IPPAF). Any unit rated as extraordinarily high (such as 7 on all dimensions with very positive commentary), could also prompt the mission to ask if the unit would deserve a recognition of Outstanding Performance by the UNHQ.

1.1 To what extent do the FPU members understand the Mission mandate?

Some considerations: (1) Have steps been taken to convey the mandate/situational awareness to unit commanders and officers upon induction to mission area, and to maintain this knowledge (e.g. briefing sessions)? (2) Are pocket memory cards detailing mandate and background to the peace process available with unit commanders and officers? (3) Are unit commanders organising periodic sessions in order to ensure FPU members understand mandated tasks and situational awareness including gender and women, peace and security considerations? (4) Are key mandated tasks translated in languages all FPU members can understand?

☐ **1** Unsatisfactory ☐ **5** Good
☐ **2** Needs Significant Improvement ☐ **6** Excellent
☐ **3** Needs Improvement ☐ **7** Outstanding
☐ **4** Satisfactory

1.2 How willing is the unit to implement the Mission mandate/assigned tasks?

Some considerations: (1) Are tactical plans directly related to the Mission plans? (2) Are units' operational activities formally tasked and recorded? (3) Are these records analysed by unit leadership against mandated tasks?

☐ **1** Unsatisfactory ☐ **5** Good
☐ **2** Needs Significant Improvement ☐ **6** Excellent
☐ **3** Needs Improvement ☐ **7** Outstanding
☐ **4** Satisfactory

1.3 How well do the Officers and the NCOs adhere to the Mission's Directive on the Use of Force (DUF)?

Some considerations: (1) Are pocket memory cards detailing DUF available with all FPU members? (2) Are DUF pocket memory cards translated for FPU members? (3) Are field training exercises organised in order to acquaint FPU members with aspects of the DUF?

☐ **1** Unsatisfactory ☐ **5** Good
☐ **2** Needs Significant Improvement ☐ **6** Excellent
☐ **3** Needs Improvement ☐ **7** Outstanding
☐ **4** Satisfactory

Section 1 Overall: Please enter the overall rating for the section "1: Comprehension and support of the Mission mandate."

☐ **1** Unsatisfactory ☐ **5** Good
☐ **2** Needs Significant Improvement ☐ **6** Excellent
☐ **3** Needs Improvement ☐ **7** Outstanding
☐ **4** Satisfactory

(Optional) **Comments on Section 1**

Please provide any written comments from the evaluation team on Section 1 issues, not written elsewhere in the evaluation.

Part 2. Command & control

2.1 To what extent are orders followed in a timely manner?
Some considerations: (1) Are orders formally recorded? (2) Does the unit display preference for reviewing the orders with national authorities before taking action? (3) To what extent do FPU members show willingness to execute assigned tasks/orders?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

2.2 Are any operational caveats affecting the performance of the unit?
☐ Yes   ☐ No

If Yes: Please explain the caveat(s), its operational restriction and impact(s) and mitigation measures required by the mission and / or UN HQ. Please also describe the action(s) already taken to address the issue with the unit and / or the mission.

2.3 How is the individual involvement of the Command Staff of the unit in its daily operations?
Some considerations: (1) Is information effectively shared across the unit at different levels both vertically and horizontally? (2) Are the internal communication functions adequate to keep the Unit informed of relevant operational, social, and administrative matters? (3) Is the 'Leadership' of the Unit visible/accessible to all members?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Section 2 Overall: Please enter the overall rating for the section "2: Command & control."

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

(Optional) **Comments on Section 2**
Please provide any written comments from the evaluation team on Section 2 issues, not written elsewhere in the evaluation.

Part 3. Protection of Civilians (POC)

3.1 To what extent has the unit engaged regularly with the local population and other relevant actors in its area of operations to understand the threats faced by civilians, including the specific threats faced by women and children?

In evaluating the unit, consider:

(1) The ability of the unit to demonstrate an understanding of the local civilian population and the nature of potential threats and vulnerabilities including gender considerations.

(2) The frequency of meetings held with the community, including the number of meetings with women, youth and different ethnic and religious groups.

(3) Processes for engagement and information sharing on POC threats with local and international organizations where appropriate.

(4) The number of operations carried out to protect civilians which are gender responsive[9].

(5) The number of patrols which included direct engagement with local populations and civilian authorities. Please consider the mission context, gender considerations and operational environment.

(6) Inclusion of information received from civilian components (and community liaison assistants) in threat assessment and response planning.

(7) The use of joint patrols or assessments with other mission components where possible.

(8) The active participation of unit leadership in meetings with civilian and military mission components, sharing of information and participation in joint planning on protection of civilians.

☐ **1** Unsatisfactory   ☐ **5** Good

☐ **2** Needs Significant Improvement   ☐ **6** Excellent

☐ **3** Needs Improvement   ☐ **7** Outstanding

☐ **4** Satisfactory

3.2 To what extent has the unit taken appropriate and proactive measures to prevent and deter potential threats to civilians?

In evaluating the unit, take into account whether:

(1) The unit has adopted a credible deterrent posture.

(2) The unit has ensured a presence in areas under greatest threat to prevent and deter potential threats to civilians.

(3) The unit has engaged with key protection actors and potential perpetrators to address security and protection concerns faced by the civilian population.

(4) Where a potential threat to civilians has been identified, the unit has intensified its activities and taken proactive measures to prevent the threat from materializing, including through increased patrolling and presence in areas under greatest threat, advocacy and key leader engagement, and other confidence-building measures or interaction with government and non-state armed groups.

---

[9] See definition of Gender Responsive Operation in the SOP

(5) The unit has alerted police headquarters and/or civilian components of information related to any increased threat to civilians, including information that could inform civilian-led approaches/actions.

(6) The unit has supported activities by national actors, other mission components or other civilian actors, including communities, to prevent and deter threats to civilians.

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

3.3 To what extent does the unit respond timely and appropriately to threats of violence against civilians which have or are likely to occur in its area of operation?

In evaluating the unit, take into account whether:

(1) Contingency plans to respond to threats to civilians are in place and rehearsed (including through tabletop and other exercises).

(2) At the tactical level, the unit has responded quickly and appropriately to credible alerts of imminent threats of violence against civilians (whether with or without resorting to use of force).

(3) When and where necessary, the unit has demonstrated proactive posture when faced with imminent threats of violence against civilians.

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Section 3 Overall: Please enter the overall rating for the section "3: Protection of Civilians (POC)."

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

(Optional) **Comments on Section 3**

Please provide any written comments from the evaluation team on Section 3 issues, not written elsewhere in the evaluation.

Part 4. Operational readiness and capability

4.1 To what extent is the unit capable to perform mandated tasks in line with the current Mission's operational challenges?

Some considerations: (1) Is there accurate mapping with main concentration of population? (2) Does the mapping capture the hot spots including location of all spoilers and threats in the Area of Responsibility (AoR)? (3) Does the unit have processes and systems to effectively collect and interpret and information, including, as required, sex disaggregated data. (4) Is the unit capable of undertaking and implementing operational assessment and planning, including on gender analysis? (5) Is intelligence being utilised efficiently to inform evidence-based decision making? (6) Has the unit commander deployed appropriate FPU resources to meet operational demands? (7) Does the unit commander have plans for reinforcement if needed? (8) What is the percentage of women peacekeepers participating in the FPU operations?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Please detail elements that led to this rating for Question 4.1:

4.2 How does the unit ensure its "rapid response capability"?

4.3 Does the unit have "additional capabilities" not required as per its Statement of Unit Requirements (SUR)?
If none, please enter "None". If Yes, please explain in detail.

4.4 How does the unit conduct its activities? Is the unit performing as a "solo operator" or is it engaged with "partners" in its daily activities (UN military, allied forces/ and other international organisations, Host State Police)?

4.5 How is the interaction of the unit with the civilian population?
Some considerations: (1) Do activities take place to engage communities, including the women population, both proactively and reactively, that contribute to delivery of mission mandated tasks? (2) Have external relationships been established with local stakeholders, including, as relevant, women leaders and women's civil society organizations that benefit the Unit's operating capability?
Note: All criteria must be considered against the mandated tasking and security limitations (excluding national caveats) of the Unit.

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Please detail elements that led to this rating for Question 4.5, including explanation of any relevant mandated tasking and / or security limitations:

4.6 How is the perception of the local population[10] towards the unit?

4.7 How well is firefighting capability maintained?
Some considerations: (1) Do response plans for fire emergencies exist? (2) Are drills or exercises conducted? (3) Are there dedicated fire wardens/marshals? (4) What is the condition/status of firefighting equipment as per the VR?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Section 4 Overall: Please enter the overall rating for the section "4: Operational readiness and capability."

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

(Optional) **Comments on Section 4**
Please provide any written comments from the evaluation team on Section 4 issues, not written elsewhere in the evaluation.

---

[10] All members of the local population including women, men, girls, boys, and gender-diverse people, as well as persons with disabilities, older persons, those economically disenfranchised, ethnic, political, or religious minorities.

Part 5. Administration

5.1 How well does the unit adhere to UN administrative functions and processes?
Some considerations: (1) Do daily plans and administration of personnel (Duties, Leave Regime) exist? (2) Are logs and registry (weapons & ammo registration, entry-exit log, files, etc.) in place? (3) Are reporting mechanisms (Flash, MOP, DSR, AAR, etc.) established?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

5.2 How efficient is the internal organizational administration of the unit?
Some considerations like: (1) Is there clear lines of the administration for the unit? (2) Do updated contingency plans (like back-ups) exit at the sub-units (at platoon) levels? (for example if a platoon has been asked to detach – what would be the plans for administrative issues?) (3) Is the Unit commander aware of all relevant guidance? (4) Is the unit familiar with the MOU and SUR requirements? (5) Are there good systems for record keeping within the unit?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Section 5 Overall: Please enter the overall rating for the section "5: Administration."

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

(Optional) **Comments on Section 5**
Please provide any written comments from the evaluation team on Section 5 issues, not written elsewhere in the evaluation.

Part 6. Sustainment, Logistic and Memorandum of Understanding (MOU) compliance

6.1 Are there any Contingent Owned Equipment (COE) shortfalls that are adversely impacting the operations of the unit? If so, please describe both the shortfalls and the impact.

If none, please enter "None". If Yes, please explain in detail.

6.2 Is the unit able to sustain itself in line with UN requirements?

Some considerations: (1) What is the status of the unit logistics? (2) Are there sufficient holdings of specialist equipment? (3) What is the standard of training of logistical staff? (4) What is the logistical backup capacity of the unit?

☐ **1** Unsatisfactory   ☐ **5** Good

☐ **2** Needs Significant Improvement   ☐ **6** Excellent

☐ **3** Needs Improvement   ☐ **7** Outstanding

☐ **4** Satisfactory

6.3 Is the Statement of Unit Requirements (SUR) adequate vis-à-vis the operational engagement of the unit?

6.4 Is the Statement of Unit Requirements (SUR) of the unit aligned with the MOU?
If No, please explain in detail.

6.5 Are any of the causes for Contingent Owned Equipment (COE) deficiency beyond the control of the Police Contributing Country (PCC)?
If not, please enter "No". If Yes, please explain in detail. If no COE deficiencies, please enter "Not Applicable".

Section 6 Overall: Please enter the overall rating for the section "6: Sustainment, Logistic and Memorandum of Understanding (MOU) compliance."

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

(Optional) **Comments on Section 6**
Please provide any written comments from the evaluation team on Section 6 issues, not written elsewhere in the evaluation.

Part 7. Training aspects

7.1 Is the UN-specific pre-deployment training requirement sufficiently evident in the performance of the unit/personnel of the FPU?
Some considerations: (1) Of the FPU members, how many can describe the content of UN pre-deployment training? (2) From their perspective, has this pre-deployment training provided the information required to delivering mandated tasks? (3) How well are gender and women, peace and security mandates, including SGBV and CRSV, known by all personnel of the unit?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Please detail elements that led to this rating for Question 7.1:

7.2 Based on the performance of the unit, is the unit's level of specific policing (police techniques and tactics) training sufficient?
Some considerations: (1) Is the unit's policing tactics and techniques compliant with the standards of Strategic Guidance Framework (SGF)? (2) Are the standards established in the Assessment of Operational Capability (AOC) still evident? (3) Does the Unit's preparedness, including its pre-deployment training on police techniques and tactics, support the operational performance? If not, are appropriate steps being taken to address this?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Please detail elements that led to this rating for Question 7.2:

7.3 Has the unit developed and maintained an adequate in-mission training regime (skills maintenance training)?

Some considerations: (1) Is regular training conducted on core FPU skills? (2) Is specialist training regularly done to meet the unit's specific operational role? Is it effectively implemented (e.g. specialist instructors)? (3) Is the training fit for purpose, i.e. does it maintain operational fitness?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Please detail elements that led to this rating for Question 7.3, including details on types of training conducted (e.g. scenario-based, online):

7.4 Has the unit established sufficient force protection measures within its Area of Responsibility (AoR)?

Some considerations: (1) Are FPU command staff aware of threats to their FPU members in the AoR? (2) Are unit commanders able to show plans for protection of their officers and FPU members? (3) Are unit commanders able to explain the protection in place in their facilities? (4) Are FPU members deployed and equipped in line with the plans?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Please detail elements that led to this rating for Question 7.4:

7.5 How well are the UN Conduct and Discipline rules, including on Sexual Exploitation and Abuse (SEA), known by all personnel of the unit?

☐ **1** Unsatisfactory   ☐ **5** Good

☐ **2** Needs Significant Improvement   ☐ **6** Excellent

☐ **3** Needs Improvement   ☐ **7** Outstanding

☐ **4** Satisfactory

Please detail elements that led to this rating for Question 7.5:

Section 7 Overall: Please enter the overall rating for the section "7: Training aspects."

☐ **1** Unsatisfactory   ☐ **5** Good

☐ **2** Needs Significant Improvement   ☐ **6** Excellent

☐ **3** Needs Improvement   ☐ **7** Outstanding

☐ **4** Satisfactory

(Optional) **Comments on Section 7**

Please provide any written comments from the evaluation team on Section 7 issues, not written elsewhere in the evaluation.

Part 8. Conduct and Discipline

8.1 What steps are FPU commanding officers taking to prevent and address misconduct by their subordinates, including to ensure that risks of sexual exploitation and abuse (SEA) are identified and prevented?

Please also explain if there are any steps that FPU commanding officers are not taking, but should be, to prevent and address misconduct by their subordinates (including on SEA risks).

8.2 How is internal discipline and performance management being administered by the Command Staff?

8.3 What are the disciplinary measures being taken by the Commanding Officer(s) in such cases?

(Optional) **Comments on Section 8**
Please provide any written comments from the evaluation team on Section 8 issues, not written elsewhere in the evaluation.

Part 9. Health and welfare

9.1 How is the unit's overall health and fitness?
Some considerations: (1) Does the Level 1 hospital provide a sufficient level of care? (2) What percentage of the personnel are sick and what are the causes? And does the daily rate of personnel not available due to health problems exceed the threshold agreed for the Mission? (3) Are personnel trained in essential first aid? (4) What is the hygiene level of the unit? (5) Are services and facilities gender appropriate?

☐ **1** Unsatisfactory ☐ **5** Good
☐ **2** Needs Significant Improvement ☐ **6** Excellent
☐ **3** Needs Improvement ☐ **7** Outstanding
☐ **4** Satisfactory

9.2 How are the issues of "stress resilience" being handled appropriately by the unit's medical services and command staff?
Some considerations: (1) Are support services in place for staff? (2) Are accommodation/welfare provisions adequate?

☐ **1** Unsatisfactory ☐ **5** Good
☐ **2** Needs Significant Improvement ☐ **6** Excellent
☐ **3** Needs Improvement ☐ **7** Outstanding
☐ **4** Satisfactory

9.3 What measures are in place to minimize illness and sickness of peacekeepers?
Some considerations: (1) Are measures in place to ensure: General camp cleanliness, sanitary conditions, PPE, environmental protection, early warning systems, isolation options, etc. (2) Formal EVAC plan in place? (3) Are measures gender responsive?

9.4 What are the levels of medical awareness and medical prophylaxis in the FPU camp?
Some considerations: (1) Are rates and causes of sickness/illness recorded and reported to the Chief Medical Officer? (2) Are police personnel trained in and aware of the health force protection measures relevant to their area of operations – e.g. prophylaxis for endemic conditions, use of mosquito nets, etc.?

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

Section 9 Overall: Please enter the overall rating for the section "9: Health and Welfare."

☐ **1** Unsatisfactory   ☐ **5** Good
☐ **2** Needs Significant Improvement   ☐ **6** Excellent
☐ **3** Needs Improvement   ☐ **7** Outstanding
☐ **4** Satisfactory

(Optional) **Comments on Section 9**
Please provide any written comments from the evaluation team on Section 9 issues, not written elsewhere in the evaluation.

Part 10. Commentary

10.1 Executive summary of key issues, if any, hampering the unit's capability to implement the Mission mandate and assigned routine tasks, including shortfalls in support provided by the UN?
If none, please enter "None". If issues exist, please explain in detail.

10.2 Major findings or shortfalls in the evaluated unit (details to cover personnel strength / operations / conduct and discipline / logistics / communications)?
Required. Please explain in detail.

10.3 Observed good practices of the unit?
Required. Please explain in detail.

10.4 Please explain any changes in the unit's performance and evaluation since the last evaluation for this unit:
The evaluation team should familiarize themselves with the last evaluation for the unit prior to conducting this evaluation. Please explain any areas where the unit's evaluated rating increased or decreased, with specific discussion of what factors led to the new rating and implementation of PIP activities.

(Optional) **10.5 Other observations by evaluation team**

Part 11. Performance Improvement Plan

11.1 Prior to this assessment, was a Performance Improvement Plan (PIP) in place for this unit?
□ Yes   □ No

11.2 <u>If No</u>, please explain why no PIP was put in place. Note they are mandatory for each unit following the evaluation.

11.3 <u>If Yes</u>, was the Performance Improvement Plan (PIP) completed or is it within the timeframe indicated in the PIP?
□ Yes   □ No

11.4 If answered Yes to 11.1 (was a PIP in place), please comment on progress
Please also indicate the date when the PIP was put in place. If no Performance Improvement Plan (PIP) was in place, please enter "Not Applicable".

11.5 Please provide the unit's new Performance Improvement Plan (PIP), developed after this evaluation:

Please enter the plan in plain text in the space below. Please note that the PIP should be signed by both the PAER Team Leader and by the FPU Commander. Please use the following format for each action:

Section:
Area(s) requiring improvement:
Action required:
Person responsible for completion:
Date to be completed by:

DECLASSIFIED

11.6 Does the Performance Improvement Plan cover issues that are expected to require more than one evaluation cycle (3 months) to be resolved and / or require action by UN HQ?
☐ Yes   ☐ No

If answered Yes to 11.6, please comment on the issues
Please also indicate the recurrent/ residual issues, whether they are endemic to the unit and what actions are required. If no issues, please enter "Not Applicable".

PAER Team Leader Endorsement

This evaluation has been endorsed by the PAER Team Leader for submission to UN headquarters:

Signature _____

Full Name _____

Position _____

Endorsement date _____

FPU Commander Comments & Signature

Comments by FPU Commander :

This evaluation has been reviewed by the FPU Commander before submission to Head of Police Component / Police Commissioner:

Signature _____

Full Name _____

Position _____

Endorsement date _____

Head of Police Component / Police Commissioner Comments & Endorsement

Comments by HOPC / PC, including on unit strengths, weaknesses, areas for improvement, and recommendations for UN headquarters attention:

This evaluation has been endorsed by the Head of Police Component / Police Commissioner for submission to UN headquarters:

Signature _____

Full Name _____

Position _____

Endorsement date _____

[This page has been deliberately left blank]