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Standard Operating Procedure

Planning and Conducting Assessment and Advisory Visits (AAVs)

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DPO - DOS STANDARD OPERATING PROCEDURE ON PLANNING AND CONDUCTING ASSESSMENT AND ADVISORY VISITS (AAV)

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A. PURPOSE AND RATIONALE

1. The purpose of this Standard Operating Procedure (SOP) is to provide detailed procedures for planning and conducting Assessment and Advisory Visits (AAVs) to Troop/Police Contributing Countries (T/PCCs) in accordance with the United Nations Manual for Generation and Deployment of Military and Police Units to Peacekeeping Operations.

2. AAVs are visits planned and executed to facilitate the planning and decision-making process of UNHQ and a Member State. AAVs are aimed at gaining an accurate picture of the preparedness and readiness of pledged units, the ability of the T/PCC to generate, deploy and sustain a potential contribution, to enable more timely deployment of suitable capabilities to peacekeeping operations, and to provide T/PCCs information required for their efforts in preparing its capabilities for a future contribution.

3. AAVs are conducted early in the Force and Police Generation process. Following a positive outcome of the AAV the level of readiness of a registered pledge in the Peacekeeping Capability Readiness System (PCRS) is increased. AAVs are required for capabilities to be elevated from level 1 to level 2 of the PCRS.

4.	Two types of AAVs are conducted: strategic and mission specific AAVs. Strategic AAVs are part of the strategic force generation and capability planning efforts of the Secretariat by assessing pledges that will likely be needed in the mid- to long-term on a proactive, forward-looking and sustained basis, and pledges of critical capabilities that are high in demand and short in supply. Mission specific AAVs are part of the regular force generation process and assess a pledge under consideration for deployment to a specific mission, which results in clearer understanding of the unit's potential ability to meet mission specific requirements. Both types of AAVs are essential to provide a detailed understanding of the pledge when it is under consideration for selection for deployment.

5.	Strategic AAVs are always required for a unit to be elevated in the PCRS. Mission-specific AAVs, however, might be skipped (i.e., move straight to Pre-deployment Visit (PDV)) in cases of urgency for deployment, and based on the experience of the T/PCC with UN contributions, and its performance record. In such exceptional cases, the Secretariat must have a high degree of confidence in the accuracy of the information provided by the T/PCC for the pledged unit. Such confidence can be based on previous experiences in deploying the T/PCC. Mission-specific AAVs cannot be skipped for specialized capabilities, including aviation units (fixed or rotary wing), medical units (level II and III hospitals) and Formed Police Units with specialized capacities.

6.	For Member States, AAVs provide guidance on UN requirements, standards, regulations and procedures. AAVs further advise Member States contributing a new capability to UN peacekeeping on how to meet these requirements (operational, logistics, personnel) and ensure compliance with UN policies and regulations. AAVs should also enable the Member State to initiate and complete (where feasible) possible procurement of critical equipment items not yet available, address gaps in training, human rights screening and accountability structures. In addition, AAVs can help the T/PCC focus on the preparations and readiness of personnel and equipment for deployment. They can further serve the following objectives:

6.1.	For new and emerging contributors: to advise on specific UN operational requirements, policies and procedures, and conduct an initial assessment of envisaged capabilities for future use in peacekeeping operations, identifying existing gaps so solutions on how to address these shortfalls may be suggested.

6.2.	For experienced T/PCCs: to provide updates on existing requirements, new standards, processes, rules and regulations.

## B.	SCOPE

7.	This SOP provides details on the planning, execution and reporting of AAVs and complements information provided in the United Nations Manual for Generation and Deployment of Military and Police Units to Peacekeeping Operations. All personnel involved with planning and conduct of AAVs need to comply with this SOP. Adjustments in this process may be required, depending on the nature of the military/police contribution being assessed.

C.   PROCEDURES

8.   **AAVs in the context of the force generation and deployment process.** AAVs are an integral part of the deployment process. The process described below is a schematic overview of the process. Not all units that receive an AAV will be deployed. The generation and deployment processes of military and police units to peacekeeping operations are fully described in the United Nations Manual for Generation and Deployment of Military and Police Units to Peacekeeping Operations, but can be briefly summarized to include the following steps / activities[1]:

8.1.   Formal pledge by T/PCCs is registered in the PCRS and accepted at Level 1.

8.2.   Decision to conduct an AAV and, following a successful AAV, the recommendation to elevate the unit to PCRS Level 2.

8.3.   Conduct of the selection process for the generation and deployment of military/police units.

8.4.   Invitation for deployment to a specific peacekeeping operation.

8.5.   Response from T/PCC.

8.6.   Initial acceptance of the offer by DPO.

8.7.   Conduct of Reconnaissance Visit by the T/PCC.

8.8.   Conduct of Memorandum of Understanding (MOU) and/or Letter of Assist (LOA) negotiations.

8.9.   Conduct of Pre-Deployment Visit (including Assessment of Operational Capability (AOC) of Formed Police Units (FPUs)) and final acceptance of the offer by DPO.

8.10.   Confirmation by the T/PCC of its readiness for deployment (equipment, personnel and training) and provision of cargo-load/passenger lists.

8.11.   Finalizing the MOU and/or LOA (ideally done prior to deployment).

8.12.   Shipment of Contingent Owned Equipment (COE) and subsequent deployment of contingent personnel.

9.   **Decision to conduct an AAV**

9.1.   Resource constraints (budget, personnel to conduct AAVs or T/PCC availability) requires prioritization of AAVs as part of the Secretariat's strategic engagement plan. An annual AAV strategic overview to prioritize AAVs will be submitted to the Military and the Police Adviser with a suggestion of targeted capabilities, T/PCCs and units to be assessed. The Strategic Force Generation and Capability Planning Cell (SFGC) will lead on strategic AAVs, FGS on mission specific AAVs and Police Division (PD) on AAVs for FPUs. AAV plans will be revised on a quarterly basis to reflect the Uniformed Capabilities Requirements Paper. Some of the criteria to be used in this decision are:

- Field missions' immediate and mid-term operational requirements, as listed in the Uniformed Capability Requirements Paper;

- Enhancing capabilities that are underrepresented in the PCRS;

- T/PCC's historical operational and equipment performance record and known

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[1] The sequence is indicative and might slightly be altered depending on the availability of resources and parallel activities conducted with other T/PCCs.

and established capacities;

- T/PCC's record on compliance with international humanitarian and human rights law, zero tolerance on sexual exploitation and abuse, and compliance with the Policy on Human Rights Screening of UN personnel;
- Language skills;
- Level of female participation in the unit;
- Supporting and advising a new or emerging T/PCC;
- Capability needed for broadening the overall base of participation, including the need for geographical diversity.

9.2. Depending on the type of AAV, the SFGC, FGS, or the Police Division Selection and Recruitment Section (SRS) will initiate contact with the T/PCC to verify its readiness, suitability, and willingness to receive an AAV. Determinants of measuring unit suitability can be the equipment available, approximately 40% for a strategic AAV, and 70% for a mission specific AAV, as well as the Member States, stated intention to deploy the unit into peacekeeping operations within two years. These criteria could be waived if the intent of the AAV is to advise an emerging T/PCC. Once a pledged capability, is found suitable for assessment and advisory visit, the SFGC/FGS/SRS will work with the requisite UN Technical Experts, and T/PCC to operationalize the visit.

9.3. Where the envisaged/offered contribution is military, the necessary documents for travel authorization, such as ToRs, shall be drafted by the SFGC or OMA/Force Generation Service (FGS), pending the nature of the AAV, in consultation with relevant UNHQ actors (e.g. other OMA Services/Teams, DOS-Uniformed Capability Support Division (UCSD), DOS-Logistics Division (LD)-Movement Control (MOVCON), DOS-LD-Air Transport Service (ATS), DOS-Aviation Safety, DOS-LD/Engineering Section (Eng Sec), DOS-Office of Information and Communications Technology (OICT), DOS-Division of Healthcare Management and Occupational Safety and Health (DHMOSH), DOS-Office of the Under-Secretary-General (OUSG)-Environment Section (EnvS), Conduct and Discipline Service (CDS) in the Department for Management Strategy, Policy and Compliance (DMSPC) and Policy, Evaluation and Training Division-Integrated Training Services (DPET-ITS) and, when required, the field mission. In case of police contributions, the drafting shall be done by SRS in consultation with appropriate partners, as stated above.

9.4. **AAV funding, costs and participation**: Approval from the UN Military Adviser (MILAD) is required for mission specific AAVs for military units and from the UN Police Adviser (POLAD) for formed police units. For strategic AAVs, approval is required from the Co-Chairs of the SFGC. In addition to the approval of the AAV to take place, financial approval is required from the office that holds the budget authority of the funds to be used.

9.5. The determination of participants in an AAV and its duration shall be made on a case-by-case basis depending on the capabilities that have been offered and available resources. For military units, DPO-OMA-FGS or the SFGC should lead the AAV team depending on the deployment intent of the unit (mission specific AAVs or strategic AAVs), while PD-SRS shall lead AAVs of FPUs. Ideally, at least one UNHQ member of the team should have participated in a previous AAV.

- The AAV team leader shall be responsible for all coordination related to the visit, to inform all relevant offices that the AAV is taking place, as well as to

communicate relevant findings of the visit internally. The AAV team leader is also responsible to make sure all participants are familiar and understand the purpose of the AAV, its process and their responsibilities.

- For reasons of economy, the numbers of travellers should be limited by assigning multiple functions to appropriately qualified participants. The AAV may include representatives from any Secretariat's entities as appropriate based on the type of contribution and characteristics of the T/PCC.

- To facilitate AAV follow-up coordination with the T/PCC, it is beneficial that the MILAD/POLAD or other competent representative of the respective Permanent Mission be able to attend the AAV under their own financial arrangements.

- If requested by the Member State hosting the AAV, a representative of a third-party (Member State(s), Regional Organizations or private entity) may be present as an observer during the AAV. It is required that this is communicated in advance to the AAV Team leader for planning purposes.

9.6. The Office of the United Nations High Commissioner for Human Rights (OHCHR) may join the AAV to assess human rights standards and records of the T/PCCs or meet with the AAV team to provide briefings and sensitize the T/PCC on human rights and screening requirements. In the event that OHCHR has a field presence in the country, this presence can participate in the AAV and/or liaise with the AAV team and assist as required, in coordination with OHCHR Headquarters. In case OHCHR cannot join the AAV, it could develop a tailored human rights checklist for the specific T/PCCs, in addition to the generic human rights checklist in Annex C. The tasking and time allocated for the AAV is not suitable to conduct a comprehensive human rights assessment. It will, however, clearly be an opportunity to articulate what is required from the T/PCC in terms of human rights issues, including screening, and conduct.

10. **Pre-AAV activities**

10.1. Initial contact between the interested Member States and the UN is done through the respective Permanent Mission to the UN in New York. The T/PCC MILAD/POLAD or appropriate staff of the Permanent Mission will be invited by the SFGC-SRS or OMA-FGS, depending on the type of AAV, to a series of pre-AAV meetings.

10.2. Ideally, at least two pre-AAV meetings with the PM representative, unit commander, and any other key stakeholder in the host country should occur prior to the AAV. The meetings, preferably conducted by video-teleconference, will discuss the AAV programme in stages. The initial meeting determines the Member State/unit readiness, setting mutually agreeable dates, expectations and documentation required from and distributed to the unit. The second meeting discusses administrative arrangements for the visit, the programme for the AAV Team, which should ensure that adequate time is allocated to capabilities exercises, viewing of the equipment, peacekeeping centres, logistic depots and appropriate meetings with leadership. The parties will also discuss technical requirements, specific expectations and the required documents needed for the AAV team.

10.3. The TCC should provide information and documentation related to the existing national structure/organization to manage contributions to UN peacekeeping operations; political process to make deployment decisions; available COE (Major Equipment and Self-Sustainment) and the provision of detailed equipment tables with

photos, sequencing the display of the COE by the Statement of Unit Requirement (SUR) when possible; personnel selection process and any other issues that require better understanding. UN specialists will be able to clarify requirements and expectations during pre-AAV meetings, in particular for specialized capabilities including the need for demonstration exercises of these capabilities (e.g. medical, aviation and engineering).

10.4. An important area to be observed are the training requirements. During this stage, the contributing country is requested to provide as much information as possible, to allow the AAV team to provide a well-customised advice during the limited time of the AAV. The T/PCC is requested to provide summaries of the following to enable ongoing dialogue:

- An overview of the country's military training system and of any standard organisational training.

- Specific training program/modules on Conduct and discipline, international humanitarian and human rights law, and Sexual Exploitation and Abuse.

- Existing/planned UN pre-deployment training (PDT) structure, program, facilities and experience.

- An overview of the command structure responsible for decisions to direct and resource pre-deployment training, and training centres likely to be involved.

10.5. The duration of an AAV will vary based on the type and number of units to be assessed and the location of these units within the country. When feasible, the T/PCC should be requested to make efforts to bring to a single location all items to be verified to avoid lengthy internal movements. If internal travel is required, the T/PCC is responsible for transportation. The team leader shall ensure the most effective use of the available time in the contributing country. When more than one contributing country in the same geographical region requires AAVs, the visit team should conduct back-to-back visits, if practicable.

10.6. A draft schedule and programme shall be agreed upon between UNHQ and the T/PCC before the visit. It is recommended to include the following in the schedule/ programme:

- Interaction with and briefings of concerned Ministries/ Headquarters involved in the decision-making, preparation and deployment process.

- Interaction with and briefings to key staff members of the unit that are likely to be deployed/earmarked for deployment.

- Visit to the training facility, if possible.

- Capabilities exercise and demonstration of generic tasks based on the UN Military Manuals or SUR the unit is using for preparation.

- Visit to the equipment storage/demonstration/exercise facility.

10.7. After the meeting, the materials discussed as well as general and technical information are sent to the T/PCC in the AAV package. This information package includes, but is not limited to, the following: AAV SOP, UN Military Manuals, COE

Manual, Force Generation Manual, technical checklists, general PCRS documents, training packets & web-links, and relevant Policies, Guidance's and SOPs.

10.8. A follow up video-teleconference should be scheduled for a week later to answer questions from the T/PCC on the AAV packet and to resolve any outstanding issues.

PRE-ASSESSMENT AND ADVISORY VISIT TIMELINE

MEMBER STATES ENGAGEMENT
AAV Preparation

AAV OVERVIEW	REFERENCE GUIDENCE DOCUMENTS AAV SOP.PCRS website resources & sharedrive
FOUR MONTHS	ENGAGE MS MILAD/POLAD FOR OVERVIEW Rough Dates • Units • UN Tech Experts sought
TWO MONTHS	LIAISON WITH MS MILAD/POLAD TBC: Dates & UN Experts -Faxes/NV exchanged
FOUR WEEKS	1ST MEETING MILAD/POLAD & CAPITAL Expectations. Mjr. Equip. Tables &AAV Packet
TWO WEEKS	SECOND PRE-AAV MEETING Schedule • Hotels Recom• Internal travel
ONE WEEK	FINAL PRE-AAV COMMUNICATIONS AAV Team Hotel &flight details sent to T/PCC

11. **Activities during the AAVs**

11.1. Advisory**:** AAV team members should be prepared to discuss and advise the relevant authorities on wide-ranging issues related to UN peacekeeping operations. Importantly, the team members must be competent to assess the capability and readiness of the T/PCC and proficient in giving sound and unambiguous advice on important UN policies, procedures, regulations and guidelines. In providing advice, team members are expected to take the initiative in directly contacting relevant services in DPO-DOS/other Secretariat entities at appropriate levels.

11.2. Detailed and focused advice on the particular capabilities pledged should be a priority. The team should be prepared to brief national officials and key military / police personnel on overall aspects of UN Peacekeeping operations and mission-specific operational and logistics requirements and deployment timings (if contributions are foreseen for a specific UN peacekeeping operation). Presentations, if requested by the Member State, may include:

- UN Military and Police Planning Process, from mandate to mission's specific documents, including SURs.

- UN Force and Police generation process.

- Briefings on UN policies, procedures, regulations and guidelines (e.g. Military and Police Manuals, Command and Control, Code and Conduct, Sexual Exploitation and Abuse (SEA), Policy on Human Rights Screening of UN Personnel, Policy on Accountability for Conduct and Discipline in Field Missions, Policy on Human Rights in UN Peacekeeping Operations and Political Missions, Human Rights Due Diligence Policy on UN support to Non-UN Security Forces (HRDDP), Logistics and Environmental Policies, etc.).

- Pre-deployment training requirements and material.

- Vetting, screening and certification processes.

- Peacekeeping financial requirements, including reimbursement and COE methodology, including MOU/LOA negotiation procedures and COE verification and timings.

- All categories of self-sustainment and self-sufficiency (Mission hazards, welfare requirements, water, food and fuel supply, National re-supply of consumables).

- Standards and Requirements of specialized units: medical facilities and staffs, engineering units, aviation and aviation safety requirements for example.

11.3. Assessment**:** Assessment must be descriptive, comprehensive and practical as far as possible. It should be based on all elements contributing to specific capabilities and readiness, including personnel, organization, leadership, accountability mechanisms, training, equipment, logistics and sustainment. National variations in procedures and techniques in achieving the desired outcome should be accommodated as far as practicable.

11.4. The composition of the personnel assessed at the AAV is likely to change from the time of the visit to the time of the actual deployment. As such, the focus should be on the existing personnel processes and structures so the level of readiness of the troops can be predicted. The AAV team should assess the overall capability and readiness of the T/PCC to create, arrange, deploy and replace fully trained, human rights and

international humanitarian law compliant, adequately equipped (major and self-sustainment equipment) and homogeneous units when needed.

11.5. If not already known, the team should inquire with key national personnel on the potential length of the national decision-making process for the contributing country once asked to deploy, including any political considerations/national requirement that could delay deployment.

11.6. If required by ITS, the team should assess the training infrastructure, training capacity (availability of experienced trainers) and training curriculum to gain a better understanding of the T/PCC's capability to train soldiers/police officers in the knowledge and skill sets required for peacekeeping, including UN-specific pre-deployment training requirements, in a reasonable timeframe and on a continuous basis.

11.7. The team should also assess the linguistic abilities and make an effort to assess the functional competencies of key staff members in the case of logistics enablers, like aviation units, engineer units or medical units.

11.8. Similarly, the team should also make an objective assessment of whether an adequate amount of COE is available at the time of assessment or ability of the T/PCC to collect, procure or deploy such equipment within a reasonable timeframe. It is not necessary for the T/PCC to show all COE required as per its generic SUR. However, the T/PCC should be able to display all critical equipment (for training purposes and eventual deployment). The attached Check List for COE (Annex E) will be the guiding document for the team's assessment. The team should identify and discuss key issues with the T/PCC about non-standard COE items or possible "in lieu of" equipment.

11.9. The team should also obtain information on the capacity of the T/PCC to comply with UN policies, procedures and guidelines as per each technical area to be assessed. that will subsequently be analysed by relevant HQ offices. This work should be part of the overall assessment of a Member State's deployment capability.

11.10. During the AAV, the team should work with the Member State to assess their ability and willingness to contribute with sufficient, female personnel in line with the Secretariat's gender targets.

11.11. The team should also work with the Member State to assess their ability and willingness to deploy with environmental responsibility in mind, in line with mandates to reduce each mission's environmental footprint, including their knowledge and understanding of environmental policies and related environment strategy for peacekeeping operations. Detailed issues arising during the visit, proposals and jointly recommended solutions should be recorded for the purposes of compiling the summary report. Recommendations in the overall assessment should be objective and independent. The follow-on actions must be done in consultation with the Member State. Recommendations should be based on all elements contributing to specific capabilities, including personnel, training, organization, leadership, accountability mechanisms, equipment, logistics and sustainment.

11.12. During the AAV, if participating, the MOVCON specialist should brief the Member State on the UN and International rules and regulations on the transportation for the contingent's deployment, general concept of strategic movements for troops and cargo, verify COE staging area, Air/Sea port of embarkation and explain on: possible options for deployment; differences between LOA and UN arrangements for deployment; modes of transportation, deployment phases and timelines; and T/PCC's

responsibility on preparation and packing of the cargo, custom clearance, supporting documents and other required actions.

12. **T/PCC activities during the AAV:** The team leader should work with the T/PCC to ensure the following activities take place during the AAV:

12.1. T/PCCs should demonstrate, the political will and seriousness to engage in peacekeeping operations, an existing backbone structure to generate, deploy and sustain its contribution in a future deployment and the unit's tangible capabilities and readiness, including but not limited to, personnel, training infrastructure (including training/operational demonstrations and mandatory UN specific pre-deployment training). This should include the means to sustain this effect over subsequent rotations. During an AAV, the T/PCC should also demonstrate critical COE (Major Equipment and Self-Sustainment) and the supply/support arrangements for sustainability.

12.2. Display and demonstrate all major equipment available for the unit under consideration, procurement plans for equipment not available and provide the equipment list submitted prior to the AAV, complete with associated minor equipment including tools and manuals.

12.3. Provide documentation with detailed characteristics of the major equipment items/special case items and photographs where possible.

12.4. Display and demonstrate items in each applicable self-sustainment category and items for self-sufficiency, including water treatment and storage

12.5. Display and demonstrate the means by which the unit's deployment will strive to reduce its environmental footprint (including pre-deployment training, awareness raising for behavioural change, adherence to UN (global and mission-specific) guidance on water, wastewater, energy and solid waste and environmental performance and risk management.

12.6. Organize, if agreed in the program, a visit to the Peacekeeping Training Centre or the Training Centre responsible for designing and delivering pre-deployment training programme to the deploying unit and brief on the infrastructure, availability of experienced trainers, recent UN certifications, training of trainers and training programme. If a training centre visit is not possible, consultation with key training planners is advised in lieu.

12.7. Demonstrate training and operational preparedness; provide training curricula, including on United Nations policies and standards of conduct, including on international humanitarian and human rights law, sexual exploitation and abuse, human rights screening, human rights due diligence policy.

12.8. Demonstrate the language proficiency of unit commanders and any designated specialist personnel and sustainability across each rotation.

12.9. For Formed Police Units, demonstrate requirements as identified in the SOP on Assessment of Operational Capability of Formed Police Units for Service in United Nations Peacekeeping Operations and Special Political Missions (2017.09).

12.10. Provide the organizational structure of units, including a breakdown of personnel employment types and trades.

12.11. Provide proof of professional qualifications and certification of medical, aviation and other specialized personnel where applicable, in line with relevant UN standards.

12.12. Ensure in the safety and security of visit participants and provide a detailed itinerary.

12.13. Coordinate and provide in-country ground and air transport as well as other administrative support necessary to facilitate the visit.

13. **AAV Report**

13.1. The visit should be concluded with a wrap-up meeting to summarize and agree on the findings and recommendations with the Member State. A brief summary should be generated, shared and discussed with all visit participants and other relevant UNHQ entities that contributed to the preparations. The brief summary should include the overall assessment, key findings, any capability gaps, and recommendations to overcome any issues identified. It should also summarize issues that need to be discussed and resolved at UNHQ and Permanent Mission (PM)-level. A copy of the summary shall be shared with the Member State.

13.2. The detailed assessment should be recorded in a comprehensive report as per template in Annex M. The report should present a holistic assessment of the capability offered and the Member State's capacity to manage contributions to the UN. It should identify capability and readiness gaps, if any, and provide recommendations. The detailed report can serve as the basis to expand on any unresolved issues arising from the visit.

13.3. This report should include a clear recommendation on whether the T/PCC should be elevated to Level 2 of the PCRS or requires additional assistance/preparation time to meet UN requirements before reaching PCRS Level 2. In line with the guidelines on the PCRS (2019.01), the Secretariat determines elevation to Level 2 of the PCRS. In general, if the unit has over 90% of its critical equipment on hand or the ability and detailed plans to procure, inventory and train on the minor amount of missing equipment within 60 days elevation to Level 2 could be recommended. Elevation to Level 2 should not be recommended if the AAV team finds any critical shortfalls in training (facilities, curriculum or personnel), ability to sustain personnel rotations, or conduct and discipline preparation and procedures.

13.4. Member States should provide all requisite material needed for the report within 5 working days of the conclusion of the visit. Subject Matter Specialists should also submit their Technical Report to the Team Leader 5 working days upon receiving any needed information from T/PCC. The Team Leader should compile the AAV report within 10 working days after having received all required inputs from technical experts and the T/PCC and submit it for OMA or PD approval in order to then facilitate the UNHQ planning and decision-making process. A sample layout of the AAV report is attached in Annex M.

D.   ROLES AND RESPONSIBILITIES

14. SFGC

- Coordinate and lead the strategic AAVs related to military capabilities and all the associated work described in this SOP.
- Prepare and coordinate an annual strategic engagement plan for AAVs.
- Coordinate the extra budgetary funding mechanism for the strategic AAVs.
- Prepares the Strategic AAV report as submits it for approval.

15. FGS

- Provide military experts to participate in AAVs, when required.
- Coordinate and lead the mission specific AAVs related to military capabilities and all the associated work described in this SOP.
- Contributes to the AAV report, if part of the Strategic AAV and as required.
- Prepares the mission specific AAV report as submits it for approval.

16. SRS

- Lead and coordinate the AAVs related to police capabilities and all the associated work described in this SOP.
- Provide police experts to participate in AAVs when required.
- Prepares the Strategic and mission specific AAV report as submits it for approval.

17. UCSD

- Provide respective subject matter experts to participate in AAVs when required and support the coordination process for participation of other DOS entities.
- Contributes to the AAV report, if part of the AAV and as required.

18. Other Secretariat entities

- Provide respective subject matter experts to participate in AAVs when required.
- Contribute to the AAV report, if part of the AAV and as required.

19. Field Missions

- Provide experts to participate in mission specific AAVs when required.
- Coordinate the funding mechanism for the mission specific AAVs, if part of the AAV and as required.

20. T/PCC

- Submit all required information to pledge in the PCRS.
- Communicate readiness and availability to receive the UN AAV Team.
- Organize all activities described in this SOP before and during the conduct of the AAV.
- Nominate a liaison officer for the AAV process.
- Contribute to the AAV report by supplying all required information and commenting, as necessary.

E. TERMS AND DEFINITIONS

PCRS   The Peacekeeping Capability Readiness System, administered by the SFGC in DPO, registers and maintains capability pledges for UN Peacekeeping. It aims to establish a predictable, efficient and dynamic process of interaction between the UNHQ and T/PCCs for ensuring readiness and timely deployment of quality peacekeeping capabilities.

AAV   Assessment and Advisory Visit: A visit planned and executed to facilitate the

planning and decision-making process of UNHQ and a Member State. It is aimed at gaining an accurate picture of the preparedness and readiness of pledged units, so as to enable more timely deployment of suitable capabilities to peacekeeping operations.

COE   Contingent-Owned equipment: Major equipment, minor equipment and consumables deployed and operated by a contingent in the performance of peacekeeping operations.

Major   Major equipment consists of items directly related to the unit mission as mutually
Equipment   determined by the United Nations and the troop/police contributor. Major equipment can be provided by a troop/police contributor under either a wet lease or a dry lease arrangement.

Self-   A logistics support concept for a unit in a peacekeeping mission whereby the
Sustainment   contributing State provides some specific, or all, logistics support to the contingent on a reimbursable basis.

PDV   Pre-deployment visit: A step of the Force / Police Generation process consisting of a visit to contributing country to verify if the major equipment and the self-sustainment capabilities to be deployed are in accordance with the MOU, if the pre-deployment training is being conducted or has been completed, and if the unit can meet the operational, logistics and readiness requirements detailed in the SUR and MOU respectively.

F.   REFERENCES

F.1   Normative and Superior References

- Financial Regulations and Rules of the UN, ST/SGB/2013/4 dated 1 July 2013, and as supplemented/updated.
- United Nations Contingent-Owned Equipment (COE) Manual, (currently A/72/288) dated 04 August 2017, or as updated.
- ST/SGB/1999/13 - Secretary-General's Bulletin on the Observance by United Nations Forces of International Humanitarian Law, (6 August 1999).
- ST/SGB/2003/13 - Special Measures for the Protection from Sexual Exploitation and Sexual Abuse.
- United Nations Security Council Resolution 2272 (2016) – Prevention Sexual Exploitation and Abuse (11 March 2016).
- DPKO 2009.17 - United Nations Policy on Mainstreaming the Protection, Rights and Well-being of Children Affected by Armed Conflict within United Nations Peacekeeping Operations (1 June 2009).
- A/67/775–S/2013/110 - United Nations Human Rights Due Diligence Policy on United Nations Support to non-United Nations Security Forces (5 March 2013).
- OHCHR-DPKO-DPA-DFS 2011.20 - United Nations Policy on Human Rights in UN Peacekeeping Operations and Special Political Missions (1 September 2011).
- UN 2012.18 - United Nations Policy on Human Rights Screening of United Nations Personnel (11 December 2012).

- UN-DPA-DPKO-DFS 2015.10 - United Nations Policy on Accountability for Conduct and Discipline in Field Missions (1 August 2015).

- DPKO-DFS 2015.16 - United Nations Policy on Operational Readiness Assurance and Performance Improvement (1 January 2016).

- DPKO-DFS 2016.08 – United Nations Guidelines Operational Readiness Preparation for Troop Contributing Countries in Peacekeeping Missions (1 January 2017).

- DPKO-DFS 2016.10 – United Nations Policy (revised) on Formed Police Units in United Nations Peacekeeping Operations (1 January 2017).

- DPO-DOS 2019.23 - United Nations Policy on Authority Command and Control 25 October 2019.

- DPKO-DFS 2009.06 - United Nations Environmental Policy for UN Field Missions.

- DPKO-DFS 2018.14 - United Nations Waste Management Policy for UN Field Missions.

F.2   **Related DPO Guidance**

- DPKO-DFS 2017.01 - United Nations Policy on Force Generation/ Police Recruitment Visits (1 June 2017).

- DPKO-DFS 2017.03 - United Nations Standard Operating Procedure on Contributing Country Reconnaissance Visits (1 June 2017).

- DPKO-DFS 2017.04 - United Nations Standard Operating Procedure on Planning and Implementing Pre-Deployment Visits (1 June 2017).

- United Nations Generic Guidelines for Troop Contributing Countries Deploying Military Units to the UN Peacekeeping Missions dated 2008.

- DPKO-DFS 2011.01 - United Nations Standard Operating Procedure on Implementation of amendments on conduct and discipline in the model Memorandum of Understanding between the United Nations and Troop Contributing Countries, (09 February 2011).

- DPKO-MD 03/00994 - United Nations Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers.

- DPKO-PD 2006/00135 - United Nations Guidelines for United Nations Police Officers on Assignment with Peacekeeping Operations.

- DPKO-PD 2006/00015 - United Nations Guidelines for Formed Police Units on Assignment with Peace Operations.

- DPKO-DFS 2011.18 - United Nations Standard Operating Procedure on Assessment of Individual Police Officers for Service in United Nations Peacekeeping Operations and Special Political Missions (10 January 2012).

- DPKO-DFS 2017.9 - United Nations Standard Operating Procedure (Revised) on Assessment of Formed Police Units for Service in United Nations Peacekeeping Operations and Special Political Missions (20 April 2020).

- DPKO-OMA 2016.02 - United Nations Standard Operating Procedure on Force Commander's Evaluation of Subordinate Military Entities in Peacekeeping Operations (January 2016).

- DPO-OROLSI-PD 2019.11 - United Nations Standard Operating Procedure on Assessment and Evaluation of Formed Police Unit Performance (3 May 2019).

- DPO-DOS 2019.01 – United Nations Guidelines on the Peacekeeping Capability Readiness System (PCRS), 1 January 2019.

- DPKO-DFS 2014.21 - United Nations Movement Control Manual (December 2014).

- DPKO-DFS 2013.06 - United Nations Surface Transport Management in the Field (February 2013).

- United Nations Force Headquarters Handbook, November 2014.

- United Nations Infantry Battalion Manual, January 2020.

- United Nations Peacekeeping Mission Military Aviation Unit Manual, January 2015.

- United Nations Peacekeeping Missions Military Unit Manual on Special Forces, January 2015.

- United Nations Reconnaissance Unit Manual, April 2015.

- United Nations Military Riverine Unit Manual, September 2015.

- United Nations Peacekeeping Missions Military Signals Unit Manual, May 2015.

- United Nations Peacekeeping Missions Military Police Manual, July 2015.

- United Nations Peacekeeping Missions Military Force Headquarters Support Unit Manual, March 2015.

- United Nations Military Engineer Unit and CET Search and Detect Manual, January 2020.

- United Nations Peacekeeping Missions Military Logistics Unit Manual, June 2015.

- United Nations Peacekeeping Missions Military/Combat Transport Unit Manual, January 2016.

- United Nations Manual on Ammunition Management, January 2020.

- United Nations Peacekeeping Military Intelligence Handbook, 2019.

- United Nations Peacekeeping Missions Military Maritime Task Force Manual, September 2015.

- United Nations IED Threat Mitigation Military and Police, December 2017.

- United Nations Peacekeeping Missions Military EOD Unit Manual, September 2017.

- Medical Support Manual for UN Field Missions, 2015.

- DPO-DOS 2020.07 - United Nations Manual for Generation and Deployment of Military and Police Units to Peacekeeping Operations.

- DPKO-DFS 2018.21 – United Nations Aviation Manual.

- DPKO-DFS 2017.07 – United Nations Aviation Safety Manual.

- United Nations Environment Strategy for Peace Operations – 2017-2023.

G.   MONITORING AND COMPLIANCE

21.   The implementation of this policy is monitored by DPO-SFGC. All DPO-DOS staff and Head of Missions, Head of Military Components and Directors/Chiefs of Mission Support in UN field missions shall make arrangements to support the implementation of this policy.

H.   CONTACT

22.   Point of contact for this policy is DPO-Strategic Force Generation Cell (SFGC), email: pcrs.manager@un.org

I.   HISTORY

23.   This is the first version of this SOP.

APPROVAL SIGNATURE:

APPROVAL SIGNATURE:

Jean-Pierre Lacroix
Under-Secretary-General
Department of Peace Operations

 7 August, 2020
DATE OF APPROVAL:

Atul Khare
Under-Secretary-General
Department of Operational Support

 7 August 2020
DATE OF APPROVAL:

ASSESSMENT AND ADVISORY VISIT - TERMS OF REFERENCE

Purpose (Example)

1. An UN AAV team is to conduct an Assessment and Advisory Visit (AAV) to (name of contributing country) during (dates) to assist and advise the (name of country) authorities on issues related to UN peacekeeping operations and/or mission specific aspects / requirements and to assess the preparedness and readiness of the T/PCCs contribution (PCRS Reference Number) to deploy to UN peacekeeping operations.

2. (Name of country) indicated interest / pledged to provide the following capabilities registered in UN PCRS.

   o Unit Type and PCRS Reference Number
   o Unit Type and PCRS Reference Number

Composition (Example)

3. The members of the AAV team are (include name of mission if staff member is not from UNHQ):

Office	Name	Remarks
DPO-OMA-FGS-SFGCPC or DPO-PD-SRS		Team Leader
DOS-LD-MOVCON		MOVCON specialist
DOS-UCSD-MRPS		COE specialist
Other Secretariat entities (as and when necessary) – Member		

Activity Description (Example)

4. As a part of the Strategic Force Generation Member State Engagement Plan and as per the requirements of the Peacekeeping Capability Readiness System and needs identified in the XXXX Uniformed Capability and Requirements Paper, and currently still valid, an AAV is planned to XXX to assess the above-mentioned capability(ies) against UN requirements. Successful AAV will elevate the(se) pledge(s) to Level 2 of the PCRS. The following visit program has been suggested and discussed with the PM of (name of mission)

Day	Team members departing from UNHQ / field mission
Day	Team members arriving in
Day x- y	• Opening meetings • Briefings by AAV Team member on

	○ Concept of Operations (CONOPS), SUR, (if applicable), ○ Unit requirements, ○ Logistics requirements, ○ Policies, procedures and guidelines - Assessment of the COE, self-sustainment capabilities and personnel readiness of units pledged - Assessment of pre-deployment training conducted and/or planned - Obtaining information on accountability mechanisms - Code of Conduct / SEA (Command and control, prevention and action plan / Investigation and NIO / Obtaining information on accountability mechanisms) - Wrap up meeting and drafting of initial summary report initial
Day	Team members depart from
Day	Team members arrive in at UNHQ / field mission

Tasks (Example)

5.   The tasks for the visit team are:

   a.   Assess the capability of the Member State to concentrate, train, equip and deploy the pledged capability in a reasonable timeframe.

   b.   Assess and confirm the nature, structure, composition, manning and equipment of the proposed contribution according to the proposed SUR or UNMUMs.

   c.   Assess the readiness of the personnel and equipment of each unit of the proposed contingent including pre-deployment training[2] conducted or planned and desired language capability.

   d.   Assess the operational capability, serviceability and suitability for deployment of the proposed COE based upon the SUR and the COE list provided or UNMUMs.

   e.   Assess the logistic requirements and timescales for deployment from national departure points to the mission area.

   f.   Assess the proposed contingent's capability to self-sustain under the various categories, ascertaining the requirements for the provision of UN services or equipment to make up any shortfalls.

   g.   Assess the level of desire of the national authorities to deploy the unit, the Member State's flexibility and preferences with regard to the mission to be deployed to, and the ability of the Member State to finalize decision-making / legislation necessary for a quick deployment.

   h.   Assess the capacity within the contingent to command in the area of conduct and discipline in UN peacekeeping operations that will ensure transparency and cooperation with the United Nations on accountability. In particular, obtain information on prevention efforts, including misconduct training and risk

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[2] Including international human rights and humanitarian law, SEA and code and conduct

management planning, planning for investigation and prosecution of allegations of misconduct related to potential offences and violations committed by deployed troops and capacities and understanding of UN standards of conduct and related expectations by relevant officials in capital.

i.   Assess the measures put in place by the Member State to ensure compliance with the United Nations policy on Human Rights Screening of United Nations Personnel. Assess the capacity within the contingent for cooperation with the United Nations on respect for international humanitarian and human rights law.

j.   Compare the proposed contribution with the detailed force generation requirements, making recommendations for adjustment as necessary to the draft MoU.

k.   If requested be prepared to brief national authorities on the force structure, T/PCC contributions, national contingent tasks, national major equipment and self-sustainment requirements, and in-country UN logistic support.

l.   If requested be prepared to brief national authorities on UN regulations and procedures concerning the provision of Contingent Owned Equipment (COE), reimbursement of major equipment and self-sustainment and troop cost, deployment, and rotation.

m.   If requested be prepared to brief national officials and key contingent personnel on relevant Security Council resolutions, security assessments, Rules of Engagement (ROE), Mission Concept of Operations, force structure, contributions from other countries and deployment requirements and timings. Assess the operational capability, serviceability and suitability for deployment of the proposed COE.

n.   Brief the national officials and key contingent personnel on UN policies, procedures, regulations and guidelines. This will include specifically the requirements under the Policy on Human Rights Screening of UN Personnel, including State certification and individual self-attestations.

o.   In the case of re-hatting, also provide detailed information on the implementation of the mitigation measures identified in the context of the Human Rights Due Diligence Policy on UN Support to non-UN Security Forces.

p.   Discuss with the contributing country and jointly sign a brief summary of the overall assessment and shortfalls identified by the visit team before completion of the visit, as well as draft plant for deployment timelines.

q.   Present findings in a report to DPO within 20 working days of return, making recommendations on the deployment of the proposed contributions and the necessary administrative and logistic arrangements, and whether the pledge is to be elevated to Level 2 of the UN PCRS.

Funds:

6.   This travel will be funded by (field mission)/(UN Support account)/(extra budgetary funds (donor support)[3] of each traveler. The required information to process this travel in the UMOJA is, as follows:

a.   Cost Centre:

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[3] Funding pending overall purpose of AAV

  b. Fund Centre:

  c. Functional Area:

  d. Budget Period:

21-day compliance:

7. The reason that this travel could not be processed prior to 21 calendar days was due to XXX, or this TOR complies with the 21-day travel policy

Alternative means of communications:

8. This travel cannot be replaced by alternative means of communications, such as video teleconferencing.

                Military Adviser or Police Adviser

ASSESSMENT AND ADVISORY VISIT – FAX

Date: DD/MM/YYYY		**Reference:**
TO: **ATTN:** **INFO:**	Military Adviser/Political Adviser Permanent Mission of [Member State] to the United Nations	**FROM:** Name Military/Police Adviser for Peace Operations, Office of Military Affairs, DPO, New York/ or Office of Rule of Law and security Institutions, DPO, New York
FAX NO: **TEL NO:**		**FAX NO:** **TEL NO:**

SUBJECT: [Member State] Assessment and Advisory Visit - coordination

Total number of transmitted pages including this page:

References:
A. Any existing previous correspondence with the Member State with invitation to conduct an AAV.

The Secretariat of the United Nations presents its compliments to the Permanent Mission of [Member State] to the United Nations and has the honour to refer to above mentioned reference.

The Secretariat has the pleasure to inform you that an Assessment and Advisory Visit (AAV) to verify the PCRS pledges for [PCRS pledge description and Reference Number] has been scheduled to take place for [number of days] days starting [date]. The exact dates will be mutually agreed upon in the coming days and will be determined by the status of equipment and the availability of the units. Please confirm the dates are appropriate.

We request confirmation that the requisite equipment and personnel will be available as discussed. In case there are any other military units to be assessed as potential PCRS pledges, please advise the earliest, so the Secretariat can take the appropriate measures. In preparation for the AAV, tentatively two pre-AAV teleconference sessions will occur within 2 weeks prior to the visit.

Also, please advise if [Member State] intends to have its Military Adviser to the UN join the visit at national expenses. Having the MILAD join the activities has proven to assist with the post-AAV coordination, finalization of the report and possible elevation of PCRS status of the units.

In addition, if [Member State] is inviting individuals from other Member States to join the AAV as observers, please advise so the Secretariat can plan accordingly.

The Secretariat of the United Nations avails itself of this opportunity to renew to the Permanent Mission of [Member State] to the United Nations the assurances of its highest consideration.

 Best regards,

 MILAD/POLAD

Drafted by:	Authorized By:

ASSESSMENT AND ADVISORY VISITS - GENERAL CHECKLIST

The AAV Team Leader has the responsibility to make sure the below generic critical topics are assessed and advised during the visit.

Assessment

Political Engagement	Yes	No	Remarks
Has the Member State demonstrated high level political willingness to take part of United Nations Peacekeeping Operations?			
Has the Member State demonstrated any political caveat that would limit its participation in United Nations Peacekeeping Operations?			

Timeline/Decision Process	Yes	No	Remarks
Following a request to deploy from the United Nations, what legislative procedures are needed by the national authorities to authorize a deployment?			
How long is the typical timeline for decision-making process to deploy a unit?			
What is the assessed timeline for deployment readiness?			
Does the Member State have a dedicated system to manage and coordinate its efforts to take part in United Nations Peacekeeping Operations?			

Operational Aspects	Yes	No	Remarks
Has the Member State demonstrated any operational caveat that would limit its participation in United Nations Peacekeeping Operations?			
Does the Member State have any recent participation history in United Nations Peacekeeping operations?			
Does the Member State have overall knowledge and makes good use of United Nations policies, regulations and military and police manuals?			
Does the unit possess the appropriate organizational structure for command and control of the unit as specified in the respective UN Military Unit Manual/Statement of Unit Requirement?			
Is the unit trained to conduct all tasks as stated in the UN Military Unit Manual /Statement of Unit Requirement (SUR)?			
Is the unit capable of conducting joint operations with other units/other services?			

Personnel aspects	Yes	No	Remarks
What is the system of troops / unit selection for peacekeeping? Does it allow for a quick concentration of key functional staffs and required troops in time?			
How has the unit been formed? Is the main component a homogeneous unit or has it been formed with personnel from multiple units?			

What is the level of language proficiency? What is the language proficiency of the personnel (mission language) – especially the unit commands/officers?			
What is the gender balance within the unit? (It may serve as an indicator of a lower risk as it better enables uniformed personnel to engage with local women and understand their protection concerns.)			

Accountability Systems	Yes	No	Remarks
Vetting, screening and certification of personnel			
Is the Member State familiar with the certifications and UN screening process?			
Does the Member State have a credible humans rights screening and certification process in line with the UN Policy?			
Does the institution responsible for human rights screening have sufficient resources and independence to carry out this task?			
Does the Member State vet against history of misconduct in national service so as to be able to provide the UN with the required certification?			
Does the Member State have national military or police regulations regarding discipline, oversight and accountability mechanisms? Have they been shared with the Secretariat?			
Have the Member State provided the United Nations with information on national laws which criminalize all forms of sexual violence against women, men, girls and boys, and the existence of a justice mechanism to prosecute such cases?			
Are members of the military or police units subject to separate criminal prosecutions, in addition to internal disciplinary measures, for crimes committed outside of the country, including all forms of sexual violence?			

Human Rights Systems/Record	Yes	No	Remarks
Is the Member State familiar with international humanitarian and human rights law?			
Is the Member State familiar with the various human rights policy frameworks and obligations that bind UN peacekeeping operations and all entities operating under them (check against each policy below)? • UN Policy on Human Rights Screening of UN Personnel • UN Policy on Human Rights in UN Peacekeeping Operations and Political Missions • UN Human Rights Due Diligence Policy on UN support to Non-UN Security Forces (HRDDP)			
Does the Member State conduct separate training on international humanitarian and human rights law?			
Are there reasonable grounds to believe that individuals or units pledged by the Member State may have been involved, by act or omission, in the commission of any violations of international human rights law or international humanitarian law?			

Code and Conduct / SEA	Yes	No	Remarks

Does the national training curriculum of the Member State include training on United Nations' standards of conduct, including protection from sexual exploitation and abuse?			
Does the Member State conduct separate training on conduct and discipline in it is national training curriculum (professional training not linked to peacekeeping)?			
Does the Member State conduct awareness-raising sessions on UN standards of conduct, including accountability measures for violating those standards (e.g. disciplinary or criminal measures)?			
Has the Member State developed a command philosophy and action plan regarding the prevention of sexual exploitation and abuse prior to deployment, and are commanding officers trained in this philosophy?			
Investigative Capacities through National Investigation Officers (military units only)			
Does the unit have qualified male and/or female National Investigation Officers (NIOs)?			
Does the Member State have internal accountability and courts martial systems that will be used when deployed?			
Is there an intention to embed national investigation officers in their contingents?			

Environmental	**Yes**	**No**	**Remarks**
Is the Member State aware of the DPKO-DFS Environmental Policy for UN Field Missions and the related Environment Strategy for Peace Operations?			
Has the Member State knowledge of the Core Pre-deployment Training Materials (CPTM) module on Environment and Natural Resources is following it in the unit's preparation? If not, are they planning to do so? Are other training on environmental management being delivered? (List any in the remarks)			
Does the Member State have any specific standards related to environmental management during deployment?			
Is the unit able to demonstrate/articulate what actions are planned for implementation to reduce its environmental footprint? Have they developed a strategy to address environmental awareness and behavioural change (e.g. on water conservation, energy efficiency, solid waste reduction)? Are these documented?			
Can the Member State describe the methods with which it would handle and store its hazardous waste, including medical waste, if applicable, and also wastewater, in terms of its use of equipment and infrastructure? What other ways can the T/PCC prevent and mitigate risks to people, the environment and surrounding communities?			
(In case of mission specific AAV) Is the Member State aware of any mission specific environmental guidance (e.g. environmental standards, camp inspection checklist) or has received advance environmental best practice information from their counterparts deployed in the mission?			

Advisory

	Yes	No	Remarks
Has the AAV team explained the United Nations Peacekeeping Integrated Planning Process, including the Military/Police Planning Process and objectives of the Statement of Unit Requirements?			
Has the AAV team explained the United Nations Force/Police Generation and Deployment of Units Process, including the sequence, steps and responsibilities?			
Has the AAV team indicated where United Nations policies, regulations and military and police manuals can be found?			
All Subject Matter Experts have delivered their presentations to highlight United Nations particularities, standards, rules and regulations on their technical areas?			

ASSESSMENT AND ADVISORY VISITS CHECKLIST - TRAINING

1- ITS REPRESENTATIVE RESPONSIBILITIES

The role of the ITS representative on an AAV is to provide advice (and assessment) regarding an appropriate, consistent and sustainable national training framework. The representative is seeking to understand the T/PCC's P/TCC's ability to ensure (through training) that all elements (individuals and units) deployed to a UN peacekeeping operation meet UN operational readiness and performance requirements, and to provide advice on the requirements to achieve this.

2- TOPICS TO BE OBSERVED DURING THE AAV (NOT LIMITED TO)

a.   Physical infrastructure (training facilities, field training areas)

b.   Organizational structures (appropriate competencies, structures, and command and control to ensure training is appropriately resourced and directed)

c.   Foundational military training and preparation for personnel/units before they are considered for UN peacekeeping operations (Shaping)

d.   The national military approach to design and delivery of training, ranging from training needs analysis through to evaluation of effectiveness.

e.   Specific UN Pre-deployment training program of (both individual and collective) including gap-remediation, delivery of UN-specific courses using UN training material, mission-specific training, and scenario-based field training exercises (Preparation)

f.   Repeatability and consistency of training, ensuring each rotation receives a consistent standard of training, informed by lessons learned from prior rotations

g.   The incorporation of appropriate current UN experience and lessons learned in training, which may involve the use of bilateral partnerships, where a P/TCC does not have recent experience in UN missions.

h.   Equipment and systems used in training correlate to equipment and systems to be used on UN operations.

i.   Appropriate emphasis on international humanitarian and human rights law and other priority / cross-cutting themes in UN peacekeeping operations such as Sexual Exploitation and Abuse (SEA), Conduct and Discipline, Women, Peace and Security, Comprehensive Protection of Civilians, and other topics as they arise.

These topics will relate directly to the Policy and Guidance on Operational Readiness and Performance Improvement as published at any given time.

3- LEVELS OF TRAINING ADVICE TO BE PROVIDED

During an AAV, a T/PCC may already have a training framework in place (whether for UN or non-UN deployments) or may be considering a framework for force preparation and readiness from first principles. The ITS representative is responsible to provide advice at each layer of command from strategic to tactical.

At the strategic level, the ITS representative will need to engage with the senior-most part of the military organization responsible for authorizing and resourcing training (including pre-deployment training), to understand national processes. While this might be a G7 or J7 responsibility, the ITS

representative should engage wherever the T/PCC has decided to locate this function. It is essential for the ITS representative to engage with strategic command and to ensure UN requirements are understood.

At the operational or tactical level, the ITS representative should engage with any intermediate command levels, training centers, and unit command representatives to provide more detailed advice/engagement regarding UN pre-deployment training requirements. This also allows an assessment of the understanding of requirements at each level.

4- SPECIFIC POINTS TO BE OBSERVED PRIOR AND DURING THE AAV

The following is a set of questions that the ITS representative will seek to understand before and during an AAV, in order to provide the best advice possible to the T/PCC regarding operational readiness and performance improvement.

Questions regarding overall training structure	Why the information is needed.
Describe the national military/police training structure used to generate forces to national standards.	UN training guidance builds (and assumes a certain level) of foundation provided by national training. Advice and recommendations must be tailored to the MS.
How does the MS authorise, resource and design pre-deployment training (including UN pre-deployment training)? Are there specific and formal appointments with defined responsibilities for directing the appropriate standard of training? How is authority delegated?	This guides the AAV team regarding appropriate levels of consultation during the AAV. It also permits recommendations to ensure sustainable, repeatable solutions.
What mechanisms exist outside to check or test the training and readiness of forces, beyond the chain of command responsible for preparing those forces?	This is a valuable check and balance used to ensure that training and performance standards are maintained.
What UN policies, manuals, guidelines, SOPs or other doctrine have been reviewed so far by the MS in order to prepare for deploying elements to a UN peacekeeping operation?	Allows AAV team to provide updated advice where needed.
To what degree has the MS conducted a training needs analysis regarding the requirements of deploying to a UN peacekeeping operation. If completed, what was the outcome? Are there questions arising from this analysis which require advice?	AAV team should prepare to provide advice on the outcomes of a training needs analysis (or questions arising), although cannot perform the training needs analysis for the MS.
If known – how do these national training and capability standards relate to the equivalent UN standards (as described in UN policies and manuals)? For instance, if units are trained to a Regional Organization standard, they will need to understand any variations between them and UN expectations?	This provides insight into any additional challenges in pre-deployment training
How does the MS approach (or plan to approach)	If the MS has formed a plan, the AAV is able to

pre-deployment training for UN deployments? Have directions, plans or programmes been drafted (even if not finalised)? What are the components in (or expected to be in) the training program?	provide more tailored advice and/or assess readiness. The AAV team will be looking for: • Any gap training required to adapt to UN peacekeeping operations • Completion of appropriate UN courses • How the training will incorporate mission-specific material • Comprehensive, scenario-based field training • How forces/individuals are evaluated • How training varies according to the type/role of the unit
What training facilities (training areas, classroom facilities etc) does the MS plan to use (and if not yet decided, what facilities are available for use)?	Suitability for the size and nature of training.
How does the MS evaluate the effectiveness of pre-deployment training, and whether it has achieved the desired level of performance? What mechanisms are in place to rectify training if evaluation results indicate a need for change?	This is an essential component of the training programme, as the primary purpose of pre-deployment training is to achieve the required performance in-mission
Is the MS using (or planning to use) the most current UN training guidance and advice (including Core Pre-deployment Modules, Specialised Training Materials and other doctrine)?	AAV team can offer guidance regarding the most appropriate materials and ensure the latest versions are in use.
Has the MS received Training Recognition for any training currently being delivered?	If so, the AAV team is able to make reference to prior information gathered, which allows the AAV to focus on other areas.
Does the MS have access to necessary Mission-specific information (if a specific mission is known or anticipated), or exemplar mission material in the interim?	This identifies follow up actions required by the AAV.
Has the MS considered how it will provide basic and specialized training on UN required functions, including international human rights law (IHRL) and international humanitarian law (IHL) responsibilities, in an integrated manner? Does this capacity currently exist?	The unique differences in UN peacekeeping operations may require development of an IHRL and IHL capacity.
How does/will the MS ensure that pre-deployment training is consistent for each rotation, and incorporates lessons learned from prior rotations?	Consistency of training over multiple rotations remains an area of focus for UN peacekeeping operations.
How are personnel trained and assessed on personal weapon proficiencies?	While the AAV team will not assess individual skills, it will consider the overall weapons proficiency program carried out by the MS.
How are personnel trained and assessed on application of use of force, and application of tactics, techniques and procedures (TTPs) to	Beyond weapons proficiency, the AAV team will be looking for understanding of training

ensure the disciplined, skilled control of weapons and use of force?	methodologies for weapons discipline and appropriate use of force IAW UN standards.
How are personnel trained and assessed on use of communications equipment?	The AAV team will be looking for understanding of the systemic training process for basic soldier skills
How are personnel trained and assessed in the use of immediate, lifesaving first aid measures (as distinct from qualified medics, nurses or doctors)? How are personnel trained and assessed on their human rights and IHL competency?	The AAV team will be looking for understanding of the systemic training process basic first aid skills.
How does the MS approach equipment / major systems training for personnel required to operate it? Are there any major systems or equipment planned to be used on a UN deployment which is not yet in the possession of the MS/ does not yet have a training plan?	The AAV team will be looking to understand whether all personnel will be proficient and experienced in the use of the equipment required for their duties, with a particular focus on newly received equipment. This should include personal equipment such as Night Vision equipment, radios, first aid kits, etc.
How does the MS approach language proficiency training and assessment (where applicable)?	The AAV team will be looking for understanding of the systemic training approach, and evidence of efficacy.
How are records kept of training, qualifications, competencies and experience attained by personnel?	Training records are an important part of ensuring readiness.
How are instructors and training designers trained, qualified and assessed in MS training institutions?	This provides important insight into the appropriate level of advice and guidance to be provided by the AAV team
Does the MS have (or have access to) qualified instructors and training designers with UN peacekeeping operations experience? How will this be achieved?	UN experience is an essential component of the UN pre-deployment training standard. This may be achieved through bilateral partnerships or other support, and the AAV team will be able to advise and recommend solutions.
Questions regarding the specific unit (if identified)/ pre-deployment training programmes (if already developed)[4]	**Why the information is needed.**
How is the unit organized/assembled for training versus operations? Will this change from rotation to rotation?	There are different training needs (and advice to be provided) for units who been "task organised" or assembled specifically for a rotation, versus units which have been training together for some time.
For how long will a unit be planned to be together as a complete unit for training before deployment?	UN training standards expect that training culminate in collective integrated scenario-based exercise to ensure the entire unit can function effectively as a whole.

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[4] Note – these questions should be answered for the first unit due to deployed, and then answered again for how this will be managed for subsequent rotations

Describe the training provided to ensure leadership is fully versed in with United Nations Training Standards and Requirements? For example, are unit leadership required to become familiar with the respective UN Military Unit Manual?	This provides insight into the role of unit leadership in training.
Is there a planned unit training schedule and programme? To what extent is this designed by unit leadership versus in accordance with a national plan?	This seeks to understand the unit plans as distinct from national plans. Ideally, they will nest together, with clear national guidance.
Has/will the unit been(be) trained in joint operations together with other units/other services likely to be relevant to a potential UN mission?	This provides insight into interoperability.
Following on from any gaps identified in the training needs analysis, how will the unit training program address all gaps relevant for that unit and all capability tasks of the SUR Statement of Unit Requirement (SUR) or UN Military Manuals?	Training gaps could include adding a new capability to a unit, reinforcing a capability that has not recently been exercised, adapting extant capabilities to new tasks (such as comprehensive protection of civilians tasking) or emphasising the differences in behaviours needed in a UN mission versus other previous experience (for example threat postures and actions on contact).
Does the pre-deployment training programme include integrated collective training and/or field exercise?	Practical, scenario-based training is an important component of UN pre deployment training, however, will vary depending on unit/national training needs.
Does the pre-deployment training collective training include scenarios to practice: • Rules of Engagement? • Human rights and IHL? • Child protection? • Women peace and security? • Protection of civilian's obligations? • Integration with other forces? • Integration with police?	The AAV team will be interested to understand preparation for such scenarios, and/or provide advice on such preparation
What other scenarios are planned/under consideration?	
Code and Conduct / SEA	**Why the information is needed.**
Describe training provided in the national training curriculum relating to sexual exploitation (e.g. received regardless of whether a person is to deploy with the UN)	The AAV team will be looking to understand systemic training practices, how often refresher training is conducted, and how leadership reinforces this training through example, lessons-learned from past deployments, scenario-based exercises and similar. This will help the AAV team provide useful, customised advice regarding training and preparation

Describe how leadership and general personnel are trained on conduct and discipline in the national training curriculum (professional training not linked to peacekeeping)?	The AAV team will be seeking to understand the degree of alignment between national training standards and UN standards.
Describe how leadership ensures all personnel are aware of accountability measures, including disciplinary and/or criminal, and other consequences of breaching conduct / discipline?	The AAV team will be seeking to understand the systemic way in which individuals understand the importance of conduct and discipline.
Describe how leadership at each level address and model issues of prevention of sexual exploitation and abuse prior to deployments. Is there formal training provided and action plan created/updated ahead of deployments?	The AAV team will be seeking to understand the degree to which leadership have received systemic training and reinforcement in a key UN value.

ASSESSMENT AND ADVISORY VISITS COMPARATIVE TABLE FOR VERIFICATION OF MAJOR EQUIPMENT

ME ITEMS*	QTY REQUIRED AS PER THE SUR	QTY DISPLAYEDED	STATUS/CONDITION OF ME	YEAR OF MANUFACTURING	(IF NOT DISPLAYED) DATE ME WILL BE READY	IS THE READINESS TIMELINE SUPPORTED BY DOCUMENTS?	REMARKS

* For equipment provided ILO, specify its acceptability under remarks

ASSESSMENT AND ADVISORY VISITS CHECKLIST CONTINGENT-OWNED EQUIPMENT – INCLUDING EQUIPMENT LIST

COMPARATIVE TABLE FOR VERIFICATION OF SELF-SUSTAINMENT

SS CATEGORY REQUIRED AS PER THE SUR	DISPLAYEDED BY T/PCC YES/NO	ACCEPTABILITY	(IF NOT DISPLAYED) WILL BE READY BY	IS THE READINESS TIMELINE SUPPORTED BY DOCUMENTS?	REMARKS

ASSESSMENT AND ADVISORY VISITS CHECKLIST - MOVCON

Activity	Yes	No
Initial Briefing to the Member State		
Introduction of the UN rules and regulations on the deployment, general concept of strategic movements for troops and cargo		
Options for deployment (differences between LOA and UN arrangements), mode of transportation, deployment phases & timelines,		
Planning Considerations on Air/Sea/Land Movement for Pax and COE, prioritization of the cargo (Camp setup, Weapons and ammo); requirements for Advance Party personnel (drivers, engineering and other skills).		
Importance of the proper cargo documentation (Load list, DG List and Declaration, container packing list, end user certificate and etc)		
T/PCC's responsibility on proper preparation and packing of the cargo to avoid loses and damages during the transportation. Containerizing of loose items.		
T/PCC's responsibility on custom clearance, supporting documentation, assistance to speed up the deployment (priority for immigration/custom/vessel's berthing and etc)		
Possible negative impact/financial charges due to delays in cargo readiness or incorrect cargo documentation.		
Certification programs for Dangerous Goods (DG) training and certification of containers		
MOVCON assistance on the packing of the COE and preparation of the required cargo documentation		
UN rules, regulations & procedures on claims for inland transportation, packing materials, loses and damages during the transportation		
Transportation risk assessment (weather conditions, transit permits, and etc.).		
Establishing of working group, (main focal points, consignor/consignee) to coordinate future deployment		
COE-Cargo inspection		
Verification of COE staging area (accessibility, road conditions/ distance from the nearest airport/seaport, availability and specifications of MHE/ ramp for the loading)		
Availability of the equipment, time required for purchase and preparation for the transportation of missing equipment		
Measuring of dimensions (Length, Width, Height), verification of weight of major equipment and self-sustained items.		
Inspection of containers: conditions, seaworthiness, painted in white, UN logo		
Inspection of ammo (packages and marks/labels as per DG regulations), segregation requirements for transportation of DG.		
Availability of packing materials (T/PCC entitlement and prior approval by MCS), number of additional 20" containers for the transportation (if required)		
Load ability of the COE to different types of aircraft /vessels, dismantling requirements for helicopters, APCs, vehicles, trailers and etc		
Preparation of the required cargo documentation		
Initial Cargo Load List		
Initial DG List and DG Declaration		

Verification of APOE/SPOE		
Assessment of routes & time required for pre-carriage		
Meeting with airport, seaport, custom authorities on the local requirements/rules & regulations possibility to get priority for UN operations		
Assessment of capacities of the APOE/SPOE, restrictions, operational hours, accessibility, availability of MHE, berthing and etc		
Alternative routes		
De- briefing		
MOVCON findings during the visit		
MOVCON recommendations		
Preparation of final report		

ASSESSMENT AND ADVISORY VISITS CHECKLIST - MEDICAL

UNITED NATIONS ESSENTIALS OF HEALTH CARE QUALITY AND PATIENT SAFETY

Focus	1	2	3	4	5
Criteria ▼	**Leadership Process and Accountability**	**Competent and Capable Workforce**	**Safe Environment for Staff and Patients**	**Clinical Care of Patients**	**Improvement of Quality and Safety**
1	Leadership responsibilities and accountabilities identified	Personnel files and job descriptions for all staff	Regular inspection of buildings	Correct patient identification as identified in the Healthcare Quality and Patient Safety Standards (HQPS) Manual	There is an adverse event reporting system as identified by the UN
2	Leadership for quality and safety	Review of credentials of physicians	Control and adequate storage of hazardous materials/ controlled substances	Informed consent as per HQPS Manual	Adverse events are analyzed.
3	Collaborative management	Review of credentials of nurses	Fire safety program	Medical and nursing assessments for all patients are carried out as per the HQPS standards	High-risk processes and high-risk patients are monitored.
4	Oversight of contracts	Review of credentials of other health professionals	Biomedical equipment safety	Laboratory services are available and meet the Un standards	Patient satisfaction is monitored as per the survey developed by the UN

5	Integration of quality and risk management	Staff orientation to their jobs	Stable water and electricity sources	Diagnostic imaging services are available, safe, and reliable.	Staff satisfaction is monitored.
6	Compliance with laws and regulations	Oversight of students and those in training	Coordination of infection prevention and control program	Planned and provided care is written.	There is a complaint process.
7	Commitment to patient and family rights	Training in resuscitative techniques	Reduction of health care–associated infections (hand hygiene)	Anesthesia and sedation are used appropriately.	Clinical guidelines and pathways are available and used.
8	Policies and procedures for care of high-risk patients	Staff education on infection prevention and control	Barrier techniques are used (gloves, masks, and so on).	Surgical services are appropriate to patient needs.	Staff understand how to improve processes.
9		Communication among those caring for the patient	Proper disposal of sharps and needles (adequate medical waste segregation and medical incinerator where required)	Medication use is safely managed.	Clinical outcomes are monitored.
10	Blood and blood products management system	Staff health and safety program /OSH program for staff	Proper disposal of infectious medical waste (adequate medical waste segregation and medical incinerator where required)	Patients are educated to participate in their care.	Communicating quality and safety information to staff

ASSESSMENT AND ADVISORY VISITS CHECKLIST - MEDICAL

General Information about the Member State	Yes	No
Does the Health ministry have standards for hospitals to adhere to and if those apply to the Military hospitals?		
Does the Health ministry have standards for hospitals to adhere to and if those apply to the Military hospitals?		
Number of medical schools in the country?		
Academic departments for various field of medicine in the medical schools?		
No of medical graduates each year?		
Certification programs and Continued Medical Education requirements for the Civilians and Military medical personnel?		
Information on the Medical council of the country, i.e. the national accreditation system of the country?		
Medical education		
Sourcing of military health personnel?		
Specialist training program?		
Depth of medical Personnel		
Whether national health care intersects with the Military in terms of doctors moving from military to civil back and forth?		
Regulation of medical Personnel		
Requirements for military medical staff to maintain registration with the medical council?		
Combat exposure of health personnel?		
Incident reporting/adverse events [military/country, if may have]?		
Medical audits now often & procedures?		
Language skills of all health personnel?		
Interpreter skills?		
Lab accreditation?		
Generic Points		
Gender segregation of roles in healthcare?		
Surgical safety check list?		
Medical waste segregation process?		
Medical waste final disposal (incineration or other secured disposal system) ensuring related risks are mitigated?		

ASSESSMENT AND ADVISORY VISITS CHECKLIST - AVIATION

OPERATIONAL REQUIREMENTS

A	OPERATIONAL CONTROL	YES	NO
1	Unit/military structure, defining responsibilities of key roles		
2	Operations Centre structure		
4	Air tasking		
5	Crew scheduling		
6	Operations planning and operational control		
7	Flight planning, submission of operation flight plan, load control		
8	Crew briefing		
9	Authority of the Pilot in Command (PIC)		
10	After mission reporting		
11	Ground handling, aircraft servicing, loading and support equipment		
12	Passenger and baggage handling		
13	Dangerous goods procedures, training and awareness		
14	Security of aircraft		
15	Flight tracking (appropriate for military operations), flight following		
16	Sufficient facilities, resources and workspaces to undertake operations		
17	Training and recurrent training program for aircrew (including normal and non-normal operations), ground crew and operational support staff		
18	Drug & alcohol program		
19	Document & record management system		
20	Documents required for operations and plaining are approved, current and readily available		
B	SAFETY	YES	NO
1	Safety Management System (SMS)		
C	QUALITY	YES	NO
1	Quality Management System (QMS)		

TECHNICAL REQUIREMENTS

A	DOCUMENTATION	YES	NO
1	Authorization to transport civilian passengers (if applicable)		
2	Cert. of Registration or equivalent N° and validity / /		
3	Cert. of Airworthiness N° and validity / /		
4	Cert. of Insurance N° and validity / /		
5	A/C Flight Manual (hard copy)		
6	Unit Operation Manual		
7	Aircraft operating Checklist; extended and Quick Reference (hard copy)		

8	Maps, charts, instrument approach charts (valid date and renewals) (hard copy)		
9	Electronic Flight Bag (if applicable) check certification		
10	Minimum Equipment List (MEL) (hard copy)		
11	Configuration Deviation List (CDL) (hard copy)		
12	DPKO-DFS Aviation Manual/ UNMUM Aviation Manual (Check last version)		
B	**COCKPIT (aircraft must be powered up with GPU ideally)**	**YES**	**NO**
1	General condition (checklist with a qualified pilot including walk around)		
2	Emergency exits		
3	IFR Navigation equipment (automatic direction finder (ADF)/ non-directional (radio) beacon (NDB), Tactical Air Navigation (TACAN)/ VHF Omnidirectional Range (VOR)/ Distance Measuring Equipment (DME), Instrument Landing System (ILS)		
4	Transponder 3/A and C		
5	Radios (VHF-AM / HF / VHF-FM/UHF), Satellite Communication (SAT COM) & intercom. system		
6	Direction Finder (DF) with Emergency Locator Transmitter (ELT) 406 MHz tracking system		
7	ELT 406 MHz (check expiration date and accessible and safe location in the aircraft)		
8	Radio altimeter		
9	Weather Radar		
10	GPS (Aviation models with valid data base) check database update procedure and Satellite tracking		
11	Cockpit Voice Recorder (CVR) & Flight Data Recorder (FDR), non-photographic film)		
12	Ground Proximity Warning System (GPWS) or Terrain Avoidance Warning System (TAWS) (ask for system test)		
13	Traffic-alert and collision avoidance system (TCAS) II / Airborne Collision Avoidance System (ACAS) II version 7.1 (Collision Avoidance System) (ask for system test)		
14	Area Navigation (RNAV) / Reduced Vertical Separation Minimum (RVSM) / Minimum Navigation Performance Specifications (MNPS) / 8.33 KHz (where applicable, check certification)		
15	NVG compatible (check cockpit and interior lights)		
	COCKPIT / SAFETY EQUIPMENT	**YES**	**NO**
16	Hand fire extinguishers (check expiration dates)		
17	Life jackets and floatation devices		
18	Harness (check with a crew member)		
19	Oxygen equipment		
20	Flashlight, torches		
21	Aircraft crash axe		
	FLIGHT CREW/ FLIGHT DATA	**YES**	**NO**
22	Flight preparation (Ops Flight Plan)/performance calculation		
23	Weight & Balance Sheet (check procedures)		
24	Military/Civilian License/English language/medical certificate/crew qualifications (including extra crew, Load masters, cabin Flight attendant)		

	COCKPIT /TECHNICAL LOGBOOK	**YES**	**NO**
25	Aircraft logbook & Maintenance release cert. (check power plant/airframe hours available)		
26	Defect notification & rectification procedure		
27	Pre-flight inspection (test with a qualified technician)		
C	**CABIN SAFETY**	**YES**	**NO**
1	General internal condition		
2	Cabin crew station's & rest area		
3	First Aid Kit / Emergency Medical Kit		
4	Survival Kit appropriate to the Mission Area		
5	Hand fire extinguishers (check expiration dates)		
6	Life jackets, flotation equipment		
7	Seats (condition) / safety belts (quick release metal to metal couplings)/shoulder straps for crew serviceable		
8	Emergency exits / Flashlight / "No Smoking" signs		
9	Slides/life-rafts, ELT (portable & for the rafts – if applicable)		
10	Oxygen equipment (cabin crew & passengers – if applicable)		
11	Personal breathing equipment, fire gloves and googles (if applicable)		
12	Passengers' Safety cards / briefing demonstration in English		
13	Cabin crew members procedures		
14	Public address system as per the A/C Manual		
15	Access to emergency exits (not blocked by luggage/cargo/etc)		
16	Toilets		
17	Seat capacity & Medical evacuation configuration		
18	Cargo/luggage loading/of loading procedure and equipment Loading Manifest (LM)/including Dangerous Goods (SOP, Manual, crew certification, DG certificates, packing, emergency procedures)		
19	Cabin safety equipment, including cargo nets (certified and last inspection date clearly marked)		
20	Aircraft Interior lights		
D	**AIRCRAFT CONDITION (walkaround check list)**	**YES**	**NO**
1	General external condition (corrosion, cleanliness, dents, etc.)		
2	Doors & hatches		
3	Flight controls surfaces		
4	Wheels, tires & brakes		
5	Undercarriage & Wheel well		
6	Power plant and pylon		
7	Inlet, fan blades / Propellers / Rotors		
8	Obvious repairs		
9	Obvious un-repaired damages		
10	Leakages		
11	General condition of cargo cabin		
12	Aircraft exterior lights (check NVG compatible lights)		
E	**DOS SPECIFIC**	**YES**	**NO**
1	White paint with UN markings		
2	Global satellite tracking system		
3	Portable Satellite communications (INMARSAT/Thuraya/Iridium or equivalent)		

OPERATIONAL REQUIREMENTS

A	DPO/DOS CREW REQUIREMENTS	YES	NO
1	Pilot in Command 1000 hours Rotary Wing (RW) with a minimum of 250 hours on type, 30 hours Instrument Flight Rules (IFR) and 50 hours night		
2	Copilot minimum of 100 hours on type, 30 hours total IFR and 50 hours total night		
3	NVG crew qualified as per national standards. Minimum 50 hours NVG		
4	Aircraft weapons currency (if applicable)		
B	**UNIT OPERATIONAL TASKS**	**YES**	**NO**
1	Troop transport including insertion and extraction		
2	Air Patrol (with armed troops on board)		
3	Fire Support / Deterrence (show of force) tasks		
4	Armed Escort tasks		
5	Combat Search and Rescue (CSAR) capability		
6	Search and Rescue (SAR)		
7	Casualty Evacuation and Medical Evacuation CASEVAC/MEDEVAC (with AMET provided by the Mission)		
8	Area Surveillance and Reconnaissance		
9	Observer/Monitor tasks (Test equipment including cameras or/and sensors)		
10	Passenger Transportation, including VIP		
11	Cargo Transportation, including dangerous goods		
12	Operational Logistics Support		
13	Emergency Evacuation/ Relocation		
14	Command, Control and Communications (C3) Platform		
15	Radio Relay (Check equipment)		
16	Aerial Resupply (air drops)		
C	**AIRCRAFT/CREW TACTICAL CAPACITIES**	**YES**	**NO**
1	Number of troops with individual equipment		
2	Cargo capacity internally or freight externally (by sling)		
3	Number of stretchers per helicopter with a CASEVAC/MEDEVAC team of three Aviation Medical Examiner (AME)		
4	Desired operating range of 250 Nautical Mile NM (limited by type on a case by case basis)		
5	High Altitude Operations		
6	Day/night Visual Flight Rules (VFR)		
7	Day/night Instrument Flying Rules (IFR)		
8	Day/night Operations on Helicopter Landing Site (HLS) certified by the Mission (as per DPKO Manual)		

9	Operations day/night on unprepared landing sites (as per DPKO Manual)		
10	NVG operations on prepared / unprepared airstrips / unprepared landing sites		
11	Ops in hostile environment / forward area without flight handling services		
12	High altitude / tropical climates and dusty environment operations		
D	**OPERATIONAL EQUIPMENT/CAPACITIES**	**YES**	**NO**
1	Winch (capacity and aircrew certification)		
2	Search light (capacity and quantity)		
3	Forward-looking infrared (FLIR) (if applicable)		
4	NVG compatible/internal and external lights (test with flight crew)		
5	NVG equipment including calibration kit (if applicable)		
6	Radar/Missile Warning Receivers/counter measures (Chaff &/or Flares)		
7	Machine Guns for self-defense (each helicopter)		
8	Capacity for troop insertion by fast roping/rappelling		
9	Able to transport troops with loaded weapons and dangerous goods		
10	Maximum readiness of 30 min take off when pre tasked		
11	Operation from Forward Arming and Refueling Point (FARP) as per DPO-DOS Manual		
12	Operational in tropical climates and dust		
13	Unit available 24/7 (including maintenance personnel)		
14	Unit minimum availability		
15	Maintenance capabilities		

MAINTENANCE REQUIREMENTS

A	**MAINTENANCE MANAGEMENT**	**YES**	**NO**
1	The unit/military shall have a documented maintenance management system.		
2	Maintenance structure within the unit/military, with authority, responsibilities and accountabilities defined.		
3	There are sufficient personnel to undertake the maintenance functions.		
4	Maintenance personnel are suitably trained and remain competent for their maintenance role and tasks. Training records, attendance, certificated, training material; are retained.		
5	The unit has a document and records control system in place.		
B	**MAINTENANCE PLANNING & CONTROL**	**YES**	**NO**
1	The unit/military has a maintenance control manual or equivalent.		
2	The unit/military has an approved maintenance program that is appropriate for the aircraft type, systems, and the approved operations (Extended Diversion Time Operations EDTO, RVSM, etc) and those defined for the UN mission. There is a process for approval of amendments.		

3	A system for forecasting and tracking maintenance activities, tracking hours, cycles, calendar time for aircraft, engines, and life-limited components.		
4	All maintenance is to be performed with approved work orders in accordance with the aircraft maintenance program and the aircraft maintenance manual, including control of over outsourced maintenance with approved organizations.		
5	There is a system of management of repairs, occurrence reporting, repetitive failures, Minimum Equipment List (MEL) items and deferred defects.		
6	A process for the completion of maintenance and release to service, that is documented, and records created (certificate of release to service).		
7	Quality control processes, maintenance inspections processes are in place.		
8	Aircraft major modification process.		
9	Structural integrity program and for older aircraft an aging aircraft program.		
10	A process to obtain and assess continuing airworthiness information, and execution of associated instructions through engineering orders (airworthiness directives, service bulletins, service letters, manufacturer advisories, advice from the Type Certificate Holder).		
11	Damage tolerance evaluation procedures.		
12	A process of reporting occurrences to the authorities/manufacturer/Type Certificate Holder etc.		
13	Management of scheduled and unscheduled maintenance.		
14	There are structured work shifts and rostering, taking into account human factors, rest periods etc.		
15	There are suitably trained personnel for the maintenance control functions.		
C	**TOOLS, PRODUCT, EQUIPMENT & FACILITIES**	**YES**	**NO**
1	A system of inspecting and receiving incoming aeronautical product.		
2	There is a system of stock management and demanding aeronautical product that captures 'Aircraft on Ground' (AOG) situations.		
3	Segregation of serviceable aeronautical product and unserviceable items.		
4	Storage of aeronautical product is appropriate, provides protection, and in accordance with manufacturer/supplier's instructions (e.g. electro-static sensitive devices, glues, sealants, batteries, dangerous goods and chemicals).		
5	Management of life-limited items.		
6	The unit has a tool control program.		
7	The unit has the approved tools required to perform maintenance, and ground support equipment for operations and maintenance.		
8	Calibration system in place, to ensure calibrated tools, regular testing, serviceable tags, and records of calibration kept etc.		

		YES	NO
9	The unit has the appropriate facilities for the maintenance being undertaken.		
10	Safety equipment is present in the maintenance workshops (e.g. fire extinguishers, eye wash, ground static discharge).		
C	**TECHNICAL RECORDS**	**YES**	**NO**
1	Aircraft technical logbook entries and management.		
2	Records are kept for all maintenance activities, hours, cycles, calendar time for aircraft, engines, and life-limited components, and the release to service, including who has certified or performed the maintenance.		
3	Management of line and base maintenance, and unscheduled maintenance records (work packages etc.).		
4	A process for record-keeping of the implementation of airworthiness directives and equivalent continuing airworthiness information.		
5	Technical library containing all relevant technical data, manufacturer publications etc. for the aircraft and components that is maintained as current and approved.		

ASSESSMENT AND ADVISORY VISITS CHECKLIST - AVIATION SAFETY

	ACTIVITY	Yes	No
	INITIAL BRIEFING - ADVISORY		
1	Introduction to the UN Aviation Safety Regulatory Framework, applicability to the deployed military units (ASM)		
2	Overview of the UN Aviation Safety System and areas that military units interact and cooperate with mission aviation safety activities and functions (ASM)		
3	Overview of UN Military Aviation Unit Manual Annex D		
4	Aviation Safety roles within the military unit (Annex D)		
5	UN Aviation Risk Management, hazard identification, the military unit risk assessments and input to mission risk assessments (ASM)		
6	Aviation safety reporting, UN investigations and Boards of Inquiry (ASM)		
7	Aircraft inspections and aircrew briefing on arrival into mission (ASM)		
8	Mission Aviation Emergency Response Plans (ASM)		
9	Aviation safety promotion and training (ASM)		
10	Oversight of military units (ASM)		
	SCOPE OF AREAS TO BE ASSESSED		
A	**SAFETY MANAGEMENT**	**Yes**	**No**
1	The organisation/unit has an aviation safety program, appropriate to the size and complexity of the entity, is suitably documented (Policies, Plans, Directives, Regulations and Procedures) and readily available and implemented, maintained (regularly reviewed), and staff understand and comply with the program. The program covers all areas of aviation related functions (flight and ground safety), including maintenance, flight line, operations and logistics.		
2	The Aviation Safety Program includes Human Factors elements.		
3	The organisation/unit aviation safety policy and management commitment which promotes a positive safety culture and signed by the appropriate command level and reviewed regularly.		
4	The aviation safety program details the interfaces and coordination with external entities on aviation safety matters, including emergency agencies, investigating authorities, regulatory authorities, manufacturers and certifying authorities.		
5	A suitable aviation safety structure is established in the organisation/unit.		
6	Appointment of Safety Staff in the organisation and the unit including a Flight Safety Officer (FSO) and Ground Safety Officer (GSO).		
7	Management responsibilities in relation to aviation safety are defined, for all levels of management within the organisation/unit.		
8	Safety accountabilities for all levels of staff, where applicable, are defined and understood.		
9	The aviation safety program includes the establishment of a Flight Safety Council, and Unit Aviation Safety Meeting which meets monthly, with minutes recorded and retained, and includes representatives from across the unit.		

10	The organisation/unit has a suitably established document and records management system, which follows document control principles.		
B	**EMERGENCY RESPONSE PLANNING**	**Yes**	**No**
1	The organisation/unit has an emergency response plan or procedures, appropriate for the unit, readily accessible, and is reviewed regularly. The emergency response plan outlines the activation and cessation of the emergency response activities.		
2	Appropriate procedures are documents and implemented for relevant emergency activities, including overdue aircraft, and search and rescue plans.		
3	Responsible managers are defined with actions to undertake at the time of an accident and is understood by the relevant staff and managers.		
4	Emergency exercises/drills are performed regularly, with lesson learn adopted for continuous improvement.		
C	**AVIATION RISK MANAGEMENT**	**Yes**	**No**
1	The organisation/unit has an aviation risk management process that is documented, disseminated and readily available.		
2	The risk tolerance of the unit/organisation is defined with the specific levels for risk acceptance, mitigation or cancelling of operations, with the responsibilities for decision making.		
3	Hazards and risks are identified for aviation flight operations, facilities, airfields, equipment and related activities, with risks assessed in terms of severity, level of exposure and probability of occurrence, using an associated risk matrix.		
4	The risk decision making recording and communicating of risks is established and understood by relevant staff.		
5	The risk management processes include control and mitigation actions, including corrective/preventative actions to prevent recurrence of occurrences/deficiencies.		
6	The risk management processes include assessment of effectiveness of the risk controls and the periodic review of risks to verify validity of controls and ongoing existence of the risks.		
D	**SAFETY REPORTING**	**Yes**	**No**
1	A non-punitive safety reporting policy is established, that is appropriate for the military unit, outlining conditions where punitive action may be considered (e.g. illegal activity, negligence or wilful misconduct).		
2	The unit/organisation has a safety reporting system, including mandatory reporting and confidential reporting, and reporting to higher authority or external agency. The reporting system is accessible throughout the unit and suitable for the military.		
3	Safety reports are validated for accuracy of information and analysed to identify associated hazards and risks.		
4	Safety reports are reviewed at the appropriate level of command, safety review meeting, with feedback to the originator, and trends are monitored and analysed.		
5	Corrective and preventative actions are taken based on the analysis of the reported information, including sharing of the safety information, and follow up to ensure effectiveness of actions taken.		
E	**ACCIDENT/INCIDENT INVESTIGATION**	**Yes**	**No**
1	The unit/organisation has a process for the investigation of incidents and accidents, ensuring all reported occurrences are investigated.		

		Yes	No
2	The organisation/unit has aviation accident investigation qualified personnel to be able to conduct aircraft accident investigations.		
3	The investigation ensures that the contributing and root-causes are identified, including any associated hazards and risks, with resulting recommendations.		
4	Results of investigations are reviewed at the appropriate level of command, safety review meeting, and trends are monitored and analysed.		
5	Corrective and preventative actions are taken based on the investigation and follow up to ensure effectiveness of actions taken.		
6	The military has an accident investigation agency and supporting safety structure that conducts a 'State' investigation.		
F	**SAFETY ASSURANCE**	**Yes**	**No**
1	The organisation/unit monitors safety performance and conducts oversight, that is implemented, maintained and operationally independent of the unit and facilitates continuous improvement.		
2	The organisation/unit has a process to measure and monitor safety performance on a regular basis.		
3	The safety oversight program including documented periodic self-evaluations, safety surveys, reviews, and/or auditing of processes, procedures, safety reporting, corrective actions, and activities, that are conducted throughout the unit.		
4	The safety surveys/reviews/audits are conducted at regular intervals by trained and competent personnel.		
5	The results of safety surveys/reviews/audits are recorded, and timely corrective actions are taken to address the findings/deficiencies. Results of these activities are traceable and reported to the appropriate level of command.		
6	The unit conducts a review of the safety program, at regular intervals and identifies opportunities for improvement.		
7	The organisation/unit has a systematic approach to the management of change, which includes assessing the potential risks induced.		
8	The organisation/unit has processes to manage corrective actions from recommendations/findings/deficiencies/lessons learnt, with the intention to continuously improve safety in aviation operations.		
G	**SAFETY COMMUNICATION/TRAINING**	**Yes**	**No**
1	Communication process and safety information dissemination throughout the unit are in place, and are appropriate for the unit (e.g. posters, bulletin boards, electronic notifications, flight safety literature), including mechanisms for alerts or urgent safety information (Safety Alerts/Bulletins).		
2	The unit has mechanisms to share safety related information with external agencies and organisations (e.g. manufacturers, other operators, regulators).		
3	Safety communication including lessons learnt and outcomes of safety related activities, are disseminated throughout the unit and mechanisms are in place to assess the effectiveness of the communications.		
4	The organisation/unit has an aviation safety training program in place that includes initial, pre-deployment and recurrent training, for all unit personnel.		
5	The organisation/unit monitors training and proficiency of crew, assesses the effectiveness of training and undertakes remedial training as required.		
6	Training records are collected and retained for all personnel.		

7	The training conducted is kept current and up to date to reflect new technologies, techniques, results of investigations and corrective actions, and regulatory		
H	**AVIATION OPERATIONS**	**Yes**	**No**
1	The unit operations planning takes into consideration the risks (e.g. weather, dusty, heat, night, quals), hazards, fatigue, human factors etc.		
2	The unit has a process to monitor and manage crew duty limitations.		
3	The unit demonstrates a positive safety attitude, including the appearance of facilities, conduct of activities, welfare, and adherence to safety procedures.		
4	Reviews are conducted of technological developments to improve safety.		
5	There is a policy, and personnel use the appropriate safety equipment, including Personal Protective Equipment (PPE).		
6	The unit has a Foreign Object Debris (FOD) control program.		
7	Passenger operations: The aircraft is properly equipped and configured, and the unit has the appropriate safety procedures to meet the safety requirements for the carriage of passengers. For passenger (including combi - combined cargo and passenger) operations, the aircraft is certified for such passenger transport by the appropriate authority (including State of Design).		
8	Relevant safety procedures and information is readily available for operation control (e.g. overdue aircraft procedures, approach risks, airfield conditions).		
9	The organisation/unit has a process to ensure that crew meet the English language proficiency requirements of the UN (ICAO level 4) and maintain that level.		
10	The unit has flight crew briefing processes for induction and daily flight briefings, which includes the weather, air traffic conditions, hazards, risks and a reminder on safety reporting.		
10	RPAS: The unit has processes to manage a loss of link and contingency plans for aircraft recovery, with associated risk management strategies.		
11	RPAS: The unit has processes to inform and manage RPAS operations in national airspace, with associated risk management strategies.		
12	RPAS: The unit has procedures, training and equipment to support 'Detect, sense and avoid' conflicting air traffic, and enhancing the remote pilot's situational		
	VISIT DE-BRIEFING	**Yes**	**No**
1	Aviation Safety findings from the visit		
2	Aviation Safety recommendations		
3	Preparation of report		

THIS CHECKLIST IS TO BE USED IN ADDITION TO THE UN AVIATION REGULATORY FRAMEWORK UN AVIATION SAFETY MANUAL, DOS STANDARD OPERATING PROCEDURES AND UN MILITARY AVIATION UNIT MANUAL

ASSESSMENT AND ADVISORY VISITS CHECKLIST - ENGINEERING

The checklist for military engineering units will be developed in collaboration with the Department of Operational Support Office of Supply Chain Management Logistic Division Engineering Section and later on included as annex J to the assessment and advisory visit standard operating procedures.

ASSESSMENT AND ADVISORY VISITS CHECKLIST – UNMANNED AERIAL SYSTEM

(UAS) JOINT CELL

CLASS 2 AND 3 UAS
OPERATIONAL REQUIREMENTS

A	OPERATIONAL CONTROL	YES	NO
1	Unit/military structure, defining responsibilities of key roles		
2	Operations centre structure		
3	Air tasking		
4	Crew scheduling		
5	Operations planning and operational control		
6	ISR acquisition planning		
7	ISR exploitation planning		
8	Flight planning, submission of operation flight plan		
9	Crew briefing		
10	Authority of the PIC		
11	After mission reporting		
12	Post mission ISR analysis		
13	Post mission ISR product dissemination		
14	Ground handling, aircraft servicing and support equipment		
15	Dangerous goods procedures, training and awareness		
16	Security of aircraft		
17	Flight tracking (appropriate for military operations), flight following		
18	Sufficient facilities, resources and workspaces to undertake operations		
19	Training and recurrent training program for aircrew (including normal and non-normal operations), ground crew and operational support staff		
20	Drug & alcohol program		
21	Document & record management system		
B	SAFETY	YES	NO
1	Safety Management System (SMS)		
C	QUALITY	YES	NO
1	Quality Management System (QMS)		

TECHNICAL REQUIREMENTS

A	DOCUMENTATION	YES	NO
1	Cert. of Registration or equivalent N° and validity / /		
2	Cert. of Airworthiness N° and validity / /		
3	Cert. of Insurance N° and validity / /		
4	A/C Flight Manual (hard copy)		
5	Unit Operation Manual		
6	Aircraft operating Checklist; extended and Quick Reference (hard copy)		

7	Maps, charts, instrument approach charts (valid date and renewals) (hard copy)		
8	Electronic Flight Bag (if applicable) check certification		
9	Minimum Equipment List (MEL) (hard copy)		
10	Configuration Deviation List (CDL) (hard copy)		
11	DPO-DOS Aviation Manual/ UNMUM Aviation Manual (Check last version)		
B	**COCKPIT – GROUND CONTROL STATION**	**YES**	**NO**
1	General condition (checklist with a qualified pilot including walk around)		
2	Autonomous Navigation Systems (including lost link procedures)		
3	Transponder 3/A and C		
4	Radios (VHF-AM / HF / VHF-FM/UHF) & SATCOM		
5	Direction Finder (DF) with ELT 406 MHz tracking system		
6	Emergency Locator Transmitter (ELT) 406 MHz (check expiration date and accessible and safe location in the aircraft)		
7	Radio altimeter		
8	Weather Radar		
9	GPS (Aviation models with valid data base) check database update procedure and Satellite tracking		
10	CVR (Cockpit Voice Recorder) & FDR (Flight Data Recorder, non-photographic film)		
11	GPWS or TAWS (ask for system test)		
12	TCAS II / ACAS II version 7.1 (Collision Avoidance System) (ask for system test)		
13	RNAV / RVSM / MNPS / 8.33 KHz (where applicable, check certification)		
	GROUND CONTROL STATION / SAFETY EQUIPMENT	**YES**	**NO**
14	General internal condition		
15	Hand fire extinguishers (check expiration dates)		
16	Cabin crew stations & rest area		
17	First Aid Kit / Emergency Medical Kit		
18	Flashlight / torches		
	FLIGHT CREW/ FLIGHT DATA	**YES**	**NO**
19	Flight preparation (Ops Flight Plan)/performance calculation		
20	Military/Civilian License/English language/medical certificate/crew qualifications (including extra crew, Load masters, cabin Flight attendant)		
	COCKPIT /TECHNICAL LOGBOOK	**YES**	**NO**
21	Aircraft logbook & Maintenance release cert. (check power plant/airframe hours available)		
22	Defect notification & rectification procedure		
23	Pre-flight inspection (test with a qualified technician)		
C	**AIRCRAFT CONDITION (walkaround check list)**	**YES**	**NO**
1	General condition (corrosion, cleanliness, dents, etc.)		
2	Flight controls surfaces		
3	Wheels, tires & brakes		
4	Undercarriage & Wheel well		
5	Power plant and pylon		

6	Inlet, fan blades / Propellers / Rotors		
7	Obvious repairs		
8	Obvious un-repaired damages		
9	Leakages		
10	Aircraft exterior lights (check NVG compatible lights)		
11	Sensor suite		
D	**DOS SPECIFIC**	**YES**	**NO**
1	White paint with UN markings		
2	Global satellite tracking system		
3	Portable Satellite communications (INMARSAT/Thuraya/Iridium or equivalent)		

OPERATIONAL REQUIREMENTS

A	**DPO/DOS CREW REQUIREMENTS**	**YES**	**NO**
1	Pilot in Command – valid and current national Military Pilot License or equivalent based on the type of UAS or a Commercial Pilot License with Instrument Rating for the type of UAS/RPAS		
2	Copilot minimum – valid and current national Military Pilot License or equivalent based on the type of UAS or a Commercial Pilot License with Instrument Rating for the type of UAS/Remotely Piloted Aircraft System (RPAS)		
3	Sensor operator (could be combined with copilot task) - qualified on all sensor types		
4	Analyst(s) - qualified on all sensor types		
B	**UNIT OPERATIONAL TASKS**	**YES**	**NO**
1	Area Surveillance and Reconnaissance		
2	Observer/Monitor tasks (Test equipment including cameras or/and sensors)		
3	Fire Support / Deterrence (show of force) tasks		
4	Combat Search and Rescue (CSAR) capability		
5	Search and Rescue (SAR)		
6	Command, Control and Communications (C3) Platform		
7	Radio Relay (Check equipment)		
8	Imagery exploitation - phase 1 dissemination immediate		
9	Imagery exploitation - phase 2/3		
10	Signals Intelligence (SIGINT) exploitation - phase 1 dissemination immediate		
11	SIGINT exploitation - phase 2/3 detailed network analysis and gist of content		
12	Multi-INT – phase 4/fused analysis		
C	**AIRCRAFT/CREW TACTICAL CAPACITIES**	**YES**	**NO**
1	Desired operating range of 500 NM (limited by type on a case by case basis)		
2	Ops in hostile environment / forward area without flight handling services		

3	High altitude / tropical climates and dusty environment operations		
D	**OPERATIONAL EQUIPMENT/CAPACITIES**	**YES**	**NO**
1	Electro-Optical Infrared (EO/IR) Full Motion Video (FMV) sensor		
2	Synthetic Aperture Radar (SAR)/ Ground Moving Target Indicator (GMTI) sensor		
3	SIGINT/DF sensor		
4	FLIR (If applicable)		
5	Maximum readiness of 60 min take off when not pre tasked		
6	Operational in tropical climates and dust		
7	Unit available 24/7 (including maintenance personnel)		
8	Unit minimum availability		
9	Maintenance capabilities		

MAINTENANCE REQUIREMENTS

A	**MAINTENANCE MANAGEMENT**	**YES**	**NO**
1	The unit/military shall have a documented maintenance management system.		
2	Maintenance structure within the unit/military, with authority, responsibilities and accountabilities defined.		
3	There are sufficient personnel to undertake the maintenance functions.		
4	Maintenance personnel are suitably trained and remain competent for their maintenance role and tasks. Training records, attendance, certificated, training material; are retained.		
5	The unit has a document and records control system in place.		
B	**MAINTENANCE PLANNING & CONTROL**	**YES**	**NO**
1	The unit/military has a maintenance control manual or equivalent.		
2	The unit/military has an approved maintenance program that is appropriate for the aircraft type, systems, and the approved operations (EDTO, RVSM, etc) and those defined for the UN mission. There is a process for approval of amendments.		
3	A system for forecasting and tracking maintenance activities, tracking hours, cycles, calendar time for aircraft, engines, and life-limited components.		
4	All maintenance is to be performed with approved work orders in accordance with the aircraft maintenance program and the aircraft maintenance manual, including control of over outsourced maintenance with approved organisations.		
5	There is a system of management of repairs, occurrence reporting, repetitive failures, MEL items and deferred defects.		
6	A process for the completion of maintenance and release to service, that is documented, and records created (certificate of release to service).		
7	Quality control processes, maintenance inspections processes are in place.		
8	Aircraft major modification process.		

9	Structural integrity program and for older aircraft an aging aircraft program.		
10	A process to obtain and assess continuing airworthiness information, and execution of associated instructions through engineering orders (airworthiness directives, service bulletins, service letters, manufacturer advisories, advice from the Type Certificate Holder).		
11	Damage tolerance evaluation procedures.		
12	A process of reporting occurrences to the authorities/manufacturer/Type Certificate Holder etc.		
13	Management of scheduled and unscheduled maintenance.		
14	There are structured work shifts and rostering, taking into account human factors, rest periods etc.		
15	There are suitably trained personnel for the maintenance control functions.		
C	**TOOLS, PRODUCT, EQUIPMENT & FACILITIES**	**YES**	**NO**
1	A system of inspecting and receiving incoming aeronautical product.		
2	There is a system of stock management and demanding aeronautical product that captures 'Aircraft on Ground' (AOG) situations.		
3	Segregation of serviceable aeronautical product and unserviceable items.		
4	Storage of aeronautical product is appropriate, provides protection, and in accordance with manufacturer/supplier's instructions (e.g. electro-static sensitive devices, glues, sealants, batteries, dangerous goods and chemicals).		
5	Management of life-limited items.		
6	The unit has a tool control program.		
7	The unit has the approved tools required to perform maintenance, and ground support equipment for operations and maintenance.		
8	Calibration system in place, to ensure calibrated tools, regular testing, serviceable tags, and records of calibration kept etc.		
9	The unit has the appropriate facilities for the maintenance being undertaken.		
10	Safety equipment is present in the maintenance workshops (e.g. fire extinguishers, eye wash, ground static discharge).		
D	**TECHNICAL RECORDS**	**YES**	**NO**
1	Aircraft technical logbook entries and management.		
2	Records are kept for all maintenance activities, hours, cycles, calendar time for aircraft, engines, and life-limited components, and the release to service, including who has certified or performed the maintenance.		
3	Management of line and base maintenance, and unscheduled maintenance records (work packages etc.).		
4	A process for record-keeping of the implementation of airworthiness directives and equivalent continuing airworthiness information.		

5	Technical library containing all relevant technical data, manufacturer publications etc. for the aircraft and components that is maintained as current and approved.		

ASSESSMENT AND ADVISORY VISITS CHECKLIST - UNMANNED AERIAL SYSTEM
MANNED INTELLIGENCE, SURVEILLANCE, RECONNAISSANCE (ISR) AVIATION

OPERATIONAL REQUIREMENTS

A	OPERATIONAL CONTROL	YES	NO
1	Unit/military structure, defining responsibilities of key roles		
2	Operations centre structure		
3	Air tasking		
4	Crew scheduling		
5	Operations planning and operational control		
6	ISR acquisition planning		
7	ISR exploitation planning		
8	Flight planning, submission of operation flight plan, load control		
9	Crew briefing		
10	Authority of the PIC		
11	After mission reporting		
12	Post mission ISR analysis		
13	Post mission ISR product dissemination		
14	Ground handling, aircraft servicing, loading and support equipment		
15	Passenger and baggage handling		
16	Dangerous goods procedures, training and awareness		
17	Security of aircraft		
18	Flight tracking (appropriate for military operations), flight following		
19	Sufficient facilities, resources and workspaces to undertake operations		
20	Training and recurrent training program for aircrew (including normal and non-normal operations), ground crew and operational support staff		
21	Drug & alcohol program		
22	Document & record management system		
B	**SAFETY**	**YES**	**NO**
1	Safety Management System (SMS)		
C	**QUALITY**	**YES**	**NO**
1	Quality Management System (QMS)		

TECHNICAL REQUIREMENTS

A	DOCUMENTATION	YES	NO
1	Authorization to transport civilian passengers (if applicable)		
2	Cert. of Registration or equivalent N° and validity / /		
3	Cert. of Airworthiness N° and validity / /		
4	Cert. of Insurance N° and validity / /		
5	A/C Flight Manual (hard copy)		
6	Unit Operation Manual		

		YES	NO
7	Aircraft operating Checklist; extended and Quick Reference (hard copy)		
8	Maps, charts, instrument approach charts (valid date and renewals) (hard copy)		
9	Electronic Flight Bag (if applicable) check certification		
10	Minimum Equipment List (MEL) (hard copy)		
11	Configuration Deviation List (CDL) (hard copy)		
12	DPO-DOS Aviation Manual/ UNMUM Aviation Manual (Check last version)		
B	**COCKPIT (aircraft must be powered up with GPU ideally)**	**YES**	**NO**
1	General condition (checklist with a qualified pilot including walk around)		
2	Emergency exits		
3	IFR Navigation equipment (ADF/NDB, TACAN/VOR/DME, ILS)		
4	Transponder 3/A and C		
5	Radios (VHF-AM / HF / VHF-FM/UHF), SAT COM & inter-com. system		
6	Direction Finder (DF) with ELT 406 MHz tracking system		
7	Emergency Locator Transmitter (ELT) 406 MHz (check expiration date and accessible and safe location in the aircraft)		
8	Radio altimeter		
9	Weather Radar		
10	GPS (Aviation models with valid data base) check database update procedure and Satellite tracking		
11	CVR (Cockpit Voice Recorder) & FDR (Flight Data Recorder, non-photographic film)		
12	GPWS or TAWS (Terrain Avoidance Warning System) (ask for system test)		
13	TCAS II / ACAS II version 7.1 (Collision Avoidance System) (ask for system test)		
14	RNAV / RVSM / MNPS / 8.33 KHz (where applicable, check certification)		
15	NVG compatible (check cockpit and interior lights)		
	COCKPIT / SAFETY EQUIPMENT	**YES**	**NO**
16	Hand fire extinguishers (check expiration dates)		
17	Life jackets and floatation devices		
18	Harness (check with a crew member)		
19	Oxygen equipment		
20	Flashlight, torches		
21	Aircraft crash axe		
	FLIGHT CREW/ FLIGHT DATA	**YES**	**NO**
22	Flight preparation (Ops Flight Plan)/performance calculation		
23	Weight & Balance Sheet (check procedures)		
24	Military/Civilian License/English language/medical certificate/crew qualifications (including extra crew, Load masters, cabin Flight attendant)		
	COCKPIT /TECHNICAL LOGBOOK	**YES**	**NO**
25	Aircraft logbook & Maintenance release cert. (check power plant/airframe hours available)		

26	Defect notification & rectification procedure		
27	Pre-flight inspection (test with a qualified technician)		
C	**CABIN SAFETY**	**YES**	**NO**
1	General internal condition		
2	Cabin crew stations & rest area		
3	First Aid Kit / Emergency Medical Kit		
4	Survival Kit appropriate to the Mission Area		
5	Hand fire extinguishers (check expiration dates)		
6	Life jackets, flotation equipment		
7	Seats (condition) / safety belts (quick release metal to metal couplings)/shoulder straps for crew serviceable		
8	Emergency exits / Flashlight / "No Smoking" signs		
9	Slides/life-rafts, ELT (portable & for the rafts – if applicable)		
10	Oxygen equipment (cabin crew & passengers – if applicable)		
11	Personal breathing equipment, fire gloves and googles (if applicable)		
12	Passengers' Safety cards / briefing demonstration in English		
13	Cabin crew members procedures		
14	Public address system as per the A/C Manual		
15	Access to emergency exits (not blocked by luggage/cargo/etc)		
16	Toilets		
17	Seat capacity & Medical evacuation configuration		
18	Cargo/luggage loading/of loading procedure and equipment (LM)/including Dangerous Goods (SOP, Manual, crew certification, DG certificates, packing, emergency procedures)		
19	Cabin safety equipment, including cargo nets (certified and last inspection date clearly marked)		
20	Aircraft Interior lights		
D	**AIRCRAFT CONDITION (walkaround check list)**	**YES**	**NO**
1	General external condition (corrosion, cleanliness, dents, etc.)		
2	Doors & hatches		
3	Flight controls surfaces		
4	Wheels, tires & brakes		
5	Undercarriage & Wheel well		
6	Power plant and pylon		
7	Inlet, fan blades / Propellers / Rotors		
8	Obvious repairs		
9	Obvious un-repaired damages		
10	Leakages		
11	General condition of cargo cabin		
12	Aircraft exterior lights (check NVG compatible lights)		
13	Sensor suite		
14	Onboard analysis workstations (software type, condition/age of IT)		
E	**DOS SPECIFIC**	**YES**	**NO**
1	White paint with UN markings		
2	Global satellite tracking system		
3	Portable Satellite communications (INMARSAT/Thuraya/Iridium or equivalent)		

OPERATIONAL REQUIREMENTS

A	DPO/DOS CREW REQUIREMENTS	YES	NO
1	Pilot in Command 1000 hours FW with a minimum of 250 hours on type, 200 hours IFR and 50 hours night		
2	Copilot minimum of 100 hours on type, 100 hours total IFR and 30 hours total night		
3	NVG crew qualified as per national standards. Minimum 50 hours NVG		
4	Sensor operator (could be combined with copilot task) - qualified on all sensor types		
5	Airborne analyst(s) - qualified on all sensor types		
B	**UNIT OPERATIONAL TASKS**	**YES**	**NO**
1	Area Surveillance and Reconnaissance		
2	Observer/Monitor tasks (Test equipment including cameras or/and sensors)		
3	Fire Support / Deterrence (show of force) tasks		
4	Combat Search and Rescue (CSAR) capability		
5	Search and Rescue (SAR)		
6	Command, Control and Communications (C3) Platform		
7	Radio Relay (Check equipment)		
8	Imagery exploitation - phase 1 dissemination immediate		
9	Imagery exploitation - phase 2/3 onboard/offboard		
10	SIGINT exploitation - phase 1 dissemination immediate		
11	SIGINT exploitation - phase 2/3 detailed network analysis and gist of content		
12	Multi-INT – phase 4/fused analysis		
C	**AIRCRAFT/CREW TACTICAL CAPACITIES**	**YES**	**NO**
1	Number of troops with individual equipment		
2	Desired operating range of 250 NM (limited by type on a case by case basis)		
3	High Altitude Operations		
4	Day/night Visual Flight Rules (VFR)		
5	Day/night Instrument Flying Rules (IFR)		
6	Day/night Operations on HLS certified by the Mission (as per DPO Manual)		
7	Operations day/night on unprepared landing sites (as per DPO Manual)		
8	NVG operations on prepared / unprepared airstrips / unprepared landing sites		
9	Ops in hostile environment / forward area without flight handling services		
10	High altitude / tropical climates and dusty environment operations		
D	**OPERATIONAL EQUIPMENT/CAPACITIES**	**YES**	**NO**
1	EO/IR FMV sensor		

2	SAR/GMTI sensor		
3	SIGINT/DF sensor		
4	FLIR (If applicable)		
5	NVG compatible/internal and external lights (test with flight crew)		
6	NVG equipment including calibration kit (if applicable)		
7	Radar/Missile Warning Receivers/counter measures (Chaff &/or Flares)		
8	Maximum readiness of 60 min take off when not pre tasked		
9	Operation from FARP (Forward Arming and Refueling Point) as per DPO/DOS Manual		
10	Operational in tropical climates and dust		
11	Unit available 24/7 (including maintenance personnel)		
12	Unit minimum availability		
13	Maintenance capabilities		

MAINTENANCE REQUIREMENTS

A	MAINTENANCE MANAGEMENT	YES	NO
1	The unit/military shall have a documented maintenance management system.		
2	Maintenance structure within the unit/military, with authority, responsibilities and accountabilities defined.		
3	There are sufficient personnel to undertake the maintenance functions.		
4	Maintenance personnel are suitably trained and remain competent for their maintenance role and tasks. Training records, attendance, certificated, training material; are retained.		
5	The unit has a document and records control system in place.		
B	MAINTENANCE PLANNING & CONTROL	YES	NO
1	The unit/military has a maintenance control manual or equivalent.		
2	The unit/military has an approved maintenance program that is appropriate for the aircraft type, systems, and the approved operations (EDTO, RVSM, etc) and those defined for the UN mission. There is a process for approval of amendments.		
3	A system for forecasting and tracking maintenance activities, tracking hours, cycles, calendar time for aircraft, engines, and life-limited components.		
4	All maintenance is to be performed with approved work orders in accordance with the aircraft maintenance program and the aircraft maintenance manual, including control of over outsourced maintenance with approved organizations.		
5	There is a system of management of repairs, occurrence reporting, repetitive failures, MEL items and deferred defects.		
6	A process for the completion of maintenance and release to service, that is documented, and records created (certificate of release to service).		
7	Quality control processes, maintenance inspections processes are in place.		

8	Aircraft major modification process.		
9	Structural integrity program and for older aircraft an aging aircraft program.		
10	A process to obtain and assess continuing airworthiness information, and execution of associated instructions through engineering orders (airworthiness directives, service bulletins, service letters, manufacturer advisories, advice from the Type Certificate Holder).		
11	Damage tolerance evaluation procedures.		
12	A process of reporting occurrences to the authorities/manufacturer/Type Certificate Holder etc.		
13	Management of scheduled and unscheduled maintenance.		
14	There are structured work shifts and rostering, taking into account human factors, rest periods etc.		
15	There are suitably trained personnel for the maintenance control functions.		
C	**TOOLS, PRODUCT, EQUIPMENT & FACILITIES**	**YES**	**NO**
1	A system of inspecting and receiving incoming aeronautical product.		
2	There is a system of stock management and demanding aeronautical product that captures 'Aircraft on Ground' (AOG) situations.		
3	Segregation of serviceable aeronautical product and unserviceable items.		
4	Storage of aeronautical product is appropriate, provides protection, and in accordance with manufacturer/supplier's instructions (e.g. electro-static sensitive devices, glues, sealants, batteries, dangerous goods and chemicals).		
5	Management of life-limited items.		
6	The unit has a tool control program.		
7	The unit has the approved tools required to perform maintenance, and ground support equipment for operations and maintenance.		
8	Calibration system in place, to ensure calibrated tools, regular testing, serviceable tags, and records of calibration kept etc.		
9	The unit has the appropriate facilities for the maintenance being undertaken.		
10	Safety equipment is present in the maintenance workshops (e.g. fire extinguishers, eye wash, ground static discharge).		
C	**TECHNICAL RECORDS**	**YES**	**NO**
1	Aircraft technical logbook entries and management.		
2	Records are kept for all maintenance activities, hours, cycles, calendar time for aircraft, engines, and life-limited components, and the release to service, including who has certified or performed the maintenance.		
3	Management of line and base maintenance, and unscheduled maintenance records (work packages etc.).		

4	A process for record-keeping of the implementation of airworthiness directives and equivalent continuing airworthiness information.		
5	Technical library containing all relevant technical data, manufacturer publications etc. for the aircraft and components that is maintained as current and approved.		

ASSESSMENT AND ADVISORY VISITS CHECKLIST - INFORMATION AND COMMUNICATIONS TECHNOLOGY

Activity	Yes	No
Initial Briefing to the Member State		
Brief T/PCCs on - UN regulations and procedures concerning the provision of ICT services and equipment (incl. UN peacekeeping missions Military Signals unit Manual and UN scale of issue).		
- T/PCC's responsibility on proper preparation and training for the UN military signals unit.		
- T/PCC's contribution and the UN military signal unit tasks, including guidelines on the unit capabilities, organization, deployment options and functions.		
- the command and control structure within the mission.		
- the Planning Considerations on Signals Unit deployments to Missions		
General Information about the Member State		
Does the Communication Ministry have standards for ICT?		
What are the certification programmes and continues ICT education requirements for the Military ICT personnel?		
Does the military signals unit personnel have the specialized training for ICT personnel?		
Does the signals unit organization structure adhere to the SUR?		
Does the manning of the military signals unit ICT personnel adhere to the UN Military Signals Manual requirements?		
Signals Capabilities Assessment		
Verification of available Signals equipment - Does the unit have and know how to install, operate and maintain Ultra - High Frequency radios (UHF)?		
- Does the unit have and know how to install, operate and maintain Very High Frequency radios (VHF)?		
- Does the unit have and know how to install, operate and maintain High Frequency radios (HF)?		
- Does the unit have and know how to install, operate and maintain the Satellite Communication systems?		
- Does the unit have enough telephones as per the SUR and know how to install, operate and maintain the office and field telephones?		
- Does the Signal unit have Internet service provision (ISP) connection for self-sustainment as per the COE manual?		
- Does the unit have proper handling procedures for the different classification of data and material?		
- Does the signals unit personnel have the required language skills?		

- What is the signals unit operational capability to deploy to field missions?		
- Does the unit have the capability to be split into sections for possible deployment to remote locations in field missions?		
- Does the unit have the capability to install, operate and maintain UN Owned Equipment (UNOE)?		
- Does the signal unit display the capability to deploy and operate deployable command posts to enable temporarily deployed small command groups?		
- Does the signals unit display the capability to support the provision of the mission/force communications services to offices of the civilian component in the elevated risk areas?		
De-briefing		
OICT findings during the visit		
OICT recommendations		
Preparation of final report		

<u>**ASSESSMENT AND ADVISORY VISITS - REPORT OUTLINE**</u>

ASSESSMENT AND ADVISORY VISITS TO THE XXXXXXXXX OF THE PLEDGE FOR A XXXXXX UNIT
AAV REPORT (XXXX- XXXX) 20XX

Executive Summary

Pending the volume of the report a short Executive Summary (ES) may be added as the first page of the AAV report.

The ES should provide a brief history of the current and past status of the military/police contribution history to peacekeeping operations (or similar activities in case of emerging T/PCC), highlight the overall assessment of the units visited including, national decision-making process to take part of UN missions, the availability of COE, training programs, selection and vetting of personnel, female participation, environmental matters, human rights considerations, management systems, language skills and other important issues considered by the AAV Team leader.

The last paragraph of the ES must have a clear recommendation if the unit(s) is(are) to be accepted to UNPCRS Level 2 or if it(they) needs to provide future proof of correction of existing short falls.

The language on the Report should be more descriptive and direct, rather than subjective. It should avoid use of pompous adjectives and superlatives in order to maintain transparency and impartiality of the AAV team's considerations.

A. Introduction

1.   A UN AAV team, comprising the following members, travelled to (Name of the country) from (XXXX to XXXX).

-   Rank/title, first name, name, office/mission
-   Rank/title, first name, name, office/mission
-   Rank/title, first name, name, office/mission

B. Purpose of Visit

2.   The purpose should be the same as the one stated in the AAV ToR, which normally will be along the following lines: to assess the personnel, major equipment and self-sustainment capabilities of the country's pledged contributions in meeting operational and requirements as well as deployment readiness and timings / / to progress the pledge in PCRS. The terms of reference are attached at Annex A.

C. General Assessment

3.   Assess and explain the overall findings if the unit(s) were found overall to have the capability,

management systems and will be ready for deployment to a UN field mission / to progress the pledge in PCRS.

4. Assess and describe the readiness for personnel and equipment (major equipment, self-sustainment items and personnel equipment. Highlight key shortfalls and describe how these can be overcome prior to the deployment / progress registration in PCRS.

5. This paragraph can be divided in sub-paragraphs if more than one unit is assessed.

6. If more than one unit was assessed during the AAV, items D to L can be included in dedicated annex for each assessed unit. In this case, a final overall conclusion and recommendation will still need to be part of the main body of the report.

D. Specific Observations - Personnel

7. Summarize the organization, strength and structure of units in relation to the requirements in the respective UNMUM. Organizational diagrams and tabulated skills specializations should be attached in an annex.

8. Explain how personnel is recruited and selected to take part in peacekeeping or similar deployments and the ability of the T/PCC to maintain a prolonged contribution (future rotation), with qualified personnel, especially for specialized units.

9. Assess T/PCCs / unit's experience in peacekeeping operations, impressions of morale and bearing, numbers of females and language skills.

E. Specific Observations – Training

10. Summarize peacekeeping training structure as part of regular national system and any existing dedicated one for deployed troops, with any details of planned or undertaken training, including quality of training experience in UN peacekeeping operations, familiarity with mission structures, training requirements in critical areas and arrangements for continuing training in the mission.

11. Summarize the regular military/police training as part of the regular national system and any existing dedicated one for UN deployments, in particular for specialized units (e.g. Eng/Medical/Aviation/UAS/ISR).

12. Summarize any evaluation of the units generic UN military tasks demonstrated by the unit to the UN AAV team.

13. Make recommendations training support including aids, publications, references, specific pre-deployment training and how it might be delivered. More details should be part of the training annex.

F. Specific Observations – Major Equipment

14. Summarize key major equipment directly affecting the unit's operational requirements and readiness for deployment. Detailed records of issues arising, and recommendations.

15. Highlight the T/PCC ability to replace, if necessary, and maintain high levels of ME

serviceability, based on existing stock or planned procurement processes, including stocks and spares to support loss/damage to high value assets like manned and unmanned aircraft.

16.   More details should be part of the COE annex.

G. Specific Observations – Self-Sustainment Categories

17.   Summarize key issues regarding specific categories of self-sustainment and aspects of self-sufficiency. Detailed records of issues arising with specific units and their resolution should be part of the specific check-list annex.

18.   More details should be part of the COE annex.

H. Specific Observations – Environmental Management

19.   Highlight the T/PCC understanding of the DPKO-DFS Environmental Policy and related Environment Strategy for Peace Operations and summarize the pre-deployment training (National and UN) already done or planned to be done in regard to Environmental Management.

20.   Where a mission-specific AAV takes place, ensure the T/PCC is aware of the mission specific environmental challenges and related mission environmental guidance / standard / framework, including the camp environmental inspections criteria, and explain the concrete actions the T/PCC is planning to implement upon its arrival to ensure its reduced environmental impact, including the appointment of environmental/waste focal points, in accordance with guidance from OMA and OROLSI-PD.

I. Specific Observations – Decision-making

21.   Summarize key issues regarding the decision-making process of the national authorities with regard to actual deployment. Make any recommendations related to the T/PCC's eagerness to deploy and the length of time it might take the T/PCC to authorize this unit for deployment.

J. Specific Observations – Accountability and Human Rights Systems

22.   Assess the screening process (including criminal offences and/or violations of international humanitarian and human rights law) that will be used to nominate and certify personnel, including on which entity within the T/PCC will be responsible for conducting this process.

23.   Assess internal accountability and human rights systems that will be used when deployed to meet the requirements of UN policies, procedures and regulations, including a commitment by the T/PCC to embed national investigation officers in their contingent.

I. Specific Observations – (For specific type of unit's technical details)

24.   Summarize key issues related to technical details of military/police units that will impact its operational capabilities. Detail of the assessment will be provided by the subject matter specialist in the annexes to the report (e.g. Engineering, Aviation, Aviation Safety, UAS, ICT).

K. Conclusion

25.   Explain if the unit / capability (name of type of unit(s)) has the structure to generate, deploy

and sustain its contribution in a future deployment, and in case invited to deploy will be able to meet the UN requirements. Highlight key positive points observed and deficiencies in:

a. Personnel and accountability Systems

b. Training

c. Major and self-sustainment capabilities

d. Management Systems for specialized units

e. Deployment readiness

f. Caveats / limitations posed by the T/PCC

I. Recommendation:

26. The unit:

a. Can or cannot be elevated to level 2 in the PCRS

b. Needs support in meeting capability and accountability shortfalls

c. Needs more time to prepare but doesn't need support

J. Annexes:

27. Annex A

28. Annex B

29. Annex C

Signatures: **Signatures:**

AAV Team Leader   **MILAD/POLAD**