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Standard Operating Procedures

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Force and Sector Commander's Evaluation of Subordinate Military Entities in Peacekeeping Operations

Approved by: Hervé Ladsous, USG DPKO; Atul Khare, USG DFS

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DPKO/OMA SOP
Force and Sector Commander's Evaluation
of Subordinate Military Entities
in Peacekeeping Operations

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A. PURPOSE

1. This standard operating procedure (SOP) describes a process by which Force and Sector Commanders should monitor, evaluate and improve subordinate unit performance in UN peacekeeping operations.

B. SCOPE

2. This evaluation process is designed to help Force and Sector Commanders identify and correct problems that affect subordinate unit performance. Subordinate units are evaluated by the Force and Sector Headquarters through a transparent process conducted in the spirit of cooperation and support. Remedial action for the evaluated units may include the provision of training, the application of directives and, if required, a unit capability review. This SOP is mandatory for all military entities in UN peacekeeping operations.
3. This SOP is a framework document and applies to all military component units (Force Headquarters, Sector, Battalion, Company and independent military units) in UN peacekeeping operations. This SOP focuses on performance evaluation and does not include evaluation of Contingent-Owned Equipment (COE) (governed by the COE Manual) or UN

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Military Observers (see *Roles and Training Standards for UN Military Experts on Mission*, DPKO, 1 March 2009 and DPKO's *UN Military Observers Handbook*, 2nd draft, 2001.)

4. This evaluation process involves a Force or Sector Headquarters team visiting each subordinate Force or Sector unit scheduled for evaluation, resulting in reported findings to the Force and Sector Commander and the evaluated unit commander (copy to the contingent commander). Any subsequent corrective action will be taken by the Force or Sector Commander and the evaluated unit, as appropriate, with the Office of the Military Adviser (OMA) at DPKO responsible for coordinating with TCCs to ensure that future deployed forces are better prepared.
 5. Force and Sector Headquarters evaluation visits under this SOP are conducted according to agreed pre-arranged schedules as determined by the Force or Sector Headquarters in close coordination with the subordinate unit. The procedures described herein provide Force and Sector Commanders an overall process and sample questions that can form the basis for evaluation of their subordinate units, according to the Force or Sector Commander's own specific guidance and directives.
 6. This SOP should be read in conjunction with DPKO/OMA Operational Readiness Assurance Guidelines.
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C. RATIONALE

7. UN peacekeeping increasingly involves complex mandates, asymmetric threats and multidimensional operations. These challenges, considered in light of each individual mandate, place great demands on the Force, which must execute its tasks under difficult circumstances. The conduct of military tasks requires close monitoring by the Force and Sector Commander, assisted by the Force and Sector Headquarters staff. Regular evaluation of subordinate units can proactively identify shortfalls and any necessary corrective action.
 8. Force and Sector Commanders, Force and Sector Headquarters staff and subordinate units will find this SOP useful in evaluating and improving military component performance in UN Missions. Force and Sector Commanders have the responsibility to know the capabilities, capacities and limits of the forces under their command. This SOP provides a process to further that aim.
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D. GUIDANCE

D.1. PERFORMANCE AND PRINCIPLES

9. Sectors, Battalions, Companies and independent units are sometimes judged by subjective impressions of the Force's overall performance in a particular operation. Other impressions of performance may result from casual observation as opposed to objective evaluation. Casual observations do not reveal the totality of unit capability; something only possible by means of an in-depth evaluation. Force Commanders and the evaluated units can greatly benefit from a more structured, systematic approach to identifying problems (as well as strengths).

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10. Subordinate unit performance evaluations should be guided by the following principles:

- Honesty and transparency;
- Cooperation between the Force Headquarters evaluation team and the evaluated unit;
- Objective rather than subjective measures of success as listed in the enclosed annexes;
- Regularly conducted evaluations;
- Wide-ranging areas of examination.

D.2. EVALUATION ORGANISATION

11. Evaluation Process (See also Annex A)

The process described in this SOP offers a framework for conducting structured, well-coordinated subordinate unit evaluations. Force Commanders have full authority and freedom to alter this process to best suit their needs, and should heavily involve Sector Commanders in the evaluation of military entities under their command. Sector Commander evaluation of subordinate units does not remove the evaluation responsibility from the Force Commander, and evaluation reporting to OMA at DPKO must still be through the Force Headquarters. There are two types of Commander evaluations.

The initial Force or Sector Commander evaluation takes place two to three months after a unit's arrival in the Mission, and is primarily for internal Force use. This initial evaluation provides Force and Sector Commanders a quick assessment of an evaluated unit's manpower and fitness for purpose.

This SOP, however, focuses on the primary, more comprehensive and detailed evaluation that takes place at the Force or Sector Commander's discretion sometime during the evaluated unit's remaining nine or ten months in the Mission. Given the relatively short duration (twelve months) of a typical deployment, the emphasis in this evaluation process is on rectifying any issues for units coming to the Mission in the next deployment of replacement units.

A Force or Sector Commander's evaluation of subordinate units typically proceeds according to the following process:

- During the Contingent Commanders Conference,¹ the Force or Sector Commander describes the evaluation process and discusses the scheduling² of the initial or primary (more comprehensive) evaluation visits with subordinate military commanders, taking into consideration the different lengths of the various contingent deployments, and the organization/national composition of the different units.
- After the conference, a schedule of Force and Sector Headquarters evaluations is circulated to subordinate military units (copy to contingent commanders and Sector/Brigade Commanders) with a request to provide comments. The Force or Sector Commander may choose to conduct his evaluations in coordination/synchronization with COE evaluations, etc.

¹ See the UN Force Headquarters Handbook (November 2014), paragraphs 3.6.1 and 3.6.2, page 45.

² Ideally, each unit should be evaluated at least twice during its operational tour.

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- Before the agreed primary evaluation date, the Force or Sector Commander should request a pre-evaluation report from the subordinate military entities scheduled for the Force or Sector Commander's evaluation. The Force or Sector Commander may decide to develop a standardised format for these reports. The pre-evaluation report for primary evaluations produced by the subordinate military entities should include, but is not limited to, areas of concern and progress made since any previous evaluations.
- Before the Force or Sector Commander's initial or primary unit evaluation, an evaluation plan is developed.
- Before the Force or Sector Commander's evaluation, an evaluation directive is prepared by the evaluation team leader and signed by the Force or Sector Chief of Staff on behalf of the Force or Sector Commander. This directive includes the approved evaluation plan.
- Before the Force or Sector Commander's initial or primary evaluation, the evaluation team leader provides the subordinate unit commander a request for key documents that will be reviewed by the team before visiting the subordinate unit. Key documents include commander's guidance and directives, SOPs, plans, battle rhythms, etc. At the same time, the evaluation team leader starts the coordination of practical requirements for the visit. The evaluation team will follow the approved evaluation plan signed by the Force or Sector Chief of Staff. No evaluation plan changes should be introduced unless approved by the Force or Sector Headquarters.
- Upon completion of the Force or Sector Commander's evaluation, the evaluation team leader briefs the unit commander on the team's preliminary findings.
- Two weeks after the Force or Sector Commander's evaluation, an evaluation report is produced and forwarded to the evaluated unit through the chain of command.
- Two weeks after the Force or Sector Commander's evaluation report is received, the evaluated unit should develop an internal performance improvement plan and share it with Force or Sector Headquarters through the chain of command.
- Quarterly, the evaluated unit should provide the Force or Sector Commander, through the chain of command, an update on the unit's progress.

Annex B provides generic, sample evaluation questions including crosscutting topics such as Protection of Civilians, human rights, gender, etc. Depending on Mission-specific requirements and the particular contingents involved, Force Commanders have full authority and freedom to adjust the questions used during the evaluation of a Sector or other subordinate headquarters (for further guidance and suggestions, see DPKO's Force Headquarters Handbook). As with Annex B, Annex C provides sample questions that can be raised during an evaluation of other subordinate units. For further guidance and suggestions, see the UN Infantry Battalion Manual and the UN Military Unit Manuals (UNMUM) for greater detail on the employment, capabilities, tasks and organization of the various types of military units (including aviation and maritime). Each of the UNMUM contains separate chapters on training and evaluation that offer sample questions, including questions appropriate for the tactical level. If a Force Commander so desires, he/she may standardize the evaluation check-list for each type of contingent in the Mission.

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12. Evaluation Team Composition

An evaluation team may vary in composition and size according to its tasks in the Force or Sector Commander's evaluation directive. The Force or Sector Commander defines an appropriate team based on the specific areas requiring evaluation. Depending on the areas being evaluated, the Force or Sector Commander may involve Sector, Force and Mission subject matter experts as part of the evaluation team. Such experts could include, but are not limited to, gender advisors, personnel specialists, etc. If not available from within the Sector, Force or Mission, specialists are obtained from outside elements, including UNHQ. Below is one example of an evaluation team:

Team Leader	Lt Col U1-U7
Members	Officers as required
Specialists	Specialists from inside or outside the Mission/military component (as needed)

13. Evaluation Report

Once the evaluation is completed, the Force or Sector evaluation team prepares a detailed and comprehensive evaluation report. The details of each evaluation and recommendation should be discussed with the evaluated commander. Units are evaluated in compliance with the sample checklists at Annexes B and C. The comprehensive evaluation report is shared with the evaluated unit, which must develop its own corrective action implementation plan.

Force Commanders are also invited to submit, once a quarter, a summarized and consolidated report of Force and Sector evaluations and findings to OMA at DPKO for UN Headquarters information and action as appropriate. These reports will be discussed with relevant TCCs to better identify and remedy specific, TCC contingent shortfalls. At UNHQ, generic lessons from these reports will be entered into DPKO's Division for Policy, Evaluation and Training database (without mentioning the specific TCC or evaluated unit) regarding best practices and lessons learned.

The consolidated evaluation report sent to OMA should comprise a summary of the strengths and weaknesses of the different units evaluated, focusing on:

- The performance of the evaluated entity and progress made from any previous evaluations.
- Ability to perform the specific capabilities and tasks required in the evaluated entity's Statement of Unit Requirement and applicable UN Military Unit Manual for that particular type of unit.
- Recommendations for the evaluated unit's improvement, or the improvement of replacement units, including a statement of additional resources required from Sector, Force, Mission Headquarters, TCCs or UN Headquarters. Recommendations for improvement may include actions to address personnel skills and capabilities, training, manpower strength, equipment capabilities, readiness and logistical requirements.

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E. ROLES AND RESPONSIBILITIES

14. The Force Commander has the responsibility to ensure that all military component units are aware of this evaluation process.
 15. The Force Commander is also responsible for establishing, and adjusting as needed, the relevant Force performance evaluation measures.
 16. The evaluated unit is responsible for ensuring that recommendations for performance improvement provided in the evaluation report are implemented to the best of its ability, and progress reported to the Force Commander through the chain of command, in accordance with this SOP.
 17. Travel and subsistence costs for the evaluation team will be covered by the Force Headquarters budget.
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F. TERMS AND DEFINITIONS

Evaluation: The structured process of examining activities, capabilities and performance against defined standards or criteria.

Military Contribution: Any given military individual or formed military contingent provided or identified for contribution to a UN peacekeeping operation.

G. REFERENCES

Superior Reference

DPKO-DFS, United Nations Peacekeeping: Principles and Guidelines (2008) ("Capstone Doctrine"). The UN Capstone Doctrine, along with other important UN policy documents including those below, is available at the following UN links:

"Policy and Practice Database," accessible only to UN staff on the UN network (including field Missions) at:

http://ppdb.un.org/Nav%20Pages/PolicyFramework_Default.aspx and, "Resource Hub," recently developed for Member States to access UN documents including the Military Unit Manuals at: <http://research.un.org/en/peacekeeping-community>

Related Policies and Manuals (available at the links above)

- A. DPKO-DFS Force Headquarters Handbook (November 2014)
- B. DPKO-DFS Operational Readiness Assurance Guidelines (under development) (2015)
- C. DPKO-DFS Standard Operating Procedure on Evaluation of Force Headquarters in Peacekeeping Operations (under development) (2015)

- D. DPKO-DFS, United Nations Infantry Battalion Manual (August 2012)
 - E. DPKO-DFS, United Nations Military Unit Manuals, (eleven volumes, 2015).
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H. MONITORING AND COMPLIANCE

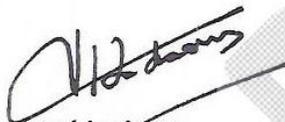
- 18. Implementation of this SOP is monitored by the Office of the Military Adviser, DPKO.
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I. CONTACT

- 19. The contact for this SOP is DPKO/OMA/Policy and Doctrine Team at UNHQ New York.
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J. HISTORY

- 20. This is the first version of this SOP, which is expected to be implemented by January 2016. This SOP will be considered for revision in January 2018.
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Hervé Ladsous
Under-Secretary-General
Department of Peacekeeping Operations

DATE OF APPROVAL: JAN 18 2016


Atul Khare
Under-Secretary-General
Department of Field Support

DATE OF APPROVAL: 14/1/2016

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Annex A

Evaluation Process

Timeframe	Action	Responsibility
During Contingent Commanders Conference	<ul style="list-style-type: none"> • Presentation of the FHQ evaluation cycle • Presentation of procedures 	Force, Sector and Contingent Commanders
After the Contingent Commanders Conference	<ul style="list-style-type: none"> • Draft schedule of evaluations circulated to the subordinate military entities for adjustments 	FHQ
Before the primary evaluation	<ul style="list-style-type: none"> • Subordinate military unit Commander's self-evaluation report. 	Force, Sector and Contingent Commanders
Before any evaluation	<ul style="list-style-type: none"> • A draft evaluation plan is developed 	FHQ/FC Evaluation Team
Before any evaluation	<ul style="list-style-type: none"> • The Force Commander signs the directive for evaluation (includes the evaluation plan) 	FHQ/FC
Before the evaluation	<ul style="list-style-type: none"> • The evaluation team requests the list of documents to be reviewed before the evaluation and starts all practical arrangements for the evaluation visit with the focal point in the entity being evaluated. 	Evaluation Team
EVALUATION	<ul style="list-style-type: none"> • During the visit, the evaluation team will follow precisely the agreed plan. <u>No changes should be introduced unless mutually agreed by Force or Sector HQ and the evaluated unit.</u> 	Evaluation Team
Upon completing evaluation	<ul style="list-style-type: none"> • Evaluation team leader briefs the evaluated entity commander on the team's preliminary findings. 	Evaluation Team Leader
Two weeks after the evaluation	<ul style="list-style-type: none"> • The Evaluation Team produces a report • The report is shared with the evaluated entity 	Evaluation Team
Two weeks after receipt of the evaluation report	<ul style="list-style-type: none"> • Evaluated entity shares with Force or Sector HQ its performance improvement implementation plan 	Evaluated entity
Four times a year	<ul style="list-style-type: none"> • Subordinate entities update Force or Sector HQ on progress made 	Evaluated entity

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Annex B

Sector Headquarters Evaluation Checklist

This checklist is a generic sample developed for the evaluation of a Sector Headquarters. This checklist should be adjusted according to Force Commander's guidance. The Force Commander has full freedom to modify this checklist and develop a more quantified evaluation system. Sector Headquarters evaluations should be standardized at Force level.

Values are: (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)

Generic questions related to all Branches (U1-U9)	Circle the Value
Are all officers (Sector Cdr, Staff Officers (SO)) familiar with their responsibilities?	(UNSAT) 1 2 3 4 5 (Excellent)
Do SO have the required expertise to fulfill their postings?	(UNSAT) 1 2 3 4 5 (Excellent)
Can the Sector Headquarters (SHQ) and Branches operate 24/7?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the required equipment (telephone, radio, network, computers, etc.) available for the SO to effectively do his/her job?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a training program in the Branches for implementation of new guidance or manuals?	(UNSAT) 1 2 3 4 5 (Excellent)
How is the general flow of information in the various Branches?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the facility rehearse actions in case of attack?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a clear policy on how the staff should handle personal weapons?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the evaluated facility well located and suitable to meet its mandated tasks?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch follow an internal and external Sector HQ Battle Rhythm (BR)?	(UNSAT) 1 2 3 4 5 (Excellent)
Are BRs known and used by the staff?	(UNSAT) 1 2 3 4 5 (Excellent)
Is first aid training conducted and is the staff confident with it?	(UNSAT) 1 2 3 4 5 (Excellent)
Is refresher training for MEDEVAC conducted on a regular basis in the Branch?	(UNSAT) 1 2 3 4 5 (Excellent)
Have personnel had all the required medical procedure conducted before deploying?	(UNSAT) 1 2 3 4 5 (Excellent)
Are there any vacancies in the organization?	(UNSAT) 1 2 3 4 5 (Excellent)
Despite gaps, can the Branches continue doing their tasks?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the facility have classified areas for operational purpose?	(UNSAT) 1 2 3 4 5 (Excellent)

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Personnel and Administration Staff Branch (U1)	Circle the Value
Does the Branch have a clear picture of the strength status and structure of the units deployed in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch planning and conducting arrangements as needed (medal parade, handover, leave, etc.)?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch keep records of performance evaluation forms for Experts on Mission (EOM) and SO?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there an updated job description for each SO?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch managing Sector welfare and recreation activities?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for the administrative tasks within the Branch and subordinate units?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BR?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UN manuals and handbooks (U1-U9 or subordinate units)?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch act as the lead for implementing Screening and Human Rights and Due Diligence Policy in the SHQ?	(UNSAT) 1 2 3 4 5 (Excellent)
<p>Summary of performance:</p> <p>Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)</p>	

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Military Information Staff Branch (U2)	Circle the Value
Does the Branch support the Commander with military intelligence (INTEL) for achieving military objectives in the Sector/Force?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch providing INTEL to U3/U5 planning on time? [Crosscheck with U3/U5.]	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch providing the required input to the Military Operations Centre in a timely manner? [Crosscheck with the Military Operations Centre.]	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch coordinating with the FHQ, JOC, JMAC and other integrated Mission components?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the commander's critical information request directing the INTEL cycle?	(UNSAT) 1 2 3 4 5 (Excellent)
Does a sufficient collection plan exist?	(UNSAT) 1 2 3 4 5 (Excellent)
Are Requests for Information used?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a plan for source utilization and management?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch maintaining an updated situational awareness?	(UNSAT) 1 2 3 4 5 (Excellent)
Are threat assessments conducted?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding INTEL in the Branch, HQ and within the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all SO in the Branch?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training on all SOPs conducted?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BRs and SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UN manuals and handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the collection plan updated as required?	(UNSAT) 1 2 3 4 5 (Excellent)
Do subordinate units use the collection plan for their collection?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch coordinating INTEL collection in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Is coordination conducted with FHQ, neighboring entities and Missions?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch doing forward-looking INTEL analysis?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch coordinating INTEL with the Mission's human rights element?	(UNSAT) 1 2 3 4 5 (Excellent)
<p>Summary of performance:</p> <p>Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)</p>	

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Operations Staff Branch (U3)	Circle the Value
Is the Branch providing the HQ with the required FRAGOs, Warning Orders and CONPLANS?	(UNSAT) 1 2 3 4 5 (Excellent)
Do the plans contain task organizations?	(UNSAT) 1 2 3 4 5 (Excellent)
How is the coordination with U2?	(UNSAT) 1 2 3 4 5 (Excellent)
Does U3 have the overall view on existing operations and terrain management?	(UNSAT) 1 2 3 4 5 (Excellent)
Has U3 developed a 24/7 capability for operating the Military Operations Center?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch maintain updated situational awareness and maps?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a procedure for handing over plans from U5 to U3?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding operations in the Branch, the HQ and in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all SOs in the Branch?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BRs and SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UN manuals and handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a plan for Protection of Civilians (POC)?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the POC plan known by the SOs?	(UNSAT) 1 2 3 4 5 (Excellent)
Is coordination conducted with FHQ, neighboring entities and Missions?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch doing forward-looking planning coordinated with U2 and U4?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch coordinating with the Mission's human rights element?	(UNSAT) 1 2 3 4 5 (Excellent)
<p>Summary of performance:</p> <p>Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)</p>	

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Logistics Staff Branch (U4)	Circle the Value
Is the Branch providing logistics support in cooperation with administration in the FHQ?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch capable of maintaining logistics support to the Sector during crises?	(UNSAT) 1 2 3 4 5 (Excellent)
How is the coordination with U2, U3 and U5?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch have the overall view on existing logistics operations and terrain Management in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch monitoring and synchronizing logistics support in coordination with other entities such as Service Delivery Division, etc.?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch acting as the coordinating body between SHQ and the contingents?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch participate in planning operations and is it capable of providing the required logistics advice?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch have the manpower to support ongoing operations in the Military Operations Center?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch maintaining situational awareness for logistics and can it provide a common logistics picture for the commander and Military Operations Center?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there an overall plan for storage in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding logistics operations in the Branch, the HQ and in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all SOs in the Branch?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BRs and SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UN manuals and handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a plan for POC (how will logistics (LOG) support it)?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the plan known by the SOs?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a plan developed for CIMIC and LOG support for it?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the staff members familiar with the LOG support plan for CIMIC?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch providing guidance on UN policy on environmental matters?	(UNSAT) 1 2 3 4 5 (Excellent)
Is coordination conducted with FHQ, neighboring entities and Missions?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch doing forward-looking planning coordinated with U2 and U3?	(UNSAT) 1 2 3 4 5 (Excellent)
<p>Summary of performance:</p> <p>Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)</p>	

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Plans and Policy Staff Branch (U5)	Circle the value
Are timely and comprehensive plans being produced following an appropriate planning process?	(UNSAT) 1 2 3 4 5 (Excellent)
Do the plans contain understandable task organizations?	(UNSAT) 1 2 3 4 5 (Excellent)
Are plans information-led in coordination with U2?	(UNSAT) 1 2 3 4 5 (Excellent)
Are plans fully integrated with other components of the Mission, including Mission support and policy plans?	(UNSAT) 1 2 3 4 5 (Excellent)
Does U5 assist U3 in their development of plans?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch maintain the oversight of the entire planning process within SHQ?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch maintaining an updated situational awareness on SHQ policy issues?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch updating existing plans regularly following the changes in the situation?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch advise the Sector-leadership on political-military issues?	(UNSAT) 1 2 3 4 5 (Excellent)
When plans are developed does the Branch coordinate with other UN agencies (FHQ, IOs, NGOs, Human Rights components, police component etc.)?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding operations in the Branch, the HQ and within the Sector including coordination with sub-formations?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all SOs in the Branch?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BRs and SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UN manuals and handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
Are plans suitable to support delivery of the mandated tasks?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a plan for LOG support to CIMIC?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch doing forward-looking planning coordinated with U2, U4 and keeping U3 updated?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch coordinating with U5 and in general with the FHQ?	(UNSAT) 1 2 3 4 5 (Excellent)
<p>Summary of performance:</p> <p>Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)</p>	

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Communications Staff Branch (U6)	Circle the value
Is the Branch providing the HQ with required advice on communications and IT?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch provide policy and guidance for communications and IT support?	(UNSAT) 1 2 3 4 5 (Excellent)
Does U6 assist U5 or U3 in their development of plans?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch maintain oversight of the entire communications system deployed in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch maintaining situational awareness on SHQ guidelines and policies related to communications and IT?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch have an overview of all subordinate military communications, Information and Technology (CIT) units?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch ensuring data, information and communications security for the SHQ and contingents?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding communications in the Branch, the HQ and in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a plan for data management in the Sector and is it coordinated with U2?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all SOs in the Branch?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BRs and SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UN manuals and handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
Is coordination conducted with neighboring entities?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch doing forward-looking planning coordinated with U2, U4 and U5 and keeping U3 updated?	(UNSAT) 1 2 3 4 5 (Excellent)
Are there critical deficiencies in the communication equipment in the force?	(UNSAT) 1 2 3 4 5 (Excellent)
Summary of performance:	
Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)	

UNCLASSIFIED

Training Staff Branch (U7)	Circle the value
Is the Branch providing the Sector with its annual training program?	(UNSAT) 1 2 3 4 5 (Excellent)
Is U7 planning and coordinating troop exercises with the contingents?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch identifying the needed training requirements based on mandate, the situation and the training status of the units in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Is U7 providing the required guidance on training and is it reflecting the conditions and standards of UN (FHQ Handbook, UNIBAM, UNMUM etc.)?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch maintaining an updated situational awareness on required training resources in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a training program for firefighting in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch plan and conduct operational readiness confirmation and evaluations as required?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch ensuring that best practices are collected and shared in all areas of work?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding training in the Branch, the HQ and in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all SOs in the Branch?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BRs and SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UN manuals and handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
How is coordination conducted with neighboring entities and Missions?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch conducting forward-looking planning, coordinated with U2, U4 and U5, and keeping U3 updated in relation to training?	(UNSAT) 1 2 3 4 5 (Excellent)
Is human right training being conducted?	(UNSAT) 1 2 3 4 5 (Excellent)
Summary of performance:	
Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)	

UNCLASSIFIED

Military Engineering Staff Branch (U8)	Circle the value
Is the Branch providing coordination and is it facilitating engineering (ENGR) advice to the Sector Cdr and other entities in SHQ and the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch developing Sector ENGR support plans and programs?	(UNSAT) 1 2 3 4 5 (Excellent)
How is the coordination with U2, U3, U4 and U5?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch have a common operational picture on mines, IEDs and Explosives Remnants of War (ERW) in the AOR?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch plan, coordinate, implement and monitor counter-IED, demining and EOD tasks within the military force in the Sector?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch monitoring and synchronizing ENGR support on a daily basis?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch providing advice on chemical, biological radiological and nuclear issues to the Sector Cdr?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch participate in planning operations and is it capable of providing the required ENGR advice?	(UNSAT) 1 2 3 4 5 (Excellent)
Has the Branch developed a 24/7 capability for supporting operations in the Military Operations Center?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch maintaining an updated ENGR situational awareness?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch conducting the required staff planning and supervision?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding ENGR operations in the Branch, the HQ and in the force?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all SOs in the Branch?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BRs and SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UN manuals and handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a plan for POC and how will ENGR support the plan?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the plan known by the SOs?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the staff familiar with the ENGR plan for supporting CIMIC?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch providing guidance on UN policy on environmental matters?	(UNSAT) 1 2 3 4 5 (Excellent)
Is coordination conducted with FHQ, neighboring entities and Missions?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch doing forward-looking planning, coordinated with U2, U3, U4 and keeping U5 updated?	(UNSAT) 1 2 3 4 5 (Excellent)
<p>Summary of performance:</p> <p>Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)</p>	

UNCLASSIFIED

CIMIC Staff Branch (U9)	Circle the value
Is the Branch providing coordination on CIMIC matters with FHQ, other UN agencies, NGOs and international organizations?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch developing positive and continuous communication with the host nation in order to provide support and goodwill to support military operations?	(UNSAT) 1 2 3 4 5 (Excellent)
Is information gained from civilians in the area coordinated with U2?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch providing guidance to FHQ on support for the civilian population?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch supporting U3 with information operations?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch conducting the required staff planning and supervision?	(UNSAT) 1 2 3 4 5 (Excellent)
Is CIMIC part of the operational plan in FHQ?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the SO in the Branch familiar with the plan?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch coordinating with humanitarian civil assistance and disaster relief?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the Branch participate in planning of operations and is it capable of providing the needed CIMIC advice?	(UNSAT) 1 2 3 4 5 (Excellent)
Has the Branch developed a 24/7 capability for supporting operations in the Military Operations Center?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch acting as a Sector focal point for Quick Impact Projects?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding logistics operations in the Branch, the HQ and in the Force?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all SOs in the Branch?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BRs and SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UN manuals and handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the plan known by the SOs?	(UNSAT) 1 2 3 4 5 (Excellent)
Is coordination conducted with FHQ, neighboring entities and Missions?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch doing forward-looking planning, coordinated with U2, U3, U4 and keeping U5 updated?	(UNSAT) 1 2 3 4 5 (Excellent)
<p>Summary of performance:</p> <p>Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)</p>	

UNCLASSIFIED

Annex C

Subordinate Unit Evaluation Checklist

**This checklist is generic and is developed for the evaluation of subordinate units. It should be adjusted according to Force Commander guidance. For further guidance at company, platoon and team sight level, see the applicable UN Military Unit Manuals (UNMUM) (Special Forces, Aviation, Force Headquarters Support Company, Reconnaissance, Signals, Logistics, Military Police, Riverine, Engineers, Maritime and Transportation Units)
Values are: (Unsatisfactory) 1 to 5 (Excellent)**

Generic questions for all units	Circle the value
Do officers, NCOs and soldiers have a good understating of their tasks and responsibilities?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the "Rules of Engagement" known by all officers and soldiers?	(UNSAT) 1 2 3 4 5 (Excellent)
Do the officers and NCOs understand the mandate of the Mission?	(UNSAT) 1 2 3 4 5 (Excellent)
Do the officers and NCOs understand the commander's intent and their role?	(UNSAT) 1 2 3 4 5 (Excellent)
Can the unit and staff operate 24/7?	(UNSAT) 1 2 3 4 5 (Excellent)
Is required equipment (telephone, radio, network, computers, maps, ammunition, weapons, etc.) available for the SO and soldiers to effectively conduct their jobs?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a training program for implementation of new guidance, manuals, procedures and orders in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
How is the general flow of information in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the facility rehearse its reaction in case of an attack?	(UNSAT) 1 2 3 4 5 (Excellent)
Are there individual and collective training sessions on basic skills?	(UNSAT) 1 2 3 4 5 (Excellent)
Are relevant shelters available, in good shape and properly equipped with communications, water and food?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a clear understanding on how the staff and soldiers should handle personal weapons?	(UNSAT) 1 2 3 4 5 (Excellent)
Were the weapons test fired and zeroed?	(UNSAT) 1 2 3 4 5 (Excellent)
Do officers and soldiers have awareness about asymmetric threats (including IEDs) and the best ways to face them?	(UNSAT) 1 2 3 4 5 (Excellent)
Is first aid training conducted and is the staff soldier confident with it?	(UNSAT) 1 2 3 4 5 (Excellent)
Is refresher training for MEDEVAC conducted on a regular basis in all units?	(UNSAT) 1 2 3 4 5 (Excellent)
Have all personnel had the required medical procedures conducted before deploying?	(UNSAT) 1 2 3 4 5 (Excellent)
Are there any vacancies in the organization?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the unit doing forward-looking planning for potential situations?	(UNSAT) 1 2 3 4 5 (Excellent)

UNCLASSIFIED

Personnel	Circle the value
Does the unit commander have a clear picture of the strength status (strength reports) and structure of the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the unit reporting on critical human resources to the Sector Commander?	(UNSAT) 1 2 3 4 5 (Excellent)
Does everyone have a ROE card?	(UNSAT) 1 2 3 4 5 (Excellent)
What is the general health status of the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
How is hygiene in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Has the unit developed a management mechanism for welfare and recreation activities?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the UN Conduct and Discipline rules known by the officers and soldiers in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for the administrative tasks (leave, time off in camp) in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs known by all personnel in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing SOP/BR?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or UNIBAM, UN manuals and handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
Summary of performance:	
Overall Evaluation	
(UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)	

UNCLASSIFIED

Logistics	Circle the value
Is the unit providing coordination and is it facilitating logistics support in cooperation with the higher HQ?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the unit capable of ensuring logistics support during crises?	(UNSAT) 1 2 3 4 5 (Excellent)
Do the soldiers have their personal ammunition as required in the SOP?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the section, platoon and coy ammunition preset as required in SOP?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the needed facilities present to hold the unit's ammunition?	(UNSAT) 1 2 3 4 5 (Excellent)
Do ammunition storage facilities follow the required standards?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the unit participate in planning operations and is it capable of providing the required logistics advice?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the unit have sufficient staffing to support ongoing operations?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the Branch maintaining situational awareness for logistics in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there an overall plan for storage in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding logistics?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all soldiers in logistics?	(UNSAT) 1 2 3 4 5 (Excellent)
Has the unit developed maintenance plans for equipment?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the plan known by the staff and soldiers in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the unit providing maintenance and repair for all weapons, equipment and vehicles? What is the serviceability rate?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the unit aware of the UN policy on environmental matters?	(UNSAT) 1 2 3 4 5 (Excellent)
Are there sufficient cooking facilities?	(UNSAT) 1 2 3 4 5 (Excellent)
Are there the needed water purification stations/treatments plants?	(UNSAT) 1 2 3 4 5 (Excellent)
Are tents or hard-walled accommodations sufficient?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the unit doing forward-looking planning?	(UNSAT) 1 2 3 4 5 (Excellent)
Summary of performance:	
Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)	

UNCLASSIFIED

Communications	Circle the value
Is the unit providing the required advice and expertise on communications and IT?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the unit provide policy and guidance for communications and IT support?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the unit formulate and direct the operational communications plan?	(UNSAT) 1 2 3 4 5 (Excellent)
Does the unit maintain oversight of the entire communications system deployed in the AOR?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the unit ensuring data, information and communications security?	(UNSAT) 1 2 3 4 5 (Excellent)
Are SOPs developed for procedures regarding communications in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Are the SOPs known by all SOs and soldiers in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
How is the serviceability of the equipment?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the quantity and quality of HF/VHF and UHF equipment sufficient?	(UNSAT) 1 2 3 4 5 (Excellent)
Is training conducted on the various SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Are reports and returns conducted according to the existing BRs and SOPs?	(UNSAT) 1 2 3 4 5 (Excellent)
Do reports and returns follow the format listed in the SOPs and/or higher HQ and UN handbooks?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a plan for integrating the unit's communication equipment with higher, lower and adjacent HQs and units?	(UNSAT) 1 2 3 4 5 (Excellent)
Is there a plan for maintenance of communications equipment in the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
Is the unit ensuring that communication channels are operational at all times within the unit?	(UNSAT) 1 2 3 4 5 (Excellent)
<p>Summary of performance:</p> <p>Overall Evaluation (UNSATISFACTORY) 1 2 3 4 5 (EXCELLENT)</p>	