

United Nations
Department of Peace Operations
OROLSI – Police Division
Ref. 2019.11 (Amended)



Standard Operating Procedure

Assessment and Evaluation of Formed Police Unit Performance

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Effective date: 3 May 2019
Contact: Police Division - Selection & Recruitment Section- FPU
Coordination Office
Review date: 3 May 2021

**DPO/OROLSI/PD Standard Operating Procedure on the Assessment and Evaluation
of Formed Police Unit Performance (Operational)**

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A. PURPOSE

1. The purpose of this Standard Operating Procedure (SOP) is to set out the required methodology and format for the Assessment and Evaluation of the Operational Performance of Formed Police Units (FPU). It will be carried out 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. The Performance Assessment and Evaluation Report (PAER) will be the method used.
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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.
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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 shall 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). 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. The SUR, along with the Mission mandated tasks and compliance with all United Nations requirements, represents the **Required Standard** of operational performance.
 5. The revised FPU Policy (Ref 2016.10) 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.
 6. 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.
 7. 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.
 8. This SOP provides detailed guidance on the processes to be followed to assess and evaluate the performance of all deployed FPUs.
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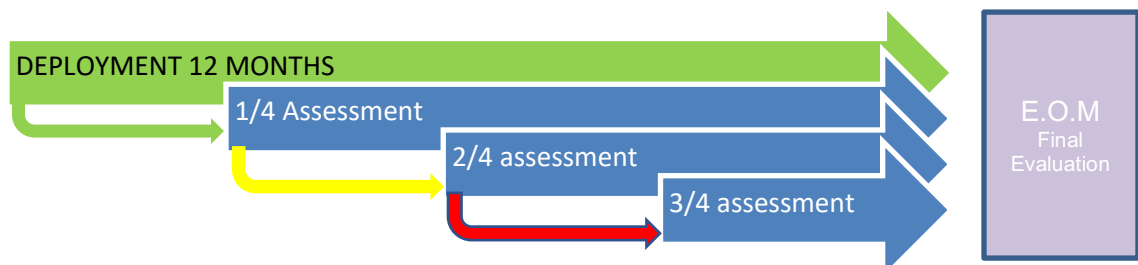
D. PRINCIPLES

9. 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 upon arrival to a field mission will be also assessed in accordance with this SOP.
 10. During the implementation of this SOP, the assessment and evaluation of the deployed FPUs shall 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. The assessment and evaluation will be recorded in a standardised Performance Assessment and Evaluation Report (PAER).
 11. Once the PAER of an FPU is completed and approved by the HoPC, the Evaluation Team Leader shall 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.
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12. The online database securely stores this information and allows it to be used to inform future decision-making processes at United Nations headquarters.
13. The HoPC is responsible for the recommendations and evaluation made on a PAER which need to be supported by documented evidence.
14. It is therefore essential that these final recommendations contained in the PAER are fully consulted, transparent, fair and documented.
15. The process of completing 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.

E. PROCEDURES

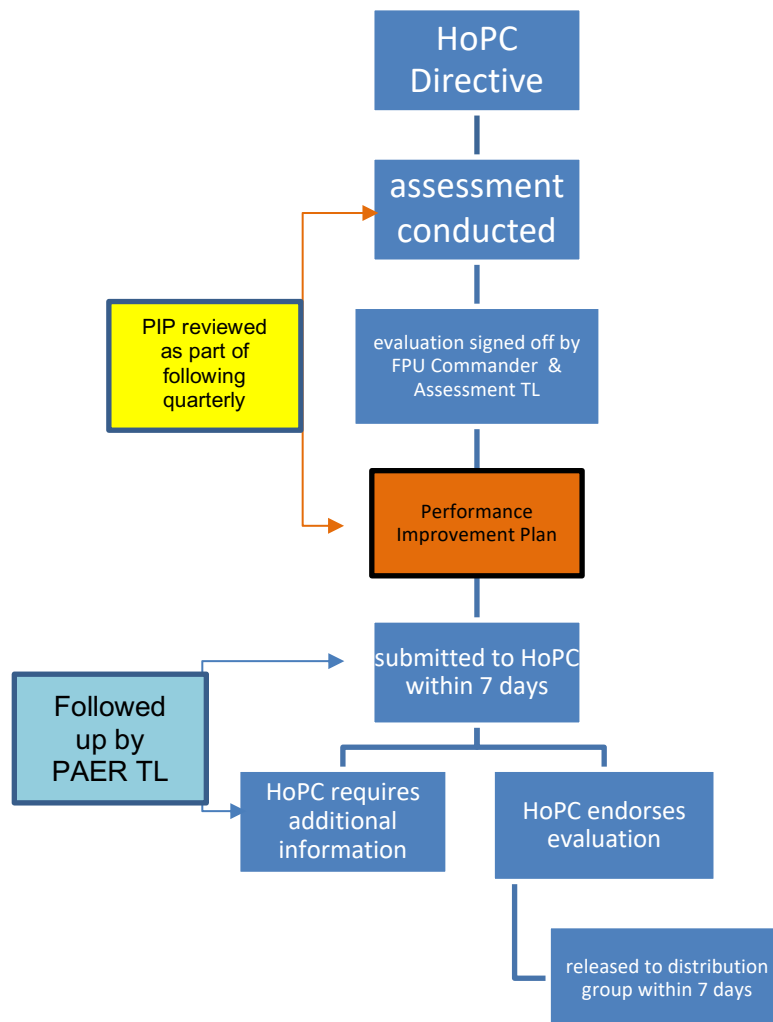
16. The Assessment and Evaluation of the Performance of FPUs shall be carried out in full compliance with this SOP and other applicable guidance of the United Nations. This should not be supplemented with or substituted in its entirety by the principles, policies, procedures or practices of national authorities or regional organisations.
17. The Assessment of Operational Capability (AOC) of the deployed FPU will act as the initial evaluation for the purpose of establishing a baseline for assessing overall performance. Therefore, it is essential to integrate this SOP into all FPU pre-deployment training.
18. 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) or at the HoPC's discretion. 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 addressing any issues for FPUs coming to the Mission in the next rotation as well as to improve overall service delivery.
19. To allow for performance improvements, following all evaluations, a Performance Improvement Plan (PIP) will be developed addressing in detail, areas needing improvement and which will make up part of the following quarter's assessment.



20. The accumulation of the quarterly performance reports will determine the overall End of Mission final evaluation of the Unit's performance.

E. 1 Assessment Process

21. 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 Mission Mandate, (2) Command & Control, (3) Protection of Civilian, (4) Operational Readiness Capability; (5) Administration; (6) Sustainment, Logistics and Memorandum of Understanding (MOU) compliance; (7) Training Aspects, (8) Conduct & Discipline, (9) Health & Welfare and (10) Other Pertinent Issues.
22. The PAER process described in this SOP offers a framework for conducting a structured, well-coordinated assessment and evaluation of a FPU and proceeds according to the following process:
23. **HoPC Directive:** During the initial Commanders' Meeting, the HoPC will introduce and describe the PAER process and discusses 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. The HoPC may choose to conduct the evaluations in coordination/synchronization with the COE Quarterly Verification Inspection.



24. After this meeting, a schedule of FPU assessment and evaluation cycle is circulated to the FPU concerned.
25. **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. The HoPC defines an appropriate team based on the specific areas requiring evaluation. 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.
26. 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.
27. **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.

28. Evaluation Criteria

4	Excellent - Exceeds the Required Standard	The majority of measured criteria exceed functional or compliance requirements enabling the unit to maintain high level operational capability
3	Satisfactory - Meets the Required Standard	The majority of measured criteria are fully functional or compliant with requirements enabling the unit to maintain a good operational capability
2	Needs Improvement - Not yet at Required Standard	Parts of measured criteria are minimally functional or compliant with requirements, compromising the unit's ability to maintain the required operational capability
1	Unsatisfactory - Significantly below Required Standard	The majority of measured criteria are minimally or not fully functional or compliant with requirements causing the unit to maintain an insufficient operational capability

As previously mentioned, an FPU is required to maintain a constant state of operational readiness that enables them to deliver their 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
- Maintaining the SUR
- Compliance with all relevant United Nations Policy, SOP's and training requirements
- Service delivery of Mission mandated tasks and functions

29. 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.

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. SRS, SPDS, SPC etc
- The time line for having it completed
- Risks or challenges that may affect its completion, e.g. host state imposes restrictions
- How those outstanding matters will be re-assessed

30. 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.

Once the HoPC has signed off the report, it shall 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 SRS FPU Coordination Office)
- Member State via Permanent Mission

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 in regard to additional actions required to ensure

performance improvement. This may include (but not limited to) punitive measures including withholding the reimbursement or repatriation of responsible personnel or the unit.

31. 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.

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.

32. **End of Rotation report (EOR):** The final quarterly report for a unit should encompass the overall performance for the duration of their deployment. It should accurately detail the consistency across evaluations and note any significant improvements or declines in performance.

It should identify how PIPs were managed. The EOR report should follow the same methodology of submission and dissemination.

F. Roles and Responsibilities

33. 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.
34. The Evaluation Team Leader as designated by the HoPC, will be responsible for conducting the assessment and evaluation of the units.
35. 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 Evaluation Team should avoid selecting members from the same country as the FPU being assessed.

36. 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.
37. 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

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 official: 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 shall 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, Ref. 2014.01, 1 February 2014
- DPKO-DFS Policy on Formed Police Units in United Nations Police in Peacekeeping Operations, Ref. 2016.10, 1 January 2017
- Security Council Resolutions 2167 (2014), 2185 (2014) and 2382 (2017)
- 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
- Report of the Secretary-General on United Nations police, A/66/615, 15 December 2011
- 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

- DPKO-DFS Interim Standard Operating Procedures on Detention in United Nations Peace Operations, 25 January 2010, currently under revision
- DPKO-DFS Guidelines on Improvised Explosive Device (IED) Threat Mitigation in Mission Settings, Ref. 2016.14
- DPKO-DFS Guidelines on Police Command in Peacekeeping Operations and Special Political Missions, Ref. 2015.14, 1 January 2016
- DPKO-DFS Guidelines on Police Operations Command in Peacekeeping Operations and Special Political Missions, Ref. 2015.15, 1 January 2016
- DPKO-DFS Guidelines on Police Capacity-Building and Development, Ref. 2015.08, 1 April 2015
- DPKO-DFS Guidelines on Joint Mission Analysis Centres (JMAC), Ref. 2015.04, 01 March 2015
- DPKO-DFS Policy on Joint Mission Analysis Centres (JMAC), Ref. 2015.03, 01 March 2015
- DPKO/PD/2006/00122 Directive for Heads of Police Components of Peacekeeping Operations, 21 November 2006
- DPKO/PD/2006/00015 Guidelines for Formed Police Units on Assignment with Peace Operations, Ref. DPKO/PD/2006/00015, 08 May 2006
- DPKO-DFS Standard Operating Procedure on Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations, Ref. 2017.9, date April 2017.
- 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, Ref. 2012.13, 01 October 2012
- United Nations Policy on Integrated Assessment and Planning, 09 April 2013

UNCLASSIFIED

- DPKO-DFS Standard Operating Procedure on Integrated Reporting from DPKO-Led Field Missions to UNHQ, Ref. 2012.01, 01 April 2012
- 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, Ref. 2011.20, 01 September 2011
- DPKO-DFS Standard Operating Procedure on Integrated Reporting from DPKO-Led Field Missions to UNHQ, Ref. 2012.01, 01 April 2012
- 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, Ref. 2011.20, 01 September 2011
- Guidelines UN Strategic Assessment (May 2009)

I. MONITORING AND COMPLIANCE

38. All missions with FPU shall comply with this SOP. The Police Adviser in the Department of Peace Operations shall monitor compliance with this document.
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J. CONTACT

39. The contact office for this SOP is the FPU Coordination Office of the Selection and Recruitment Section, Police Division, Office of Rule of Law and Security Institutions.
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K. HISTORY

40. This is the first version of this SOP. The SOP was amended on 31 March 2020 to reflect the adjustment that all units receive Performance Improvement Plans (PIPs) going forward (as result of the USG DPO's exchange with Member States in December 2019). Relevant updates were made to paragraphs 19, 23 (figure), 29, 30, 32 and Annex. C.
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APPROVAL SIGNATURE:



DATE OF APPROVAL: MAY 03 2019

Annex A**PAER Process of a Formed Police Unit (FPU)**

Timeframe	Action	Responsibility
During AOC	<ul style="list-style-type: none"> Awareness to form a baseline for performance assessment 	PD
During FPU Commanders Conference During induction briefing	<ul style="list-style-type: none"> Presentation of the UNPOL/FPU PAER process evaluation cycle Presentation of procedures 	HOPC FPU Office FPU Commanders
After the FPU Commanders Conference	<ul style="list-style-type: none"> schedule of PAER visits agreed 	HOPC FPU Office
Before the initial PAER	<ul style="list-style-type: none"> FPU Commander's self-assessment 	HOPC FPU Office FPU Commanders
Before PAER Visit	<ul style="list-style-type: none"> HoPC identifies PAER team composition, Team Leader. Advises FPU office of same 	HOPC FPU Office
Before PAER visit	<ul style="list-style-type: none"> The HOPC signs the directive for evaluation 	HOPC FPU Office
Before the PAER visit/evaluation	<ul style="list-style-type: none"> The PAER TL forms Evaluation Plan, requests any documents or other relevant information to be considered as part of the PAER. 	FPU Office FPU Commander PAER Team
PAER	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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

Annex B

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

Mission	Unit Assessed	Evaluation Date
		(...../...../.....)
Evaluation Team		

This checklist is a generic sample developed for the evaluation of an FPU.

Values are (Unsatisfactory) 1 – 2 – 3 – 4 (Excellent)

Assessment Quarter	Current PIP	PIP completed or within time frames
1 – 2 – 3 – 4	Y / N	Y / N
Overall Evaluation	1 – 2	3 – 4
	PIP required	

Executive Summary by Evaluation Team:

Overall Performance: *includes measuring against previous assessments and implementation of any PIP activities*

Areas of Strength:**Areas for Improvement & Recommendations:****Comments by FPU Commander:**

PAER Team Leader	FPU Unit Commander

Comments of HOPC/PC

Date	Signature

Assessment of Performance

Unit Strength	Authorised:	Actual:
Gender	Male	Female

Assess each criterion and then make a cumulative evaluation for each Section

NOTE: When entering results into the on-line survey tool an individual rating of 1 to 4 will be required for some specific questions; these are marked in the PAER as (R) for your information. Questions not marked with (R) will require written comments (but not a rating of 1 to 4) to be entered into the on-line survey tool.

Section 1: Comprehension and support of the Mission mandate	score
<p>1.1 To what extent do the FPU members understand the Mission mandate? (R)</p> <p><i>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? (4) Are key mandated tasks translated in languages all FPU members can understand?</i></p>	1 – 2 – 3 – 4
<p>1.2 How willing is the unit to implement the Mission mandate/assigned tasks? (R)</p> <p><i>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?</i></p>	
<p>1.3 How well do the Officers and the NCOs adhere to the Mission's Directive on the Use of Force (DUF)? (R)</p> <p><i>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?</i></p>	

<p>1.4 Other relevant matters affecting performance</p>	
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Section 2: Command & Control	score
<p>2.1 To what extent are orders followed in a timely manner? (R) <i>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?</i></p> <p>2.2 To what extent are any operational caveats affecting the performance of the unit? (R)</p> <p>2.3 How is the individual involvement of the Command Staff of the unit in its daily operations? (R) <i>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?</i></p> <p>2.4 Other relevant matters affecting performance</p>	<p>1 – 2 – 3 – 4</p>

Section 3: Protection of Civilians (POC)	score
<p>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? (R)</p> <p><i>In evaluating the unit, take into account:</i></p> <ul style="list-style-type: none"> (1) The ability of the unit to demonstrate an understanding of the local civilian population and the nature of potential threats and vulnerabilities (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 patrols which included direct engagement with local populations and civilian authorities (5) Inclusion of information received from civilian components (and community liaison assistants) in threat assessment and response planning (6) The use of joint patrols or assessments with other mission components where possible (7) The active participation of unit leadership in meetings with civilian and military mission components, sharing of information and participation in joint planning on protection <p>3.2 To what extent has the unit taken appropriate and proactive measures to prevent and deter potential threats to civilians? (R)</p> <p><i>In evaluating the unit, take into account whether:</i></p> <ul style="list-style-type: none"> (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 (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 	<p>1 – 2 – 3 – 4</p>

<p>3.3 To what extent does the unit respond quickly and appropriately to threats of violence against civilians which have or are likely to occur in its area of operation? (R)</p> <p><i>In evaluating the unit, take into account whether:</i></p> <p><i>(1) Contingency plans to respond to threats to civilians are in place and rehearsed (including through table top and other exercises)</i></p> <p><i>(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)</i></p> <p><i>(3) When and where necessary, the unit has demonstrated proactive posture when faced with imminent threats of violence against civilians.</i></p> <p>3.4 Other relevant matters affecting performance</p>	
<p>Section 4: Operational readiness and capability</p>	<p>score</p>
<p>4.1 To what extent is the unit capable to perform mandated tasks in line with the current Mission’s operational challenges? (R)</p> <p><i>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 information? (4) Is intelligence being utilised efficiently to inform evidence-based decision making? (5) Has the unit commander deployed appropriate FPU resources to meet operational demands? (6) Does the unit commander have plans for reinforcement if needed?</i></p> <p>4.2 How does the unit ensure its “rapid response capability”?</p>	<p>1 – 2 – 3 – 4</p>

4.8 Other relevant matters affecting performance	
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<u>Section 5: Administration</u>	score
<p>5.1 How well does the unit adhere to UN administrative functions and processes? (R)</p> <p><i>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? (4) Do updated contingency plans and records exist?</i></p> <p>5.2 Other relevant matters affecting performance</p>	1 – 2 – 3 – 4

<u>Section 6: Sustainment, Logistics and Memorandum of Understanding (MOU) compliance</u>	score
<p>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.</p> <p>If Yes, please explain in detail.</p>	1 – 2 – 3 – 4

<p>6.2 Is the unit able to sustain itself in line with UN requirements? (R) <i>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 planning capacity of the unit?</i></p> <p>6.3 Is the Statement of Unit Requirements (SUR) adequate vis-à-vis the operational engagement of the unit?</p> <p>6.4 Are any of the causes for Contingent Owned Equipment (COE) deficiency beyond the control of the Police Contributing Country (PCC)? If Yes, please explain in detail.</p> <p>6.5 Other relevant matters affecting performance</p>	
<p><u>Section 7: Training Aspects</u></p>	<p>score</p>
<p>7.1 Is the UN-specific pre-deployment training requirement sufficiently evident in the performance of the unit/personnel of the FPU? (R) <i>Some considerations: (1) Of the FPU members, how many are able to 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?</i></p>	<p>1 – 2 – 3 – 4</p>

7.2 Based on the performance of the unit, is the unit's level of specific policing (police techniques and tactics) training sufficient? (R)

Some considerations: (1) Is the unit compliant with the Strategic Guidance Framework (SGF) to a high degree? (2) Are the standards established in the Assessment of Operational Capability (AOC) still evident? (3) Does the content of the pre-deployment training align with the required tasks and operating environment? If not, are appropriate steps being taken to address this?

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

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? include details on types of training conducted (e.g. scenario-based, online, etc.):

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

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?

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? (R)

7.5 Other relevant matters affecting performance	
<u>Section 8: Conduct and Discipline</u>	score
<p>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?</p> <p><i>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).</i></p> <p>8.2 How is internal discipline and performance management being administered by the Command Staff?</p> <p>8.3 What are the disciplinary measures being taken by the Commanding Officer(s) in such cases?</p> <p>8.4 Other relevant matters affecting performance</p>	<p><i>[No score assigned for this section – provide written comments only]</i></p>

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Section 9: Health and Welfare	score
<p>9.1 How is the unit's overall health and fitness? (R) <i>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?</i></p> <p>9.2 How are the issues of “stress resilience” being handled by the unit’s medical services? (R) <i>Some considerations: (1) Are support services in place for staff? (2) Are accommodation/welfare provisions adequate?</i></p> <p>9.3 What measures are in place to minimize illness and sickness of peacekeepers? <i>Some considerations: (1) Are measures in place to ensure: General camp cleanliness, sanitary conditions, environmental protection, early warning systems, isolation options, etc. (2) Formal EVAC plan in place? (3) Are measures gender appropriate?</i></p>	1 – 2 – 3 – 4

<p>9.4 What are the levels of medical awareness and medical prophylaxis in the FPU camp? (R)</p> <p><i>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.?</i></p>	
<p>9.5 Other relevant matters affecting performance</p>	

Section 10: Other pertinent issues	score
<p>10.1 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?</p> <p>If issues exist, please explain in detail.</p>	<p><i>[No score assigned for this section – provide written comments only]</i></p>
<p>10.5 Other relevant matters affecting performance</p>	

Total Score	
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EVALUATION MARK <u>(total score divided by 8)</u>	
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Performance Improvement Plan – FPU PAER

Annex C

A PIP is required to address any/or all of the 10 assessed Sections of the PAER. Both the PAER Team Leader and the FPU Commander will agree on the course of action to address the identified area prior to the PAER being considered completed

Mission	FPU Unit	Assessment Date	Evaluation Score	PAER Sections requiring action
		/ /	1 – 2 – 3 – 4	1 – 2 – 3 – 4 – 5 – 6 – 7 – 8 – 9 – 10

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

PAER Team Leader / /

FPU Commander / /
