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United Nations
Department of Peacekeeping Operations /
Department of Field Support
Ref. 2016.04



Guidelines

Development of Mission-Specific Guidance

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Effective date: *1 May 2016*
Contact: *DPKO-DFS/DPET Policy and Best Practices Service*
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**DPKO-DFS GUIDELINES
ON
THE DEVELOPMENT OF MISSION-SPECIFIC GUIDANCE**

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A. PURPOSE

1. The purpose of these Guidelines is to support the guidance development process at the mission level, in line with the [DPKO-DFS Policy on Guidance Development \(2014.14\)](#), by assisting missions in the establishment of a clear and standardized guidance development system.

B. SCOPE

2. These Guidelines should be read in conjunction with the DPKO-DFS Policy on Guidance Development, which outlines the Departments' position on official guidance and the guidance development process. Building on the Policy, these Guidelines seek to provide advice on guidance development within missions.
3. These Guidelines shall apply to all mission personnel tasked with drafting, reviewing or approving mission-specific guidance. All mission personnel should be aware of these Guidelines.
4. Mission-specific guidance materials should conform to one of three categories: Policies, Standard Operating Procedures (SOPs), or Guidelines, as defined in Section F of these Guidelines. This guidance system does not govern directives, strategies, or other types of guidance issued by missions.
5. These Guidelines reflect a suggested course of action based on existing good practices and lessons learned. All missions are encouraged to consider developing a

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mission-specific SOP on Guidance Development based on these Guidelines and the DPKO-DFS Policy on Guidance Development.

C. RATIONALE

6. These Guidelines were developed following a review of current practice in missions with regards to mission-specific guidance material. The review indicated that while many missions issue mission-internal guidance, the formats, as well as the guidance development process (drafting, consultation, clearance, approval and promulgation processes) are not standardized, undermining the consistency of guidance provided to peacekeeping personnel.
 7. A clear and coherent guidance development system within missions that is in line with, and complements Headquarters (HQ) guidance, is a critical contribution towards effective, efficient and accountable peacekeeping operations. Mission-specific guidance also reflects an important body of knowledge that should be systematically shared across peacekeeping operations and with HQ. These Guidelines were developed to assist missions in the establishment of a clear and standardized system for guidance development, review and dissemination.
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D. PROCEDURES**Principles**

8. Mission-specific guidance materials are subordinate to, and must be consistent with, legislation of the United Nations governing bodies; United Nations regulations and rules; system-wide policies of the Secretary-General; and administrative issuances, including Secretary-General's Bulletins (ST/SGBs) and Administrative Instructions (ST/AIs)
9. Mission-specific guidance may be developed by the field missions at the discretion of the mission leadership, as required by existing HQ guidance or to fill guidance gaps where HQ developed guidance does not fully address mission-specific circumstances. All guidance developed and approved within missions must be consistent with relevant HQ guidance, including DPKO-DFS guidance materials.
10. Mission-specific guidance materials should specify the level of compliance in each document. Mandatory elements should be clearly identified. Managers and decision makers are expected to exercise judgement and common sense in applying guidance to the operational context.
11. Mission-specific guidance materials must be prepared using standardized templates and be issued a reference number. Each mission should develop a standard reference number system for such purpose.
12. Mission-specific guidance materials should be drafted and/or reviewed taking into full consideration lessons learned and good practices available in the various knowledge sharing reports and documents on the Policy and Practice Database (PPDB), available at <http://ppdb.un.org>.
13. Mission-specific guidance materials should endeavor to take into account cross-cutting issues, including gender mainstreaming, human rights integration, environmental impacts, and other issues, where relevant.

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14. Mission-specific guidance materials should specify a review date between one to three years after the effective date. Guidance materials may be reviewed, amended or rescinded prior to the set review date, as required by changing circumstances.
15. It is recommended that the Special Representative of the Secretary-General (SRSG) /Head of Mission (HOM) approve all mission-specific guidance documents in order to facilitate consistency and accountability of guidance across the mission. The SRSG/HOM may delegate oversight and approval of mission developed guidance to relevant senior managers, including the Chief of Staff (CoS), Heads of Military Components (HOMC) and/or Chief/Director of Mission Support (C/DMS), where required.
16. Mission-specific guidance should be classified by the drafting office according to the existing United Nations classification scheme on information sensitivity, classification and handling ([ST/SGB/2007/6](#)). All guidance material is expected to be 'unclassified' unless otherwise specified.
17. Should it be deemed necessary, effort should be made by the drafting office to translate mission-specific guidance into the working languages of the United Nations and/or the local language, as per operational requirements.

Process

18. The development of mission-specific guidance documents should follow a five-step procedure:

- | | |
|-------------|---------------------------------|
| Step One: | Proposal |
| Step Two: | Drafting and consultation |
| Step Three: | Clearance and approval |
| Step Four: | Promulgation and implementation |
| Step Five: | Review |

Step OneProposal

19. The need to develop new guidance, or to review or amend existing guidance materials, may arise from either:
 - Direct tasking from the SRSG/HOM, Force Commander or the mission's senior management;
 - Tasking or requirements from superior sources (e.g. ST/AIs, DPKO-DFS Guidance, Secretary-General's Bulletins or resolutions of the General Assembly or Security Council);
 - Substantive evidence of changing/improved practices, lessons learned, or new ways of handling an issue that necessitates modifications to existing guidance;
 - A recognized gap in existing official guidance, as identified through needs assessments, evaluations, lessons learned studies, quantitative/qualitative data analyses etc.; or
 - The expiration, termination or rescinding of previous guidance on the issue.
20. In addition to the circumstances defined in paragraph 19, any mission personnel member or office may propose the development of new, or revision of existing guidance materials.

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21. Any tasking for new guidance documents, or the revision or amendment of existing guidance, should:
- Assign clear lead responsibilities to an office;
 - Indicate parameters for the guidance material, both in terms of content and due dates; and
 - Determine whether a Working Group, consisting of representatives of key offices, should be convened to support drafting and consultation.
22. Proposals for mission-developed guidance should be well conceived and address a clearly identified requirement for guidance. It is recommended that proposals include plans for a sound monitoring and implementation strategy.
23. Drafting offices should seek advice on the development of a guidance proposal from the Policy and Best Practice Officer (PBPO) or Focal Point, who can provide advice on the process, and ensure coherence of guidance across the mission. They should also consult and take into consideration existing mission-developed guidance documents available on the PPDB.
24. Every guidance proposal should consider the following questions:
- Why is there a need for this guidance?
 - What is the mission's position on this issue at this time?
 - Is it an urgent/important issue? Is it an issue that is ready for formal guidance?
 - Is the proposing office the appropriate entity to lead the guidance development process?
 - Does the issue require new guidance or might the issue be better addressed through improved implementation or revision of existing guidance?
 - Is the proposed guidance material within the authority of the mission? Is there existing higher level policy cover for it?
 - How would the proposal affect related existing guidance within the mission and beyond?
 - Are other parts of the United Nations Secretariat, Agencies/Funds/Programmes, or the United Nations Country Team (UNCT) likely to be affected by the guidance?
 - What is the expected timeline for the development of the guidance material?
 - How will the guidance be promulgated and implemented? What is the timeframe for implementation of the guidance, once approved?
 - Are there any budget implications associated with the implementation of the guidance?
 - How will monitoring and evaluation of the guidance material be conducted?
 - How will existing lessons learned materials be considered when evaluating the effectiveness and need for updating existing guidance?
25. Proposals for guidance development should be presented to the Head of the lead office, who acts as a sponsor of guidance projects within his/her area of responsibility, and who should favorably consider most well-conceived guidance proposals, unless there are compelling reasons why the guidance would be inappropriate at the time.

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Step TwoDrafting and consultation

26. The Head of the lead office shall designate a lead drafter to undertake initial consultations on an outline of the guidance; to draft the guidance material; and to coordinate the consultation process.
27. To ensure a comprehensive consultation and drafting process, the lead drafter should:
- Contact the PBPO or Focal Point for general guidance on the drafting and consultation process and assistance with the identification of any existing DPKO-DFS best practices or lessons learned on the subject matter;
 - Research lessons learned, good practices and existing guidance on the subject matter from both within and outside the United Nations. The review should include practices, standards and processes established in other missions;
 - Consult all relevant stakeholders and offices on the draft guidance. Relevant stakeholders shall include mission components, DPKO-DFS headquarters offices, the Office of the High Commissioner for Human Rights (OHCHR) and any United Nations entities outside the mission that may be affected by the guidance. Relevant stakeholders will vary in each case and the PBPO or Focal Point may provide guidance on the consultation process;
 - Solicit and carefully consider input from relevant components and field offices, ensuring the inclusion of cross-cutting issues such as human rights; gender mainstreaming; child protection; HIV/AIDS; the environmental impact and sustainability; and local customs and constraints;
 - Consider whether and how external subject matter experts/consultants may be able to provide input, if necessary;
 - Review relevant existing guidance materials, determine whether and how these will be impacted, and notify relevant offices during the consultation process;
 - Consider any budget implications associated with the implementation and monitoring of the guidance.
28. It is recommended that guidance materials be accompanied by a roll-out and implementation plan, and a monitoring and evaluation plan, as specified in the DPKO-DFS Policy on Guidance Development. These plans should be considered and formulated during the drafting and consultation phase to ensure the final guidance document is realistically implementable. See Annexes D and E for a sample roll-out and implementation plan and monitoring and evaluation plan.
29. The roll-out and implementation plan should include actions that need to be taken to disseminate the guidance and its contents, as well as to ensure the implementation of its provisions. While the guidance document should define roles and responsibilities for implementation, the roll-out and implementation plan may provide further details on the actions required by those with a responsibility to implement the guidance. To the extent possible, these roles and responsibilities should be consulted with all relevant stakeholders during the drafting process. The roll-out and implementation plan may include the identification of training needs and outreach/awareness raising activities.

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30. The purpose of the monitoring and evaluation plan is to gauge progress in the implementation of the guidance and to inform the review of the guidance document (see Step Five: Review). Specifically, it may draw upon and measure against any office/unit action plans and should include plans to undertake lessons learned studies or after action reviews to assess good practices and challenges to implementation, which will in turn inform the review process.
31. Some guidance may require a “pilot” testing phase by the mission in order to better identify the needs within the area of specialization. Guidance may be piloted for a limited period of time identified by the drafting office, deemed sufficient for adequate testing. Lessons and practices drawn from the pilot phase shall inform further development of the draft guidance.
32. Terminology used in guidance materials should reflect common United Nations standards as much as possible. Additionally, the lead drafter should refer to the drafting tips, which are included in the templates for Policies and SOPs/Guidelines (See Annexes B and C).

Step ThreeClearance and Approval

33. When the drafting office determines that the draft has been adequately coordinated and consulted and is of sufficient quality, it should be submitted to the Head of the lead office for clearance. Guidance materials should be accompanied by a memo outlining the following:
 - Which offices were consulted during the process;
 - If any significant objections were raised during the consultation process and how they were addressed;
 - If there are any interagency implications and how they were addressed;
 - Whether the proposed guidance is consistent with all superior guidance materials;
 - Whether the guidance will affect existing mission-specific guidance materials, or materials under development. If so, provide a list of the concerned documents and how the relevant offices have been notified/consulted;
 - If there are any resource implications and if so, what these are;
 - Whether the guidance material reflects good known practice and whether other approaches were researched.
 - Whether the guidance material addresses cross-cutting issues, such as gender mainstreaming, human rights and other issues.
34. Once the Head of the lead office has cleared the draft, the drafting office should contact the office responsible for the registration of guidance materials to obtain a reference number before submitting the draft for formal approval. The reference number will be the official tracking system for all mission-developed guidance and is indicated on the cover page of all guidance documents.
35. For priority, contentious and/or cross-cutting guidance, it is recommended that prior to approval by the SRSG/HOM or relevant senior manager, the lead office, in consultation with the Office of the Chief of Staff, present the draft to the mission’s senior management team for endorsement to ensure broad buy-in within the mission.

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36. A memo detailing the consultation process and any potentially contentious or significant issues (as per paragraph 33 above) should accompany guidance materials submitted to the SRSG/HOM or relevant senior manager for approval.
37. The SRSG/HOM or relevant senior manager may decide not to approve any material s/he does not believe is of sufficient quality or has not met clearance requirements. At any time, the SRSG/HOM may rescind or suspend a mission-specific guidance document that s/he believes does not meet these requirements.
38. Guidance materials shall take effect on the first day of the month following approval by the SRSG/HOM or relevant senior manager, unless specified otherwise in the guidance document.

Step FourPromulgation and Implementation

39. Promulgation of the approved guidance shall be done according to the roll-out and implementation plan (paragraph 29). Approved mission-specific guidance materials should be disseminated widely within the mission and if appropriate, with the UNCT. Depending on the content and scope of the guidance document, the drafting unit, in coordination with the Office of the SRSG/HOM may determine the most appropriate method for dissemination to ensure it is brought to the attention of all relevant personnel. Implementation of the guidance should be monitored in accordance with the monitoring and evaluation plan (paragraph 30).
40. To ensure knowledge sharing across missions and HQ, the mission PBPO or Focal Point should provide the approved guidance to the Knowledge Management and Guidance (KMG) team in the Policy and Best Practices Services (PBPS) for uploading onto the Policy and Practice Database. The approved original version of the mission-specific guidance should be managed in accordance with the [Peace Operations Retention Schedules](#) (Ref. 2011.12). The Information Management Unit of the mission, where such units exist, should be able to provide advice on PORs.
41. Missions should ensure that a system is in place to register, store and track all mission-developed guidance documents, including by assigning reference numbers to guidance documents and ensuring follow-up on the periodic review of guidance. Such a mechanism should be managed by the mission's PBPO or Focal Point and/or be housed in the mission Chief of Staff office.

Step FiveReview

42. The Head of the lead office sponsoring the guidance document shall initiate a review of guidance materials under their responsibility. The original guidance document indicates a date for review (within a period of one to three years, as outlined in the Policy on Guidance Development). The SRSG/HOM or relevant senior manager may request a review of a guidance document at any time. Additionally, any change in the mission mandate; significant scaling up or down in staffing; change in the mission's operating environment; or any of the conditions outlined in paragraph 19, should result in a review of existing guidance.

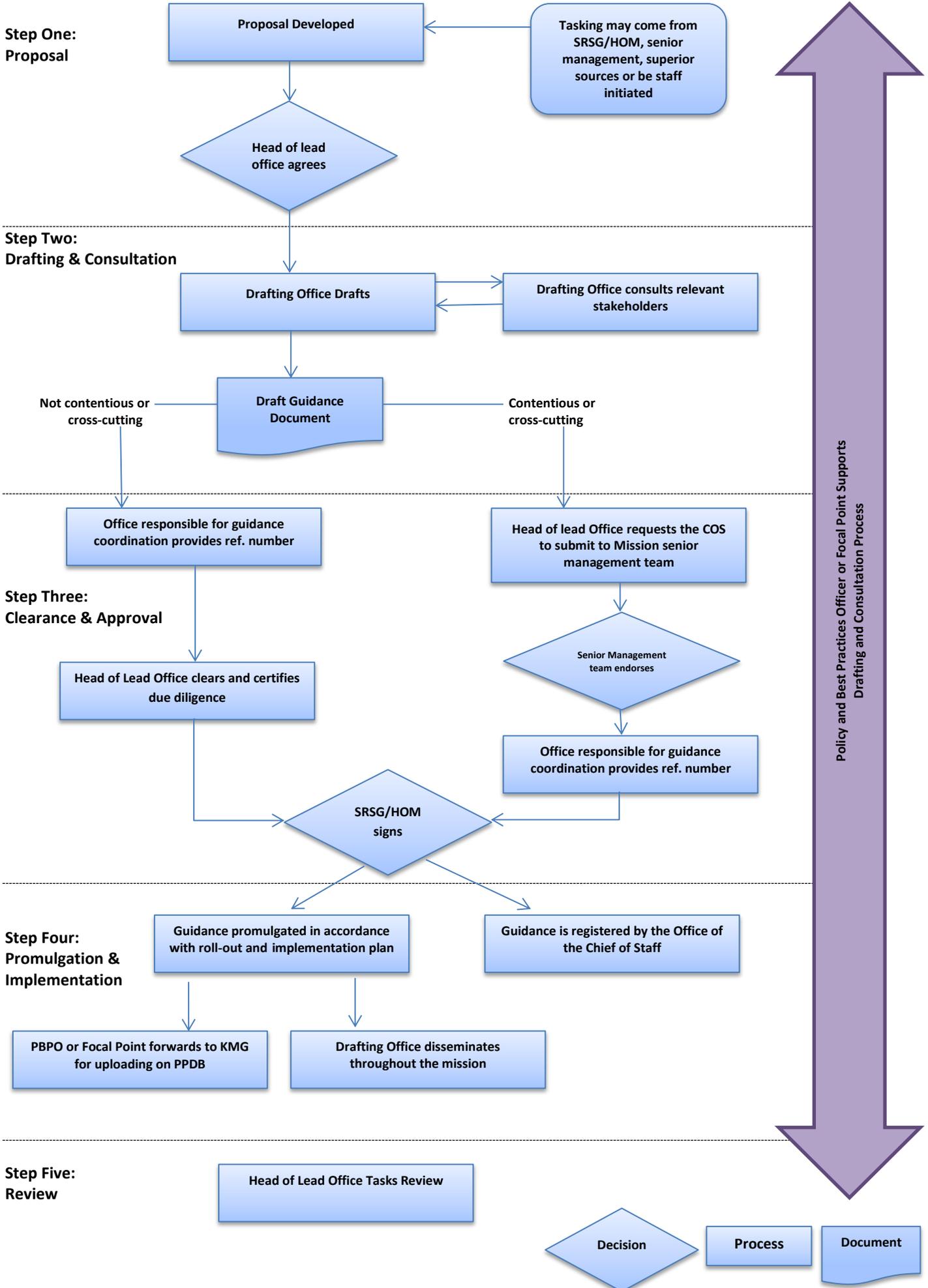
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43. The review should draw upon the monitoring and evaluation plan to gauge progress in the implementation and the ongoing applicability of the guidance material. The Head of the lead office shall determine the need for:
- Roll-over of the guidance for up to three years (paragraph 44);
 - Amendment of the guidance (paragraph 45);
 - Revision of the guidance (paragraph 46);
 - Replacement with new guidance (paragraph 47); or
 - A recommendation to rescind the guidance with no replacement guidance (paragraph 48).
44. In the event that a guidance document has reached its review point and the lead office does not consider that changes are required, the guidance can be rolled over for up to three years. In this case, the Head of the lead office should submit the guidance for approval, as per the approval process outlined in Step Three of these Guidelines, specifying a new date for review of the Guidelines. A memo outlining the reasons why the document does not require any changes should accompany the guidance material. Special attention should be paid to relevant Lessons Learned studies, After Action Reviews (AAR) and End of Assignment Reports (EoAR) that may contain feedback on the process or issue addressed in the guidance. Roll-over of guidance shall result in a new reference number being issued.
45. Guidance materials may be amended. Amendments refer to minor adjustments in the text, which do not significantly alter work processes or responsibilities contained therein. If guidance is amended prior to the review date, it shall not require a new reference number and the review date of the original document shall remain in force. Amended guidance materials supersede the previous versions. The SRSG/HOM or relevant senior manager shall have discretionary authority to determine whether a proposed change constitutes an amendment or a revision.
46. A revision of guidance constitutes a major change in processes and/or roles and responsibilities contained in a guidance document. Therefore, revisions shall follow the standard guidance proposal and development procedures described in these Guidelines. Revised guidance materials shall result in new reference numbers being assigned. Revised guidance materials supersede previous versions.
47. In cases where it is determined that existing guidance no longer reflects best practices, or in cases of substantial changes in the actual operating environment, new guidance should be developed to replace existing guidance. This guidance development should follow the procedures set out in these Guidelines.
48. Where a practice is no longer relevant in the context of the mission, the SRSG/HOM or relevant senior manager may determine the need to rescind the guidance material and not replace it with new guidance. The decision to rescind guidance may be based on the recommendation of the drafting office; however, the SRSG/HOM or relevant senior manager has the authority to terminate guidance at any time.

Procedural Flow

49. The mission-specific guidance development procedure is summarized on the following flowchart:

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E. ROLES AND RESPONSIBILITIES

50. The lead office is responsible for formulating a proposal for the mission-specific guidance; undertaking initial consultations on the outline of the draft; drafting the guidance material; coordinating the consultation process; disseminating approved guidance throughout the mission and to the PBPO or Focal Point; and ensuring monitoring and compliance. The lead office may determine whether a Working Group, consisting of key offices, should be convened to support drafting and consultation.
51. The Head of the lead office acts as a sponsor of guidance projects within his/her area of responsibility. The Head of the lead office is responsible for approving guidance proposals, designating a lead drafter of the guidance material; clearing drafted guidance prior to approval by the SRSG/HOM; and initiating a review of guidance materials under their responsibility.
52. The SRSG/HOM is responsible for the overall guidance development in his/her mission, including signing off on developed mission-specific guidance. Where required, the SRSG/HOM may delegate oversight and approval of mission developed guidance to the Chief of Staff (CoS), Heads of Military Components (HOMC) and/or Chief/Director of Mission Support (C/DMS).
53. The Office of the Chief of Staff, or another appropriate office tasked with coordinating guidance development within the mission, should keep track of all guidance under development to ensure proper coordination between offices. The same office within the mission should also be responsible for providing drafters with information on proper templates, clearances, consultations and approval processes. It is recommended this office develop and administer a system of numbering or otherwise identifying mission-developed guidance, as well as storing copies of all approved guidance.
54. The PBPO or Focal Point should assist the drafting office in accessing proper templates; identifying relevant lessons learned reports, guidance document and other materials; and communicating finalized mission-specific guidance to the Knowledge Management and Guidance team in HQ.

F. TERMS AND DEFINITIONS

55. For the purposes of these Guidelines, the following terms and definitions shall apply:

- Policy** A Policy provides an articulation of an institutional position, intent, and/or direction on an issue or activity in United Nations peacekeeping. A Policy is the basis for institutional consistency in managing peacekeeping issues. Compliance is mandatory.
- SOP** A Standard Operating Procedure (SOP) is a standing instruction on how to implement a specific task, process or activity, or how to achieve a desired result. It provides institutional recognition of best practice methods or steps to be followed unless ordered otherwise. Compliance is mandatory.

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Guidelines Any document that is not a Policy or SOP, that provides direction on a specific task, process or activity, shall be deemed a "Guideline". Guidelines may include manuals, handbooks, toolkits, or other similar instruction. Compliance shall be clearly specified within and throughout the document.

Best Practice Way of carrying out an activity that has proven its effectiveness in one situation and may have applicability in another situation.

Due Diligence

Due diligence relates to the responsibility of guidance drafters to ensure adequate research and consultation with relevant stakeholders and confirmation of accuracy and conformity with existing United Nations legislation, DPKO-DFS guidance and existing Mission guidance on the issue before a guidance document is presented for approval and promulgation.

Gender Mainstreaming

Mainstreaming a gender perspective is the process of assessing the implications for women and men in any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetrated. The ultimate goal is to achieve gender equality.

Human Rights Integration

Integrating human rights into mission-specific guidance development is the process of ensuring that guidance is compliant with human rights standards and procedures and contributes to the full integration of human rights into all aspects of the work of peace operations in line with the OHCHR-DPKO-DPA-DFS Policy on Human Rights in United Nations Peace Operations and Political Missions (2011).

Lessons Learned

Lessons that have been identified from past actions, projects and operations and which are being applied or taken into account. Lessons can be positive or negative, in that they may recommend that an approach be replicated or avoided in the future.

Mission-Specific Guidance

Mission-specific guidance includes Policies, SOPs and Guidelines developed by DPKO-DFS personnel in field missions, which is applicable only to the mission at which it was developed.

G. REFERENCES**Superior references**

- A. SGB on the [Organization of the Department of Peacekeeping Operations \(ST/SGB/2010/1\)](#)
- B. SGB on the [Organization of the Department of Field Support \(ST/SGB/2010/2\)](#)
- C. SGB on [Information sensitivity, classification and handling \(ST/SGB/2007/6\)](#)

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Related References

- D. [DPKO-DFS Policy on Guidance Development](#) (2014.14)
- E. [DPKO-DFS SOP on Guidance Development](#) (2014.15)
- F. [OHCHR-DPKO-DPA-DFS Policy on Human Rights in United Nations Peace Operations and Political Missions](#) (2011.20)
- G. [DPKO-DFS Guidelines on the Use of the Peacekeeping and Political Operations Retention Schedule \(PORS\) v.3](#) (2011.12)

H. MONITORING AND COMPLIANCE

- 56. In field missions, the implementation of these Guidelines shall be the responsibility of the SRSG/HOM, assisted by other senior managers, and the Mission PBPOs and Focal Points.
- 57. The Policy and Best Practices Service/DPET/DPKO-DFS shall monitor compliance with these Guidelines, with the support of the mission PBPOs and Focal Points.

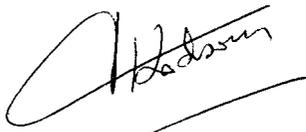
I. CONTACT

- 58. The contact office for this policy is the Policy and Best Practices Service/DPET/DPKO-DFS.

J. HISTORY

- 59. This is the first version of these Guidelines. No amendments or revisions have been made.

APPROVAL SIGNATURE:



**DATE OF APPROVAL:
APR 14 2016**

APPROVAL SIGNATURE:



**DATE OF APPROVAL:
APR 13 2016**

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Annex A

Annex A: Recommended List of Mission-Developed Guidance

Recommended Guidance to be Developed by Missions	Headquarters Equivalent and/or Superior Guidance (available on the Policy and Practice Database – http://ppdb.un.org)
Joint Operations Centres (Policy)	Policy on Joint Operations Centres (Ref. 2014.10)
Joint Operations Centres (Guidelines)	Guidelines on Joint Operations Centres (Ref. 2014.11)
Joint Mission Analysis Centres (Policy)	Policy on Joint Mission Analysis Centres (Ref. 2015.03)
Joint Mission Analysis Centres (Guidelines)	Guidelines on Joint Mission Analysis Centres (Ref. 2015.04)
Integrated Reporting (SOP)	SOP on Integrated Reporting from DPKO-Led Field Missions to UNHQ (Ref. 2012.01)
Crisis Management (SOP)	SOP on Headquarters Crisis Response in Support of DPKO-Led Field Missions (Ref. 2006.17) Policy on Headquarters-Level Crisis Management
Notification of Casualty (NOTICAS) (SOP)	SOP on Notification of Casualties in Peacekeeping Operations and Political and Peace-Building Missions
Code Cable Distribution and Management (SOP)	
Access to Sensitive Information (SOP)	SOP on Access to Information (Ref. 2010.36) Information Sensitivity Toolkit Information Sensitivity Classification and Handling (ST/SGB/2007/6)
Head of Mission's Directive on Training	Policy on Training for all United Nations Peacekeeping Personnel (Ref. 2010.20) Guidelines on Design, Delivery and Evaluation of Training (Ref. 2014.03)
Force Commander's Directive on Training	Policy on Training for all United Nations Peacekeeping Personnel (Ref. 2010.20)

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	Guidelines on Design, Delivery and Evaluation of Training (Ref. 2014.03)
Police Commissioner's Directive on Training	Policy on Training for all United Nations Peacekeeping Personnel (Ref. 2010.20) Guidelines on Design, Delivery and Evaluation of Training (Ref. 2014.03)
Mission Training Application Process (Guidelines or SOP)	Policy on Training for all United Nations Peacekeeping Personnel (Ref. 2010.20)
No Cost Official Travel (Guidelines or SOP)	
Roles and Responsibilities of Military, Police and Corrections Personnel in Information Sharing and Follow-up Action on Human Rights Violations (SOPs)	Policy on Human Rights in United Nations Peace Operations and Political Missions (Ref. 2011.20)
Implementation of the Human Rights Due Diligence Policy (SOP)	Human Rights Due Diligence Policy on United Nations Support to non-United Nations Security Forces (A/67/775-S/2013/110)
Mission-Developed Guidance (SOP)	Guidelines on the Development of Mission-Specific Guidance (Ref. 2016.04)
Initial actions on police operations support (SOP)	Guidelines on Police Operations in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2015.15)
Guidance on Police-Military cooperation	Guidelines on Police Operations in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2015.15); Policy on Authority, Command and Control in United Nations Peacekeeping Operations (2008.4)
Guidelines on protection of civilians (including as appropriate security for IDPs in POC sites)	Guidelines on Police Operations in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2015.15); Policy on Authority, Command and Control in United Nations Peacekeeping Operations (2008.4)
Guidance on Use of force	Guidelines on Police Operations in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2015.15);
Guidance on collection of information to support mandate implementation	Guidelines on Police Operations in United Nations Peacekeeping Operations and Special Political Missions (Ref. 2015.15);

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POC Implementing Guidelines for Mission Military Component (Guidelines)	Protection of Civilians: Implementing Guidelines for Military Components of United Nations Peacekeeping Missions (Ref. 2015.02)
SOPs on utilization of Military Unit Manuals for planning operations by Force Headquarters (SOP)	United Nations Peacekeeping Missions Military Unit Manuals (11 military manuals and UNIBAM)
Force Headquarters Organization, Roles and Responsibilities and Battle Rhythm (Guidelines for Force Headquarters and SOPs for each Staff Branch of FHQ and interactions with other Mission entities like JOC, JMAC, MSC etc)	United Nations Force Headquarters Handbook (Manual)
Planning and Implementing Contributing Country Reconnaissance Visits (Guidelines and SOP)	Planning and Implementing Contributing Country Reconnaissance Visits (Policy and Guidelines under revision)
Civil-Military Coordination in United Nations Integrated Peacekeeping Missions (Guidelines)	Policy on Civil-Military Coordination in United Nations Integrated Peacekeeping Missions (Ref. 2010.02)
Monitoring and Surveillance Technology in Field Missions (SOP)	SOP on Monitoring and Surveillance Technology in Field Missions (Ref. 2010.35)
National Support Elements (SOP)	Policy on National Support Elements (Ref. 2015.17)
Force Commander's Evaluation of Subordinate Military Entities in Peacekeeping Missions (SOP)	SOP for Force Commander's Evaluation of Subordinate Military Entities in Peacekeeping Missions (Ref. 2016.02)
Operational Readiness Assurance (ORA). Missions are to ensure they develop a tool to keep up the operational readiness of military entities during deployment (Guidelines)	Operational Readiness Assurance Policy (Ref. 2015.16)
Guidance on the Use of Force for Military Components (Guidelines)	DPKO-DFS Guidelines on the Use of Force (under development)
SOP or Guidelines on Cyber Security	
Mission Specific Occupational Safety Risk Management Programme	DPKO, DFS and DPA Field Occupational Safety Risk Management Policy (Ref. 2012.14) DPKO, DFS and DPA Field Occupational Safety Risk Management Reporting SOP (Ref.2012.16)

DPET welcomes any suggested additions to this list. Please contact peacekeeping-bestpractices@un.org with suggestions.

Annex B

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United Nations

Mission Name

Ref. [*Mission reference no.*]



TEMPLATE

Policy

[**Short Title**]

Approved by: *Name/title of approving officer*

Effective date: [*1st day of the month following approval*]

Contact: [*Office responsible for holding & maintaining the Policy*]

Review date: [*to be reviewed no later than this date(max 3 years)*]

Annex B

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POLICY ON
[Short Title]

Contents:	A. Purpose B. Scope C. Rationale D. Policy E. Roles and Responsibilities F. Terms and definitions G. References H. Monitoring and compliance I. Contact J. History
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ANNEXURES

A. TITLE

A. PURPOSE

1. [(*suggested length: 1 short para*) This section should provide a summary of the purpose or aim of the Policy. A Policy should be a concise, clearly written articulation of institutional expectations, parameters and/or broad methods for handling an issue or activity in United Nations peacekeeping. DPKO-DFS and Mission Policies provide clear interpretations of DPKO-DFS's position on, and objectives and responsibilities for handling important issues or activities. Policies are usually not highly detailed, but must be very clear. They provide the basis for consistent institutional behaviour by staff, and there is an expectation of compliance.]
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B. SCOPE

2. [(1 short para.) This section provides the scope of application of the Policy. It should identify who the Policy applies to as both primary and secondary audience. By identifying who the primary audience is, the reader can more easily interpret the intent of the Policy. The primary target may be all mission staff, or it may be focused on certain categories of staff or individual staff positions. This section should also indicate whether compliance is mandatory or recommended. In general, the implementation of DPKO-DFS and Mission policies is to be considered mandatory. However, within the provisions outlined in section D, the drafters should be clear to ensure that readers know what specific responsibilities may be implemented with flexibility, and which are mandatory.]
-

C. RATIONALE

3. [(1-2 short paras.) This section should present the justification or rationale for developing the Policy. It should justify the need for the Policy and the importance of following it to United Nations peace operations.

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4. The rationale may include the policy or evidentiary reasons (ideally empirical evidence) that drive the need for this Policy. The section should make reference to the security, political, administrative or other pressures that give rise to the requirement for a new Policy or a revision of an existing Policy. These pressures could include, for example, new emerging international standards, new Security Council mandated tasks, changes in industry best practices or DPKO-DFS field practitioner experiences, as well as lessons learned. The justification may also reference any recommendations or instructions to produce this Policy from senior leadership or governance bodies.]
-

D. POLICY**5. Content**

- 5.1. (3-4 pages maximum, ideally not more than 2-3) This section is the main body of the document. The format should best suit the content of the particular Policy but in all cases the Policy must be short and to the point. It is designed to convey the senior management's expectations of staff for handling an important issue or activity in United Nations peacekeeping. It should focus on clear and concise statements of authority and responsibility or key strategies, approaches, and parameters to help staff understand and achieve Policy objectives. A Policy is generally prescriptive and directive. It should set clear directions and parameters at a high level. A Policy is a standing document and the drafter should assume the approach to the issue will not change regularly.
- 5.2. The Policy should provide the essence of a senior management vision and/or objectives, as well as guiding principles and core activities expected of staff to help guide implementation of the policy approach. A Policy should only describe in very broad terms how to handle the issue in implementation. More detailed instruction may be provided in Standard Operating Procedures (SOPs) or Guidelines.
- 5.3. As required, this section may include some rationale or justification of why the issue is interpreted in a certain way and why this interpretation of the issues is important for United Nations peacekeeping. Where applicable, the Policy should include any qualitative and/or quantitative measurements that may be applicable to implementation of the Policy and to help measure the Policy's impact or effectiveness.
- 5.4. If it is anticipated that subsidiary guidance will flow from the Policy, such as SOPs or Guidelines, the Policy should provide sufficient parameters, interpretive guidance or guiding principles to allow for consistent subsidiary guidance development.

6. Format and drafting

- 6.1. The format of this Policy section should best suit the content of the particular Policy. Subsections with sub-headings may be established. Diagrams, illustrations or other graphics may be used in this section. Sub-headings, paragraphs and sub-paragraphs should be numbered for ease of reference.
- 6.2. Wording should be carefully considered. Policies may include language that is highly prescriptive for a compulsory activity (shall/shall not) or less prescriptive

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for recommended approaches (should/should not) or discretionary/optional
(may/may not).

- 6.3. Consistent and accurate verb usage should help to avoid confusion. The verbs recommended above should be used in place of others such as 'could/could not' (which may cause confusion regarding capability to possibility rather than discretion), 'will/will not' (which refers to a future action rather than a compulsion to act) or "must/must not" (which should only be used to connote a legal obligation).
- 6.4. Terminology used in guidance materials should reflect common standards as much as possible. Relevant guidance materials should be consulted to ensure the correct use of peacekeeping terminology (e.g. the Policy on Guidance Development should be referred to when defining Standard Operating Procedures).]

E. ROLES AND RESPONSIBILITIES

7. Any specific staff roles and responsibilities relevant to the implementation of the Policy should be made clear. Responsibilities should be identified and attributed to individual officer(s) or categories of officers (e.g. "The Chief of Staff shall be responsible for implementing..."). Detailed discussion of individual staff responsibilities, or timeframes and benchmarks on how to implement the Policy should be reserved for subsidiary guidance, such as SOPs and guidelines.
8. The Policy should also establish any general mission staff responsibilities, rights, obligations and/or prohibitions in relation to the issue or activity.

F. TERMS AND DEFINITIONS

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

Word or Phrase: Definition...

Word of Phrase: Definition...]

G. REFERENCES

Normative or Superior References

This section should include a list of any normative references (e.g. Resolutions, Rules and Regulations, international standards or other legal requirements) or superior United Nations policy guidance (e.g. SGBs, ST/AIs) from which this Policy derives its authority or which authorizes departmental action on this issue, or which binds the department to a certain interpretation, understanding or approach to the issue or activity.

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Related Policies

A list or short description of existing DPKO-DFS policies which should be read alongside this Policy, or which are relevant to this Policy.

H. MONITORING AND COMPLIANCE

9. [(1-2 paras) Where the Policy creates explicit or implicit expectations of compliance, it should include guidance on how the implementation of the Policy will be monitored. This should include a statement of roles and responsibilities for oversight and monitoring. If possible, the monitoring approach should be based on performance criteria to measure success of implementation of the Policy.]
 10. This section should also identify the consequences of non-compliance with the Policy. Generation of expectations of compliance without the capacity to enforce it may undermine the credibility of the Policy.]
-

I. CONTACT

11. [The contact information of the Mission office that developed the Policy. Do not use personal e-mail addresses, but rather a generic, departmental e-mail address.]
-

J. HISTORY

12. [This section should contain the dates of any reviews and modifications to this Policy. It should also identify earlier policies that were substantively altered, repealed or terminated as a result of the issuance of this Policy. If necessary, a schedule of amendment amendments may be added as an attachment.]
-

APPROVAL SIGNATURE:

APPROVAL SIGNATURE:

DATE OF APPROVAL:

DATE OF APPROVAL:

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United Nations

Mission Name

Ref. [**Mission reference no.**]



TEMPLATE

Standard Operating Procedure

Or

Guidelines

[**Short Title**]

Approved by: Name/Title of approving officer

Effective date: [**1st day of the month following approval**]

Contact: [**Office responsible for holding & maintaining the document**]

Review date: [**to be reviewed no later than this date(max 3 years)**]

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STANDARD OPERATING PROCEDURE or GUIDELINE
ON
[Short Title]

Contents:	<ul style="list-style-type: none"> A. Purpose B. Scope C. Rationale D. Procedures E. Roles and Responsibilities F. Terms and definitions G. References H. Monitoring and compliance I. Contact J. History
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ANNEXURES

TITLE [When drafting Guidelines, the document may also come in the form of, for example, a manual, handbook, toolkit, or other voluminous publication. If this is the case, this format should be used to provide the reader with a summary of the manual, handbook or toolkit and be signed by the USGs. The manual, handbook or toolkit should be Annexed to this format. The manual, handbook or toolkit may take any formatting that the authoring office deems appropriate].

A. PURPOSE

1. [(1 short para.) This section should provide a succinct summary of the purpose, aims and/or objectives of the Standard Operating Procedure (SOP) or Guideline. An SOP is a standing instruction that provides Mission staff with guidance on how to implement a specific task, process or activity, or to achieve a desired result. It provides institutional recognition of a best practice method or set of steps to be followed. Any document that is not a Policy or SOP, which provides direction on a specific task, process or activity, is deemed a "Guideline". Guidelines may include manuals, handbooks, toolkits, guidelines or other similar instruction.
 2. This template provides drafting tips for both SOPs and Guidelines. Where a tip is only applicable to either an SOP or a Guideline, this will be indicated. SOPs are detailed and carry an expectation of compliance. For Guidelines, compliance may or may not be mandatory for all or part of the document, and should be clearly specified throughout the document.]
-

B. SCOPE

3. [(1 short para.) This section provides the scope of application of the SOP/Guideline. It should identify who the SOP/Guideline applies to as both primary and secondary

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UNCLASSIFIED or CONFIDENTIAL or STRICTLY CONFIDENTIAL audience. By identifying who the primary audience is, the reader can more easily interpret the intent of the instructions. The primary target may be all mission staff, or it may be focused on certain categories of staff or individual staff positions. This section should also indicate whether compliance is mandatory or recommended. In general, the implementation of Mission SOPs is to be considered mandatory. For Guidelines, as specified in the provisions outlined in section D, drafters should be clear to ensure that readers know which specific responsibilities may be implemented with flexibility, and which are mandatory.]

C. RATIONALE

4. [(1-2 short paras.) This section should present the justification or rationale for developing the SOP/Guideline. It should justify the need for the SOP/Guideline and the importance of following it. It should explain why this SOP/Guideline is of importance to United Nations peace operations.
 5. The background rationale for the SOP/Guideline should include any evidentiary reasons (ideally empirical) or make reference to the political, bureaucratic or other pressures that have given rise to the requirement for a new SOP/Guideline or revision, e.g. emerging international standards, changes in best practices, field practitioner experience and lessons learned.]
-

D. PROCEDURES**6. Procedural Content**

- 6.1 This section is the main body of the SOP/Guideline. The Procedures section should contain clear and concise statements on how to complete an activity, execute a task or tasks, or achieve a result in the United Nations peacekeeping context. Remember that an SOP/Guideline is essentially a set of instructions about how to complete an activity, action or process. The focus of the SOP/Guideline should be on ensuring that the target user can achieve the desired results by following a series of steps.
- 6.2 Time should be taken before drafting to focus on exactly what information is to be conveyed to the user (the user should be defined in Section B: Scope) about how to execute a desired activity or process or fulfil a task. It is generally prescriptive in nature.
- 6.3 Procedures should be written in sufficient detail so that someone with limited experience with the procedure, but with a basic understanding of the subject, can successfully reproduce the procedure unsupervised. Ideally, SOPs/Guidelines should be written by staff knowledgeable of the activity who have performed or perform the activity that is the subject of the SOP/Guideline.
- 6.4 An SOP is written in the form of a series of technical or administrative activities, or sequential set of steps, to achieve an objective or complete a task. SOPs/Guidelines may, however, vary from this basic style to convey more complex guidance on how to implement an activity or achieve a result.
- 6.5 In all cases, the SOP/Guideline should convey clear institutional expectations of how to implement an activity, process or task. The SOP/Guideline should be as explicit as possible regarding group or individual responsibilities and any

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timelines as well as the expected outputs or achievements from following the
SOP/Guideline.

6.6 Where applicable, the SOP/Guideline should include qualitative and/or quantitative measurements to help monitor implementation progress.

7. Format

7.1 There are no strict rules on presentation or format for the Procedures section of this document. The format should best suit the content of the particular SOP/Guideline. Some documents will cover general procedures first, and then specific procedures later. Others reverse this approach.

7.2 Subsections with sub-headings may be established within this section as the drafter considers appropriate to assist ease of reading. All paragraphs and sub-paragraphs must be numbered for ease of reference.

7.3 A combination of formats may be used in drafting the SOP/Guideline. The SOP/Guideline may be drafted as a checklist type document or as a narrative description of how the activity is to be implemented. Diagrams, flow-charts, illustrations or other graphics are commonly used in SOPs and may be used in this section.

7.4 Wording should be carefully considered. SOPs may include language that is highly prescriptive for a compulsory activity (shall/shall not) or less prescriptive for recommended approaches (should/should not) or discretionary/optional (may/may not).

7.5 Consistent and accurate verb usage should help to avoid confusion. The verbs recommended above should be used in place of others such as 'could/could not' (which may cause confusion regarding capability to possibility rather than discretion), 'will/will not' (which refers to a future action rather than a compulsion to act) or "must/must not" (which should only be used to connote a legal obligation).

7.6 Terminology used in guidance materials should reflect common standards as much as possible. Relevant guidance materials should be consulted to ensure the correct use of peacekeeping terminology (e.g the Policy on Guidance Development should be referred to when defining Standard Operating Procedures).

7.7 Other drafting tips for SOPs/Guidelines:

- Use short, concise sentences;
- Present one idea at a time wherever possible;
- Use active voice verbs. Passive voice sentences can be lengthy and may be misinterpreted;
- Avoid jargon;
- Use position titles (rather than personal names of individuals);
- Avoid gender nouns and pronouns wherever possible;
- Use acronyms sparingly, and always write them in full the first time they are used; and
- Attach a glossary for large numbers of acronyms.

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E. ROLES AND RESPONSIBILITIES

8. Any specific staff roles and responsibilities relevant to the implementation of the SOP/Guideline should be made clear. Responsibilities should be written in an active tense (e.g. 'X shall perform the following...'). Responsibilities should be identified and attributed to individual officer(s) or categories of officers (e.g. "The Chief of Staff shall be responsible for implementing..."). Detailed discussion of individual staff responsibilities, or timeframes and benchmarks on how to implement the Policy should be presented where necessary.
9. The SOP/Guideline should also state any general mission staff responsibilities, rights, obligations and/or prohibitions in relation to the issue or activity, where these have not been addressed in the overarching Policy.

F. TERMS AND DEFINITIONS

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

Word or Phrase: Definition...

Word of Phrase: Definition...

G. REFERENCES**Normative or superior references**

This section should include a list of any normative references (such as resolutions, rules and regulations or international standards) or superior guidance (e.g. DPKO-DFS Policies, SGBs, ST/AIs) from which this SOP/Guideline derives its authority or which authorizes departmental action in this area, or binds the department to a certain interpretation, understanding or approach.

Related procedures or guidelines

A list or short description of existing policies that may be affected by, should be read alongside, or are relevant to, this SOP/Guideline.

H. MONITORING AND COMPLIANCE

10. [Where the SOP/Guideline creates any explicit or implicit expectation of compliance, it should include clear guidance on how the implementation will be monitored. It should include a statement of roles and responsibilities for oversight and monitoring, outlined in the section above. Wherever possible, the monitoring approach should be based on measurable performance criteria. These should be listed in this section, if applicable. This section should also identify the consequences of non-compliance with the compulsory aspects of the SOP or Guideline. The generation of expectations

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of compliance without the capacity or resources to enforce it may undermine the
credibility of the guidance system and the authority of the Headquarters.]

I. CONTACT

11. [The contact information of the Mission office that developed the SOP/Guideline. Do not use personal e-mail addresses, but rather generic departmental e-mail address.]
-

J. HISTORY

12. [This section should contain the date that this SOP/Guideline was first approved and issued. It should include the dates of each subsequent review and modification. It should also indicate any previous policies that were substantively altered, repealed or terminated as a result of the issuance of this SOP/Guideline. If necessary, a schedule of amendment dates and the amendments made should be added as an attachment.]
-

APPROVAL SIGNATURE:

APPROVAL SIGNATURE:

DATE OF APPROVAL:

DATE OF APPROVAL:

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Annex D

Annex D: Sample Roll-out and Implementation Plan

Activities	Responsibility	Timeline	Resource Implications
Identify key activities required to successfully disseminate and implement the guidance. Activities suggested below are not exhaustive, additional activities may be needed.	Who is responsible for undertaking the activity? E.g. Senior managers, drafting office, PBPO, IMTC or other as required.	What is the expected timeline for the completion of the activity? Or is it an ongoing activity?	What are the resource implications associated with each activity?
Dissemination			
Include plans to disseminate guidance throughout the Mission and uploading to relevant Mission guidance repositories.			
Forward signed guidance to the Policy and Best Practices Service (PBPS) for uploading to the Policy and Practice Database (PPDB), and Newsletter			
Sensitisation			
Identify and sensitise relevant offices and stakeholders on their roles and responsibilities in implementing the guidance.			
Brief relevant offices on the guidance and how it will affect their work			
Training			
Amend or develop relevant training material, as required.			
Implementation			
Include plans for the implementation of provisions within the guidance document.			

DPET welcomes any suggested changes to this template and/or additional examples. Please contact peacekeeping-bestpractices@un.org with suggestions.

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Annex E

Annex E: Sample Monitoring and Evaluation Plan

Activities	Responsibility	Timeline	Resource Implications
Identify key activities required to successfully disseminate and implement the guidance. Activities suggested below are not exhaustive, additional activities may be needed.	Who is responsible for undertaking the activity? E.g. Senior managers, drafting office, PBPO, IMTC or other as required.	What is the expected timeline for the completion of the activity? Or is it an ongoing activity?	What are the resource implications associated with each activity?
Monitoring			
Ensure relevant roles and responsibilities have been reflected in staff members' work plans.			
Schedule regular meetings with key stakeholders to further facilitate dialogue and information-sharing.			
Review Communities of Practice (CoP) activities to monitor implementation and users to ask questions and exchange information.			
Evaluation			
Conduct survey of implementation (among practitioners and stakeholders) prior to mandatory review of guidance.			
Undertake lessons learned studies or after action review exercises to assess good practices, gaps and challenges in its implementation. These should inform the review process.			

DPET welcomes any suggested changes to this template and/or additional examples. Please contact peacekeeping-bestpractices@un.org with suggestions.