

**United Nations  
Department of Peacekeeping Operations  
Police Division  
DPKO/PD/2006/00135**



29 June 2007

---

**GUIDELINES FOR UNITED NATIONS  
POLICE OFFICERS ON ASSIGNMENT  
WITH PEACEKEEPING OPERATIONS**

---

## TABLE OF CONTENTS

<b>General Information</b> .....	3
Introduction .....	3
Correspondences .....	4
<b>Background</b> .....	4
Authority .....	4
Mandate.....	4
Duration of the Mandate.....	4
Head of Mission .....	5
Administration.....	5
<b>General Conditions of Service of United Nations Police Officers</b> .....	5
Definition .....	5
Conduct of Personnel.....	5
Disciplinary Matters.....	7
Command and Control .....	9
National Police Contingent Commanders' Duties and Responsibilities.....	10
Respect for national legislation and international criminal justice standards .....	11
Gender Mainstreaming and Balance .....	11
Financial Liabilities.....	11
Undertaking.....	11
<b>Qualifications</b> .....	11
Selection Criteria/Requirements .....	12
Complementary Skills .....	14
<b>Pre-Deployment Preparation, Deployment, Rotation, Extension and Transfer</b> .....	14
Pre-Deployment Preparation .....	14
Pre-deployment Training.....	14
Duration and National Entitlements During the Tour of Duty.....	14
Initial Deployment.....	15
Rotations.....	18
Extension .....	18
Transfer to Another Mission .....	18
<b>Medical Support</b> .....	19
Pre-deployment Medical Examination .....	19
Entitlement to and Provision of Medical Services.....	20
Compensation for Injury, Illness or Death Attributable to Service .....	21
Reimbursement of Medical and Dental Expenses .....	21
<b>Travel Arrangements</b> .....	22
Class and Route .....	22
Shipment and Insurance of Personal Baggage.....	23
Cases of Early Repatriation.....	25
Compensation for Loss of Personal Effects.....	28
<b>Duty Schedule, Leave, Compensatory Time Off, Clothing and Related Matters</b> .....	28
Hours of Duty.....	28
Leave and CTO.....	29
Mission Subsistence Allowance (MSA).....	30
Clothing and Equipment.....	30
<b>United Nations Medal</b> .....	31
<b>Miscellaneous</b> .....	31
<b>Entry into Force</b> .....	32
<b>Attachments</b> .....	33

# **GUIDELINES FOR UNITED NATIONS POLICE OFFICERS ON ASSIGNMENT WITH PEACEKEEPING OPERATIONS**

## **General Information**

### ***Introduction***

1. These guidelines prepared by the Police Division, Department of Peacekeeping Operations (DPKO), contain general information about the administrative aspects of the selection, deployment, rotation, transfer and repatriation of United Nations Police Officers on assignment as Experts on Mission with United Nations peacekeeping operations (1). These guidelines shall enable Member States to make the necessary arrangements prior to the departure of United Nations Police Officers to a United Nations peacekeeping operation and shall serve as guidance during their tour of duty in the mission area. These guidelines are complementary to other mission-specific information, which United Nations Police Officers will receive upon their arrival in the mission area. These guidelines do not apply to personnel from Formed Police Units.
2. These guidelines aim to:
  - a. Provide Member States with relevant information enabling them to select qualified officers to serve as United Nations Police Officers and facilitate all their pre-deployment preparations;
  - b. Standardize the administrative procedures for the selection, deployment, rotation, replacement, extension, transfer and repatriation of United Nations Police Officers; and
  - c. Ensure that the Governments and all United Nations Police Officers are fully aware of professional, disciplinary, administrative, logistic and financial terms and conditions of service which govern the contribution of United Nations Police Officers.
3. These guidelines shall be applied in conjunction with other DPKO directives, and/or any other applicable rules, regulations, administrative instructions or other issuances from the United Nations Secretariat. These guidelines shall have primacy over any other issuances from the mission.
4. Should any amendments to this document have to be made and/or any additional information becomes available, this will be distributed accordingly. In case of any points of clarification, the Permanent Missions to the United Nations of Member States should contact the appropriate points of contacts in DPKO (see annex 4).

---

1. These guidelines are not applicable to members of Formed Police Units. Matters pertaining to this category of United Nations Police Officers are addressed in the *Guidelines for Formed Police Units on Assignment with Peace Operations*, dated 8 May 2006, reference DPKO/PD/2006/15.

## ***Correspondences***

5. All correspondences from Member States within the scope of these guidelines should be addressed to the Police Division. The Police Division is responsible for the selection, deployment, rotation, extension and repatriation of United Nations Police Officers. Other offices, including the Office of Mission Support (2), will not be able to initiate any movement of United Nations Police Officers until it has been authorised by the relevant Police Division Mission Management Officer.

6. The Police Division will ensure, to the extent possible, that the concerned Permanent Missions of Member States to the United Nations are given sufficient advance notice and time in order to facilitate the necessary consultations with their respective National Authorities. All Police Division communications include a reference number (e.g. a Fax or Note Verbale) that should be reflected in any reply.

## **Background**

### ***Authority***

7. The mandate of the mission is foreseen in the mission-specific United Nations resolution(s). The authority and functions of the United Nations Police Component are derived from such resolution(s). The Secretary-General delegates overall responsibility for the conduct of these operations to the Under-Secretary-General for Peacekeeping Operations.

8. The Secretary-General appoints the Head of the Police Component (3) for the mission. The Head of the Police Component is responsible for the implementation of the mission's mandate. The Head of the Police Component has the authority over and responsibility for all United Nations police activities within the mission area in support of the mission mandate. The Head of the Police Component performs all his/her functions under the overall authority and guidance of the Head of Mission, who is the Secretary-General's representative in the mission area.

### ***Mandate***

9. The mandate and tasks of the Police Component of the mission are based on the mission-specific United Nations resolution(s).

### ***Duration of the Mandate***

10. The duration of the mandate of the mission is based on mission-specific United Nations resolution(s).

---

2. Department of Field Support as of 1 July 2007.

3. Referred to as Police Commissioner or Senior Police Adviser.

## ***Head of Mission***

11. The Head of Mission (4) assists the Secretary-General and the Under-Secretary-General for Peacekeeping Operations in the implementation of the mission's mandate and is responsible for the overall management of the mission.

## ***Administration***

12. The Head of the Administration Component (5) is responsible for the facilitation of support to the mission. He/She assists the Head of the Police Component in the exercise of his/her administrative responsibilities. Under the overall authority of the Head of Mission, the Head of the Administration Component is responsible *inter alia* for:

- a. Acting as the principal adviser to the Head of Mission on United Nations rules, regulations, policy instruments and procedures and assisting the Head of Mission in ensuring that the mission is managed within the framework established by the legislative bodies of the United Nations;
- b. All administrative functions and all general, logistical and technical services relating to the mission, and for providing the requisite administrative support to carry out the substantive work of the mission effectively, efficiently and economically;
- c. All administrative and financial certification, policy and procedural guidance and the proper implementation of the rules, regulations, instructions and supplementary directives issued by the United Nations in the areas of finance, personnel, logistics, procurement and general services; and
- d. Committing United Nations financial resources for any purpose.

## **General Conditions of Service of United Nations Police Officers**

### ***Definition***

13. United Nations Police Officers are police or other law enforcement personnel (6) assigned to serve with the United Nations on secondment by Governments of Member States at the request of the Secretary-General.

### ***Conduct of Personnel***

14. The United Nations Organization embodies the aspirations of all people of the world for peace and security. In this context, the Charter of the United Nations requires all personnel to maintain the highest standards of integrity and conduct. The standards summarised below reflect those included in various official issuances of the United

---

4. Referred to *inter alia* as Special Representative of the Secretary-General or Executive Representative of the Secretary-General or Representative of the Secretary-General.

5. Referred to *inter alia* as Director of Administration (DOA) or Chief Administrative Officer (CAO).

6. Including commissioned and non-commissioned officers.

Nations, including the Charter of the United Nations. A code of personal conduct for “Blue Helmets” (7) will be distributed to all mission police personnel. However the following guidelines on conduct are issued to all categories of personnel in United Nations peacekeeping operations as a reminder of the high standards they are required to maintain in both their official and personal activities.

15. All personnel serving within the mission must follow all lawful instructions received from the Head of Mission. United Nations Police Officers serving within the mission are under the authority and direction of the Head of Police Component and are answerable to him/her for the conduct and performance of their duties. They should also actively collaborate with other mission components active in the field of the rule of law: Judicial Affairs and Corrections as well as Human Rights.

16. In exercising their official duties, United Nations Police Officers must:

- a. Perform their duties with the interests solely of the United Nations in mind, acting so as to recognise the needs and interests of the host country and its people, and acting with strict impartiality, integrity, independence and tact in all their dealings;
- b. Not abuse or exploit members of the local population, in particular, women and children;
- c. Neither solicit nor accept any material reward, honour or gift from any source other than the Organisation;
- d. Treat United Nations property, especially vehicles and communications equipment, with care and must not trade, sell or use such property for personal benefit; and
- e. Abide by these guidelines, standard operating procedures, UN rules, regulations and other issuances.

17. United Nations Police Officers must exercise utmost discretion in all matters of official business; they shall not communicate to an unauthorised person any information known to them by reason of their official position and not at any time use such information to their private advantage. This obligation shall not cease after their tour of duty with the mission.

18. United Nations Police Officers shall not accept instructions from sources external to the United Nations.

19. United Nations Police Officers must act with impartiality and show courtesy and respect to all other United Nations mission personnel, without distinction of any kind.

---

7. Two cards, entitled “Ten Rules – Code of Personal Conduct for Blue Helmets” and “We are United Nations Peacekeepers” should be issued to each United Nations Police Officer (see annex 2 and 2a).

## ***Disciplinary Matters***

20. All United Nations Police Officers must strictly adhere to the standards of conduct for personnel assigned to the United Nations including the standards on sexual exploitation and abuse laid out in the Secretary-General's bulletin on *Special Measures for Protection from Sexual Exploitation and Sexual Abuse* (see annex 1b).

21. Any act, omission or negligence that may constitute serious or minor misconduct is strictly prohibited. All alleged breaches of conduct must be dealt with in accordance with the *Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers* (see annex 12). In addition, mission specific standard operating procedures and/or directives pertaining to disciplinary matters may be applied by the mission.

## **Standards of Conduct**

22. It is incumbent upon all United Nations Police Officers to display a public appearance that is without tarnish and reflects favourably on the image of the United Nations. Therefore, police officers are expected to refrain from conduct that could adversely affect their credibility, professional image or impartiality, which is critical to the mission. Officers shall conduct themselves in a professional manner both on and off duty. Officers will neither engage in political activity within the mission area, nor will they publicly express any preference for any political, religious or ethnic entity within the mission area. Officers will respond to all requests for assistance in a fair and impartial manner.

23. The provisions of the Secretary-General's Bulletins on *Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on missions* (see annex 1a) and the *Special Measures for Protection from Sexual Exploitation and Sexual Abuse* shall be upheld by all United Nations Police Officers.

## **Serious Misconduct**

24. Serious misconduct is defined as any act, omission or negligence, including criminal acts, that is a violation of standard operating procedures, directives, or any other applicable rules, regulations or administrative instructions, that results in or is likely to result in serious damage or injury (8) to an individual or to the mission. Serious misconduct includes, but is not limited to:

- a. Sexual abuse and exploitation of any individual, particularly children (9);
- b. Harassment, including sexual harassment;
- c. Abuse of authority;
- d. Excessive use of force;
- e. Unlawful discharge of firearms;

---

8. The term "injury" denotes any harm illegally caused to any person, in body, mind, reputation or property.

9. As defined in the Secretary-General's Bulletin on Special Measures for Protection from Sexual Exploitation and Sexual Abuse (ST/SGB/2003/13, dated 9 October 2003).

- f. Breach of confidentiality;
- g. Abuse of United Nations privileges and immunities;
- h. Conduct prejudicial to good order and discipline;
- i. Driving while intoxicated or other grossly negligent driving;
- j. Intoxicated while on duty or in public on repeated occasions;
- k. Repeatedly absent from duty without permission;
- l. Use, possession or distribution of illegal narcotics;
- m. Embezzlement or other financial malfeasance;
- n. Wilful disobedience of a lawful order; and
- o. Unlawful acts (e.g. theft, fraud, smuggling, bribery) on or off United Nations premises, with or without the involvement of United Nations vehicles, and whether or not the individual was officially on duty at the time of the offence.

25. Disciplinary measures for serious breaches of conduct are foreseen in the *Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers*.

#### Minor Misconduct

26. Minor misconduct shall be defined as any act, omission or negligence that is a violation of this directive or any other applicable rules, regulations or administrative instructions, but which does not result in or is not likely to result in major damage or injury to an individual or the mission. Minor misconduct includes, but is not limited to:

- a. Improper uniform appearance;
- b. Neglect in performance of duty not amounting to a wilful or deliberate act;
- c. Intoxication while on duty or in public;
- d. Negligent driving;
- e. Absence from duty without permission; and
- f. Malingering.

27. Any United Nations Police Officer who has committed a minor breach of conduct as defined in the *Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers*, shall be subjected to disciplinary measures.

28. Disciplinary measures for minor breaches of conduct as foreseen above shall be limited to a written censure or reprimand and/or redeployment to another position/area and/or removal of United Nations administrative benefits and concessions, such as the driving license when appropriate.

#### Rights of the Investigated

29. Before taking any final administrative and/or disciplinary action as referred to in paragraph 23 of the *Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers*, it must be ensured that:

- a. The United Nations Police Officer has been informed of the allegation(s) against him/her and of his/her right to respond to the allegations;



- b. He/She has the opportunity to submit comments on the results of the formal investigation and findings; and
- c. The findings, after considering the comments, if any, will be forwarded to DPKO which will provide relevant information to the country contributing the police concerned for follow-up and disciplinary action.

#### Privileges and Immunities

30. As Experts on Mission, United Nations Police Officers are *inter alia* "...immune from personal arrest or detention" and are immune from legal process of any kind "in respect to words spoken or written and acts done by them in the course of the performance of their mission" (article VI, section 22 of the 1946 Convention on the Privileges and Immunities of the United Nations, adopted by the General Assembly on 13 February 1946). However, the Secretary-General has "...the right and the duty to waive the immunity of any expert in any case where, in his opinion, the immunity would impede the course of justice and it can be waived without prejudice to the interests of the United Nations" (article VI section 23, *Idem*). United Nations Police Officers are subject to the jurisdiction of the host country/territory in respect of any criminal offences that may be committed by them in the host country/territory and any disputes/claims of a civil nature not related to the performance of their official functions.

#### Cooperation from Police-Contributing Countries

31. Police contributing countries are encouraged to cooperate with DPKO in the implementation of the provisions of these guidelines pertaining to disciplinary matters as well as to inform DPKO of any criminal and/or disciplinary procedures undertaken against a United Nations Police Officer in his/her home country for any act, omission or negligence during his/her assignment with a United Nations Peacekeeping Operation.

#### Authority and responsibilities of the Office of Internal Oversight Services

32. The above-mentioned provisions on disciplinary matters are adopted without prejudice to the authority and responsibilities of the Office of Internal Oversight Services as set forth in General Assembly Resolutions 59/287, dated 13 April 2005, and 59/300, dated 30 June 2005, and relevant United Nations resolutions and related issuances.

#### ***Command and Control***

33. The Head of the Police Component directs the Police Component within the mission. The Head of the Police Component establishes a Police Headquarters with his/her core staff in the mission. This Headquarters contain the offices of the Head of the Police Component as well as other senior staff of the component and provides overall leadership and management for United Nations Police Officers on assignment with the mission. All United Nations Police Officers must comply with lawful orders from their designated supervisors.

### ***National Police Contingent Commanders' Duties and Responsibilities***

34. The National Police Contingent Commander is appointed by his/her national government. The National Police Contingent Commander is considered as responsible for the welfare of his/her contingent members and is not considered to be within the United Nations Police Chain of Command for this purpose. Moreover, all operational and administrative matters are under the sole authority of the Head of the Police Component, or his/her designate, and command and control arrangements from the United Nations shall in all circumstances have primacy.

35. The National Police Contingent Commander is the official national representative of his/her contingent. The National Police Contingent Commander shall not receive any order from his/her national authorities regarding United Nations operational duties. The primary duties and responsibilities of the National Police Contingent Commanders in the mission area, in addition to their regular duties, are as follows:

- a. To monitor the welfare and medical condition of all United Nations Police Officers from their contingent whilst in mission and to ensure that necessary action is taken to ensure their well-being;
- b. To ensure that instructions from the Head of the Police Component are carried out by the United Nations Police Officers from their contingent;
- c. To monitor the arrival and departure to/from the mission area of United Nations Police Officers from their contingent;
- d. To ensure that the United Nations Police Officers are treated in accordance with United Nations rules, regulations and other issuances;
- e. To ensure and monitor that all United Nations Police Officers from their contingent are aware of their responsibilities, including through induction, to adhere, both on and off duty, to these guidelines, standard operating procedures and all other United Nations rules, regulations and other issuances;
- f. To maintain an up-to date list of all United Nations Police Officers from their contingent in the mission area, with details of their postings, home address, contact telephone numbers, e-mail addresses, next of kin and details of their leave dates, destination and contact details;
- g. To meet with their own Contingents at regular intervals in order to review professional and welfare matters. Detailed minutes of these meetings must be prepared and submitted to the Head of the Police Component no later than seven (7) days afterwards;
- h. To ensure that during his/her absence that all contingent duties are performed by the Deputy Police Contingent Commander; and

- i. To provide an End of Mission report to the Head of the Police Component for the time of their tenure no later than fourteen (14) days prior to their departure. This report must be copied to the DPKO Police Adviser.

### ***Respect for national legislation and international criminal justice standards***

36. In implementing the mission mandate, United Nations Police Officers shall respect the legislation applicable in the mission area insofar as it is not in conflict with internationally recognized human rights standards or United Nations Rules, Regulations and other issuances.

37. In exercising their functions, United Nations Police Officers shall observe internationally recognized human rights standards, and shall not discriminate against any person on any grounds, such as gender, race, colour, language, religion, political or other opinion, national, ethnic or social origin, sexual orientation, association with a national community, property, birth or other status. They must uphold United Nations criminal justice standards (see annex 1c) in all aspects of their work. They should report human rights violations they witness to their commanders for transmission to the human rights component, or equivalent, of the peacekeeping operation.

### ***Gender Mainstreaming and Balance***

38. All United Nations Police Officers shall observe and assist in the realization of Security Council Resolution 1325 (2000), dated 31 October 2000, on women, peace and security, including in relation to the protection, rights and special needs of women as well as on the importance of involving women in all peacekeeping and all peace-building measures. They should particularly actively encourage, including through training and advising as appropriate, the increased representation of women at all levels of national police and law enforcement agencies.

### ***Financial Liabilities***

38. United Nations Police Officers may be required to reimburse the United Nations either partially or in full for any financial loss suffered by the United Nations (such as damage to United Nations vehicles or any other United Nations property) as a result of their negligence or of their having violated any regulation, rule or administrative instruction.

### ***Undertaking***

39. United Nations Police Officers arriving in the mission shall be required to sign an undertaking to comply with these guidelines, standard operating procedures, policies, and directives as issued by the United Nations.

### **Qualifications**

40. Selection standards have been established to ensure that qualified police and other law enforcement officers of the highest quality are selected for service with the United

Nations. These selection standards represent the minimum requirements that must met in order to be deployed as a United Nations Police Officer. The Police Division will indicate any supplemental changes to be added to the conditions listed below, as required.

41. The United Nations Selection Assistance Team assists and advises police contributing countries in selecting national police and other law enforcement personnel to serve as United Nations Police Officers in United Nations peacekeeping operations. Assistance to police contributing countries includes assessment of personnel nominated by the countries at their request.

42. Qualified United Nations Police Officers may be deployed, without prior assessment of their qualifications as laid down in the United Nations Selection Assistance Team Guidelines only in exceptional cases with the prior approval of the DPKO Police Adviser. Such deployments will be based on an analysis of the Personal History Form (blank form attached as annex 13) as well as interviews.

43. The desired professional competencies and expertise of United Nations Police Officers are mentioned herein and in the request initiated by the Police Division for initial deployment of United Nations Police Officers. However, United Nations Police Officers must have certain core competencies, including professionalism, integrity, and respect for diversity and a good knowledge of international criminal justice standards, which will enhance their performance on the ground and reduce the need for additional training in the mission area. Furthermore, it is understood that the provision of well-equipped (10), pre-inducted and disciplined police and other law enforcement personnel to United Nations peacekeeping operations is the collective responsibility of all Member States.

#### *Selection Criteria/Requirements (11)*

##### Age

44. Member States shall not deploy police and other law enforcement personnel who are less than 25 years of age. The maximum age limit for service with the United Nations is sixty two (62) years; however, it is strongly recommended that the deployment of said personnel be under fifty five (55) years of age.

##### Professional Status

45. The United Nations is open to considering contributions from all police contributing countries regarding their nomination of personnel assigned to their national police and other law enforcement agencies for deployment to United Nations peacekeeping operations. United Nations Police Officers should have served in a national police or other law enforcement agency for a minimum of five (5) years, excluding

---

10. Including recent uniforms appropriate to the climate of the mission area as well as operable firearms, ammunitions and other equipment. A detailed list of equipment may be provided by the Police Division.

11. United Nations Police Officers must be seconded through the respective Permanent Missions to the United Nations. These selection criteria/requirements are considered basics for United Nations Police Officers assigned to any United Nations Peacekeeping Operation.

training. Retired personnel can be deployed if they have retired within the past five (5) years.

#### Assignment of United Nations Police Officers

46. The Head of the Police Component has the right to assign United Nations Police Officers, considering their background and experience, to appropriate duties, responsibilities and/or positions within the Police Component's structure as he/she deems appropriate. The assignment of all contracted posts, if any, will be processed by the Police Division in consultation with the mission. Capabilities, special skills, national and regional diversity, ranking and gender balance will be taken into account for the assignments of United Nations Police Officers.

#### Language(s)

47. It is indispensable to speak fluently, read and write clearly in the official language(s) of the mission.

48. Police and other law enforcement personnel nominated for service as United Nations Police Officers should preferably have passed the mandatory language assessments as set out in the United Nations Selection Assistance Team Guidelines prior to leaving their home countries. Officers that have passed such assessments shall not be subjected to any other language tests in the mission upon arrival.

49. United Nations Police Officers arriving in the mission area without the United Nations Selection Assistance Team clearance must take the mandatory language test in the mission as administered by the designated unit. The concerned candidate who fails this test will be repatriated and the travel costs shall be borne by the Member State.

#### Firearms

50. The United Nations Police Officers assigned to the mission are only authorized to carry and use firearms in accordance with the relevant issuances of DPKO if and when so authorized by the United Nations. They should preferably receive a United Nations Selection Assistance Team clearance on the use of firearms prior to their deployment.

#### Driving

51. Police and other law enforcement personnel nominated for service as United Nations Police Officers must have at least one (1) year of recent driving experience, and must be in possession of a valid national or international driving licence for at least one (1) year. In addition, they may be submitted to a driving test by the United Nations Selection Assistance Team. United Nations Police Officers must bring their valid national driving licences or international driving licences to the mission area, which should be valid during their service.

## Computer Skills

52. Basic computer knowledge is an essential skill in the mission. Member States are strongly encouraged to incorporate lectures on this topic into their pre-deployment training.

## *Complementary Skills*

53. The following additional criteria are desirable: previous experience in United Nations peacekeeping operations; proficiency in map reading, land navigation and use of global positioning systems; knowledge of basic negotiation, mediation and conflict resolution, interviewing techniques and basic first aid.

## **Pre-Deployment Preparation, Deployment, Rotation, Extension and Transfer**

### *Pre-Deployment Preparation*

#### Passport

54. United Nations Police Officers shall preferably obtain a diplomatic or service passport from their national authority. The passport should preferably be valid for at least two (2) years. United Nations Police Officers are responsible for securing their own travel documents.

#### Visas

55. United Nations Police Officers must ensure, with support from their national authorities, that visas for entry into the mission area are obtained prior to their departure, if so required. Transit visas for countries en-route to the mission must also be obtained as necessary.

### *Pre-deployment Training*

56. Experience has shown that United Nations Police Officers who have been provided pre-deployment training prior to their departure for any United Nations Peacekeeping Operation adjust much better to the mission conditions, work culture and the peacekeeping tasks. They are able to make an impact with their professional skills much sooner than those who have not had the benefit of any pre-deployment training. Training is a national responsibility and is strongly encouraged. The officers previously deployed to United Nations peacekeeping operations could be used as a valuable training resource that could be used to good effect.

### *Duration and National Entitlements during the Tour of Duty*

57. Unless otherwise provided for, assignments are normally for one (1) year from the date of authorization for the deployment in the mission area by the Police Division and the United Nations will bear the cost of travel of the United Nations Police Officer's initial deployment and final repatriation. However, there may be variation on the length

of tour of duty when a Member State chooses to confine the length of tour duty of its United Nations Police Officers to less than the normal period of one (1) year due to its national requirements. In such cases, the cost for inward travel into the mission area will be at the expense of the Member State while the United Nations will arrange for repatriation unless otherwise agreed upon. Member States contemplating such deployments are requested to indicate their intention and enter into working arrangements with the Police Division and Office of Mission Support on administrative and financial matters.

58. All emoluments and other entitlements from Member States should continue to be paid and/or provided to United Nations Police Officers as if they were serving in their home country.

### ***Initial Deployment***

59. Each request from the Police Division to Member States for deployment of United Nations Police Officers specifies the qualifications for each position and/or area of expertise for which the request is made. If no specific requirements have been established then each United Nations Police Officer must meet the minimum selection criteria and qualifications as set out in these guidelines.

60. During the planning phase of a United Nations Peacekeeping Operation, the Police Division may informally contact the Permanent Missions of Member States to seek their contribution. Once a resolution establishing a United Nations Peacekeeping Operation has been adopted, the Police Division may forward the relevant Notes Verbale to the Permanent Missions in New York of prospective police contributing countries requesting the provision of suitably qualified police and other law enforcement personnel.

61. Requests for contribution of police and other law enforcement personnel for service as United Nations Police Officers includes, *inter alia*, the following items:

- a. Profile and numbers of such personnel;
- b. A formal certification from the Permanent Mission that each candidate has not ever been convicted of, and is not currently under investigation or being prosecuted for, any criminal or disciplinary offence, with the exception of minor traffic violations (driving while intoxicated or dangerous or careless driving are not considered minor traffic violations for this purpose);
- c. The selection criteria, including experience and specific skills as required;
- d. The length of tour of duty;
- e. The tentative date by which they should deploy to the mission area; and
- f. The deadline for formal reply of Member States.

## Personal History Forms Analysis and Interviews

62. After a comprehensive review of all the Personal History Forms, the Police Division may conduct phone interviews for pre-selected candidates whose profiles meet the requirements for positions as requested in the Note Verbale for deployments of United Nations Police Officers. The language of the interview will be in the official language(s) of the mission to which the police and other law enforcement personnel may be deployed. The interviews are based upon their educational and professional experience and whether they match the requirements of the specific posts. It should be noted, however, that not every candidate whose Personal History Form is forwarded is subject to an interview. In addition, the concerned police contributing country may request the Police Division to send a United Nations Selection Assistance Team to their country in order to assist in the selection of United Nations Police Officers.

## Deployment Procedure

63. The primary objective of these guidelines is to standardize the deployment procedure. The concerned offices within DPKO should take all the necessary steps to ensure transparency and to allow sufficient time for processing the deployments. The Police Division reserves the right to approve the deployments.

## Medical Examination and Clearance

64. All United Nations Police Officers deployed in United Nations Peacekeeping Operations must be physically, mentally and emotionally fit. The examining physician must determine the fitness of an individual by a thorough medical examination, and take into consideration that he/she could be deployed in a potentially hostile and hazardous environment. All United Nations Police Officers deployed in United Nations Peacekeeping Operations must receive a medical clearance from the Medical Services Division, United Nations Headquarters, New York.

65. The United Nations Police Officers will be examined in accordance with United Nations medical standards to determine their fitness for duty. The MS-2 form attached as annex 5 must be filled and the following information required must be provided:

- a. Medical history and a complete physical examination, findings, which are to be recorded within the MS-2;
- b. An electrocardiogram (ECG/EKG), to be done for all candidates above the age of forty (40) or if medically indicated; and
- c. Chest x-ray, including the findings, which must be recorded in the form. Note that the original X-ray negatives are not to be sent to New York. The report of the radiologist is sufficient.

66. The completed original MS-2 form and other documents mentioned above must be forwarded to the United Nations Medical Services Division in New York (Room S-535). The Police Division shall not receive any medical records, but rather a list of



personnel whose records have been forwarded to the United Nations Medical Services Division in New York. It is the responsibility of the Police Division to ensure that medical clearance is obtained prior to deployment, and that the Medical Guidelines for United Nations Peacekeeping Operations on the Pre-deployment medical examinations for uniformed peacekeepers (issued by the Office of Mission Support) shall be followed to achieve full compliance with the medical standards stated in the Medical Support Manual (MSM).

67. Following the procedures set out in the Medical Guidelines for United Nations Peacekeeping Operations, a medical doctor should assess the physical and mental fitness of the individual according to current medical practice, keeping in mind the precluding conditions stated in the MSM Chapter 5-01. Deviation from recommendations of the UN Medical Services Division must be verified in writing, including a statement to follow the Medical Certificate of the individual (attached as annex 6). When applicable, a medical certificate should be issued to certify that the individual has been found to be in good health with no clinical signs of disease, according to his/her medical records, and does not suffer from any of the diseases or conditions as cited in the MSM Chapter 5-0212.

#### Submission of the List of Candidates

68. The List of selected candidates forms (annex 8), together with the list of individuals for which medical documentation is submitted to the relevant office as foreseen above, should be forwarded to the Police Division in order to process the deployment no later than fourteen (14) days prior to their deployment. Member States are requested to clearly indicate all tours of duty for less than one (1) year together with their preparedness/acceptance to cover, at their cost, travel to the mission area.

69. Prior to approval of the deployments, each nominated United Nations Police Officer will be subjected to a background check to ensure that they have not committed any acts of serious misconduct in a previous assignment with the United Nations. The Police Division maintains a database of names of those found responsible for serious misconduct to ensure that they will not be reassigned to another United Nations Peacekeeping Operation.

70. United Nations Police Officers are also subject to a background search within DPKO records to ascertain the individual's past performance, in accordance with the Police Division's performance appraisal procedures.

71. Once the deployment has been approved, the Police Division assigns an index number to the approved officers in the United Nations internal database (i.e. the Integrated Management Information System (IMIS)) to process the deployment.

---

12. For ease of reference the Medical Guidelines for United Nations Peacekeeping Operations on the pre-deployment medical examinations for peacekeepers is attached as annex 6. And the Medical Support Manual Chapter 5 and 6 are attached as annex 7, and should be considered when referring to these guidelines.

## ***Rotations***

72. Member States are requested to follow-up their own rotations three (3) months prior to the completion of the concerned United Nations Police Officer's tour of duty and plan, when applicable, the replacement of the officer on completion of his/her assignment.

73. However, taking into consideration the changes in the size of United Nations peacekeeping operations, the Police Division will keep the Member States informed on the rotations, as necessary. The Member States' compliance is indispensable with regard to rotations.

## ***Extension***

74. The normal tour of duty is one (1) year. Extension of a United Nations Police Officer's normal tour of duty in the mission is granted as an exception, and not as a matter of routine, when considered essential due to operational reasons and based on, at least, a fully satisfactory performance appraisal (see Annex 11). The Head of the Police Component of the mission acts on the request initiated by the concerned United Nations Police Officer at least three (3) months prior to the completion of his/her tour of duty. A United Nations Police Officer's tour of duty may be extended but the total tenure may not normally exceed two (2) years. Specific exceptions for granting additional extensions may be made to this rule on a case-by-case basis based on mission operational requirements and the performance of the concerned United Nations Police Officers.

### **Extension Requested by a United Nations Police Officer**

75. The Police Division will forward the request for extension to the concerned Permanent Mission along with the necessary details, requesting his/her Member State's concurrence for extension. Upon receipt of the Member State's concurrence, the Police Division will inform the mission about the decision and the length of extension granted.

### **Extension Requested by Member State**

76. The Permanent Mission may initiate a request addressed to the DPKO Police Adviser indicating the United Nations Police Officer's name and mission along with the reasons and proposed duration for extension, at least three (3) months prior to completion of the tour of duty.

77. The Police Division will inform the Head of the Police Component of the mission about the request and seek his/her concurrence. The final decision on the approval/disapproval of extension will be forwarded to the concerned Permanent Mission.

## ***Transfer to Another Mission***

78. Under normal circumstances, United Nations Police Officers are not transferred from one mission to another. However, in certain cases, due to operational necessities and

mission exigencies, United Nations Police Officers may be transferred either at the request of the Police Division or following a request by Member States. The following shall apply in such cases:

- a. When the Police Division transfers a United Nations Police Officer, the Police Division shall obtain the individual's willingness and availability from the mission (concurrence of the Head of the Police Component), prior to initiating a request to his/her Member State asking for authorisation for the proposed transfer. Obtaining the concurrence for transfer shall remain a national responsibility;
- b. Member States may initiate a request to transfer United Nations Police Officers. In this case, the Permanent Mission shall give the details of the request and a brief explanation of the reasons for the transfer. The Police Division will consult with the Head of the Police Component, to ensure that the transfer does not affect the operational capability of the mission. The administration of transfer will be co-ordinated within the United Nations system.

#### Reassignment to the Same Mission

79. It is recommended that United Nations Police Officers returning to the mission for a second tour of duty must have spent a period not shorter than six (6) months outside of the mission area. United Nations Police Officers returning to the same mission after spending six (6) months outside of the mission area are subject to follow the above-mentioned procedure.

### **Medical Support**

#### ***Pre-deployment Medical Examination***

80. As mentioned above, a pre-deployment medical examination is required for all United Nations Police Officers being considered for a mission assignment with the United Nations. This examination must have taken place within the preceding three (3) months.

#### Immunization

81. The Medical Services Division of the United Nations recommends the vaccination requirements within United Nations peacekeeping operations, which should be the minimum requirement observed by all police contributing countries. These requirements are divided into those that are mandatory and those that are recommended.

82. It is a national responsibility (at national expense) to ensure that all personnel have received at least the initial dose of mandatory vaccinations before deployment into the mission area. The immunization status of each individual is to be properly documented for monitoring by the respective doctor. It is recommended that each United

Nations Police Officer is provided with the World Health Organization International Certificate of Vaccination or its national equivalent <sup>(13)</sup>.

### HIV Awareness

83. Sexually transmitted infections, including the Human Immunodeficiency Virus (HIV), are a major medical problem when personnel are deployed throughout the world. Conflict and post-conflict areas are high-risk environments for the spread of HIV, which causes AIDS, and United Nations Police Officers are at risk of both contracting and spreading the virus.

84. The United Nations does not require an HIV test but strongly recommends that personnel be offered voluntary confidential counselling and testing prior to deployment. However, HIV-positive individuals who do not show clinical manifestations of AIDS are not precluded from deployment.

85. It is a national responsibility to ensure that personnel are provided with HIV/AIDS awareness training before deployment. Such training should underscore preventative measures and also stress the vulnerability of the host community and the importance of adhering to the United Nations' code of conduct. Ongoing HIV awareness training in the mission area is also crucial.

86. HIV is transmitted through unprotected sex (both vaginal and anal) and via blood and blood products. However, there is no risk of contracting HIV from casual person-to-person contact such as sharing food, eating or drinking utensils, or using the same bedding, toilet facilities or bath water.

87. If the need for any type of injection arises, disposable needles and syringes should be used. These are provided in the medical kit and are also available in United Nations dispensaries or United Nations Development Programme offices. Sexual Transmission is the most common route of HIV infection, therefore practising safer sex and using condoms is vital to prevent infection. The mission will also supply condoms. While encouraging abstinence as the best form of protection, the Head of the Police Component should ensure that condoms are available and that personnel understand how to use them properly.

### ***Entitlement to and Provision of Medical Services***

88. Arrangements are made by the United Nations to provide United Nations Police Officers with medical coverage during their assignment in the mission area. This covers any illness or injury that occurs while performing official duties or taking authorized time off, and which is attributable to conditions and hazards within the area of assignment. As such, United Nations Police Officers may not have direct access to United Nations medical facilities. They may seek treatment at clinics or hospitals of their choice, with the exception of mandatory United Nations medical examination, which must be carried out

---

13. Refer to MSM Chapter 6-02, under Immunization Policy.

by a United Nations designated physician. Medical claims, including hospitalisation, are to be settled directly by the Administration Section of the mission, or reimbursed to the individual upon presentation of bills and supporting documentation (See MSM Chapter 5-03, paragraph B).

89. Member States should facilitate the provision of medical, including psychological, services for all United Nations Police Officers upon completion of their assignment.

#### ***Compensation for Injury, Illness or Death Attributable to Service***

90. Provisions are made by the United Nations to cover costs incurred for treatment and hospitalisation, as well as to make financial awards for disability or death to United Nations Police Officers in United Nations Peacekeeping Operations. Such claims are reviewed by the Advisory Board on Compensation Claims appointed by the Secretary-General to validate these claims, determine the degree of incapacity and the relevant award. As far as entitlements are concerned, The United Nations may provide United Nations Police Officers with compensation coverage for death, injury or illness which is determined by the Secretary-General to have been attributable to the performance of official duties on behalf of the United Nations, to the amount of USD \$ 50,000, or twice the officer's annual base salary, less allowances, whichever is greater. The compensation payable under the rules governing this entitlement will be the sole compensation payable by the United Nations in respect of death, injury or illness.

91. The regulations governing award of such compensation are as follows:

- a. Injury, illness, disability or death must have occurred in the mission area;
- b. It must have occurred while performing duty on behalf of the United Nations, or at the time of officially designated rest time; and
- c. It must have occurred while travelling on behalf of the United Nations by means of transportation provided by or paid for by the same.

92. Where illness, injury or death occurs after completion of the assignment or where this arises as a result of wilful misconduct or intent of the individual, the above provisions will not apply. Where the individual is entitled to similar provisions through other arrangement, reimbursement is only authorized for expenses and recoverable under the respective scheme. All doubtful cases will be given sympathetic consideration.

#### ***Reimbursement of Medical and Dental Expenses***

93. The United Nations provides United Nations Police Officers with coverage for medical examinations, as well as for other medical services which they might require as a result of illness or injury, including hospitalisation, during their period of service in the mission area. To qualify for coverage by the United Nations, the illness or injury must have occurred while United Nations Police Officers concerned were in the mission area

either performing official duties or on authorized time off and be attributable to conditions and hazards peculiar to the area of assignment.

94. All arrangements for medical and hospital services for United Nations Police Officers are made through the Head of the Administration Component of the mission who should report all cases of serious illness, injury or hospitalisation to the Office of Mission Support. A physician may provide medical services or a hospital of a United Nations Police Officer's choice except for United Nations medical examinations, which must be carried out by the United Nations, designated physician in the area.

95. Claims for medical and hospital services rendered are settled directly by the Head of the Administration Component of the mission or reimbursed to the United Nations Police Officer on presentation of all bills and supporting documentation certified by him/her as correct. All medical bills should first be verified by the Chief Medical Officer in the mission before being submitted to the Head of the Administration Component of the mission.

96. If other insurance arrangements cover United Nations Police Officers, the United Nations does not reimburse hospital or medical expenses that are reimbursable by another source.

97. Cost for dental treatment is normally considered the responsibility of United Nations Police Officers. Expenses relating to dental treatment will only be reimbursed in cases determined by NY Headquarters to be attributable to the performance of official duties on behalf of the United Nations (14).

### **Travel Arrangements**

98. The United Nations is only responsible for the cost of travel of a United Nations Police Officer to the mission on initial deployment with a tour of duty of one (1) year and from the mission on final repatriation upon completion of his/her tour of duty. The Police Division is to authorize all United Nations Police Officers' deployments. However, due to the specific mission requirements or mission mandate length, the Police Division can authorize deployment of personnel for less than one (1) year. In this case, the United Nations will only be responsible for the cost of return travel.

#### ***Class and Route***

##### **Travel**

99. Travel will be by air using the most direct and economical commercial route from the United Nations Police Officer's place of residence in the home country, duty station in the home country or the location of their national authorities to the mission area. The class of air travel will always be **economy** irrespective of the duration of travel.

---

14. See annex 9 on the reimbursement of Medical and Dental Expenses in the DPKO Human Resources Handbook.

100. In cases where either the Member State or the United Nations Police Officer chooses to travel by another mode (e.g. by surface using private automobile), such request in writing should be forwarded through the Police Division to the Office of Mission Support, in advance, for appropriate reflection in the official travel documents. No such travel is to be undertaken without the explicit authority from the Office of Mission Support, since they require prior security clearance in selected missions.

101. Once the Office of Mission Support has completed the travel arrangements, the details will be forwarded, including the travel authorization, to the concerned Permanent Mission. At the same time they will inform the mission in order to ensure that necessary reception arrangements are made.

102. Some Member States have entered into written agreements with the Office of Mission Support whereby the travel and/or shipment of personal effects of United Nations Police Officers are arranged by them as per established entitlements and claims are submitted through their permanent mission in New York for reimbursement. All such deployments also need to follow the deployment procedures in accordance with these guidelines and require official authorization prior to departure of the concerned officers.

### ***Shipment and Insurance of Personal Baggage***

#### **Shipping Entitlements**

103. The baggage allowance is of one hundred (100) kg accompanied excess baggage on deployment, and one hundred (100) kg unaccompanied on repatriation by the most economical means, normally by air freight as surface shipments may cause unreasonable delays. However, in instances where the concerned Member State does not provide an helmet and a flak jacket to the United Nations Police Officer, this baggage allowance shall be limited to ninety (90) kg on deployment and ninety (90) kg on repatriation.

104. When travelling on initial assignment, the United Nations will prepay the cost of accompanied excess baggage in certain cases. Where the United Nations does not prepay such costs, either the Member State or the officer is requested to pay the costs and seek reimbursement later. When Member State prepays, such costs will be reimbursed by the United Nations in New York through the Permanent Mission upon submission of relevant documentation. If United Nations Police Officers pay the charges of accompanied excess baggage, reimbursement will be made by the receiving mission upon submission of the standard United Nations form, i.e. Voucher for Reimbursement of Expenses (F.10 form), together with original receipts.

105. In cases where the tour of duty is less than one (1) year, the respective Member State is responsible for the shipment of personal effects during the inward travel and United Nations is responsible for shipment by the most economical means at the time of repatriation.

## Insurance

106. The United Nations does not accept responsibility for insuring accompanied baggage. United Nations Police Officers requiring such insurance should arrange it at their own expenses. In the event, when the United Nations provides unaccompanied airfreight, insurance coverage will be provided only if an itemised inventory with values is received in advance of travel.

## Travel Documentation

107. The Member State and/or the United Nations Police Officers is/are responsible for obtaining or securing proper travel documents such as passports validated for duration of the mission assignment, all visas (transit and destination) and the necessary vaccination and relevant certificate(s) as required under established United Nations travel advisories.

## Travel Information

108. United Nations Police Officers are normally met on arrival at the airport in the mission area. A United Nations Police Officer whose travel has not been arranged directly by the United Nations Headquarters is under the obligation to ensure that the Police Division and the Office of Mission Support are informed, as soon as possible, if necessary by cable or facsimile, of his/her itinerary, including airline and flight numbers, and of any subsequent changes. This information is communicated by the Police Division and the Office of Mission Support to the mission area. Delays encountered en route affecting the date of arrival should be sent by facsimile to the Police Division (fax number: +1 917-367-2222) or after working hours to the Situation Centre (fax number: +1 212-963-9053).

## Group Travel

109. In the event of group travel, where a large number of United Nations Police Officers are travelling together, the United Nations may consider the use of a chartered aircraft for their transportation. Generally, such arrangements are made for groups of fifty (50) or more personnel when rotating. It is dependent on an assessment of whether chartering will be more economical than the use of commercial aircraft for each particular case. The United Nations Police Officers may be deployed under a Letter of Assistance. The Office of Mission Support will resolve the mode of travel, and will advise the relevant Permanent Mission accordingly.

## Charter Flights

110. Where a chartered aircraft is used for the transportation, United Nations Police Officers are limited to a total of one hundred and twenty (120) kg of personnel effects, which will be transported with them on the chartered aircraft.



## Travel Claims

111. The individual travelers are not authorized to purchase their own ticket and no claim for reimbursement will be entertained. The air tickets are normally arranged either by the United Nations in New York or by local offices in the country of origin or by the respective Member State. Individual travel claims, to be submitted to the mission administration upon arrival, are essentially restricted to a daily subsistence allowance for any forced stop-over en-route, terminal expenses and excess baggage if pre-paid directly by the traveler. Originals of used air-tickets, boarding passes and any receipts must be retained by the travelers and submitted together with the established claim form (F.10).

## ***Cases of Early Repatriation***

112. United Nations Police Officers may be repatriated prior to the completion of their tour of duty in the following circumstances:

- a. Failure to meet the minimum mission requirements;
- b. Disciplinary grounds;
- c. Medical grounds;
- d. Compassionate grounds;
- e. Death in service;
- f. A formal request citing personal reasons; and
- g. At the Member State's request.

## Failure to Meet the Minimum Requirements for Service with the Mission

113. When United Nations Police Officers fail to meet the minimum requirements for service with the mission, the Head of Mission should seek authorization from the Under-Secretary-General for Peacekeeping Operations to repatriate those concerned. Once decided, repatriation shall be immediate and the national authorities concerned shall be contacted at once through the Permanent Mission in New York. The Member State shall be responsible for the cost of repatriation travel as well as for the travel on deployment and final repatriation of any replacement sent to complete the repatriated United Nations Police Officer's tour of duty. If, however, the replacement completes the repatriated tour of duty plus an additional tour of duty, the United Nations will pay for the travel of the replacement on initial deployment and final repatriation at the end of the second tour of duty.

114. United Nations Police Officers who have passed the tests (English and/or French and/or another official United Nations language, driving, interview, firearms) of the United Nations Selection Assistance Team prior to their deployment to the mission should, in principle, not be subjected to repatriation. If they, however, fail to show ability to adapt to local road and traffic conditions before the issuance of a United Nations driver's license, they should be assigned to non-driving duties and given three (3) opportunities within one (1) month, to undergo further assessment after they have familiarized themselves to local conditions. If, after this period of one (1) month, he/she has not met the requirements to obtain a United Nations driver's licence and there are no other appropriate duties in the mission that he/she could be assigned to, the matter should

be raised with the Under-Secretary-General for Peacekeeping Operations. The costs for repatriation shall be borne by the United Nations if the circumstances so warrant (see above).

#### Disciplinary Grounds

115. The decision to repatriate a United Nations Police Officer on disciplinary grounds shall be made, in all cases, by the Under-Secretary-General for Peacekeeping Operations based upon the recommendation of the Head of Mission. Once decided, repatriation shall be immediate and the national authorities concerned shall be informed at once through their respective Permanent Mission in New York. The expenses associated with the repatriation and any replacement sent to complete the repatriated United Nations Police Officer's tour of duty shall be borne by the Member State. United Nations Police Officers repatriated on disciplinary ground will not be considered for future service with the United Nations.

#### Medical Grounds

116. Medical repatriation is a return of a patient or casualty to his/her home country, because of medical reasons, following which he/she would be unlikely to return to duty. The United Nations will pay for the repatriation travel of a United Nations Police Officer as well as the round trip travel on deployment and repatriation of replacement sent to complete the repatriated United Nations Police Officer's tour of duty in these cases. Where necessary and authorized by Headquarters in New York, the United Nations will also pay for the round-trip travel costs for an escort to accompany any United Nations Police Officer who will be repatriated on medical grounds.

#### Compassionate Grounds

117. Where the Head of the Police Component has approved early repatriation of a United Nations Police Officer on compassionate grounds, the United Nations will pay the one-way travel expenses to the home country against the entitlement to final repatriation travel. If a replacement provided to complete the repatriated United Nations Police Officer's tour of duty, or if the repatriated United Nations Police Officer decides to return to the mission to complete his/her tour of duty, the trip back to the mission as well as the final travel on completion of the tour of duty will be either at the expense of the repatriated United Nations Police Officer or the Member State. The United Nations is only obliged to pay travel costs to and from the mission area on deployment and repatriation in respect of a tour of duty. If, however, the replacement completes the repatriated tour of duty plus an additional tour of duty, the United Nations will pay for the travel of the replacement on initial deployment and final repatriation at the end of the second tour of duty.

#### Death and Injury in Service

118. In the event of the death of a United Nations Police Officer, the United Nations will be responsible for all costs associated with the return of the remains to the home country as well as the round trip travel of a replacement on initial deployment and

repatriation. Where authorized, the United Nations may also pay the round-trip travel expenses of an escort to accompany the remains to the home country.

119. Compensation may not be paid where a United Nations Police Officer's death, injury or illness is deemed to have been caused by that individual's own wilful misconduct or wilful negligence.

120. A claim for compensation by or on behalf of a United Nations Police Officer must be submitted through the Assistant Secretary-General of the Office of Mission Support to the United Nations Secretary-General by the officer, his/her dependants or his/her Government, within four (4) months of the United Nations Police Officer's death, injury or onset of illness. In exceptional circumstances, the Secretary-General may accept for consideration a claim made at a later date. The Secretary-General has appointed an Advisory Board on Compensation Claims to review claims filed under the rules governing entitlement and to report to him regarding such claims or appeals. The determination of the injury or illness and the type and degree of incapacity and of the relevant award will be decided on the basis of the documentary evidence and in accordance with the provisions established by the Secretary-General. All cases will be given sympathetic consideration, taking into account all relevant factors, including the possibility that such death, injury or illness could have occurred during the performance of United Nations official duties.

121. A United Nations Police Officer is at liberty to name his/her own beneficiary, whether the latter is a recognized dependant or not. For this purpose, each United Nations Police Officer, upon arrival in the mission, is required to complete, in triplicate, a designation of beneficiary form.

122. In the event of death in the service of the United Nations, the award of compensation will follow a similar procedure, but the payment will be made to the duly designated beneficiary of the United Nations Police Officer. If no beneficiary has been named, the payment will be made to the estate of the deceased. In either case, payment will be made by the United Nations through the United Nations Police Officer's Government.

#### Individual or Member State Request

123. Upon the request of a United Nations Police Officer or Member State, the costs associated with repatriation and replacement shall be borne by the Member State. If, however, the replacement completes the repatriated United Nations Police Officer's tour of duty plus an additional tour of duty, the United Nations will pay for the travel of the replacement on initial deployment and final repatriation at the end of the second tour of duty.

## ***Compensation for Loss of Personal Effects***

### **General**

124. United Nations Police Officers may be entitled for a reasonable amount of compensation to be paid, within established limits, to their personal effects, which has been determined by the United Nations to be directly attributable to the performance of official duties on behalf of the United Nations.

### **Definition of Personal Effects**

125. Personal effects are defined as goods normally required for United Nations Police Officers' personal or household use, and exclude animals and power-assisted vehicles.

### **Conditions under which Compensation May Be Payable**

126. Loss of or damage to personal effects are deemed to be attributable to the performance of official duties when the loss or damage:

- a. Was caused by an incident, which occurred while the concerned United Nations Police Officer was performing official duties on behalf of the United Nations;
- b. Was directly due to the presence of a United Nations Police Officer, in accordance with an assignment by the United Nations, in an area designated by the United Nations Security Coordinator as hazardous, and occurred as a result of the hazards in that area; and
- c. Was caused by an incident, which occurred during any travel by means of transportation furnished by or at the expense or direction of the United Nations, undertaken in connection with the performance of official duties.

127. Compensation is not payable for loss or damage to personal effects when the loss or damage was caused by the negligence or misconduct of a United Nations Police Officer.

## **Duty Schedule, Leave, Compensatory Time Off, Clothing, Equipment and Related Matters**

### ***Hours of Duty***

128. The Head of the Police Component shall establish the hours of work for United Nations Police Officers, with the concurrence of the Head of the Administration Component of the mission. An equitable duty schedule is organized to meet operational and administrative requirements of the mission. If the operational requirements allow, the norm would be the establishment of a five-day workweek, including through the establishment of a duty roster for Saturdays, Sundays and official holidays. If for operational reasons United Nations Police Officers are required to work on Saturdays,

Sundays and official holidays, CTO should be granted to compensate for the weekends and holidays worked.

### ***Leave and CTO***

129. Leave with MSA is accrued at the rate of 1.5 days per month of completed service. The following general conditions apply to leave:

- a. Except with regard to leave accruing in respect of the final month of service, leave may not be taken before it is earned;
- b. There will be no cash payment for accrued, but unused leave;
- c. Leave must be taken during the tour of duty. Assignments will not be extended for the purpose of exhausting leave entitlements;
- d. Leave may be taken in conjunction with compensatory time off;
- e. During the final month of service no more than 12 days' leave and/or compensatory time off may be approved; and
- f. The full rate of MSA applicable to United Nations Police Officers posting is payable for all leave days taken, irrespective of where they are taken.

### **Sick Leave**

131. The attending physician must certify any absence on sick leave in excess of one day per month. Repeated absence on sick leave will render the United Nations Police Officer liable to repatriation on medical grounds. Sick and compassionate leave shall not interrupt the compensatory time off (CTO) cycle.

132. MSA is not payable when United Nations Police Officers are hospitalised or on sick leave outside the mission area.

### **Compensatory Time Off (CTO)**

133. The criteria for determining eligibility to CTO is whether the nature of duty is continuous, without a break for weekends, holidays, periodic rest days or scheduled days off. CTO may be granted when operational requirements necessitate the active duty of a United Nations Police Officer on a continuous basis i.e., twenty-four (24) hours per seven (7) days a week including weekends and holidays where the only days off would be for reasons of sick leave or annual leave. United Nations Police Officers who enjoy weekends, holidays or days off in lieu of weekends/holidays, do not qualify for CTO even if the individuals are required to perform stand-by or duty officer functions (15).

### **Departure From and Arrival in Mission Area**

134. Leave and CTO days leave will be calculated from the date of arrival to or departure from the mission area.

---

15. See "CTO Policy for Military Observers and Civilian Police" attached as annex 10.

Sundays and official holidays, CTO should be granted to compensate for the weekends and holidays worked.

### ***Leave and CTO***

129. Leave with MSA is accrued at the rate of 1.5 days per month of completed service. The following general conditions apply to leave:

- a. Except with regard to leave accruing in respect of the final month of service, leave may not be taken before it is earned;
- b. There will be no cash payment for accrued, but unused leave;
- c. Leave must be taken during the tour of duty. Assignments will not be extended for the purpose of exhausting leave entitlements;
- d. Leave may be taken in conjunction with compensatory time off;
- e. During the final month of service no more than 12 days' leave and/or compensatory time off may be approved; and
- f. The full rate of MSA applicable to United Nations Police Officers posting is payable for all leave days taken, irrespective of where they are taken.

### **Sick Leave**

131. The attending physician must certify any absence on sick leave in excess of one day per month. Repeated absence on sick leave will render the United Nations Police Officer liable to repatriation on medical grounds. Sick and compassionate leave shall not interrupt the compensatory time off (CTO) cycle.

132. MSA is not payable when United Nations Police Officers are hospitalised or on sick leave outside the mission area.

### **Compensatory Time Off (CTO)**

133. The criteria for determining eligibility to CTO is whether the nature of duty is continuous, without a break for weekends, holidays, periodic rest days or scheduled days off. CTO may be granted when operational requirements necessitate the active duty of a United Nations Police Officer on a continuous basis i.e., twenty-four (24) hours per seven (7) days a week including weekends and holidays where the only days off would be for reasons of sick leave or annual leave. United Nations Police Officers who enjoy weekends, holidays or days off in lieu of weekends/holidays, do not qualify for CTO even if the individuals are required to perform stand-by or duty officer functions (15).

### **Departure From and Arrival in Mission Area**

134. Leave and CTO days leave will be calculated from the date of arrival to or departure from the mission area.

---

15 See "CTO Policy for Military Observers and Civilian Police" attached as annex 10.

### ***Mission Subsistence Allowance (MSA)***

135. The Mission Subsistence Allowance (MSA) is a daily allowance payable by the United Nations for living expenses incurred in the mission in connection with temporary assignments. MSA is primarily determined on the basis of long-term accommodation, food and incidental expenses at the duty station. MSA rates are established by the United Nations Office of Human Resources Management based on a survey of accommodation, food and miscellaneous expenses. The rates are reviewed and may be adjusted accordingly. When either United Nations or another entity provides accommodation and/or food the MSA will be reduced accordingly. MSA is payable in the following circumstances:

- a. For actual work days spent in the mission area;
- b. For the weekends and official holidays, whether spent within or outside the mission area, which occur within a period during which the staff member was otherwise entitled to MSA;
- c. For annual leave days accrued while on mission assignment and taken prior to the end of the tour of duty; and
- d. For sick leave spent in the mission area. In the case of hospitalisation in the mission area, only the accommodation portion of the MSA is payable.

136. When required to travel on official business within the mission area which requires an overnight stay at a location away from the normal duty station, the full MSA rate is payable at the place of the overnight stay, in addition to the accommodation portion of the MSA for the normal duty station.

### **Currency regulation**

138. It is the United Nations Police Officer's responsibility to learn and abide by the currency regulations of his/her home country and the mission area, especially as regards to foreign currency exchanges on the local market. Violations of these regulations may result in disciplinary action.

### ***Clothing and Equipment***

#### **General Information**

139. United Nations Police Officers are obliged to wear their national uniforms during the performance of their duties. The United Nations will provide a blue beret, peak cap, cap badge, neck scarf and six shoulder patches to be sewn on the upper right sleeve of the uniform shirt or jacket. A national identification symbol, normally a small national flag, should be sewn on the upper left sleeve of the uniform shirt and jacket. United Nations Police Officers must have the United Nations blue helmet and anti-flack jacket readily accessible to wear in case of emergency, or upon notification and order from the chain of command. It is recommended to Member States to provide protective equipments to their deployed contingents as appropriate.

140. Selection of clothing and equipment will depend on climatic and terrain conditions in the mission area. United Nations Police Officers may wear civilian clothes while off-duty.

#### Firearms and ammunition

141. Member States are fully responsible for the provision and transport, to and from the mission area, of firearms and ammunition for United Nations Police Officers deployed in peacekeeping operations, when so required by the United Nations. Such weapons must be in excellent working condition and ammunition must be valid for at least two (2) years at the time of their transportation to the mission area.

#### Cameras

142. United Nations Police Officers are not authorized to carry cameras while on duty, unless as otherwise authorized by the mission. Upon arrival, all United Nations Police Officers should acquaint themselves with the standard operating procedures and other administrative directives, which give details governing the off-duty use of cameras.

#### Clothing and Equipment Allowance

143. The present entitlement for clothing and equipment is \$US 200 for each full year of service. The allowance is paid in two instalments, the first half upon arrival in the mission area and the second half at the end of six (6) months, when there is a reasonable expectation that the United Nations Police Officer will complete a full year's tour of duty.

### **United Nations Medal**

144. The Secretary-General establishes the United Nations Medal for award, subject to the applicable regulations, to United Nations Police Officers who are or have been in the service of the United Nations.

### **Miscellaneous**

#### ***Performance Appraisals***

145. Performance appraisals must be completed in accordance with the *DPKO Standard Operating Procedures on Performance Appraisal of United Nations Police Officers* (see annex 11).

#### ***Administrative and Financial Matters***

146. During their tour of duty in the mission, United Nations Police Officers shall be responsible for administrative and financial matters at the mission level in accordance with United Nations rules, regulations and other issuances. After the completion of assignments of United Nations Police Officers with the mission, DPKO shall handle all



communications with police contributing countries pertaining to administrative and financial matters.

**Entry into Force**

147. These Guidelines shall come into force on 29 June 2007. They shall supersede all existing guidelines applicable to United Nations Police Officers, excluding members of Formed Police Units, on assignment with Peacekeeping Operations.



Jean-Marie Guéhenno  
Under-Secretary-General  
Department of Peacekeeping Operations  
29 June 2007

## ATTACHMENTS

1. **Article VI of the Convention on the Privileges and Immunity of the United Nations (Annex 1)**
2. **Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Missions (Annex 1a)**
3. **Secretary-General's Bulletin on Special Measures for Protection from Sexual Exploitation and Sexual Abuse (Annex 1b)**
4. **United Nations Criminal Justice Standards for Peacekeeping Police (Annex 1c)**
5. **"We are United Nations Peacekeepers" (Annex 2)**
6. **Ten Rules Code of Conduct for Blue Helmets (Annex 2a)**
7. **Letter of undertaking by United Nations Police Officers (Annex 3)**
8. **List of points of contacts in DPKO (Annex 4)**
9. **Entry Medical Examination Form (Annex 5)**
10. **United Nations Medical Guidelines for Peacekeeping Operations (Annex 6)**
11. **Health care policies and procedures (Annex 7)**
12. **United Nations Police Officer Deployment List (Annex 8)**
13. **Extract from DPKO Human Resources Handbook (Annex 9)**
14. **CTO Policy for Military Observers and Civilian Police (Annex 10)**
15. **DPKO Standard Operating Procedures on Performance Appraisal of United Nations Police Officers (Annex 11)**
16. **Directive for Disciplinary Matters involving Civilian Police Officers and Military Observers (Annex 12)**
17. **Blank Personal History Form (Annex 13)**

## **ANNEX 1**

### **Article VI of the Convention on the Privileges and Immunities of the UN**

**Convention on the Privileges and Immunities of the United Nations<sup>1</sup>**

**Article VI**

**Experts on missions for the United Nations**

Section 22

Experts (other than officials coming within the scope of Article V) performing missions for the United Nations shall be accorded such privileges and immunities as are necessary for the independent exercise of their functions during the period of their missions, including the time spent on journeys in connection with their missions. In particular they shall be accorded:

- a. Immunity from personal arrest or detention and from seizure of their personal baggage;
- b. In respect of words spoken or written and acts done by them in the course of the performance of their Mission, immunity from legal process of every kind. This immunity from legal process shall continue to be accorded notwithstanding that the persons concerned are no longer employed on Missions for the;
- c. Inviolability for all papers and documents;
- d. For the purpose of their communications with the United Nations, the right to use codes and to receive papers or correspondence by courier or in sealed bags;
- e. The same facilities in respect of currency or exchange restrictions as are accorded to representatives of foreign Governments on temporary official Missions;
- f. The same immunities and facilities in respect of their personal baggage as are accorded to diplomatic envoys.

---

1. Convention on the privileges and immunities of the United Nations was adopted by the General Assembly of the United Nations on 13 February 1946 and came into force on 17 September 1946.

## **ANNEX 1a**

### **Regulations Governing the Status, Basic Rights and Duties of other than Secretariat Officials, and Experts on Missions**

**Regulations Governing the  
Status, Basic Rights and Duties  
of Officials other than  
Secretariat Officials, and  
Experts on Mission**



United Nations ☐ New York, 2002

**Secretary-General's bulletin**

**Regulations Governing the Status, Basic Rights and Duties  
of Officials other than Secretariat Officials, and Experts  
on Mission**

The Secretary-General promulgates the following Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission (hereinafter "the Regulations").

**Section 1  
General provisions**

- 1.1 By its resolution 56/280 of 27 March 2002, the General Assembly adopted the Regulations.
- 1.2 The text of the Regulations is attached to the present bulletin.

**Section 2  
Final provision**

The present bulletin shall enter into force on 1 July 2002.

*(Signed)* Kofi A. Annan  
Secretary-General

## Contents

	<i>Page</i>
I. Introduction .....	1
II. Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission .....	3
III. Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission, with commentary .....	6



## I. Introduction

1. Article 105, paragraph 3, of the Charter of the United Nations empowers the General Assembly to make recommendations with a view to determining, inter alia, the privileges and immunities of officials of the Organization or to propose conventions to Member States for this purpose. The Assembly did so by adopting the Convention on the Privileges and Immunities of the United Nations<sup>1</sup> on 13 February 1946 (hereinafter called "the General Convention").

2. The United Nations has persons performing full-time services for it, at the direction of its legislative organs, who are not staff. For example, article 13 of the statute of the Joint Inspection Unit (approved by the General Assembly in its resolution 31/192 of 22 December 1976) provides that the Inspectors shall have the status of officials of the Organization but shall not be staff members. In addition, pursuant to article V, section 17, of the General Convention, the Secretary-General has specified and submitted to the Assembly proposals that a number of persons who occupy certain positions within the Organization be accorded privileges and immunities under articles V and VII of the General Convention, even though they are not staff members. Those persons are the presiding officers of United Nations organs performing functions for the Organization on a substantially full-time basis (for example, the Chairman of the Advisory Committee on Administrative and Budgetary Questions and the Chairman and Vice-Chairman of the International Civil Service Commission). Those officials are not in a separate category under the General Convention, but their names are submitted by the Secretary-General to the host country together with those of Secretariat officials who are staff members. These persons have been consistently referred to by the General Assembly as "officials other than Secretariat officials".

3. Experts on mission may be retained by way of a contract known as a consultant contract, which sets out the terms of their appointment and the tasks that they must discharge. Other individuals may have the status of experts on mission, even though they do not sign a consultant contract, if they are designated by United Nations organs to carry out missions or functions for the United Nations (for example, rapporteurs of the Commission on Human Rights, rapporteurs and members of its Subcommission on the Promotion and Protection of Human Rights and members of the International Law Commission).

4. Article VI of the General Convention provides that experts (other than officials coming within the scope of article V) shall be accorded privileges and immunities necessary to enable them to carry out their missions for the United Nations and specifies a number of those privileges and immunities. Article VII, section 26, of the General Convention provides that facilities similar to those specified in section 25 (concerning applications for visas and facilities for speedy travel) shall be accorded to experts and other persons who are travelling on the business of the United Nations.

5. The Regulations contained in the present bulletin will apply to officials other than Secretariat officials, and to experts on mission. The Regulations are in most parts very general since they must apply to all officials other than Secretariat officials, and experts on mission. However, the application of the Regulations and the commentary to officials other than Secretariat officials, and to experts on mission who perform functions in respect of the United Nations and other

---

<sup>1</sup> United Nations, *Treaty Series*, vol. I, No. 4, p. 15.

organizations in the common system in accordance with their mandates (e.g., the Chairman and Vice-Chairman of the International Civil Service Commission and the Inspectors of the Joint Inspection Unit), is explained in various provisions of the Regulations and the commentary (see, e.g., regulation 1 (f), paragraph 3 of the commentary to regulation 1 (a) and the commentary to Regulation 1 (b)). The Regulations contained in the present bulletin will form part of the contract of employment or terms of appointment of any individual, including officials other than Secretariat officials, and experts on mission, who are appointed through Assembly action or through the actions of other representative bodies.

### **Role of the commentary**

6. Each provision of the Regulations set out in the present bulletin is followed by a commentary. The commentary is designed to explain those provisions and will thus be of help to those persons subject to the Regulations. The commentary is not part of the Regulations adopted by the Assembly, and so is not a legal norm; nor does it have the legal force of a rule. It is, however, an official guide published by the Secretary-General on the scope and application of the Regulations. The commentary will be updated from time to time in the light of experience gained in applying the Regulations to specific instances.

## **II. Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission**

### **Regulation 1 Status**

(a) The responsibilities of officials other than Secretariat officials (hereinafter referred to as "officials") and of experts on mission are not national but exclusively international.

(b) Officials and experts on mission shall make the following written declaration witnessed by the Secretary-General or an authorized representative:

"I solemnly declare and promise to exercise in all loyalty, discretion and conscience the functions entrusted to me by the United Nations, to discharge these functions and regulate my conduct with the interests of the United Nations only in view, and not to seek or accept instructions in regard to the performance of my duties from any Government or other source external to the Organization."

(c) The Secretary-General shall seek to ensure that the rights and duties of officials and of experts on mission, as set out in the General Convention, are respected. The Secretary-General shall also seek to ensure, having regard to the circumstances, that all necessary safety and security arrangements are made for officials and experts on mission carrying out the responsibilities entrusted to them.

(d) Experts on mission will receive a copy of the present Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission (hereinafter referred to as "the Regulations") when they receive documentation from the United Nations relating to their mission and will be required to acknowledge receipt of the Regulations. Officials will receive a copy of the Regulations at an appropriate opportunity.

(e) The privileges and immunities enjoyed by the United Nations by virtue of Article 105 of its Charter are conferred in the interests of the Organization. These privileges and immunities furnish no excuse to those who are covered by them to fail to observe the laws and police regulations of the State in which they are located; nor do they furnish an excuse for non-performance of their private obligations. In any case where an issue arises regarding the application of these privileges and immunities, an official or an expert on mission shall immediately report the matter to the Secretary-General, who alone may decide whether such privileges and immunities exist and whether they shall be waived, in accordance with the relevant instruments. The Secretary-General should inform and may take into account the views of the legislative bodies that appointed the officials or experts on mission.

(f) These regulations are applicable to the Chairman and Vice-Chairman of the International Civil Service Commission and the Inspectors of the Joint Inspection Unit, without prejudice to and in accordance with the statutes of the International Civil Service Commission and the Joint Inspection Unit, which stipulate that these officials perform their functions in respect of the United Nations and other organizations that accept their statutes.

## **Regulation 2**

### **Conduct**

(a) Officials and experts on mission shall uphold the highest standards of efficiency, competence and integrity. The concept of integrity includes, but is not limited to, probity, impartiality, fairness, honesty and truthfulness in all matters affecting their work and status.

(b) In the performance of their duties, officials and experts on mission shall neither seek nor accept instructions from any Government or from any other source external to the Organization.

(c) Officials and experts on mission shall discharge their functions and regulate their conduct with the interests of the Organization only in view. Loyalty to the aims, principles and purposes of the United Nations, as set forth in its Charter, is a fundamental obligation of all individuals covered by the present Regulations.

(d) While the personal views and convictions of officials and experts on mission, including their political and religious convictions, remain inviolable, they shall ensure that those views and convictions do not adversely affect their official duties or the interests of the United Nations. Officials and experts on mission shall conduct themselves at all times in a manner befitting their status. They shall not engage in any activity that is incompatible with the proper discharge of their duties with the United Nations. They shall avoid any action and, in particular, any kind of public pronouncement that may adversely reflect on their status, or on the integrity, independence and impartiality that are required by that status.

(e) Officials and experts on mission shall not use their office or knowledge gained from their official functions for private gain, financial or otherwise, or for the gain of any third party, including family, friends and those they favour. Nor shall they use their office for personal reasons to prejudice the positions of those they do not favour.

(f) Officials and experts on mission shall exercise the utmost discretion in regard to all matters of official business. Officials and experts on mission shall not communicate to any Government, entity, person or any other source any information known to them by reason of their official position that they know or ought to have known has not been made public, except as appropriate in the normal course of their duties or by authorization of the Secretary-General. If they are not appointed by the Secretary-General, such authorization shall be conferred by the body that appointed them. These obligations do not cease upon the cessation of their official functions.

(g) Officials and experts on mission may not accept any honour, decoration, favour, gift or remuneration from any Government or non-governmental source for activities carried out during the course of their official functions while in the service of the United Nations.

(h) Officials and experts on mission shall not be actively associated with the management of, or hold a financial interest in, any profit-making, business or other concern, if it were possible for them or the profit-making, business or other concern to benefit from such association or financial interest by reason of their position with the United Nations. Officials or experts on mission who are in such a situation shall either dispose of that financial interest or formally excuse themselves from participating with regard to any involvement in that matter that has given rise to the conflict-of-interest situation.

(i) Officials and experts on mission shall file financial disclosure statements if requested to do so by the Secretary-General. The Secretary-General shall prescribe the format and information to be provided in such statements and shall establish procedures for filing them. The financial disclosure statements will remain confidential and will be used, as prescribed by the Secretary-General, only in making determinations pursuant to regulation 2 (h). It will be for the Secretary-General, in due consultation with the appointing authority in the case of officials not appointed by the Secretary-General, to judge whether a particular fact has given rise to a conflict-of-interest situation.

(j) Officials and experts on mission must comply with local laws and honour their private legal obligations, including, but not limited to, the obligation to honour orders of competent courts.

(k) Any form of discrimination or harassment, including sexual or gender harassment, as well as physical or verbal abuse, at the workplace or in connection with work, is prohibited.

(l) Officials and experts on mission shall not intentionally misrepresent their functions, official title or the nature of their duties to Member States or to any entities or persons external to the United Nations.

(m) Officials and experts on mission participating, as part of their official functions, in activities organized by a Government, intergovernmental organization, non-governmental organization or other private source may receive from the Government, intergovernmental organization, non-governmental organization or private source accommodation and travel and subsistence allowance generally in line with those payable by the United Nations. In such cases, the travel and subsistence allowance that may otherwise be payable by the United Nations shall be reduced in the same manner as in respect of staff members of the Organization.

### **Regulation 3 Accountability**

Officials and experts on mission are accountable to the United Nations for the proper discharge of their functions.

### III. Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission, with commentary

#### Regulation 1 Status

##### Regulation 1 (a)

The responsibilities of officials other than Secretariat officials (hereinafter referred to as "officials") and of experts on mission are not national but exclusively international.

##### Commentary

1. *The United Nations has persons who perform services for it on a substantially full-time basis but who are not staff members. These persons have consistently been referred to by the General Assembly as "officials other than Secretariat officials". In addition, pursuant to article V, section 17, of the General Convention, the Secretary-General has specified and submitted to the Assembly proposals that a number of persons who occupy certain positions within the Organization be accorded the privileges and immunities under articles V and VII of the General Convention, even though they are not staff members. These persons have also been referred to as "officials other than Secretariat officials".*

2. *The United Nations also has experts who perform assignments for the Organization. Article VI of the General Convention provides that experts (other than officials coming within the scope of article V) shall be accorded privileges and immunities necessary to enable them to carry out their missions for the United Nations and specifies a number of those privileges and immunities. These experts have been referred to as "experts on mission".*

3. *The Regulations and the commentary, as applied to the Chairman and the Vice-Chairman of the International Civil Service Commission, the Inspectors of the Joint Inspection Unit and other officials and experts who perform functions in respect of the common system, in accordance with the statute of the International Civil Service Commission or that of the Joint Inspection Unit, respectively, or other mandates approved by the General Assembly or other relevant main bodies and organs of the United Nations, should be construed in the light of those functions and mandates. References to the United Nations or the United Nations Organization in the context of these Regulations and the commentary should be applied, bearing in mind that the functions of those officials and experts are related to the common system.*

4. *Regulation 1 (a) is similar to the second sentence of staff regulation 1.1 (a).<sup>2</sup>*

\* \* \*

<sup>2</sup> Hereinafter, references to staff regulations and rules denote the provisions contained in article I of the Staff Regulations and chapter I of the 100 series of the Staff Rules that came into effect on 1 January 1999, pursuant to General Assembly resolution 52/252.

**Regulation 1 (b)**

Officials and experts on mission shall make the following written declaration witnessed by the Secretary-General or an authorized representative:

“I solemnly declare and promise to exercise in all loyalty, discretion and conscience the functions entrusted to me by the United Nations, to discharge these functions and regulate my conduct with the interests of the United Nations only in view, and not to seek or accept instructions in regard to the performance of my duties from any Government or other source external to the Organization.”

**Commentary**

*Regulation 1 (b), which is similar to staff regulation 1.1 (b), contains the declaration of office of officials and experts on mission. In view of the system-wide functions of the International Civil Service Commission and the Joint Inspection Unit, the term “United Nations” in the written declaration will be replaced by the words “United Nations and other participating organizations”, and the word “Organization” will be replaced by the word “organizations” in the case of the Chairman and Vice-Chairman of the International Civil Service Commission and the Inspectors of the Joint Inspection Unit.*

\* \* \*

**Regulation 1 (c)**

The Secretary-General shall seek to ensure that the rights and duties of officials and experts on mission, as set out in the General Convention, are respected. The Secretary-General shall also seek to ensure, having regard to the circumstances, that all necessary safety and security arrangements are made for officials and experts on mission carrying out the responsibilities entrusted to them.

**Commentary**

1. *The first sentence of regulation 1 (c), which is similar to staff regulation 1.1 (c), codifies an implicit duty that falls upon the Secretary-General, namely, to seek to ensure that the rights and duties of officials and experts on mission as set out in the General Convention are respected (as such rights are granted by Governments, the Secretary-General can only “seek to ensure” that they are respected). The protection accorded to officials and experts on mission under this provision relates to their official acts and thus does not lapse upon cessation of their service for the Organization, or, if they are part-time, on days when they are not in service.*

2. *The second sentence of regulation 1 (c), which reproduces the essence of the second sentence of staff regulation 1.2 (c), sets forth the responsibility of the Secretary-General to seek to ensure the safety of officials and experts on mission.*

\* \* \*

**Regulation 1 (d)**

Experts on mission will receive a copy of the present Regulations Governing the Status, Basic Rights and Duties of Officials other than

Secretariat Officials and Experts on Mission (hereinafter referred to as “the Regulations”) when they receive documentation from the United Nations relating to their mission and will be required to acknowledge receipt of the Regulations. Officials will receive a copy of the Regulations at an appropriate opportunity.

#### **Commentary**

1. *Experts on mission retained by the Secretariat sign a consultant contract or receive a letter or other documentation indicating the scope of their mission for the Organization. The consultant contract or other documentation will incorporate the Regulations by reference, and experts will be required to acknowledge that they will abide by the Regulations.*

2. *At times, legislative bodies entrust tasks to individuals to perform assignments for those bodies (for example, members and special rapporteurs of the International Law Commission and other bodies). Those individuals have the status of experts on mission. Although their appointments may have been concluded without the signature of any document of appointment, their attention will be drawn to the Regulations when they receive documentation from the Secretariat relating to their functions and/or their assignment. That documentation will include a copy of the Regulations explaining that they were adopted by the General Assembly and thus constitute part of the conditions of those individuals' assignment for the United Nations.*

3. *Officials will receive a copy of the Regulations at an appropriate time, such as when they make the declaration of office (see regulation 1 (b)).*

\* \* \*

#### **Regulation 1 (e)**

The privileges and immunities enjoyed by the United Nations by virtue of Article 105 of its Charter are conferred in the interests of the Organization. These privileges and immunities furnish no excuse to those who are covered by them to fail to observe the laws and police regulations of the State in which they are located; nor do they furnish an excuse for non-performance of their private obligations. In any case where an issue arises regarding the application of these privileges and immunities, an official or an expert on mission shall immediately report the matter to the Secretary-General, who alone may decide whether such privileges and immunities exist and whether they shall be waived, in accordance with the relevant instruments. The Secretary-General should inform and may take into account the views of the legislative bodies that appointed the officials or experts on mission.

#### **Commentary**

1. *Regulation 1 (e), which deals with privileges and immunities, is similar to staff regulation 1.1 (f) (see paras. 32, 49, 54 and 55 of the report on standards of conduct in the international civil service 1954,<sup>3</sup> which was prepared by the International Civil Service Advisory Board (hereinafter referred to as “the ICSAB report”)).*

2. *Regulation 2 (j) specifies the obligations on those who are covered by such privileges and immunities to honour their private legal obligations.*

---

<sup>3</sup> A/52/488, annex III.



3. Pursuant to article V, section 20, and article VI, section 23, of the General Convention, it is only the Secretary-General who has the right to waive the privileges and immunities accorded to officials and experts on mission. In deciding whether such privileges and immunities exist and whether they should be waived, the Secretary-General may take into account the views of the legislative body that appointed the officials or experts on mission.

#### **Regulation 1 (f)**

These regulations are applicable to the Chairman and Vice-Chairman of the International Civil Service Commission and the Inspectors of the Joint Inspection Unit, without prejudice to and in accordance with the statutes of the International Civil Service Commission and the Joint Inspection Unit, which stipulate that these officials perform their functions in respect of the United Nations and other organizations that accept their statutes.

[There is no commentary to this provision.]

\* \* \*

### **Regulation 2 Conduct**

#### **Regulation 2 (a)**

Officials and experts on mission shall uphold the highest standards of efficiency, competence and integrity. The concept of integrity includes, but is not limited to, probity, impartiality, fairness, honesty and truthfulness in all matters affecting their work and status.

#### **Commentary**

1. Regulation 2 (a), which describes basic values expected of officials and experts on mission, is similar to staff regulation 1.2 (b).
2. The first sentence of regulation 2 (a) is derived from Article 101, paragraph 3, of the Charter of the United Nations by virtue of affirmatively placing upon officials and experts on mission the obligation to uphold the highest standards of efficiency, competence and integrity. As pointed out in paragraph 4 of the ICSAB report, the concept of integrity includes "honesty, truthfulness, fidelity, probity and freedom from corrupting influences".

\* \* \*

#### **Regulation 2 (b)**

In the performance of their duties, officials and experts on mission shall neither seek nor accept instructions from any Government or from any other source external to the Organization.

#### **Commentary**

Regulation 2 (b), which is similar to staff regulation 1.2 (d), flows from the first sentence of Article 100, paragraph 1, of the Charter of the United Nations (see ICSAB report, paras. 7, 18 and 31).

\* \* \*

**Regulation 2 (c)**

Officials and experts on mission shall discharge their functions and regulate their conduct with the interests of the Organization only in view. Loyalty to the aims, principles and purposes of the United Nations, as set forth in its Charter, is a fundamental obligation of all individuals covered by the present Regulations.

**Commentary**

1. *Regulation 2 (c) in substance contains the same obligations as are contained in staff regulation 1.2 (e) applicable to staff. The first sentence of regulation 2 (c) sets forth an idea that is contained in staff regulation 1.1 (a) and in staff regulation 1.1 (b), which contains the written declaration of office, that is to say, the idea that staff must regulate their conduct with the interests of the Organization only in view (ibid., para. 4).*

2. *The second sentence of regulation 2 (c) focuses on the concept of loyalty to the aims, principles and purposes of the Organization as set forth in the Charter of the United Nations (which is alluded to in the declaration contained in regulation 1(b)) (ibid., paras. 5, 6 and 21).*

\* \* \*

**Regulation 2 (d)**

While the personal views and convictions of officials and experts on mission, including their political and religious convictions, remain inviolable, they shall ensure that those views and convictions do not adversely affect their official duties or the interests of the United Nations. Officials and experts on mission shall conduct themselves at all times in a manner befitting their status. They shall not engage in any activity that is incompatible with the proper discharge of their duties with the United Nations. They shall avoid any action and, in particular, any kind of public pronouncement that may adversely reflect on their status, or on the integrity, independence and impartiality that are required by that status.

**Commentary**

1. *Regulation 2 (d) is similar to staff regulation 1.2 (f). The core idea of conduct befitting an international civil servant was considered by the International Civil Service Advisory Board in 1954. The Advisory Board remarked that "high standards of conduct are best attained by a universal understanding among staff members of the relation between their conduct and the success of the international organizations, and by the development of a strong tradition among men and women who are jealous of the reputation of the organizations that they serve and are anxious to safeguard it" (ICSAB report, para. 2; see also para. 4, on the integrity expected of international civil servants; paras. 5, 6 and 21, on loyalty; paras. 7 and 18, on independence; and paras. 8 and 48, on impartiality).*

2. *In respect of the last sentence of the regulation, it would be for the Organization to characterize an action or pronouncement as adversely reflecting on the status of an official or an expert on mission.*

\* \* \*

**Regulation 2 (e)**

Officials and experts on mission shall not use their office or knowledge gained from their official functions for private gain, financial or otherwise, or for the gain of any third party, including family, friends and those they favour. Nor shall they use their office for personal reasons to prejudice the positions of those they do not favour.

**Commentary**

1. *Regulation 2 (e), which is similar to staff regulation 1.2 (g), codifies principles set out in the ICSAB report (see paras. 17, 28 and 42). The use of one's office for personal gain is clearly unacceptable. This includes not only conducting a business from a United Nations office but also such activities as using United Nations facilities for a business, using the United Nations name, logo or address for a business and approving a contract for a family business without disclosure. Regulation 2 (e) also reflects the principle set out in staff regulation 1.2 (g) that a staff member shall not use information that has not been made public for the private advantage of the staff member or of any third party.*
2. *The regulation, for clarity, makes specific reference to prohibiting an official or expert on mission from so favouring a third party, including family or friends, as to enable that third party to profit from the position of the official or expert on mission or from the exercise of his or her functions. The term "friends" is broad and seeks to encompass not only friends as normally understood, but also relationships that are not recognized by the United Nations as creating a dependency.*
3. *The regulation also prohibits the use of office or knowledge gained from that office for personal reasons to prejudice or harm third parties.*

\* \* \*

**Regulation 2 (f)**

Officials and experts on mission shall exercise the utmost discretion in regard to all matters of official business. Officials and experts on mission shall not communicate to any Government, entity, person or any other source any information known to them by reason of their official position that they know or ought to have known has not been made public, except as appropriate in the normal course of their duties or by authorization of the Secretary-General. If they are not appointed by the Secretary-General, such authorization shall be conferred by the body that appointed them. These obligations do not cease upon the cessation of their official functions.

**Commentary**

1. *Regulation 2 (f), which is similar to staff regulation 1.2 (i), reflects the principle that official information may not be used for private purposes, except with authorization. This flows from the idea that officials and experts on mission are obligated to regulate their conduct with the interests of the Organization only in view (see ICSAB report, para. 4) and also from the requirements of regulation 2 (e). It follows that permission must be obtained for disclosure to third parties of information that has not been made public, unless such disclosure is specifically authorized or is in the normal course of duties of the official or expert on mission. Authorization of the Secretary-General is not required for officials and experts on mission who have not been appointed by the Secretary-General. Those officials and*

*experts on mission would require the authorization of the body that had appointed them if the communication of the information was not a normal part of their duties.*

*2. The last sentence of the regulation provides that the obligations contained in the provision do not cease upon cessation of official functions. It may be difficult to enforce such a provision, but, at the very least, if a former official or expert on mission ignored the obligations contained in this regulation, the official file of the former official or expert on mission could be noted so as to prevent his or her re-engagement.*

\* \* \*

**Regulation 2 (g)**

Officials and experts on mission may not accept any honour, decoration, favour, gift or remuneration from any Government or non-governmental source for activities carried out during the course of their official functions while in the service of the United Nations.

**Commentary**

*To ensure that officials and experts are perceived as impartial, regulation 2 (g) prohibits the acceptance of any honour, decoration, favour, gift or remuneration from any Government or non-governmental source for activities carried out during the course of their official functions while in the service of the United Nations.*

\* \* \*

**Regulation 2 (h)**

Officials and experts on mission shall not be actively associated with the management of, or hold a financial interest in, any profit-making, business or other concern, if it were possible for them or the profit-making, business or other concern to benefit from such association or financial interest by reason of their position with the United Nations. Officials or experts on mission who are in such a situation shall either dispose of that financial interest or formally excuse themselves from participating with regard to any involvement in that matter that has given rise to the conflict-of-interest situation.

**Commentary**

*1. The first sentence of regulation 2 (h) is similar to staff regulation 1.2 (m). The purpose of the provision is to put officials and experts on mission on notice that they cannot be actively associated with a profit-making, business or other concern, if either the concern or the official or expert on mission is to profit therefrom by reason of the association with the Organization. It will be for the Secretary-General or the appointing authority to judge whether a particular act has given rise to a conflict-of-interest situation.*

*2. The second sentence of regulation 2 (h) is similar to the second part of staff rule 101.2 (n), which deals with the consequences of a staff member's having a possible conflict-of-interest situation. In such cases, the official or expert on mission shall dispose of the interests or, if practicable, shall excuse himself or herself from dealing with the matter on behalf of the Organization.*

*3. Generally, experts on mission are appointed on a part-time basis, and it is therefore likely that they are engaged in other activities, including employment,*

*when they are not performing services for the Organization. While there is no question that experts on mission may be so engaged, they must ensure that those activities are not incompatible with their status or functions as experts on mission.*

\* \* \*

#### **Regulation 2 (i)**

Officials and experts on mission shall file financial disclosure statements if requested to do so by the Secretary-General. The Secretary-General shall prescribe the format and information to be provided in such statements and shall establish procedures for filing them. The financial disclosure statements will remain confidential and will be used, as prescribed by the Secretary-General, only in making determinations pursuant to regulation 2 (h). It will be for the Secretary-General, in due consultation with the appointing authority in the case of officials not appointed by the Secretary-General, to judge whether a particular fact has given rise to a conflict-of-interest situation.

#### **Commentary**

*Regulation 2 (i) is similar to, but more general than, staff regulation 1.2 (n), which requires all staff at the assistant secretary-general level and above to submit financial disclosure statements upon appointment and at intervals as prescribed by the Secretary-General, in respect of themselves and their dependent children, including any substantial transfers of assets and property to spouses and dependent children from the staff member or from any other source that might constitute a conflict of interest. This requirement is designed to minimize the risk of a perception of officials and experts on mission as using their position for personal gain. The regulation enables the Secretary-General to require officials and experts on mission to file financial disclosure statements, which will remain confidential and will be used only in dealing with conflict-of-interest situations (for example, in assessing whether an official was in such a situation).*

\* \* \*

#### **Regulation 2 (j)**

Officials and experts on mission must comply with local laws and honour their private legal obligations, including, but not limited to, the obligation to honour orders of competent courts.

#### **Commentary**

1. *Regulation 2 (j), which is similar to staff rule 101.2 (c), is really an amplification of regulation 1 (e), which provides that the privileges and immunities of the Organization afford no excuse for non-performance of private obligations (ibid., paras. 32, 54 and 55).*

2. *Regulation 2 (j) makes clear that private obligations must be honoured. It is the responsibility of those subject to the present Regulations, if they have a court order against them that they contest, to avail themselves of all means existing under the applicable national law to appeal the order and/or to secure relief from the obligation to comply with the order pending its appeal.*

\* \* \*

**Regulation 2 (k)**

Any form of discrimination or harassment, including sexual or gender harassment, as well as physical or verbal abuse, at the workplace or in connection with work, is prohibited.

**Commentary**

*Regulation 2 (k), which is similar to staff rule 101.2 (d), reproduces the core of Secretary-General's bulletin ST/SGB/253 of 29 October 1992, which established United Nations policy on equal treatment of men and women in the Secretariat and also prohibited all forms of discrimination or harassment.*

\* \* \*

**Regulation 2 (l)**

Officials and experts on mission shall not intentionally misrepresent their functions, official title or the nature of their duties to Member States or to any entities or persons external to the United Nations.

**Commentary**

*Regulation 2 (l) is similar to staff rule 101.2 (f), which prohibits the intentional misrepresentation of an official title or duties to outside parties (for example, by placing misleading titles on business cards). The use of the word "intentional" makes clear that this does not refer to careless or accidental acts.*

\* \* \*

**Regulation 2 (m)**

Officials and experts on mission participating, as part of their official functions, in activities organized by a Government, intergovernmental organization, non-governmental organization or other private source may receive from the Government, intergovernmental organization, non-governmental organization or private source accommodation and travel and subsistence allowance generally in line with those payable by the United Nations. In such cases, the travel and subsistence allowance that may otherwise be payable by the United Nations shall be reduced in the same manner as in respect of staff members of the Organization.

**Commentary**

1. *Regulation 2 (m), which is similar to staff rule 101.2 (s), deals with the issue of participation at various official functions. Officials and experts on mission who as part of their official functions participate in activities organized by a Government, intergovernmental organization, non-governmental organization or other private source may receive from it accommodation and travel and subsistence allowance generally in line with those payable by the United Nations, and in such cases the allowances that may otherwise be payable by the United Nations shall be reduced in the same amount as in respect of staff members of the Organization. Such provisions are presently found in staff rule 107.15 (a).*

2. *It should be noted that accommodation and travel and subsistence allowance may be accepted only if their acceptance would be appropriate to the status of officials and experts on mission and to the integrity, independence and impartiality*

---

*that are required by that status. There may therefore be situations in which it would not be appropriate to accept those allowances from a Government, intergovernmental organization, non-governmental organization or other private source.*

\* \* \*

### **Regulation 3 Accountability**

Officials and experts on mission are accountable to the United Nations for the proper discharge of their functions.

#### **Commentary**

*Regulation 3, which is similar to staff regulation 1.3 (a), makes clear that officials and experts on mission are accountable for their actions. The method of accountability may vary. For officials appointed by the General Assembly, that accountability would be a matter for the Assembly. For experts on mission, it would be the Secretary-General or the appointing authority who could terminate an assignment or otherwise admonish the expert.*

---



## **ANNEX 1b**

### **Secretary General's Bulletin on Special Measures for Protection from Sexual Exploitation and Sexual Abuse**





---

## **Secretary-General's Bulletin**

### **Special measures for protection from sexual exploitation and sexual abuse**

The Secretary-General, for the purpose of preventing and addressing cases of sexual exploitation and sexual abuse, and taking into consideration General Assembly resolution 57/306 of 15 April 2003, "Investigation into sexual exploitation of refugees by aid workers in West Africa", promulgates the following in consultation with Executive Heads of separately administered organs and programmes of the United Nations:

#### **Section 1 Definitions**

For the purposes of the present bulletin, the term "sexual exploitation" means any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. Similarly, the term "sexual abuse" means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

#### **Section 2 Scope of application**

2.1 The present bulletin shall apply to all staff of the United Nations, including staff of separately administered organs and programmes of the United Nations.

2.2 United Nations forces conducting operations under United Nations command and control are prohibited from committing acts of sexual exploitation and sexual abuse, and have a particular duty of care towards women and children, pursuant to section 7 of Secretary-General's bulletin ST/SGB/1999/13, entitled "Observance by United Nations forces of international humanitarian law".

2.3 Secretary-General's bulletin ST/SGB/253, entitled "Promotion of equal treatment of men and women in the Secretariat and prevention of sexual harassment", and the related administrative instruction<sup>1</sup> set forth policies and procedures for handling cases of sexual harassment in the Secretariat of the United Nations. Separately administered organs and programmes of the United Nations have promulgated similar policies and procedures.

---

<sup>1</sup> Currently ST/AI/379, entitled "Procedures for dealing with sexual harassment".

### **Section 3**

#### **Prohibition of sexual exploitation and sexual abuse**

3.1 Sexual exploitation and sexual abuse violate universally recognized international legal norms and standards and have always been unacceptable behaviour and prohibited conduct for United Nations staff. Such conduct is prohibited by the United Nations Staff Regulations and Rules.

3.2 In order to further protect the most vulnerable populations, especially women and children, the following specific standards which reiterate existing general obligations under the United Nations Staff Regulations and Rules, are promulgated:

(a) Sexual exploitation and sexual abuse constitute acts of serious misconduct and are therefore grounds for disciplinary measures, including summary dismissal;

(b) Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief in the age of a child is not a defence;

(c) Exchange of money, employment, goods or services for sex, including sexual favours or other forms of humiliating, degrading or exploitative behaviour, is prohibited. This includes any exchange of assistance that is due to beneficiaries of assistance;

(d) Sexual relationships between United Nations staff and beneficiaries of assistance, since they are based on inherently unequal power dynamics, undermine the credibility and integrity of the work of the United Nations and are strongly discouraged;

(e) Where a United Nations staff member develops concerns or suspicions regarding sexual exploitation or sexual abuse by a fellow worker, whether in the same agency or not and whether or not within the United Nations system, he or she must report such concerns via established reporting mechanisms;

(f) United Nations staff are obliged to create and maintain an environment that prevents sexual exploitation and sexual abuse. Managers at all levels have a particular responsibility to support and develop systems that maintain this environment.

3.3 The standards set out above are not intended to be an exhaustive list. Other types of sexually exploitive or sexually abusive behaviour may be grounds for administrative action or disciplinary measures, including summary dismissal, pursuant to the United Nations Staff Regulations and Rules.

### **Section 4**

#### **Duties of Heads of Departments, Offices and Missions**

4.1 The Head of Department, Office or Mission, as appropriate, shall be responsible for creating and maintaining an environment that prevents sexual exploitation and sexual abuse, and shall take appropriate measures for this purpose. In particular, the Head of Department, Office or Mission shall inform his or her staff of the contents of the present bulletin and ascertain that each staff member receives a copy thereof.

4.2 The Head of Department, Office or Mission shall be responsible for taking appropriate action in cases where there is reason to believe that any of the standards listed in section 3.2 above have been violated or any behaviour referred to in section

3.3 above has occurred. This action shall be taken in accordance with established rules and procedures for dealing with cases of staff misconduct.

4.3 The Head of Department, Office or Mission shall appoint an official, at a sufficiently high level, to serve as a focal point for receiving reports on cases of sexual exploitation and sexual abuse. With respect to Missions, the staff of the Mission and the local population shall be properly informed of the existence and role of the focal point and of how to contact him or her. All reports of sexual exploitation and sexual abuse shall be handled in a confidential manner in order to protect the rights of all involved. However, such reports may be used, where necessary, for action taken pursuant to section 4.2 above.

4.4 The Head of Department, Office or Mission shall not apply the standard prescribed in section 3.2 (b), where a staff member is legally married to someone under the age of 18 but over the age of majority or consent in their country of citizenship.

4.5 The Head of Department, Office or Mission may use his or her discretion in applying the standard prescribed in section 3.2 (d), where beneficiaries of assistance are over the age of 18 and the circumstances of the case justify an exception.

4.6 The Head of Department, Office or Mission shall promptly inform the Department of Management of its investigations into cases of sexual exploitation and sexual abuse, and the actions it has taken as a result of such investigations.

#### **Section 5**

##### **Referral to national authorities**

If, after proper investigation, there is evidence to support allegations of sexual exploitation or sexual abuse, these cases may, upon consultation with the Office of Legal Affairs, be referred to national authorities for criminal prosecution.

#### **Section 6**

##### **Cooperative arrangements with non-United Nations entities or individuals**

6.1 When entering into cooperative arrangements with non-United Nations entities or individuals, relevant United Nations officials shall inform those entities or individuals of the standards of conduct listed in section 3, and shall receive a written undertaking from those entities or individuals that they accept these standards.

6.2 The failure of those entities or individuals to take preventive measures against sexual exploitation or sexual abuse, to investigate allegations thereof, or to take corrective action when sexual exploitation or sexual abuse has occurred, shall constitute grounds for termination of any cooperative arrangement with the United Nations.

#### **Section 7**

##### **Entry into force**

The present bulletin shall enter into force on 15 October 2003.

(Signed) Kofi A. Annan  
Secretary-General

**ANNEX 1c**

**United Nations Criminal Justice Standards for  
Peacekeeping Police**



**UNITED NATIONS  
CRIMINAL JUSTICE STANDARDS  
FOR  
PEACE-KEEPING POLICE**

Handbook prepared  
by the  
Crime Prevention and Criminal Justice Branch

V.93/97407—March 1994—3,000  
V.94/26626—October 1994—2,500

Printed in Austria

**UNITED NATIONS OFFICE AT VIENNA**  
February 1994

Police:

Force to be used only when strictly necessary and not excessively.

Firearms to be used exceptionally and only as a last resort.

Arrests to be made only on legal grounds and when necessary.

Persons in detention to be treated humanely.

Victims:

Victims of crime to be given assistance.

Victims of armed conflicts, riots and other disturbances to be protected.

Foreword . . . . .	1
The Role of the Police. . . . .	4
1. Arrest . . . . .	5
2. Force and Firearms . . . . .	10
3. Trials . . . . .	14
4. Victims . . . . .	15
5. Detainees and Prisoners . . . . .	17
6. Torture and Other Cruel Treatment . . . . .	21
7. Illegal Executions . . . . .	23
8. Genocide . . . . .	25
9. Humanitarian Rules . . . . .	26
10. Refugee Protection . . . . .	28
Sources . . . . .	31
Notes . . . . .	36

**FOREWORD**

The international standards and norms summarized in this handbook incorporate basic principles of criminal justice, human rights and humanitarian law, for the use of the civilian police components of United Nations peace-keeping operations. One of their main responsibilities is to monitor law enforcement activities of local officials, so that they carry out their tasks with full respect for universally accepted human rights and criminal justice standards. In view of these important functions, it is expected that United Nations personnel would set an example, in strictly adhering to the spirit and the letter of the principles contained therein and in overwing their application.

The handbook attempts to provide a compact overview of relevant international standards and norms, readily accessible to those with monitoring functions in the field of criminal justice. As such, it is designed to serve both as a basis for reporting on the activities of local law enforcement officials and as a reference source in working with them. It can also be utilized as a starting tool for planning and implementing training courses, or developing training curricula.

The legal status of the standards and norms outlined in the handbook varies. The provisions contained in multilateral treaties concluded under the auspices of the United Nations, such as the International Covenant on Civil and Political Rights, impose specific obligations on State Parties that ratify or accede to them. Such treaties are, therefore, legally binding.

Other standards, such as the Code of Conduct for Law Enforcement Officials, aim to avoid possible abuses and to ensure humane practices, having received widespread acceptance by the international community. Most of them were developed by the quinquennial congresses on the prevention of crime and the treatment of offenders, convened by the United Nations, and were adopted by Governments at the General Assembly or the Economic and Social Council. As such, these instruments have an undeniable moral force, providing practical guidance to States on their conduct.

Some of the norms, such as the Geneva Conventions, have the status of customary international law. Thus, they impose binding legal obligations on all States and the humanitarian rules which they contain must be observed also in time of armed conflict.

For a precise listing of the applicable standards and norms, the "sources" at the end of the hand-

book should be consulted. Their full text can be found either in the Compendium of United Nations Standards and Norms in Crime Prevention and Criminal Justice, United Nations sales publication, No. E.92.IV.1. (ST/CSDHA/16), or in Human Rights: A Compilation of International Instruments, United Nations sales publication, No. E.93.XIV.1 (Vol. I, Part 1).

This publication has drawn on the valuable input of many colleagues in the field, in particular members of CIVPOL of the United Nations Protection Force in the former Yugoslavia (UNPROFOR) and of the United Nations Transitional Authority in Cambodia (UNTAC). It is hoped that it will prove useful also in other United Nations peace-keeping operations, acting as a catalyst for change in law enforcement and police behaviour, as well as a guide for effective and fair criminal justice administration. If these aims are achieved, it will no doubt contribute to a more effective promotion and protection of human rights and fundamental freedoms.

3

## 1. ARREST

- 1.1 Everyone has the right to liberty and security of the person.<sup>6</sup>
- 1.2 Everyone has the right to liberty of movement.<sup>7</sup>
- 1.3 Everyone has the right to the protection of the law from arbitrary or unlawful interference with privacy, family, home or correspondence and unlawful attacks on honour and reputation.<sup>8</sup>
- 1.4 Arrest is depriving a person of his or her liberty, otherwise expressed as "the act of apprehending a person for the alleged commission of an offence or by the action of an authority."<sup>9</sup> No law enforcement official shall make any arrest which is unlawful or unnecessary.<sup>10</sup>
- 1.5 Anyone who is arrested shall be given a lawful reason for the arrest at the time of the arrest.<sup>11</sup>
- 1.6 If any charges are made against an arrested

5

## THE ROLE OF THE POLICE

Law enforcement officials shall at all times fulfil the duty imposed on them by law, by serving the community and by protecting all persons against illegal acts, consistent with the high degree of responsibility required by their profession.<sup>1</sup>

Law enforcement officials shall respect and protect human dignity and maintain and uphold the human rights of all persons.<sup>2</sup>

Law enforcement officials shall not commit any act of corruption.<sup>3</sup>

The term "law enforcement officials" includes all officers of the law, whether appointed or elected, who exercise police powers, especially the powers of arrest or detention.<sup>4</sup>

In countries where police powers are exercised by military authorities, whether uniformed or not, or by State security forces, the definition of law enforcement officials shall be regarded as including such services.<sup>5</sup>

4

person, that person must be promptly informed of the charges.<sup>12</sup>

- 1.7 Anyone who is arrested or detained on a criminal charge shall be brought promptly before a judge or an authority with similar powers.<sup>13</sup>
- 1.8 Any person who is arrested or detained has the right to ask a judge or an authority with similar powers to decide without delay on the lawfulness of the arrest or detention, or an order of release if the detention is not lawful.<sup>14</sup>
- 1.9 The arrested or detained person is entitled to trial without unreasonable delay or to release.<sup>15</sup>
- 1.10 If the court or authority decides that the arrest or detention was unlawful, it should order release without delay.<sup>16</sup>
- 1.11 The arrested or detained person is entitled to be released if, among other reasons, a trial is not held within a reasonable time. Any conditions of the release must be reasonable such as guarantees to appear for trial.<sup>17</sup>

6

- 1.12 All persons arrested or detained, with or without a criminal charge, shall have access to a lawyer or other legal representative, and adequate opportunities to communicate with that legal representative.<sup>18</sup>
- 1.13 Public authorities, including law enforcement officials, shall ensure that lawyers are able to perform all of their professional duties without intimidation, hindrance, harassment, or improper interference.<sup>19</sup>
- 1.14 Law enforcement officials must record in writing relevant information when an arrest is made which must include<sup>20</sup>:
1. the reason for the arrest;
  2. the time of the arrest;
  3. the time of taking the arrested person to a place of custody;
  4. the time of the first appearance of the arrested person before a judge or a similar authority;

7

methods designed to intimidate or confuse the person concerned.<sup>25</sup>

- 1.19 A written record must be kept of the length of any interrogation of a detained or imprisoned person.<sup>26</sup>
- 1.20 A written record must be kept of the intervals between interrogations of any detained or imprisoned person.<sup>27</sup>
- 1.21 A written record must be kept of the identity of the officials who conduct any interrogations of any detained or imprisoned person, and a record of the name(s) of any other person(s) present.<sup>28</sup>
- 1.22 These written records shall be examined and certified by a senior law enforcement official or member of the judiciary or legal profession.
- 1.23 A detained or imprisoned person shall have access to the information described in paragraphs 1.14 - 1.22 above, either personally or through his or her legal representative, if any.<sup>29</sup>

9

5. the identity of any law enforcement officials involved; and

6. precise information about the place of custody.

- 1.15 These records must be communicated clearly to the detained person or to the lawyer or other legal representative of the detained person.<sup>21</sup>
- 1.16 Promptly after arrest, a detained person is entitled to have his or her family notified about the arrest or detention, and the place of imprisonment.<sup>22</sup>
- 1.17 Notice of a person's transfer from one place of detention or imprisonment to another must be given promptly to the person's family or to other representatives chosen by the detainee or prisoner.<sup>23</sup>
- 1.18 Accused persons shall not be forced to confess guilt, or to testify against themselves.<sup>24</sup> When interrogating a detained or imprisoned person, law enforcement officials shall not use violence, threats, drugs or other

8

1.24 The arrested or detained person is entitled to have the assistance of an interpreter during the interrogation if that person cannot understand or speak the language used.<sup>30</sup>

1.25 Law enforcement officials shall apply the law which establishes the minimum age below which children shall be presumed not to have the capacity to infringe the penal law.<sup>31</sup>

## 2. FORCE AND FIREARMS

- 2.1 Everyone has the right to liberty and security of the person.<sup>32</sup>
- 2.2 Everyone has the right to peaceful assembly and to freedom of association with others.<sup>33</sup>
- 2.3 Law enforcement officials shall neither use physical force or violence unless other methods will not work, nor use more force than is absolutely necessary to achieve the legitimate law enforcement objective.<sup>34</sup>
- 2.4 Law enforcement officials shall not use a firearm with the intention to kill any person

10



unless it is completely unavoidable in order to protect the life of the law enforcement official or the life of any other person.<sup>35</sup>

2.5 Law enforcement officials shall not use firearms against persons except in the following circumstances and only when less extreme means are insufficient to achieve the following objectives:<sup>36</sup>

1. to defend themselves or others against the imminent threat of death or serious injury;

2. to prevent a particularly serious crime that involves a grave threat to life;

3. to arrest a person who is causing a serious threat to life and is resisting appropriate efforts to stop the threat; and

4. to prevent the escape of someone who is causing a serious threat to life.

2.6 If police or public security officers do use firearms against persons in the circumstances set out in paragraph 2.5 above, they must:<sup>37</sup>

3. cause the minimum amount of damage to property;<sup>40</sup>

4. as soon as possible, help anyone who is hurt and render medical aid if needed;<sup>41</sup> and

5. as soon as possible, ensure that relatives or friends of people injured or affected by the incident are notified.<sup>42</sup>

2.8 Whenever a firearm is used by a law enforcement official, a report must be made to a superior officer as soon as possible.<sup>43</sup>

2.9 Anyone affected by the use of force or firearms is entitled to ask the authorities for a formal investigation or review (including a review by a judge or similar authority). If death has occurred, dependents of the deceased person have the right to obtain a review. A legal representative of a person affected by the use of firearms also has the right to seek a review.<sup>44</sup>

2.10 Superior officials shall be held responsible if they know, or should have known, that law enforcement officials under their command are resorting, or have resorted, to the unlaw-

1. identify themselves as law enforcement officials;

2. give a clear warning of the intent to use firearms; and

3. give enough time for the warning to be obeyed unless to do so would:

(a) create a serious risk for the law enforcement official; or

(b) create a serious risk of death or serious harm to other persons; or

(c) clearly be inappropriate or pointless in the circumstances.

2.7 Whenever the lawful use of force or firearms is unavoidable, law enforcement officials shall:

1. act with restraint and only use the amount of force necessary to achieve the legitimate law enforcement objective;<sup>38</sup>

2. respect human life and cause the minimum amount of injury to people;<sup>39</sup>

11

12

ful use of force and firearms, and the superior officials did not take all measures in their power to prevent, suppress and report such use.<sup>45</sup>

2.11 Obedience to superior orders shall be no defence if law enforcement officials knew that orders to use force and firearms resulting in death or serious injury of a person were unlawful and had a reasonable opportunity to refuse to follow them. In any case, responsibility also rests on the superiors who gave the unlawful orders.<sup>46</sup>

### 3. TRIALS

3.1 Everyone charged with a criminal offence is entitled to a fair and public hearing, by a competent, independent and impartial tribunal. It is the duty of all governmental institutions, including the police, to respect and observe the independence of the judiciary.<sup>47</sup>

3.2 No one, including law enforcement officials, shall attempt to influence a judge's decision through improper restrictions, offers, pres-

asures, threats or any other interference, for any reason.<sup>48</sup>

- 3.3 When there is reason to believe that evidence was obtained by unlawful methods, all necessary steps should be taken to ensure that those responsible for using such methods are brought to justice.<sup>49</sup>

#### 4. VICTIMS

"Victims" refer to those people, either individually or collectively, who have suffered harm, including mental and physical injury, emotional suffering, economic loss or substantial impairment of their fundamental rights, through acts or omissions that are in violation of criminal law operative within the relevant country.<sup>50</sup>

- 4.1 Victims are entitled access to the mechanisms of justice and to prompt redress as provided for by national legislation for the harm they have suffered.<sup>51</sup>

15

#### 5. DETAINEES AND PRISONERS

"Detainee" or "detained person" means any person deprived of personal liberty except as a result of conviction for an offence.<sup>57</sup>

"Imprisoned person" or "prisoner" means any person deprived of personal liberty as a result of conviction for an offence.<sup>58</sup>

- 5.1 All persons deprived of their liberty shall be treated humanely.<sup>59</sup>
- 5.2 Detained persons shall be held in officially recognized places. Information shall be readily made available to the detainee's family and legal representative.<sup>60</sup>
- 5.3 Decisions about the duration and legality of detention or imprisonment of a person must be made by a judge or similar authority.<sup>61</sup>
- 5.4 There shall be no discrimination in detention or imprisonment on the grounds of race, color, gender, language, religion, political beliefs, national or social origin, property,

17

- 4.2 Victims should be informed of their options for seeking redress through such mechanisms.<sup>52</sup>

- 4.3 Victims should be informed of the steps they must take in proceedings, and also about the scope, timing and progress of the proceedings and of the disposition of their cases.<sup>53</sup>

- 4.4 Measures should be taken to ensure the privacy and safety of victims from intimidation and retaliation.<sup>54</sup>

- 4.5 Victims should be informed of the availability of health and social services and other relevant assistance.<sup>55</sup>

- 4.6 In providing assistance to victims, law enforcement officials should give attention to victims who have special needs because of the nature of the harm inflicted on them or because of factors such as gender, age, disability, ethnic or social origin, or cultural beliefs or practices.<sup>56</sup>

16

birth or other status.<sup>62</sup> Religious and moral beliefs of the detainee shall be respected.<sup>63</sup>

- 5.5 Different categories of prisoners are to be detained separately. Juvenile detainees are to be kept separate from adult detainees; male detainees from female detainees; and unconvicted detainees from convicted detainees.<sup>64</sup>

- 5.6 A detained person shall receive prompt and full information about any order of detention, including the reasons for the detention.<sup>65</sup>

- 5.7 A detained or imprisoned person has the right to be visited by family members, and shall be given adequate opportunity to communicate with the outside world.<sup>66</sup>

- 5.8 A detained or imprisoned person is entitled to communicate privately and in person with his or her legal representative.<sup>67</sup>

- 5.9 Persons detained in an armed conflict situation are entitled to communicate with the delegate of the International Committee of the Red Cross.<sup>68</sup>

18

5.10 The place where the prisoner is kept, especially the place where the prisoner sleeps, should be designed to preserve the prisoner's health. The prisoner shall be provided with adequate food, shelter, and clothing, as well as equal and easy access to medical services, exercise, and items or personal hygiene.<sup>69</sup>

5.11 Restriction and supervision of the prisoner are allowed only if they are necessary for the administration of justice and for the security and good order of the place where the prisoner is held.<sup>70</sup>

5.12 Disciplinary measures administered in prison must be consistent with principles of human rights.<sup>71</sup> In particular, prisoners shall:

1. be punished only in accordance with the terms of law or regulations of the competent administrative authority;<sup>72</sup>

2. be punished only when they have been informed of the offence committed previously and given a proper opportunity of presenting a defence. The competent authority shall

19

others or from damaging property. In such instances the director shall immediately consult the medical officer and report to the higher administrative authority.

5.14 The patterns and manner of use of instruments of restraint shall be decided by the central prison administration or a higher authority.<sup>78</sup>

## 6. TORTURE AND OTHER CRUEL TREATMENT

6.1 All persons, including prisoners or detained persons, have the right to be free from torture and cruel, inhuman or degrading treatment or punishment.<sup>79</sup>

6.2 Every kind of cruel, inhuman or degrading treatment or punishment is forbidden, whether physical or mental. Torture is a deliberate and more serious form of cruel, inhuman, or degrading treatment or punishment.<sup>80</sup>

6.3 Torture is any act by which severe pain or suffering is intentionally inflicted by or urged

21

conduct a thorough examination of the case;<sup>73</sup>

3. never be punished twice for the same offence;<sup>74</sup>

4. never be subjected to corporal punishment, to placement in a dark cell or to other cruel, inhumane or degrading punishment.<sup>75</sup>

5.13 Tools of restraint such as handcuffs and straight-jackets must not be used for any longer time than is necessary, and shall never be used for punishment.<sup>76</sup> Situations where such tools of restraint might be permitted are:<sup>77</sup>

1. as a precaution against escape during a transfer, provided that they shall be removed when the prisoner appears before a judicial or administrative authority;

2. on medical grounds by direction of the medical officer; and

3. by order of the director of the prison, if other methods of control fail, in order to prevent prisoners from injuring themselves or

20

by an administrative official or law enforcement officer on a person for such purposes as:

1. obtaining information or a confession from that person or from someone else;<sup>81</sup>

2. to punish that person for a suspected crime;<sup>82</sup> and

3. to intimidate that person or other persons.<sup>83</sup>

6.4 Any statement obtained from a person by torture or by any other cruel, inhuman or degrading treatment or punishment shall not be allowed as evidence against that person or any other person in any proceeding.<sup>84</sup>

6.5 Public officials have the duty to prevent torture or other cruel, inhuman or degrading treatment or punishment.<sup>85</sup>

6.6 No exceptional circumstances may be used as a justification for torture or other cruel, inhuman, or degrading treatments or punishments. These exceptional circumstances include but are not restricted to war, political

22

instability, a public emergency, or orders from a superior officer or official.<sup>86</sup>

- 6.7 Responsible officials must supervise arrangements for the custody and treatment of detained persons to prevent torture, as well as illegal treatment or punishment.<sup>87</sup>

## 7. ILLEGAL EXECUTIONS

- 7.1 Everyone has the right to life, and no one shall be arbitrarily deprived of his or her life.<sup>88</sup>
- 7.2. All extra-legal, arbitrary and summary executions are prohibited.<sup>89</sup> Any execution that has not been ordered by the court is prohibited, and such executions shall never be carried out. No special circumstances may be used as an excuse for such illegal executions, including war, threat of war, political instability, situations arising from armed conflict between groups, or a public emergency.<sup>90</sup>
- 7.3 An order from a superior officer or from a senior administrative official cannot be used

23

## 8. GENOCIDE

- 8.1 Genocide is prohibited. Genocide means, among others, the following acts with intent to destroy, in whole or in part, a national, ethnical, racial or religious group:<sup>97</sup>
1. Killing members of the group;
  2. Causing severe bodily or mental harm to members of the group;
  3. Deliberately inflicting on the group conditions of life calculated to bring about its physical destruction in whole or in part;
  4. Imposing measures intended to prevent births within the group;
  5. Forcibly transferring children of the group to another group.
- 8.2 Persons committing or attempting genocide, including conspiracy, complicity and incitement to commit genocide should be punished after trial by a competent court.<sup>98</sup>

25

as an excuse for participation in an illegal execution.<sup>91</sup>

- 7.4 Administrative authorities shall prohibit orders from superior officers or senior officials that authorize or cause illegal executions.<sup>92</sup>
- 7.5 Thorough, prompt and impartial investigations of all suspected cases of illegal execution shall be conducted.<sup>93</sup>
- 7.6 Families of the deceased and their legal representatives shall have access to all information relevant to the investigation.<sup>94</sup>
- 7.7 When there is an investigation of a suspected illegal execution, a written report shall be prepared and made public within a reasonable period of time.<sup>95</sup>
- 7.8 If an investigation identifies a person as someone who participated in an illegal execution, government officials must ensure that the accused person is surrendered to the lawful authorities. These authorities shall bring that person to justice.<sup>96</sup>

24

## 9. HUMANITARIAN RULES

- 9.1 Persons taking no active part in the hostilities, including members of armed forces who have laid down their arms and those placed *hors de combat* by sickness, wounds, detention, or any other cause, shall in all circumstances be treated humanely, without any adverse distinction founded on race, colour, religion or faith, sex, birth or wealth, or any other similar criteria.<sup>99</sup>
- 9.2 The following acts are prohibited at any time and in any place whatsoever, including during armed conflict, whether committed by civilian or by military agents:
1. violence to the life, health, or physical or mental well-being of noncombatants, in particular:
    - (a) murder;
    - (b) torture of all kinds, whether physical or mental;

26

(c) corporal punishment; and

(d) mutilation;

2. outrages upon personal dignity, in particular humiliating and degrading treatment, rape, enforced prostitution and any form of indecent assault;

3. the taking of hostages;

4. collective punishments;

5. pillage; and

6. threats to commit any of the foregoing acts.<sup>100</sup>

9.3 All necessary steps shall be taken to spare women and children from the ravages of war, in particular persecution, torture, punitive measures, degrading treatment and violence.<sup>101</sup>

27

particular social group or because of their political opinion.<sup>103</sup>

10.3 Refugees should be permitted to apply formally for asylum or refugee status. They should be permitted to seek review in the national legal system of any decision to be expelled from a country of refuge.<sup>104</sup>

10.4 Refugees who enter or are present illegally in a State shall not be punished, or unnecessarily detained as a result of their illegal entry or presence, if they arrive directly from the country where they fear persecution and if they make themselves known to the authorities of the country of refuge.<sup>105</sup>

10.5 Refugees enjoy fundamental civil rights, including the right to:

- (a) life and the security of person;
- (b) freedom from arbitrary arrest or detention;
- (c) not to be subjected to cruel, inhuman or degrading treatment;
- (d) protection against arbitrary or unlawful interference with privacy, family, home or correspondence;

29

## 10. REFUGEE PROTECTION

A refugee is a person who is outside his or her country of origin (or place of last habitual residence, if the individual is Stateless) who has a well-founded fear of persecution on account of race, religion, nationality, membership in a social group, or political opinion.<sup>102</sup>

Internally displaced persons are individuals who have fled or been displaced from their homes, often for the same reasons as refugees, but have not crossed a national border. Internally displaced persons nonetheless enjoy basic rights and protection under human rights and humanitarian law.

10.1 Refugees or internally displaced persons should be allowed to contact the Office of the United Nations High Commissioner for Refugees (UNHCR), which is the principal international body responsible to protect and assist refugees.

10.2 Refugees should not be returned or expelled to a territory where their lives or freedom would be threatened on account of their race, religion, nationality, membership of a

28

- (e) equality before the courts and other authorities administering justice;
- (f) freedom of thought, opinion, conscience and religion; and
- (g) retain their own language, culture and tradition.<sup>106</sup>

10.6 A refugee shall have free access to courts of law.<sup>107</sup>

10.7 Refugees shall enjoy the same fundamental civil rights as all other citizens, particularly, basic economic and social rights. For example, where a rationing system exists, which applies to the population at large and regulates the general distribution of products in short supply, refugees, particularly women, children and the elderly, are to be accorded the same treatment as nationals.<sup>108</sup>

30

## SOURCES

1. International Covenant on Civil and Political Rights (adopted by the General Assembly of the United Nations on 16 December 1966; treaty in force since 23 March 1976)
  2. Convention on the Prevention and Punishment of the Crime of Genocide (adopted by the General Assembly on 9 December 1949; treaty in force since 1951)
  3. Convention Against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (adopted by the General Assembly on 10 December 1984; treaty in force since 26 June 1987)
  4. Convention relating to the Status of Refugees (adopted on 28 July 1951; treaty in force since 22 April 1954).
  5. Declaration on the Human Rights of Individuals Who are not Nationals of the Country in which they Live (General Assembly resolution 40/144 of 13 December 1985).
- 31
6. Principles on the Effective Prevention and Investigation of Extra-Legal, Arbitrary and Summary Executions (Economic and Social Council resolution 1989/65 of 24 May 1989)
  7. Standard Minimum Rules for the Treatment of Prisoners (Economic and Social Council resolution 663 (XXIV) of 31 July 1957)
  8. Body of Principles for the Protection of All Persons Under Any Form of Detention or Imprisonment (General Assembly resolution 43/173 of 9 December 1988)
  9. Code of Conduct for Law Enforcement Officials (General Assembly resolution 34/169 of 17 December 1979)
  10. Basic Principles on the Use of Force and Firearms by Law Enforcement Officials (Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, welcomed by General Assembly resolution 45/121 of 18 December 1990)
  11. Declaration of Basic Principles of Justice for Victims of Crime and Abuse of Power (General Assembly resolution 40/34 of 29 November 1985)
- 32
12. Basic Principles on the Independence of the Judiciary (Seventh United Nations Congress on the Prevention of Crime and the Treatment of Offenders, endorsed by General Assembly resolution 40/32 of 29 November 1985 and welcomed by General Assembly resolution 40/146 of 13 December 1985)
  13. Guidelines on the Role of Prosecutors (Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, welcomed by General Assembly resolution 45/121 of 18 December 1990)
  14. Basic Principles on the Role of Lawyers (Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, welcomed by General Assembly resolution 45/121 of 18 December 1990)
  15. Geneva Convention for the Amelioration of the Condition of the Wounded and Sick in Armed Forces in the Field (adopted by the General Assembly on 12 August 1949; treaty in force since 21 October 1950)
  16. Geneva Convention for the Amelioration of the Condition of the Wounded, Sick or Shipwrecked Members of Armed Forces at Sea (adopted by the General Assembly on 12 August 1949; treaty in force since 21 October 1950)
  17. Geneva Convention Relative to the Treatment of Prisoners of War (adopted by the General Assembly of the United Nations on 12 August 1949; treaty in force since 21 October 1950)
  18. Protocol Additional to the Geneva Conventions of 12 August 1949, and Relating to the Protection of Victims of International Armed Conflicts (Protocol I) (adopted by the Diplomatic Conference on the Reaffirmation and Development of International Humanitarian Law Applicable in Armed Conflicts on 8 June 1977 at its Fourth Session in Geneva, 17 March - 10 June 1977)
  19. Protocol Additional to the Geneva Conventions of 12 August 1949, and Relating to the Protection of Victims of Non-International Armed Conflicts (Protocol II) (adopted by the Diplomatic Conference on the Reaffirmation

and Development of International Humanitarian Law Applicable in Armed Conflicts on 8 June 1977 (at its Fourth Session in Geneva, 17 March - 10 June 1977) )

20. Declaration on the Protection of Women and Children in Emergency and Armed Conflict (General Assembly resolution 3318 (XXIX) of 14 December 1974)

35

12. Covenant, Article 9, para 2; Protection Principles, Principle 10.
13. Covenant, Article 9, para 3.
14. Covenant, Article 9, para 4.
15. Covenant, Article 9, para 3.
16. Covenant, Article 9, para 4.
17. Covenant, Article 9, para 3; Protection Principles, Principle 11, para 3.
18. Basic Principles on the Role of Lawyers (Role of Lawyers), Principle(s) 1, 7, 8; Protection Principles, Principles 17, 18.
19. Role of Lawyers, Principle 16.
20. Protection Principles, Principle 12, para 1.
21. Protection Principles, Principle 12, para 2.
22. Protection Principles, Principle 16, para 1.
23. Protection Principles, Principle 16, para 1.
24. Covenant, Article 14, para 3 g.
25. Protection Principles, Principle 21, para 2.

## NOTES

1. Code of Conduct for Law Enforcement Officials (Code of Conduct), Article 1.
2. Code of Conduct, Article 2.
3. Code of Conduct, Article 7.
4. Code of Conduct, para (a) of commentary to Article 1.
5. Code of Conduct, para (b) of commentary to Article 1.
6. International Covenant on Civil and Political Rights (Covenant), Article 9, para 1.
7. Covenant, Article 12, para 1.
8. Covenant, Article 17.
9. Body of Principles for the Protection of All Persons under Any Form of Detention or Imprisonment (Protection Principles), Use of Terms, a.
10. Covenant, Article 9, para 1.
11. Covenant, Article 9, para 2, Protection Principles, Principle 10.

36

26. Protection Principles, Principle 23, para 1.
27. Protection Principles, Principle 23, para 1.
28. Protection Principles, Principle 23, para 1.
29. Protection Principles, Principle 23, para 2.
30. Covenant, Article 14, para 3.
31. Convention on the Rights of the Child (Child's Rights Convention), Article 40, para 3, a.
32. Covenant, Article 9.
33. Covenant, Articles 21 and 22.
34. Code of Conduct, Article 3, Basic Principles on the Use of Force and Firearms (Principles on Force and Firearms), Principle 4.
35. Principles on Force and Firearms, Principle 9.
36. Principles on Force and Firearms, Principle 9.
37. Principles on Force and Firearms, Principle 10.
38. Principles on Force and Firearms, Principle 5.
39. Principles on Force and Firearms, Principle 5 b, Principle 11 b.

38

40. Principles on Force and Firearms, Principle 5 b.
41. Principles on Force and Firearms, Principle 5 c.
42. Principles on Force and Firearms, Principle 5 d.
43. Code of Conduct, para (c) of Commentary to Article 3; Principles on Force and Firearms, Principles 6, 22.
44. Principles on Force and Firearms, Principle 23
45. Principles on Force and Firearms, Principle 24.
46. Principles on Force and Firearms, Principle 26. See also Judgment of the Nuernberg International Military Tribunal, 1946, 41 A.J.I.L. 172 (1947).
47. Covenant, Article 14, para 1; Basic Principles on the Independence of the Judiciary (Judiciary Principles), Principle 1.
48. Judiciary Principles, Principle 2.
49. Guidelines on the Role of Prosecutors (Role of Prosecutors), Guideline 16.
50. Declaration of Basic Principles of Justice for Victims of Crime and Abuse of Power (Victims Declaration), Principle 1 (victims of crime), Principle 18 (victims of abuse of power).

39

66. Minimum Rules, Rules 92, 37; Protection Principles, Principle 19.
67. Role of Lawyers, Principles 7, 8; Protection Principles, Principles 17, 18.
68. Geneva Convention for the Amelioration of the Condition of the Wounded, Sick or Sick in Armed Forces in the Field, Geneva Convention for the Amelioration of the Condition of Wounded, Sick and Shipwrecked Members of Armed Forces at Sea, Geneva Convention relative to the treatment of Prisoners at War, Article 9.
69. Minimum Rules, Rules 10 - 20.
70. Minimum Rules, Rules 27.
71. Code of Conduct, Article 2.
72. Minimum Rules, Rule 30, para 1; Rules 28, 29 c.
73. Minimum Rules, Rule 30, para 2.
74. Minimum Rules, Rule 30, para 1.
75. Minimum Rules, Rule 31.
76. Minimum Rules, Rules 33, 34.
77. Minimum Rules, Rule 33 a - c.

51. Victims Declaration, Principles 4 and 8.
52. Victims Declaration, Principle 5.
53. Victims Declaration, Principle 6 a.
54. Victims Declaration, Principle 6 d.
55. Victims Declaration, Principle 15.
56. Victims Declaration, Principles 3, 17.
57. Protection Principles, Use of Terms, b.
58. Protection Principles, Use of Terms, c.
59. Covenant, Article 7.
60. Protection Principles, Principle 16.
61. Protection Principles, Principle 4.
62. Covenant, Article 26; Standard Minimum Rules for the Treatment of Prisoners (Minimum Rules), Rule 6, para 1.
63. Minimum Rules, Rule 6, para 2.
64. Minimum Rules, Rule 8.
65. Judiciary Principles, Principle 11.

40

78. Minimum Rules, Rule 34.
79. Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (Convention against Torture), Article 1; Declaration on the Protection of All Persons from Being Subjected to Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (Declaration against Torture), Article 2.
80. Convention against Torture, Article 1; Code of Conduct, Article 5.
81. Convention against Torture, Article 1; Protection Principles, Principle 21, para 2.
82. Convention against Torture, Article 1.
83. Convention against Torture, Article 1; Protection Principles, Principle 21, para 2.
84. Declaration against Torture, Article 12; Role of Prosecutors, Guideline 16.
85. Code of Conduct, Article 5.
86. Convention against Torture, Article 2; Code of Conduct, Article 5. Principles on Force and Firearms, Principle 8.
87. Convention against Torture, Article 11; Protection Principles, Principle 4.

42



88. Covenant, Article 6, para. 1.
89. Principles on the Effective Prevention and Investigation of Extra-legal, Arbitrary and Summary Executions (Investigation Principles), Principle 1.
90. Investigation Principles, Principle 1.
91. Investigation Principles, Principle 19.
92. Investigation Principles, Principle 3.
93. Investigation Principles, Principle 9.
94. Investigation Principles, Principle 16.
95. Investigation Principles, Principle 17.
96. Investigation Principles, Principle 18.
97. Convention on the Prevention and Punishment of the Crime of Genocide (Convention against Genocide), Article I and II.
98. Convention against Genocide, Articles IV, III and VI.
99. Geneva Convention for the Amelioration of the Condition of the Wounded and Sick in Armed Forces in the Field, Geneva Convention for the Amelioration of the Condition of the Wounded, Sick or Shipwrecked Members of Armed Forces at Sea, Geneva Convention Relative to

43

the Treatment of Prisoners of War, and Geneva Convention relative to the Protection of Civilian Persons in Time of War, Article 3.

100. Protocol Additional to the Geneva Conventions of 12 August 1949, and relating to the protection of victims of international armed conflicts (Protocol I); Protocol Additional to the Geneva Convention of 12 August 1949, and Relating to the Protection of Victims of Non-International Armed Conflicts (Protocol II), Article 4;
101. Declaration on the Protection of Women and Children in Emergency and Armed Conflict, Article 4.
102. Convention Relating to the Status of Refugees (1951 Convention), Article 1 A(2).
103. 1951 Convention, Article 33, para. 1.
104. 1951 Convention, Article 32, para. 2.
105. 1951 Convention relating to the Status of Refugees, Article 31.
106. Declaration on the Human Rights of Individuals Who are not Nationals of the Country in Which they Live, Articles 5 and 6.
107. 1951 Convention, Article 16.
108. 1951 Convention, Article 20.

44

## **ANNEX 2**

**“We are United Nations Peacekeepers”**

**“WE ARE UNITED NATIONS PEACEKEEPERS”**

The United Nations Organization embodies the aspirations of all peoples of the world for peace. In this context the United Nations Charter requires that all personnel must maintain the highest standards of integrity and conduct.

We will comply with the Guidelines on International Humanitarian Law for Forces Undertaking United Nations Peacekeeping Operations and the applicable portions of the Universal Declaration of Human Rights as the fundamental basis of our standards.

We, as peacekeepers represent the United Nations and our Nations and are present in the country to help it recover from the trauma of a conflict. As a result we must consciously be prepared to accept special constraints in our public and private lives in order to do the work and pursue the ideals of the United Nations Organization.

We will be accorded certain privileges and immunities arranged through agreements negotiated between the United Nations and the host country solely for the purpose of discharging our peacekeeping duties. Expectations of the world community and the local population will be high and our actions behaviour and speech will be closely monitored.

**We will always:**

- Conduct ourselves in a professional and disciplined manner at all times;
- Dedicate ourselves to achieving the goals of the United Nations;
- Understand the mandate and mission and comply with their provisions;
- Respect the environment of the host country;
- Respect local customs and practices through awareness and respect for the culture, religion, traditions and gender issues;
- Treat the inhabitants of the host country with respect, courtesy and consideration;
- Act with impartiality, integrity and tact;
- Support and aid the infirm, sick and weak;
- Obey our United Nations superiors and respect the chain of command;
- Respect all other peacekeeping members of the mission regardless of status, rank, ethnic or national origin, race, gender, or creed;
- Support and encourage proper conduct among our fellow peacekeepers;
- Maintain proper dress and personal deportment at all times;
- Properly account for money and property assigned to us as members of the mission;  
and
- Care for all United Nations equipment placed in our charge.

**We will never:**

- Bring discredit upon the United Nations Organization or our Nation through improper personal conduct, failure to perform our duties or abuse of our positions as peacekeepers;
- Take any action that might jeopardize the mission;
- Make unauthorized communications to external agencies, including unauthorized press statements;
- Improperly disclose or use information gained through our employment;
- Use unnecessary violence to threaten anyone in custody;
- Commit an act that could result in physical, sexual or psychological harm or suffering to members of the local population, especially women and children;
- Become involved in sexual liaisons which could affect our impartiality, or the well being of others;
- Be abusive or uncivil to any member of the public;
- Wilfully damage or misuse any United Nations property or equipment;
- Use a vehicle improperly or without authority;
- Collect unauthorized souvenirs;
- Participate in illegal activities, corrupt or improper practices, or
- Attempt to use our position for personal advantage, to make false claims or accept benefits to which we are not entitled.

We realize that the consequences of failure to act within these guidelines may:

- Erode the confidence and trust in the United Nations;
- Jeopardize the achievement of the mission; and
- Jeopardize our status and security as peacekeepers.

## **ANNEX 2a**

### **Ten Rules Code of Conduct for Blue Helmets**

**TEN RULES**

**CODE OF PERSONAL CONDUCT FOR BLUE HELMETS**

1. Dress, think, talk, act and behave in a manner befitting the dignity of a disciplined, caring, considerate, mature, respected and trusted soldier, displaying the highest integrity and impartiality. Have pride in your position as a peacekeeper and do not abuse or misuse your authority.
2. Respect the law of the land of the host nation, their local culture, traditions, customs and practices.
3. Treat the inhabitants of the host country with respect, courtesy and consideration. You are there as a guest to help them and in so doing will be welcomed with admiration. Neither solicits nor accepts any material reward, honour or gift.
4. Do not indulge in immoral acts of sexual, physical or psychological abuse or exploitation of the local population or United Nations staff, especially women and children.
5. Respect and regard the human rights of all. Support and aid the infirm, sick and weak. Do not act in revenge or with malice, in particular when dealing with prisoners, detainees or people in your custody.
6. Properly care for and account for all United Nations monies, vehicles, equipment and property assigned to you and do not trade or barter with it to seek personal benefits.
7. Show military courtesy and pay appropriate compliments to all members of the mission, including other United Nations agencies regardless of their creed, gender, rank or origin.
8. Show respect for and promote the environment, including the flora and fauna, of the host country.
9. Do not engage in excessive consumption of alcohol or traffic in drugs.
10. Exercise the utmost discretion in handling confidential information and matters of official business, which can put the United Nations

## **ANNEX 3**

### **Letter of Undertaking by United Nations Police Officers**

**Undertaking and Declaration by Experts on Mission:**  
**UN Police Officer/Corrections Officer/Military Observers/ Military Liaison Officer**

1. I, [name], as a member of [name of Mission] and a [functional title] make the following declaration:

“I solemnly declare and promise to exercise in all loyalty, discretion and conscience the functions entrusted to me by the United Nations, to discharge these functions and regulate my conduct with the interests of the United Nations only in view, and not to seek or accept instructions in regard to the performance of my duties from any Government or other source external to the Organization.”

2. I acknowledge that I have been given a copy of the *Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials, and Experts on Mission*. I undertake to comply with those Regulations; in particular, the standards of conduct set out in Section 2 of those Regulations.

3. Sexual exploitation and sexual abuse violate universally recognized international legal norms and standards and have always been unacceptable behaviour and prohibited conduct for all members of a United Nations peacekeeping or peace mission.

4. I acknowledge and understand that the term “sexual exploitation” means any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. I also acknowledge and understand that the term “sexual abuse” means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

5. I acknowledge and understand that in order to further protect the most vulnerable populations, especially women and children, the following specific standards apply to my appointment:

(a) Sexual exploitation and sexual abuse constitute acts of serious misconduct and are therefore grounds for disciplinary measures, including termination of my appointment;

(b) Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally unless I am legally married to someone under the age of 18 years but over the age of majority and consent pursuant to the law of nationality of the expert. Mistaken belief in the age of a child is not a defence;

(c) Exchange of money, employment, goods or services for sex, including sexual favours or other forms of humiliating, degrading or exploitative behaviour, is



prohibited. This includes any exchange of assistance that is due to beneficiaries of assistance; and

(d) Sexual relationships between members of a peacekeeping or peace mission and beneficiaries of assistance (including local population and refugees), since they are based on inherently unequal power dynamics, undermine the credibility and integrity of the work of the United Nations and are strongly discouraged.

6. I acknowledge and understand that if I develop concerns or suspicions regarding sexual exploitation or sexual abuse by another, whether in the same agency or not and whether or not within the United Nations system, I must report such concerns via established reporting mechanisms.

7. I acknowledge and understand that I am obliged to help create and maintain an environment that prevents sexual exploitation and sexual abuse.

8. I acknowledge and understand that the standards set out above are not intended to be an exhaustive list. Other types of sexually exploitive or sexually abusive behaviour may be grounds for termination of my appointment.

9. I acknowledge and understand that if, after proper investigation, there is evidence to support allegations of sexual exploitation or abuse against me, this evidence may, after consultation with the UN Office of Legal Affairs, be referred to the competent national authorities for the purposes of criminal prosecution.

10. I undertake to comply with all Mission Directives, standard operating procedures, Mission policies and other applicable issuances and undertake to cooperate fully and actively with all investigations and inquiries conducted by the Secretary-General, the Mission and any competent United Nations bodies or departments pursuant to their mandates."

11. I shall exercise the utmost discretion in regard to the handling of documents, cables, maps, or other papers of the Mission and I shall follow detailed instructions issued by the Mission concerning such documentation. I shall by the end of my assignment with the United Nations return to the Organization all original and copies of documents received or generated by me in the discharge of my mission. I shall not publish such material without written authorization, nor shall I use such information or documentation for personal gain. I undertake to respect this condition after the completion of my assignment with the Mission.

12. I shall respect all instructions regarding the taking of private photographs and audio/video recordings and the carrying of private photographic equipment. In particular, I shall not photograph without written authorization subjects designated as restricted in Mission Directives, standard operating procedures, Mission policies and other applicable issuances.

13. Unless authorized to so do, I shall not accept speaking engagements or make statements to, or grant interviews with the press, radio, television or other agencies of public information during my assignment with the Mission.

14. I shall follow specific Mission Directives or instructions issued by the Mission regarding the purchase, import and disposal of duty-free merchandise and shall cooperate with measures taken by the Mission to prevent the occurrence of any abuse of privileges or facilities accorded to experts on mission.

I sign this Undertaking and Declaration with the full understanding that, if I violate any of the standards of conduct set out or referred to in this Undertaking and Declaration, I may be subject to disciplinary procedures and, if found culpable, I shall not be eligible for future assignments with the United Nations.

Name:

Title

Date:

Witness:

Title:

Date:

**Déclaration solennelle des experts en mission :  
officier de police, spécialiste des questions pénitentiaires,  
observateur militaire ou officier de liaison de l'Organisation  
des Nations Unies**

1. Je, soussigné [nom], membre de [nom de la mission] en tant que [titre fonctionnel], fais la déclaration suivante :

« Je fais la déclaration et la promesse solennelles d'exercer en toute loyauté, discrétion et conscience les fonctions qui m'ont été confiées par l'Organisation des Nations Unies, de m'acquitter de ces fonctions et de régler ma conduite en ayant exclusivement en vue les intérêts de l'Organisation, sans solliciter ni accepter d'instructions d'aucun gouvernement ou autre autorité extérieure à l'Organisation, en ce qui concerne l'accomplissement de mes devoirs. »

2. Je déclare avoir reçu un exemplaire du *Règlement régissant le statut et les droits et obligations élémentaires des personnalités au service de l'ONU non fonctionnaires du Secrétariat et des experts en mission*. Je m'engage à me conformer à ce règlement et en particulier aux normes de conduite énoncées dans son article 2.

3. L'exploitation et les abus sexuels constituent des infractions aux normes et principes juridiques internationaux universellement reconnus et ont toujours été considérés comme des agissements répréhensibles de la part de tout membre d'une mission de rétablissement ou de maintien de la paix de l'Organisation des Nations Unies.

4. Je déclare comprendre que l'expression « exploitation sexuelle » désigne le fait d'abuser ou de tenter d'abuser d'un état de vulnérabilité, d'un rapport de force inégal ou de rapports de confiance à des fins sexuelles, y compris mais non exclusivement en vue d'en tirer un avantage pécuniaire, social ou politique et que l'expression « abus sexuel » désigne toute atteinte sexuelle commise avec force, contrainte ou à la faveur d'un rapport inégal, la menace d'une telle atteinte constituant aussi l'abus sexuel.

5. Je déclare comprendre qu'afin de mieux protéger les populations vulnérables, spécialement les femmes et les enfants, les règles ci-après s'appliquent à mon affectation :

a) L'exploitation et les abus sexuels constituent des fautes graves passibles de sanctions disciplinaires, pouvant aller jusqu' à mon licenciement;

b) Toute relation sexuelle avec un enfant (toute personne âgée de moins de 18 ans) est interdite quel que soit l'âge de la majorité ou du consentement dans le pays considéré, sauf si je suis marié à une personne qui, sans avoir 18 ans révolus, a atteint l'âge de la majorité ou du consentement légal dans mon pays de nationalité. La méconnaissance de l'âge réel de l'enfant ne peut être invoquée comme moyen de défense;

c) Il est interdit de demander des faveurs sexuelles ou d'imposer toute autre forme de comportement à caractère humiliant, dégradant ou servile en échange

d'une somme d'argent, d'un emploi, de biens ou de services, y compris toute assistance due à toutes personnes;

d) Les relations sexuelles entre membres d'une mission de rétablissement ou de maintien de la paix et bénéficiaires d'aide (y compris membres de la population locale et réfugiés) sont vivement déconseillées car elles se fondent sur un rapport de force inégal par définition. En outre, ce type de relation entame la crédibilité et l'intégrité de l'action menée par les Nations Unies.

6. Je déclare comprendre que si je soupçonne un collègue, au service ou non du même organisme et que celui-ci appartienne ou non au système des Nations Unies, de se livrer à une exploitation ou à des abus sexuels, je dois en référer à qui de droit par l'intermédiaire des mécanismes créés à cet effet.

7. Je déclare comprendre que je suis tenu d'instaurer et de préserver un environnement propre à prévenir toute exploitation et tout abus sexuels.

8. Je déclare comprendre que cette liste de règles n'est pas exhaustive et que d'autres formes d'exploitation ou d'abus sexuels peuvent entraîner mon licenciement.

9. Je déclare comprendre que s'il apparaît, à l'issue d'une enquête en bonne et due forme, que les accusations d'exploitation ou d'abus sexuels portées contre moi sont fondées, l'affaire pourra, après avis du Bureau des affaires juridiques de l'ONU, être déferée aux autorités nationales compétentes à des fins de poursuites pénales.

10. Je m'engage à respecter les directives de mission, les consignes permanentes, les principes directeurs de la mission et les autres instructions applicables et à coopérer pleinement et activement à toutes investigations et enquêtes diligentées par le Secrétaire général, la mission et tous organes ou départements des Nations Unies conformément à leur mandat.

11. Je m'engage à observer la plus grande discrétion à propos des documents, dépêches et cartes géographiques de la mission et à respecter les instructions détaillées de la mission concernant ces documents. Lorsque mon affectation prendra fin, je restituerai à l'Organisation des Nations Unies tous les originaux et toutes les copies des documents que j'aurai reçus ou créés dans le cadre de l'accomplissement de ma mission. Je m'engage à ne pas publier ces documents sans autorisation écrite et à ne pas utiliser les informations qu'ils contiennent à des fins de profit personnel. Je m'engage à respecter cette obligation après la fin de mon affectation à la mission.

12. Je m'engage à respecter toutes les instructions concernant la prise de photographies et l'enregistrement audio ou vidéo à titre privé ainsi que le port de matériel photographique privé. Je m'engage en particulier à ne pas photographier, sauf autorisation écrite, de sujets décrits comme confidentiels dans les directives de mission, les consignes permanentes, les principes directeurs de la mission et les autres instructions applicables.

13. Sauf autorisation, je m'engage à ne pas prendre la parole en public, à ne pas faire de déclarations et ne pas accorder d'interviews à la presse, à des organes de radio ou télédiffusion ou à d'autres organes d'information durant mon affectation à la mission.

14. Je respecterai les directives et instructions spécifiques de la mission concernant l'achat, l'importation et l'écoulement de marchandises hors taxe et je respecterai les mesures prises par la mission pour empêcher tout abus des privilèges et des facilités accordés aux experts en mission.

Je signe cette déclaration solennelle en ayant pleinement conscience que toute violation des règles de conduite qui y sont énoncées est passible de poursuites disciplinaires et que, si je suis déclaré coupable, je ne pourrai prétendre à d'autres affectations à l'Organisation des Nations Unies.

Nom du déclarant :

Titre :

Date :

Nom du témoin :

Titre :

Date :

## **ANNEX 4**

### **List of Points of Contacts in DPKO**

**LIST OF POINTS OF CONTACTS IN THE UNITED NATIONS DEPARTMENT  
OF PEACEKEEPING OPERATIONS**

**Police Division, UNHQ, New York, USA**

**Phone: + 1 (212) 963-1293**

**Fax: +1 (917) 967-2222**

**Situation Centre, UNHQ, New York, USA**

**Phone: +1 (212) 963-1820**

**Fax: +1 (212) 963-9053**

**Office of Mission Support, UNHQ, New York, USA**

**Phone: +1 (917) 367-0133**


**Fax: +1 (212) 963-2116**

**ANNEX 5**

**Entry Medical Examination Form**



**Annex 5**

FAO	IAEA	ILO	ITC	ITU	UN	UNDP	UNESCO	UNICEF	UNIDO	WHO	WIPO	WMO	WTO	
CONFIDENTIAL		<b>ENTRY MEDICAL EXAMINATION</b>								UNITED NATIONS AND SPECIALIZED AGENCIES				

I hereby authorize any of the doctors, hospitals or clinics mentioned in this form to provide the United Nations Medical Service with copies of all my medical records so that the Organization can take action upon my application for employment.

I certify that the statements made by me in answer to the questions below are, to the best of my knowledge, true, complete and correct. I realize that any incorrect statement or material omission in the medical information form or in any other document required by the Organization renders a staff member liable to termination or dismissal.

Date:(dd/mm/yy) ..... Signature: .....

**Pages 1 and 2 are to be completed by the candidate**

FAMILY NAME (IN BLOCK CAPITALS)		GIVEN NAMES		MAIDEN NAME (FOR WOMEN ONLY)		SEX <input type="checkbox"/> M <input type="checkbox"/> F	
ADDRESS (STREET, TOWN, DISTRICT OR PROVINCE, COUNTRY)				DATE OF BIRTH			
				NATIONALITY			
POSITION APPLIED FOR (DESCRIBE NATURE OF WORK)		TELEPHONE		BIRTHPLACE			
		PRESENT MARITAL STATUS		Single <input type="checkbox"/>			
		Married <input type="checkbox"/> DATE: (d/m/y) .....		Divorced <input type="checkbox"/> DATE: (d/m/y) .....			
DUTY STATION		Separated <input type="checkbox"/> DATE: (d/m/y) .....		Widowed <input type="checkbox"/> DATE: (d/m/y) .....			

Have you ever undergone a medical examination for the United Nations or one of its agencies? .....

Have you ever been employed by the United Nations or one of its agencies? .....

If so, please state when, where and for which Organization: .....

**FAMILY HISTORY**

Relative	Age (if still alive)	State of Health (If still alive, present state; if deceased, cause of death)	Age At death	Have members of your family had the following illnesses or disorders?	Yes	No	Who?
Father				High Blood Pressure	<input type="checkbox"/>	<input type="checkbox"/>	
Mother				Heart Disease	<input type="checkbox"/>	<input type="checkbox"/>	
Brothers				Diabetes	<input type="checkbox"/>	<input type="checkbox"/>	
Sisters				Tuberculosis	<input type="checkbox"/>	<input type="checkbox"/>	
Spouse				Asthma	<input type="checkbox"/>	<input type="checkbox"/>	
Children				Cancer	<input type="checkbox"/>	<input type="checkbox"/>	
				Epilepsy	<input type="checkbox"/>	<input type="checkbox"/>	
				Mental Disorders	<input type="checkbox"/>	<input type="checkbox"/>	
				Paralysis	<input type="checkbox"/>	<input type="checkbox"/>	

TO BE COMPLETED BY THE OFFICIAL REQUESTING THE MEDICAL EXAMINATION	TO BE COMPLETED BY THE DIRECTOR OF THE MEDICAL SERVICE
Name of Official: .....	Medical Classification: <input type="checkbox"/> 1a <input type="checkbox"/> 1b <input type="checkbox"/> 2a <input type="checkbox"/> 2b
Department or Unit: .....	Comments: .....
Date: .....	DATE: (d/m/y) ..... Signature: .....

**VERY IMPORTANT: Please indicate the recruiting Agency or Organization:**

**Each question requires a specific answer (yes, no, date, etc.); to leave a blank or draw a line is not sufficient. If the questionnaire is not fully completed and enquiries are therefore needed, time may be lost.**

1. Have you suffered from any of the following diseases or disorders? Check yes or no. If yes, state the year.

	YES Date	NO		YES Date	NO		YES Date	NO		YES Date	NO
Frequent sore throats		<input type="checkbox"/>	Heart and blood vessel disease		<input type="checkbox"/>	Urinary disorder		<input type="checkbox"/>	Fainting spells		<input type="checkbox"/>
Hay fever		<input type="checkbox"/>	Pains in the heart region		<input type="checkbox"/>	Kidney trouble		<input type="checkbox"/>	Epilepsy		<input type="checkbox"/>
Asthma		<input type="checkbox"/>	Varicose veins		<input type="checkbox"/>	Kidney stones		<input type="checkbox"/>	Diabetes		<input type="checkbox"/>
Tuberculosis		<input type="checkbox"/>	Frequent indigestion		<input type="checkbox"/>	Back pain		<input type="checkbox"/>	Gonorrhoea		<input type="checkbox"/>
Pneumonia		<input type="checkbox"/>	Ulcer of stomach or duodenum		<input type="checkbox"/>	Joint problems		<input type="checkbox"/>	Any other sexually transmitted disease		<input type="checkbox"/>
Pleurisy		<input type="checkbox"/>	Jaundice		<input type="checkbox"/>	Skin disease		<input type="checkbox"/>	Tropical diseases		<input type="checkbox"/>
Repeated bronchitis		<input type="checkbox"/>	Gall stones		<input type="checkbox"/>	Sleeplessness		<input type="checkbox"/>	Amoebic dysentery		<input type="checkbox"/>
Rheumatic fever		<input type="checkbox"/>	Hemia		<input type="checkbox"/>	Any nervous or mental disorder		<input type="checkbox"/>	Malaria		<input type="checkbox"/>
High blood pressure		<input type="checkbox"/>	Haemorrhoids		<input type="checkbox"/>	Frequent headaches		<input type="checkbox"/>			<input type="checkbox"/>

2. Are you being treated for any condition now? \_\_\_\_\_ Describe: \_\_\_\_\_
3. Have you ever coughed up blood? \_\_\_\_\_
4. Have you ever noticed blood in your stools? \_\_\_\_\_ In your urine? \_\_\_\_\_ Give details: \_\_\_\_\_
5. Have you ever been hospitalized (hospital, clinic, etc.)? \_\_\_\_\_  
Why, where and when? \_\_\_\_\_
6. Have you ever been absent from work for longer than one month through illness? \_\_\_\_\_ If so, when? \_\_\_\_\_  
And for what illness? \_\_\_\_\_
7. Have you had any accidents as a result of which you are partially disabled? \_\_\_\_\_ If so, what and when? \_\_\_\_\_  
Do you have any other disability? \_\_\_\_\_
8. Have you ever consulted a neurologist, a psychiatrist or a psychoanalyst? \_\_\_\_\_  
If so, please give his/her name and address: \_\_\_\_\_  
For what reason? \_\_\_\_\_ Date of consultation:(d/m/y) \_\_\_\_\_
9. Are you taking any medicine regularly? \_\_\_\_\_ If so, which? \_\_\_\_\_
10. Have you gained or lost weight during the last three years? \_\_\_\_\_ If so, how much? \_\_\_\_\_
11. Have you ever been refused life insurance? \_\_\_\_\_ If so, state reason: \_\_\_\_\_
12. Have you ever been refused employment on health grounds? \_\_\_\_\_ If so, state reason: \_\_\_\_\_
13. Have you ever received or applied for a pension or compensation for any permanent disability? \_\_\_\_\_ Degree? \_\_\_\_\_  
Please give details: \_\_\_\_\_
14. Have you ever stayed in a tropical country? \_\_\_\_\_ If so, for how long? \_\_\_\_\_
15. Have you in the past suffered from any condition which prevented travel by air? \_\_\_\_\_
16. Do you consider yourself to be in good health? \_\_\_\_\_ Do you have full work capacity? \_\_\_\_\_
17. Do you smoke regularly?  Yes  No \_\_\_\_\_ If so, what do you smoke?  Cigarettes  Pipe  Cigars  
For how many years have you smoked? \_\_\_\_\_ How much per day? \_\_\_\_\_
18. Daily consumption of alcoholic beverages: \_\_\_\_\_
19. Has any doctor or dentist advised you to undergo medical or surgical treatment in the foreseeable future? \_\_\_\_\_  
Give details: \_\_\_\_\_
20. Give any other significant information concerning your health: \_\_\_\_\_
21. What is your occupation? \_\_\_\_\_ Indicate at least three posts you have occupied: \_\_\_\_\_
22. List any occupational or other hazards to which you have been exposed: \_\_\_\_\_
23. Have you been rejected for military service for medical reasons? \_\_\_\_\_
24. **FOR WOMEN** Are your periods regular?  Yes  No | Do you take contraceptive pills?  Yes  No If so, for  
Are they painful?  Yes  No | how many years have you been doing so? \_\_\_\_\_ Have you ever  
Do you have to stay in bed when they come?  Yes  No | been treated for a gynaecological complaint?  Yes  No  
If so, for how long? \_\_\_\_\_ Date of your last period: \_\_\_\_\_ If so, which? \_\_\_\_\_

TO BE COMPLETED BY THE EXAMINING PHYSICIAN

GENERAL APPEARANCE

Skin: \_\_\_\_\_ Height: cm. \_\_\_\_\_ Weight: kg. \_\_\_\_\_

Scalp: \_\_\_\_\_

SIGHT, MEASURED VISUAL ACUITY

Gross vision : Right \_\_\_\_\_ Left \_\_\_\_\_ Pupils: Equal? \_\_\_\_\_ Regular? \_\_\_\_\_

Vision with spectacles : Right \_\_\_\_\_ Left \_\_\_\_\_ Fundi (if necessary): \_\_\_\_\_

Near vision : Right \_\_\_\_\_ Left \_\_\_\_\_ Colour vision: \_\_\_\_\_

With correction : Right \_\_\_\_\_ Left \_\_\_\_\_

HEARING | Right : Normal : \_\_\_\_\_ Sufficient: \_\_\_\_\_ Insufficient: \_\_\_\_\_

(test by | Left : Normal : \_\_\_\_\_ Sufficient: \_\_\_\_\_ Insufficient: \_\_\_\_\_

whispering) | Ear drum : Right : \_\_\_\_\_ Left: \_\_\_\_\_

NOSE-MOUTH-NECK | Nose : \_\_\_\_\_ Pharynx : \_\_\_\_\_ Teeth : \_\_\_\_\_

| Tongue : \_\_\_\_\_ Tonsils : \_\_\_\_\_ Thyroid : \_\_\_\_\_

CARDIOVASCULAR SYSTEM

Pulse rate : \_\_\_\_\_ Auscultation : \_\_\_\_\_ Peripheral arteries

Rhythm : \_\_\_\_\_ Blood pressure : \_\_\_\_\_ -carotid : \_\_\_\_\_

Apex beat : \_\_\_\_\_ Varicose veins : \_\_\_\_\_ -posterior tibial : \_\_\_\_\_

Electrocardiogram \_\_\_\_\_ -dorsalis pedes : \_\_\_\_\_

Please attach tracing

RESPIRATORY SYSTEM

Thorax: \_\_\_\_\_ Breasts \_\_\_\_\_

DIGESTIVE SYSTEM

Abdomen : \_\_\_\_\_ Spleen: \_\_\_\_\_

Liver : \_\_\_\_\_ Hernia: \_\_\_\_\_

Rectal examination: \_\_\_\_\_

NERVOUS SYSTEM

Papillary reflexes: { - To light: \_\_\_\_\_ Plantar reflexes : \_\_\_\_\_

- On accommodation: \_\_\_\_\_ Motor functions : \_\_\_\_\_

Patellar reflexes : \_\_\_\_\_ Sensory functions : \_\_\_\_\_

Achilles reflexes: \_\_\_\_\_ Muscular tonus : \_\_\_\_\_

Romberg's sign : \_\_\_\_\_

MENTAL STATE

Appearance: \_\_\_\_\_ Behaviour: \_\_\_\_\_

GENITO-URINARY SYSTEM

Kidneys: \_\_\_\_\_ Genitals: \_\_\_\_\_

SKELETAL SYSTEM

Skull : \_\_\_\_\_ Upper extremities: \_\_\_\_\_

Spine: \_\_\_\_\_ Lower extremities: \_\_\_\_\_

LYMPHATIC SYSTEM

CHEST X-RAY (Please send only the radiologist's report based on a "full-size" X-ray film).

**LABORATORY**

The results of all the following investigations must be included except where marked "if indicated".

Except by prior agreement, only the investigations mentioned are done at the Organization's expense.

Urine :	Albumin	_____	Sugar	_____	Microscopic	_____
Blood:	Haemoglobin :	_____ %	_____	Grams/1	Leucocytes :	_____
	Haematocrit :	_____ %	_____		Differential count (if indicated):	_____
	Erythrocytes :	_____			Blood sedimentation rate:	_____
<b>Blood chemistry:</b>						
	Sugar :	_____			Urea or creatinine:	_____
	Cholesterol :	_____			Uric acid :	_____

Serological test for syphilis: Please attach laboratory report

Stool examination (if indicated):

**COMMENTS** (Please comment on all the positive answers given by the candidate and summarize the abnormal findings)

**CONCLUSIONS** (Please state your opinion on the physical and mental health of the candidate and fitness for the proposed post)

The examining doctor is requested before sending this report to verify that the questionnaire, pages 1 and 2 of this form, has been fully completed by the candidate and that all the results of the investigations required are given on the report. Incomplete reports are a major source of delay in recruitment.

Name of the examining physician (in block capitals):  
\_\_\_\_\_  
Address:  
\_\_\_\_\_

Signature: \_\_\_\_\_  
DATE: (d/m/y) \_\_\_\_\_

## **ANNEX 6**

# **UN Medical Guidelines for Peacekeeping Operations**



Medical Guidelines for Peacekeeping Operations  
Medical Support Unit / LSD / OMS  
Pre-deployment medical examinations of Uniformed Peacekeepers

---

15/05/2003

OFFICE OF MISSION SUPPORT  
DEPARTMENT OF PEACEKEEPING OPERATIONS

---

Secretariat Building  
United Nations Headquarters  
New York, New York, 10017 USA

These guidelines are concerned with standards for predeployment examination of uniformed peacekeepers, and have not been previously published.

The guidelines apply the policies stated in the Medical Support Manual Edition 1999.

Michael A. Sheehan  
Assistant Secretary General  
Office of Mission Support



**Medical Guidelines for Peacekeeping Operations**  
**Medical Support Unit / LSD / OMS**  
**Pre-deployment medical examinations of Uniformed Peacekeepers**

---

REVISION 0  
15/05/2003

## **PREFACE**

The primary object of these guidelines is to standardize the pre-deployment medical examination of uniformed peacekeepers from all Troop Contributing Nations in order to achieve full compliance with the medical standards stated in the Medical Support manual (1999 edition).

Reference is made to:

Medical Support Manual 1999 Edition

COE Manual following Post-phase 5, July 2001

UNAIDS Panel report on UN Policy on HIV Testing, February 2002







**Medical Guidelines for Peacekeeping Operations**  
**Medical Support Unit / LSD / OMS**  
**Pre-deployment medical examinations of Uniformed Peacekeepers**

---

**TABLE OF CONTENTS**

PREFACE ..... 2  
CHANGE RECORD..... 3  
TABLE OF CONTENTS..... 4  
ACRONYMS AND DEFINITIONS ..... 4  
Introduction..... 6  
Medical history and clinical examination ..... 6  
    Psychiatric conditions ..... 6  
    Behaviour..... 6  
    Substance abuse ..... 6  
    Neurology ..... 7  
    Infectious diseases ..... 7  
    Other diseases ..... 7  
LABORATORY investigations..... 8  
    General..... 8  
    Urine ..... 8  
    In malaria endemic countries ..... 8  
    HIV ..... 8  
Imaging ..... 8  
Dental examination ..... 9  
Medical Certificate..... 9  
COMPLIANCE..... 9  
    Attachments: ..... 10  
        1: Medical Certificate front and back page..... 10  
        2: WHO staging of AIDS..... 10  
        3: Medical Support Manual text ..... 10  
        4: MS-2 Form for medical examination of individual recruitment..... 10  
Attachment 1 page 1 ..... 11  
    CERTIFICATE ..... 11  
    Attachment 1 page 2 ..... 12  
    Attachment 2:..... 13

**ACRONYMS AND DEFINITIONS**

AIDS	Acquired Immune Deficiency Syndrome, a disease where the body's ability to resist infections is impaired.
ALS	Advanced Life Support, system of life support for patients with compromised respiration or circulation.
BLS	Basic Life Support, system for first responder treatment of injuries or disease.
CMO	Chief Medical Officer, The senior medical officer in a mission
CCMO	Chief Civilian Medical Officer, The senior civilian medical officer in the mission.



**Medical Guidelines for Peacekeeping Operations**  
**Medical Support Unit / LSD / OMS**  
**Pre-deployment medical examinations of Uniformed Peacekeepers**

---

COE	Equipment owned by a troop contributor and leased to the UNd Nations
Confidential	Information known only to the individual concerned and the persons with whom s/he chooses to share
Counselling	Formalized system for advise relating to decision making on testing for HIV and follow up of the result.
DPKO	Department of Peacekeeping Operations
FmedO	Force Medical Officer, The senior military medical officer in the mission
HIV	Human Immune-deficiency Virus, causes AIDS
Level 1	Primary and emergency care
Level 2 and 3	Hospital care
Mandatory	Where an individual has no say in whether or not a test is to be performed or not
Mission	The Peacekeeping mission
MSD	Medical Services Division/OHRM, responsible for policies relating to individual peacekeepers
MSM	Medical Support Manual
MSU	Medical Support Unit/OMS, responsible for planning and policies relating to groups and Missions
PEP	Post Exposure Prophylaxis, testing and treatment package for use where accidental HIV exposure may have happened.
Post Coital Prophylaxis	Drugs given after intercourse to avoid pregnancy
Sero-Status	Whether a person carries or does not carry the HIV virus.
Sero-conversion	When a person changes from not carrying the HIV virus to carrying the virus.
Sero-negative	The person does not carry the HIV virus
Sero-positive	The person does carry the HIV virus
SGTM	Standard Generic training Module, Required pre-deployment curriculum for peacekeepers.
SMO	Senior Medical Officer, the chief of a medical facility
TCC	Troop Contributing Country, The nation of a peacekeeper
Testing	Test to directly or indirectly show HIV infection
UNAIDS	United Nations Joint Programme for HIV and AIDS
UNOE	United Nations Owned Equipment
Voluntary	Where an individual on his / her free will chooses to perform a test
VCCT	Voluntary Confidential Counselling and Testing
VCT	See above

All laboratory tests are given names and acronyms according to standard medical nomenclature.



**Medical Guidelines for Peacekeeping Operations**  
**Medical Support Unit / LSD / OMS**  
**Pre-deployment medical examinations of Uniformed Peacekeepers**

---

## INTRODUCTION

1. Prior to deployment uniformed peacekeepers must undergo examination to establish if they are medically fit for participation in a UN peacekeeping operation.
2. The standards of the medical examination and health of the individual is stated in Chapters 5-01 and 5-02 of the Medical Support Manual (MSM). These are minimum standards.  
The examining doctor must, however, evaluate prospective peacekeepers on an individual basis.
3. Medical justification for deploying individuals who do not comply with the stated standards must be verified in writing and follow the Medical Certificate of the individual.

## MEDICAL HISTORY AND CLINICAL EXAMINATION

4. A comprehensive medical history, with emphasis on conditions mentioned on the attached form MS-2 page 2.1, should be ascertained.
5. Guided by the history, a “lege artis” clinical examination should be performed, guided by MS-2, page 3.

### Psychiatric conditions

6. Individuals should be evaluated according to Chapter 5-02 B in MSM. Individuals who are, or have been on continuous anti-psychotic or anti-depressive medication for more than 4 months should not be selected.
7. Individuals who have been hospitalized for psychosis or endogenous depression should not be selected.

### Behaviour

8. Individuals with a history of violent behaviour, or the use of violence as a “problem solver”, should not be selected.

### Substance abuse

9. Individuals should be evaluated according to Chapter 5-02 C in MSM.



**Medical Guidelines for Peacekeeping Operations**  
**Medical Support Unit / LSD / OMS**  
**Pre-deployment medical examinations of Uniformed Peacekeepers**

---

Individuals with a history of systematic use of recreational drugs or alcohol should not be selected.

### Neurology

10. Individuals with seizure disorders, with frequent seizures or on medication, should not be selected.
11. Individuals with chronic or recurring neurological deficiencies that may influence their operational abilities, should be carefully evaluated.

### Infectious diseases

12. The medical history of all peacekeepers must be evaluated for signs of increased susceptibility to infectious diseases, and the clinical examination should be directed to exclude current infectious disease.
  - 12.1. **Malaria:** Individuals from malaria endemic areas should have thick and thin blood smear to exclude malaria prior to deployment.
  - 12.2. **Tuberculosis:** All individuals should show that they do not have active Tb through a Tb test (Pirquet / Mantoux) and a chest X-ray prior to deployment.
  - 12.3. **Sexually Transmitted Infections:** Standard screening and eradication of existing disease as to national policies.
  - 12.4. **HIV:** The testing policy should follow national standards. All peacekeepers must, however, be offered Voluntary Confidential Counseling and Testing (VCT) according to acknowledged UN standard prior to deployment. Individuals found HIV positive must be examined to exclude any clinical signs of AIDS.
  - 12.5. **AIDS:** Immune-compromising disease excludes from deployment, (5-01.A.14). Proposed WHO standards are attached. All individuals in Clinical stage 1 and above are ineligible for deployment.

### Other diseases

- 12.6. Diseases found in the history or examination of the individual, should be evaluated with regard to the policies states in the MSM, with due consideration for current medical practice. Due respect must be



**Medical Guidelines for Peacekeeping Operations**  
**Medical Support Unit / LSD / OMS**  
**Pre-deployment medical examinations of Uniformed Peacekeepers**

---

shown for the individual, keeping in mind, however, that the operational needs of his/her unit must take preference.

## LABORATORY INVESTIGATIONS

13. The following laboratory investigations and X-Ray is the minimum standard for all individuals:

### General

- 13.1. Hemoglobin
- 13.2. Erythrocyte Sedimentation Rate
- 13.3. Leucocyte count

### Urine

- 13.4. Albumine
- 13.5. Erythrocytes
- 13.6. Glucose
- 13.7. Specific weight

### In malaria endemic countries

- 13.8. Thick smear
- 13.9. Thin smear

### HIV

- 13.10. Testing according to National regulations. *Peacekeepers must, however, be offered Voluntary Confidential Counseling and Testing according to United Nations standards prior to deployment.*

### IMAGING

- 13.11. Chest X-Ray should be performed to exclude:
  - 13.11.1. Neoplasm
  - 13.11.2. Tuberculosis
  - 13.11.3. Signs of chronic pulmonary disease
  - 13.11.4. Signs of infection



**Medical Guidelines for Peacekeeping Operations  
Medical Support Unit / LSD / OMS  
Pre-deployment medical examinations of Uniformed Peacekeepers**

---

### **DENTAL EXAMINATION**

14. All individuals must have a dental examination to exclude dental conditions that may influence his/her operational abilities during deployment.
15. All individuals must have a recent dental chart to facilitate identification.

### **MEDICAL CERTIFICATE**

16. Following the procedures as stated above, a medical doctor should assess the medical fitness of the individual for peacekeeping duty according to current medical practice, keeping in mind the precluding conditions stated in MSM Chapter 5-01.A (1 through 14).
17. Due respect must be shown for the individual; keeping in mind that the operational needs of his/her unit must take preference.
18. Deviation from the recommendations of Medical Services Division must be verified in writing, and a statement to this follow the Medical Certificate of the individual.
19. A copy of all certificates and verifications of deviation from the rules must follow the individuals to the mission, and be handed to the Chief Medical Officer upon arrival in the mission area.

### **COMPLIANCE**

20. All peacekeepers should be examined according to the guidelines stated above. Individuals in mission that are in non-compliance with the standards stated, should be repatriated.
21. Repatriation is at the cost of the United Nations if the change in medical status has clearly occurred while in mission.
22. Repatriation will be at the cost of the Troop Contributor where deployment of the individual has clearly been in breach of these Guidelines.



**Medical Guidelines for Peacekeeping Operations  
Medical Support Unit / LSD / OMS  
Pre-deployment medical examinations of Uniformed Peacekeepers**

---

**Attachments:**

- 1: Medical Certificate front and back page**
- 2: WHO staging of AIDS**
- 3: Medical Support Manual text**
- 4: MS-2 Form for medical examination of individual recruitment**



Medical Guidelines for Peacekeeping Operations  
Medical Support Unit / LSD / OMS  
Pre-deployment medical examinations of Uniformed Peacekeepers

---

ATTACHMENT 1 PAGE 1



CERTIFICATE

I hereby certify that:

Rank: \_\_\_\_\_

Name: \_\_\_\_\_

Date of birth: \_\_\_\_\_

Has been examined according to the rules and regulations of the United Nations Peacekeeping Operations, as stated in the Medical Support Manual Chapter 5.

**S/he has been found to be in good health with no clinical sign of disease, and does to my knowledge, and according to her/his medical records, not suffer from any of the diseases or conditions mentioned on the back of this certificate.**

Date: \_\_\_\_\_

\_\_\_\_\_  
SIGNATURE AND STAMP

**MD. Acknowledged UN/Armed Forces/Police Physician**

- FOR INDIVIDUALLY DEPLOYED PERSONNEL ONE COPY OF THIS CERTIFICATE SHOULD BE SENT TO THE FORCE GENERATION SERVICE, MILITARY DIVISION, DEPARTMENT OF PEACEKEEPING OPERATIONS, 10017 NEW YORK, NY, UNITED STATES
- FOR UNITS A COPY OF THE CERTIFICATE SHOULD BE GIVEN TO THE FORCE MEDICAL OFFICER UPON DEPLOYMENT





Medical Guidelines for Peacekeeping Operations  
Medical Support Unit / LSD / OMS  
Pre-deployment medical examinations of Uniformed Peacekeepers

---

Attachment 1 page 2

**A. Military Contingents of Peacekeeping Force.**

Medical examination and clearance of personnel from national contingents of a peacekeeping force remain the responsibility of the troop contributing country. The respective national medical standards are employed to determine fitness of an individual for deployment. As a rule, UN medical standards (discussed below) should be taken as the minimum acceptable for deployment in any peacekeeping operation.

**Medical Support Manual, Chapter 5.02**

**A. Conditions that Preclude Peacekeeping Service.**

The following medical conditions generally preclude service in a peacekeeping mission and must be assessed on an individual basis, considering the severity of the condition and the particular assignment for which he or she is being selected

1. Ischaemic heart disease
2. Hypertension requiring medication
3. Diabetes mellitus
4. Malignancy
5. History of gastro-duodenal ulcers - past history of a single instance of duodenal ulcer should not preclude service
6. Ulcerative colitis
7. Asthma, chronic bronchitis and emphysema
8. Chronic nephritis and urolithiasis
9. Chronic low back condition
10. Skin diseases like extensive eczema, cystic recurrent acne and skin cancer
11. Allergies requiring sustained supportive treatment
12. Conditions requiring special continuing medication such as steroids, anti-tuberculous drugs, chemotherapy, anti-depressant and anti-psychotic drugs
13. Endocrine disturbance, e.g. hyperthyroidism
14. Known allergies to anti-malarial medication
15. Immune compromise, including AIDS

**B. Psychiatric Conditions**

Candidates, who have a history of situational maladjustment, anxiety neurosis or neurosis with somatization, should be carefully evaluated. Those who are on treatment, or who have previously required minor tranquilizers for relatively long periods should not be selected.

**C. Alcohol**

-----

Candidates who have a history of problems related to the use of alcohol or are known to be heavy drinkers should be screened carefully.



**Attachment 2:**

**Proposed WHO staging system for HIV infection and disease**

In order to estimate prognosis in individual patients, a clinical staging system is more useful than a case definition.

**Clinical staging**

Patients with HIV infection who are aged  $\geq 13$  years are clinically staged on the basis of the presence of the clinical condition, or performance score, belonging to the highest level.

**\* Clinical stage 1: Asymptomatic infection**

Asymptomatic, persistent generalized lymphadenopathy; performance scale 1 (asymptomatic, normal activity)

**\* Clinical stage 2: Early (mild) infection**

Weight loss  $< 10\%$  body weight; minor mucocutaneous manifestations, varicella zoster within the last five years, recurrent upper respiratory tract infections (bacterial sinusitis); performance scale 2 (symptomatic but normal activity)

**\* Clinical stage 3: Intermediate (moderate) disease**

Weight loss  $> 10\%$  body weight, unexplained chronic diarrhea  $> 1$  month, unexplained chronic fever  $> 1$  month, oral candidiasis, oral hairy leukoplakia, pulmonary tuberculosis within the past year, severe bacterial infections; performance scale 3 (bedridden  $< 50\%$  of day during the last month)

**\* Clinical stage 4: Late (severe) disease**

Most other CDC AIDS-defining diseases (but not pulmonary tuberculosis); performance scale 4 (bedridden  $> 50\%$  of day during the last month)

*Clinical/Laboratory Classification:*

(Grant A, De Cock K. Chapter 10 in Adier M. ABS of AIDS. BMJ Books)

The clinical staging system can be refined using a laboratory axis: CD4 count or lymphocyte count as a surrogate of CD4 count.

	Laboratory axis		Clinical Axis			
	Lymphocytes (*10 <sup>6</sup> /l)	CD4 count (*10 <sup>6</sup> /l)	1 asymptomatic	2 Early	3 intermediate	4 Late
<b>A</b>	$> 2000$	$> 500$	1A	2A	3A	4A
<b>B</b>	1000-2000	200-500	1B	2B	3B	4B
<b>C</b>	$< 1000$	$< 200$	1C	2C	3C	4C

CD4 count  $< 200$  usually equivalent to WHO clinical stages 3 or 4

CD4 count = 200 – 500 usually equivalent to WHO clinical stage

CD4 count  $> 500$  usually equivalent to WHO clinical stage 1

## **ANNEX 7**

### **Health care policies and procedures**

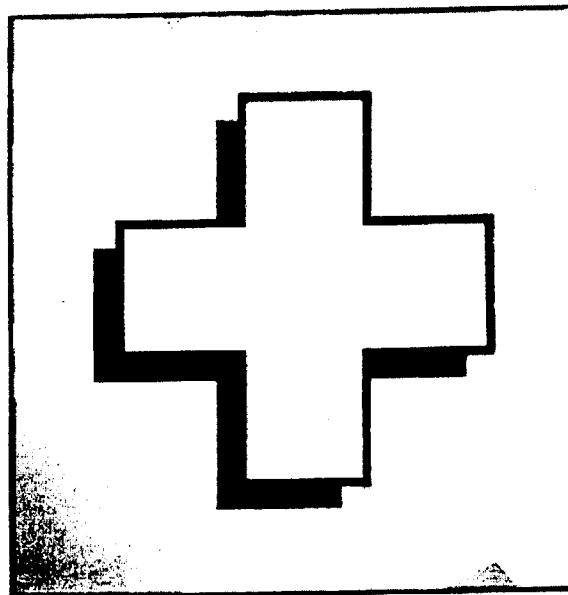
Chapter

**5**

---

**HEALTH CARE POLICIES AND PROCEDURES**

---



**5.01 Medical Examination and Clearance**

---



All personnel deployed in UN missions must be physically, mentally and emotionally fit. The examining physician must determine fitness of an individual by a thorough medical examination, and take into consideration that he or she would be deployed in a potentially hostile environment. The standard of living may be poor, with frequently changing work environment, scanty recreational facilities and unstable security situation, producing a very stressful living condition. In addition, the individual is exposed to occupational risks, as well as prevalent endemic diseases to which he may have decreased resistance. Fitness, therefore, must not simply imply the absence of disease, but also the ability to work effectively under such circumstances.

A. **Military Contingents of Peacekeeping Force.**

Medical examination and clearance of personnel from national contingents of a peacekeeping force remain the responsibility of the troop contributing country. The respective national medical standards are employed to determine fitness of an individual for deployment. As a rule, UN medical standards (discussed below) should be taken as the minimum acceptable for deployment in any peacekeeping operation.

B. **Military Observers, Civilian Police and UN Civilian Staff.**

UN Military Observers, Civilian Police monitors and civilian staff, including those recruited locally, will be examined in accordance to UN medical standards to determine fitness for duty. The UN document, MS-2 (*Annex 5-1. Entry Medical Examination*) is to be used and the following information required:

1. Medical history and a complete physical examination, findings which are to be recorded within the MS-2.
2. Results of laboratory investigations, including hematology, blood chemistry, urinalysis and Venereal Disease Research Laboratory (VDRL) test.
3. An electrocardiogram (ECG/ EKG), to be done for all candidates above 40 years of age. However, the examining physician may request for this if there is a clinical indication.
4. Chest x-ray, the findings which must be recorded in the form.



The completed original MS-2 form is to be forwarded to the UN Medical Services Division, New York. It is the responsibility of UN HQ to ensure that medical clearance is obtained prior to deployment in the field of such personnel, and forms that are incompletely filled may result in undue delays in processing deployment. It is important to note that only medical examinations and investigations conducted within 3 months of the proposed deployment date are considered valid.

**C. Medical Examination During Tour of Duty and Upon Departure.**

UN Military Observers and Civilian Police are required to undergo a full medical examination while in the Mission area, under the following circumstances:

1. Following service-related accident or serious injury.
2. When his or her tour of duty is extended for 3 months or more.
3. Upon completion of tour of duty in a Mission, unless a medical examination had been conducted within 3 months of this date. This is no longer a requirement for international and local recruited civilian staff.

It is the responsibility of the Chief Administration Officer (CAO) to make the necessary arrangements for medical examination and to forward the reports to the UN Medical Director. The document, MS-6 (Periodic Medical Examination) is to be used for repeat examinations. The FMedO and respective SMedO are responsible to ensure that medical examination of military personnel comply with UN requirements.

---

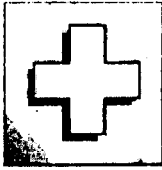
## **5.02. UN Medical Standards and Policies**

---

**A. Conditions that Preclude Peacekeeping Service.**

The following medical conditions generally preclude service in a peacekeeping mission and must be assessed on an individual basis, considering the severity of the condition and the particular assignment for which he or she is being selected

1. Ischemic heart disease
2. Hypertension requiring medication
3. Diabetes mellitus
4. Malignancy



5. History of gastro-duodenal ulcers – past history of a single instance of duodenal ulcer should not preclude service
6. Ulcerative colitis
7. Asthma, chronic bronchitis and emphysema
8. Chronic nephritis and urolithiasis
9. Chronic low back condition
10. Skin diseases like extensive eczema, cystic recurrent acne and skin cancer
11. Allergies requiring sustained supportive treatment
12. Conditions requiring special continuing medication such as steroids, anti-tuberculous drugs, chemotherapy, anti-depressant and anti-psychotic drugs
13. Endocrine disturbance, e.g. hyperthyroidism
14. Known allergies to anti-malarial medication
15. Immune compromise, including AIDS

**B. Psychiatric Conditions.**

Candidates, who have a history of situational maladjustment, anxiety neurosis or neurosis with somatization, should be carefully evaluated. Those who are on treatment, or who have previously required minor tranquilizers for relatively long periods should not be selected.

**C. Alcohol.**

The stress of deployment in peacekeeping missions and the environment of such areas create conditions favouring excessive alcohol consumption. Candidates who have a history of problems related to the use of alcohol or are known to be heavy drinkers should be screened carefully.

**D. HIV/ AIDS.**

1. Many troop-contributing countries screen their military personnel for HIV infection prior to sending them on overseas assignments. The national policies regarding enlisting and employing HIV-positive individuals in the military vary.
2. In UN peacekeeping operations, HIV-positive individuals who do not show clinical manifestations of AIDS are not precluded from peacekeeping service. It is however recommended that such individuals should not be



- selected, as treatment available within the Mission area may not be adequate to meet their special requirements. Exposure to endemic infections and exhaustive immunization requirements may also be detrimental to their health. In addition to the individual's health concerns, there is also the risk of his or her transmitting HIV to medical personnel, fellow peacekeepers and sex workers in the Mission area.
3. Should a known HIV-positive individual be deployed in a UN mission, his/ her status should be made known to the FMedO and attending doctor, to ensure that proper medical precautions are taken and adequate medical care provided. This information should be kept strictly "Medical-in-Confidence".
  4. Any individual who develops clinical AIDS or its complications, should be repatriated to his home country for further treatment once the diagnosis has been made. The UN medical support system is not obliged and does not have the resources to manage this condition.

### **5.03 Entitlement To and Provision of Medical Services**

---

The entitlement of UN personnel to medical services is determined by his or her deployment status in the Mission. These services are generally provided by UN deployed medical units, but may also be sought at UN clinics or dispensaries run by contracted personnel or UN volunteers (UNVs) if these are present, or at local medical facilities.

**A. Members of Military Contingents.**

All contingent members of a peacekeeping force are required to seek medical treatment at the medical unit supporting their respective sector or locality. The FMedO is responsible to ensure that such support is available to every contingent serving in the Mission. Should treatment be sought at local clinics or hospitals at the individual's personal choice, reimbursement of medical expenses will be an individual or national responsibility, with the exception of serious illness or injury, where treatment should be sought at the nearest medical facility.

**B. Military Observers and Civilian Police.**

Arrangements are made by the UN to provide Military





Observers and Civilian Police Monitors with medical coverage during their assignment in the Mission area. This covers any illness or injury that occurs while performing official duties or taking authorized time off, and which is attributable to conditions and hazards within the area of assignment. As such peacekeepers may not have direct access to UN medical facilities, they may seek treatment at clinics or hospitals of their choice, with the exception of mandatory UN medical examinations which must be carried out by a UN designated physician. Medical claims, including hospitalization, are to be settled directly by the CAO, or reimbursed to the individual upon presentation of bills and supporting documentation.

**C. UN International Staff Member.**

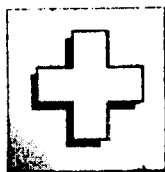
Field Service category personnel and internationally recruited staff members assigned to a Mission have similar medical entitlements as Military Observers. However, as they also subscribe to health insurance schemes provided by the UN, this should not be interpreted as a provision for payment of medical expenses irrespective of other medical coverage, but as a supplement to such cover in order to obviate heavy medical costs should these arise. Reimbursement is only authorized for expenses unrecoverable under the respective insurance scheme. The CAO is responsible to ensure that all staff are covered by one of the UN insurance schemes.

**D. UN Locally Contracted Staff Member.**

Locally contracted General Service and National Officer staff members are automatically subscribed to a contributory Medical Insurance Plan (MIP), if they hold a contract of 3 months or longer. This insurance is extended to their direct family members based on a voluntary contribution. This entitles them to reimbursement of hospital and medical services, including laboratory investigations, x-rays, immunization and medicine. The administering office has the authority to settle medical claims under MIP, with any doubtful cases referred to the relevant headquarters for advice. Should they have no immediate access to medical care or where medical infrastructure within the Mission Area is inadequate, health-care may be sought at UN medical facilities.

**E. Local Population (under UN Humanitarian Mandate).**

If medical support to the local population has been specifically addressed in the UN Mandate for the Mission, this has to be



carefully planned and co-ordinated between the Mission HQ, host country's health services, other UN agencies and Non-Governmental Organizations (NGOs) in the Mission area. The primary responsibility of UN medical units, however, remains the provision of medical support to the peacekeeping force.

**F. Local Population (in absence of UN Humanitarian Mandate).**

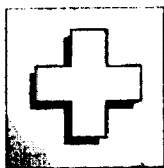
The provision of medical care to the local population is a sensitive matter, and must be weighed against humanitarian principles and the ethical code of medical practice. The official UN policy is that there is no obligation to provide or to take responsibility for medical services to the local population, unless the Mission's Mandate states otherwise. However, emergency medical care must always be provided regardless of person or party, but the case must be transferred to a local or NGO medical facility as soon as possible. Such obligations, in accordance with international law, also extend to prisoners of war, refugees, internally displaced persons (IDPs), detainees and non-UN combatants. Medical plans must detail the degree of care to be offered to these groups (generally limited to urgent medical care) and how continuity of care is to be provided. Should evacuation by air be required, each case has to be considered individually by the Mission HQ.

#### **5.04 Compensation for Injury, Illness or Death Attributable to Service**

Provisions are made by the UN to cover costs incurred for treatment and hospitalization, as well as to make financial awards for disability or death to members of a peacekeeping mission. Such claims are reviewed by an Advisory Board on Compensation Claims (ABCC) appointed by the Secretary General to validate these claims, determine the degree of incapacity and the relevant award. The regulations governing award of such compensation are as follows:

**A. Criteria to Qualify for Compensation.**

1. Injury, illness, disability or death must have occurred in the Mission area.
2. It must have occurred while performing duty on behalf of the UN, or at the time of officially designated rest time.



3. It must have occurred while travelling on behalf of the UN by means of transportation provided by or paid for by the same.

Where illness, injury or death occurs after completion of the assignment, or where this arises as a result of wilful misconduct or intent of the individual, the above provisions will not apply. Where the individual is entitled to similar provisions through other arrangements, reimbursement is only authorized for expenses unrecoverable under the respective scheme. All doubtful cases will be given sympathetic consideration.

**B. Submission Procedure for Compensation Claims.**

Each case of service-related injury or death is to be reported immediately to the Field Administration and Logistics Division (FALD), with copies forwarded to the Secretary of the ABCC and to the Director, Medical Services Division. This information shall serve as the basis for consideration of any subsequent claims. (Details of the reporting procedure and forms are discussed in Chapter VII). Any such claim has to be submitted within 4 months of injury, onset of illness or death.

The following documentation is required for each claim for compensation:

1. Claim submission by the claimant, or on his/ her behalf by the respective Government.
2. Medical report by the attending UN doctor, at the time of the incident as well as after complete convalescence. This is provided to the UN Medical Director, who is the Medical Adviser to the ABCC.
3. Board of Inquiry report, and if this is not available, an Administrative Report from the claimant's immediate supervisor, as well as any statements by witnesses.
4. Medical bills and expenses.
5. Death certificate and marriage and birth certificates of the claimant's dependants, if applicable. A "Designation of Beneficiary Form" (UN P-2) should be made available if this had been filled by the deceased.

**C. Award and Method of Payment.**

1. Should the Board of Inquiry determine that injury was service-incurred, the FMedO, in consultation with the SMedO of the respective contingent and a senior doctor



1. managing the patient, will assess the degree of disability according to UN guidelines. This assessment will be reviewed by the Medical Director, Medical Services Division, prior to submission to FALD for processing of the claim. In the event of differences in the medical determination of the UN and the respective Government, a qualified third party opinion will be sought.
2. If a contingent member has been medically repatriated or evacuated out of the Mission area following injury, assessment of disability will be made by the appropriate medical authority of the troop-contributing country according to the above guidelines.
3. For military contingent personnel, maximum compensation comprising a lump sum payment of US\$ 50,000, is awarded for service-incurred death. For permanent disability, a specified percentage of this amount will be made, based on the schedule of awards outlined by the American Medical Association (AMA) Guide to Evaluation of Permanent Impairment (4th edition). Payments will be made in accordance to the respective Government's instructions regarding this, and the amount payable to beneficiaries shall not be less than the amounts reimbursed to member states.

**D. Incidents not Attributable to Service.**

In the case of illness, injury, disability or death not attributable to service, the UN does not take responsibility and does not pay compensation to the individual or his dependants, except for payment of reasonable medical expenses in the field, and transportation or burial of remains in the case of death.

---

**5.05 Medical Confidentiality**

---

- A. Medical information is to be treated as confidential and privileged information, and this confidentiality must be maintained at all times. Any medical records or information must not be released without proper authorization, and under no circumstances, should be provided to anyone not directly involved in the patient's care. An exception would be in the event of a formal investigation or Board of Inquiry, where there



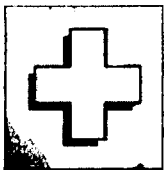
is direction from a relevant authority to release such information.

- B. Care has to be taken also, to ensure confidentiality in the transfer of patient medical records, in submission of reports and in routine administrative processes (e.g. compiling and submitting disbursement vouchers for medical expenses). Where a patient's identity and medical status may be revealed in such documents, these should not be transmitted via unsecured means like e-mail or facsimile, but should be properly sealed and marked with instructions "To be opened by addressee only".

**ANNEX 5-1. GUIDELINES FOR THE USE OF MEDICAL EXAMINATION FORM MS-2 FOR MILITARY AND CIVILIAN POLICE OBSERVERS**

---

1. A pre-deployment medical examination is required for all military and civilian police observers being considered for a mission assignment with the United Nations. This examination must have taken place within the preceding three months and shall be completed and recorded on form MS-2.
2. Before conducting this examination, the examining physician must review pages 1 and 2 of the form to make sure that the candidate has answered all questions and has filled out all spaces allocated for him/her. If there are any unanswered questions, the candidate must be asked to complete them before the medical examination is conducted.
3. The examining physician shall fill all spaces allocated for him/her, on pages 3 and 4 of that form. In doing so, he/she must remember that:
  - \*His/her writing as well as that of the candidate is legible;
  - \*Questions requiring numerical values are not answered with common terms like "normal", "OK", etc.; (For example, measurements of blood pressure and pulse must be given in numbers and units: 120/80 mm Hg and 75 beats / minute, etc.)
  - \*All laboratory results, in accordance with page 4 of MS-2, are provided in numerical values including their units; (if such results are submitted in a separate laboratory form, the results must be legible and securely attached to the MS-2 form).



\*Chest x-ray film and EKG tracing are not longer required to be enclosed; (however, report of an x-ray chest taken within the last year, and that of a recent EKG are requested).

\*All positive answers given by the candidate have been pursued thoroughly; (for example, if the candidate has indicated that he/she had suffered from ulcer of the duodenum in 1990, it is relevant to inquire as to how the diagnosis was established, the treatment prescribed and the outcome of the treatment. The finding of this inquiry must be briefly stated by the physician in the space allocated for comment on page 4 of the MS-2 form); and

\*Conclusion about the health status of the candidate and suitability or unsuitability for the task are clearly stated and relate to the comments.

4. The completed examination form with all its attachments must be received at the UN Medical Service, New York, at least one month prior to deployment.
5. The name of the examining physician, address, date and signature must be filled out at the end of page 4 of MS-2.
6. Strict adherence to the above-mentioned guidelines is essential since the medical examination is the basis for providing medical clearance, which is a requirement for UN mission deployment. Incomplete medical examination forms will be returned to the place of origin, thus denying medical clearance for the proposed mission.

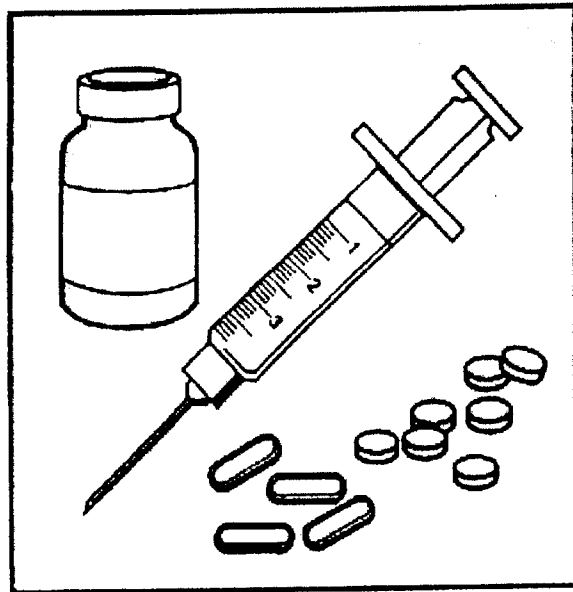
Chapter

# 6

---

## **PREVENTIVE MEDICINE**

---



**6.01 Introduction**

---



Preventive medicine is one of the most important aspects of medical support in the field. Through effective measures, significant results can be achieved in terms of reduced man-days lost, lower morbidity rates and lower treatment costs. Preventive medicine incorporates immunization, disease prophylaxis, vector control, hygiene and sanitation. Health hazards and occupational threats must be fully evaluated prior to and as a continuous process during deployment. It has to be stressed that preventive health measures involve every individual in the Mission area, and that proper health education and training is the key to successful implementation of these measures.

- A. The FMedO is responsible to oversee preventive medicine practice within the Mission area and is guided by directives issued by the Medical Services Division and Medical Support Unit. He is also expected to constantly update himself with epidemiological and health data, through contact with local health authorities and international agencies (e.g. WHO, ICRC) within the Mission area. It is also his task to collect, collate and analyse medical statistics submitted monthly to him by the medical units.
- B. The SMedO and contingent doctors are responsible for implementing preventive medicine practices for the military contingents and personnel under their charge. It is their task to monitor immunization status of troops under their care, as well as to directly manage any required vaccination or disease prevention program. This includes the distribution of anti-malarial tablets and condoms, as well as the conduct of health inspections of food, water and sanitation. In addition, they are responsible for health education and medical training, which is generally conducted by medical personnel under their charge.

**6.02 Immunization Policy**

---

- A. The Medical Services Division recommends the vaccination and chemoprophylaxis requirements within a Mission area, which should be the minimum requirement observed by all troop contributing countries here. These requirements are divided into those that are *mandatory* (e.g. Diphtheria, Pertussis, Tetanus, Poliomyelitis, Typhoid, Yellow fever if indicated, Hepatitis B for medical staff) and those that are *recommended*





(Meningococcus, Rabies, Hepatitis A, Hepatitis B, MMR). The exact immunization regimen will vary with the Mission area.

- B. It is a national responsibility (and at national expense) to ensure that all personnel have received at least the initial dose of mandatory vaccinations before deployment into the Mission area. The immunization status of each individual is to be properly documented for monitoring by the respective contingent doctor. It would be ideal if each member of the contingent is provided with the WHO International Certificate of Vaccination, or its national equivalent.
- C. Should a multiple dose immunization regimen not be completed prior to deployment, the UN has the responsibility for subsequent vaccinations, including administration of booster doses, if required. The Mission HQ will procure the required vaccines in this instance, with the assistance of the Medical Support Unit.
- D. Should troops deploy into a Mission area without the required vaccinations, this will be provided by the supporting medical unit, but all costs incurred will be deducted from the reimbursement to the troop contributing country. The FMedO is required to submit a record of all vaccinations administered in the field, indicating the names, UN ID numbers and nationalities, as well as the types and doses of vaccinations given.
- E. Failure to follow UN-recommended immunization and chemoprophylaxis policies may result in the denial of entry into the host country, as well as rejection of any resulting medical claims and compensation.

### **6.03 Malaria Prophylaxis and Vector Control**

---

Malaria is endemic in most tropical countries, particularly in Africa, South America and South Asia, with 400 million individuals infected and 1.5 million dying from the disease each year. It is one of the major diseases affecting peacekeepers and an important cause of morbidity and mortality. In 1995, health statistics from UNAVEM (Angola) showed that 970 out of 7,005 UN peacekeepers had malaria. This indicates a general lack of awareness of the disease among peacekeepers, as well as inadequate or incorrect use of environmental and personal protection. Prevention of malaria is further hampered by delays in diagnosis by doctors unfamiliar with



the disease, development of *Anopheles* mosquitoes resistant to standard insecticides and resistant-strains of *Plasmodia*. To date, there is also no effective vaccine against the organism. Steps that should be taken to control the disease include:

- A. Avoid setting up camp locations near stagnant water bodies (e.g. marshes, ponds).
- B. Routine inspection and destruction of mosquito breeding sites in the camp vicinity. The use of oiling is recommended, while organophosphate insecticides should be considered for water bodies rich in vegetation.
- C. Residual spraying of insecticides on both internal and external walls and window-sills to destroy resting adult mosquitoes. This is more effective than space spraying, and should be conducted at least once in 3 months. Hand-operated compression sprayers are generally adequate, and organophosphate, carbamate or synthetic pyrethroids can be used.
- D. Proper use of mosquito bed nets and appropriate dressing after dusk. Impregnation of bed nets and even clothing with Permethrin or similar compound has been shown to increase protection against mosquitoes. This should be repeated every 6 months.
- E. The obligatory use of insect repellents after dusk, with repeat applications at night if the soldier is on duty. DEET-based repellents (N,N-diethyl-m-toluamide) are recommended, particularly sustained released formulations and ointments.
- F. Supervision and even enforcement of malaria prophylaxis. Mefloquine (Lariam) 250mg per week is generally recommended for most mission areas, while Doxycycline 100mg daily is advised for individuals with G6PD deficiency or allergy to quinine based drugs. It is a national responsibility to ensure that the recommended prophylaxis is commenced prior to deployment in the Mission area. Following deployment, continuation of prophylaxis will be provided by the medical unit supporting the contingent.
- G. Where diagnosis of malaria is suspected or confirmed, it is recommended that the patient be treated at a Level 2 or 3 medical facility, where adequate monitoring and investigations are available.



- H. Health education is the key to raising awareness about malaria and to debunk misconceptions about the disease (e.g. the harmful effects of prophylaxis), as well as to reinforce the need for adequate preventive measures.

---

#### 6.04 HIV/AIDS and Sexually Transmitted Diseases

---

Sexually transmitted diseases (STD) and AIDS are occupational diseases affecting the military, including UN peacekeeping troops and observers. Prevalence rates of as high as 10-30% have been found among military personnel, including certain troop contributing countries to peacekeeping missions. This rate is estimated to be 2 to 5 times higher than the respective general population, and has been known to be as high as 50 times during deployment in a conflict area.

A. **Risk Factors.**

The following factors contribute to the particular vulnerability of deployed peacekeepers to STD and AIDS, which arise largely from contact with infected sex workers.

1. Lengthy periods away from home and separation from regular sex partners.
2. Influence of alcohol and peers.
3. Less inhibitions and restrictions in new country.
4. Money in the pockets, with less opportunity to spend this during operational deployment.
5. Risk-taking ethos and behavior in the military, which is part of the make-up of any soldier.
6. Ready access to sex workers near campsites and frequented off-duty areas.
7. In some situations, higher tendency for drug abuse and the lack of access to sterile hypodermic needles.
8. Higher chance of exposure to infected blood in the operational environment, either from fellow peacekeepers or the local population, particularly for medical personnel.

- B. STD, HIV infection and AIDS are largely preventable through proper health education and training, as well as through the issue of personal protection (condoms) to individual peacekeepers. An effective AIDS prevention program will limit



further spread of the disease among peacekeepers and to the local population. Elements of such a program include:

1. Health education on the risks of HIV / AIDS and to debunk myths and misconceptions regarding the disease. This is to be reinforced by publications, posters and other means of communications.
  2. AIDS prevention training for peacekeepers prior to and during their deployment in UN peacekeeping operations, with emphasis on proper use of prophylaxis and moderation of behavior in "risky" situations.
  3. Supervised regular distribution of condoms to all peacekeepers, both male and female, particularly before time-off or leave. It is a national responsibility to ensure that troops deploy with an adequate supply of condoms. Additional condoms may be obtained from the medical unit supporting the contingent or through a UN channel.
  4. Making HIV testing available and accessible to all UN peacekeepers and staff members deployed in the field. Counselling services by medical staff should be made available for infected individuals if this is so requested.
  5. Promoting greater awareness among medical personnel and adopting "Universal precautions" in handling patients, particularly during resuscitation and intravenous procedures. Ensuring the proper disposal and decontamination of medical wastes and consumables.
- C. Further information regarding AIDS can be obtained from the booklet, "Protect Yourself, and Those You Care About, Against HIV/AIDS", published jointly by DPKO and the Joint UN Program on HIV/AIDS (UNAIDS). This is distributed to all military observers, civilian police monitors and military contingents serving in peacekeeping missions.

---

### **6.05 Hygiene and Sanitation**

---

It is a combined UN and national responsibility to ensure quality control for procurement, storage and preparation of food, as well as for the supply of potable water. Adequate provisions must also be made to ensure high standards of sanitation and proper disposal of wastes. Although not directly responsible, the FMedO and contingent medical personnel are to assist logistics, engineering and



hygiene inspection personnel in maintaining these standards. Specific tasks include:

- A. Assisting inspection of food preparation and storage areas, and ensuring their proper transportation.
- B. Routine examination and certification of kitchen personnel, including bacteriological examination of stools for pathogens, if this can be conducted.
- C. Investigation of any suspected outbreak of food poisoning or gastroenteritis.
- D. Formulating Mission area policies concerning consumption of local food and water.
- E. Ensuring that regular checks on the quality of potable water are conducted by logistics personnel.
- F. Medical advice on the proper disposal of wastes, including human and medical wastes.
- G. Identifying and implementing prophylactic measures to reduce environmental and occupational related illness.

### **6.06 Road Traffic Accidents**

---

It is important to note that road traffic accidents are the main cause of serious injury and fatalities in peacekeeping missions. In a study conducted in 1997, it was shown that out of a total of 876 accidents reviewed, 64% comprised road traffic accidents. Most resulted from human error on the part of the peacekeeper, or of another party. Although not directly responsible for accident prevention, the medical doctor in the field has a duty to advise the contingent commander if road safety measures are not being adopted. Strict enforcement of such measures will lead to reduction in loss of human life and limb. Basic components of a road safety program include:

- A. Commander's emphasis on road and vehicular safety.
- B. Clearly documented safety regulations and Standard Operating Procedures (SOPs) which are understood by all drivers and vehicle occupants. These measures have to be strictly enforced (e.g. speed limits, use of seat-belts, alcohol control, vehicle breakdown drill).
- C. Certified driving standards for military and heavy vehicles, and orientation drives for new drivers.



- D. Regular maintenance schedules, with system of close supervision and accountability.

---

### **6.07 Stress Management**

---

Stress is the physical and psychological process of reacting to and coping with events or situations that place extraordinary pressure upon a human being. It is a normal reaction to an abnormal situation, but can lead to breakdown of coping mechanisms if allowed to build-up after prolonged or repeated exposure. Many peacekeepers are confronted with intense, traumatic and even life-threatening situations, which place serious and often prolonged levels of stress on them. It is important for the medical doctor in the field to be able to recognize different types of stress reactions, the factors that contribute towards them and to be familiar with measures that can be taken to deal with them.

#### **A. Types of Stress Reactions.**

1. **Basic Stress.**  
Minor stress encountered in daily situations that produce tension, frustration, anger and irritation. This is largely determined by an individual's physical and psychological attributes, and can generally be overcome. However, if allowed to accumulate, it can escalate beyond the point where it can be controlled, affecting the individual's disposition and work.
2. **Cumulative Stress.**  
This results from accumulation of stress that occurs too often, lasts too long or becomes too severe, with the end result that the individual is no longer able to cope with it. This leads to depression, work-related problems and relationship problems with his colleagues.
3. **Traumatic Stress.**  
This is a traumatic experience in which an individual is exposed to a single, sudden and violent physical or psychological assault, in which there is threat or harm to himself/ herself or to another individual.



4. Post-Traumatic Stress Disorder (PTSD).

This refers to the persistence of symptoms arising from an episode of traumatic stress (analogy of a wound that does not heal), which continues to disturb the individual and prevents him from returning to a "normal" lifestyle.

**B. Factors Contributing to Stress among Peacekeepers.**

1. Difficult or unclear mission, giving rise to frustration and/or feeling of helplessness in carrying it out, as well as loss of confidence in leadership.
2. Not professionally trained for the task at hand (e.g. Military Observer or Civilian Police, who can only monitor and report, and cannot directly intervene in the situations they are observing).
3. Need to show impartiality to different parties in a conflict, despite personal beliefs and convictions.
4. Lack of appreciation by the victims and occasionally, hostility and lack of co-operation from the local authorities.
5. Lack of security and concern about personal safety.
6. Stress related to use of weapons.
7. Need to suppress emotions.
8. Uncomfortable living conditions.
9. Separation from home, family and friends.
10. Cultural differences, language difficulties and dietary changes.
11. Lack of recreation.
12. Traumatic stress (e.g. witnessing violence or death, experiencing intimidation or threat, serious accident or life-threatening illness).

**C. Managing Stress.**

It is important to recognize the emotional, functional and physical changes accompanying stress-related reactions. While these cannot be totally prevented, awareness of such problems by an individual or his colleagues, openness in discussing such problems, and the availability of professional help should this be required, are key factors to successfully managing stress. Components of a stress prevention program include:



1. Pre-deployment screening of psychological and physical profile of key appointment holders, Military Observers and Civilian Police monitors.
2. Pre-deployment training on what to expect and how to cope with stress.
3. Ongoing health education on work-related stress, particularly how to identify sources of stress, recognize stress and take basic steps to relieve it.
4. Planned program for social activities, sports and recreation at the HQ or Unit level.
5. Group sessions for feedback and peer-sharing.
6. Debriefing of personnel following exposure to traumatic events, to be conducted in group sessions, and preferably with participation of trained counsellors.
7. Training of medical personnel to recognize signs and symptoms of stress and to manage such conditions.
8. Access to professional counselling should this be required. This is generally available at Level 2 or Level 3 medical support.

Further details on how to manage stress can be found in the "United Nations Stress Management Booklet" printed by DPKO, which is distributed to peacekeepers prior to deployment.



## **ANNEX 8**

### **United Nations Police Officers Deployment List**



## **ANNEX 9**

**Extract from DPKO Human Resources Handbook**

**DPKO Human Resources Handbook**

**Military and Police Personnel**

**Reimbursement of Medical and Dental Expenses - Military/Police Personnel**

General:

1. The United Nations provides military observers and civilian police officers with coverage for medical examinations which they might require as a result of illness or injury, as well as other medical services and supplies, including hospitalization, during their period of service in mission area.

Claims for Reimbursement of Medical Expenses:

2. To qualify for coverage by the United Nations, the illness or injury must have occurred while the MILOB/CIVPOL concerned was in the mission area, either performing official duties or on authorized time off, and be attributable to conditions and hazards peculiar to the area of assignment.

3. All arrangements for medical and hospital services for military observers and civilian police officers are made through the DOA/CAO, who should report all cases of serious illness, injury or hospitalization to PMSS.

4. Medical services may be provided by a physician or a hospital of the MILOB's/CIVPOL's choice, except for United Nations medical examinations which must be carried out by the United Nations-designated physician in the area.

5. Claims for medical and hospital services rendered are settled directly by the mission DOA/CAO or reimbursed to the observer/police officer on presentation of all bills and supporting documentation certified by him/her as correct.

6. If the MILOB/CIVPOL is covered by other insurance arrangements, the United Nations does not reimburse hospital or medical expenses that are reimbursable by another source.

7. Costs for dental treatment is normally considered the responsibility of the military observer/civilian police officer. Expenses relating to dental treatment will only be reimbursed in cases determined by New York Headquarters to be attributable to the performance of official duties on behalf of the United Nations.

Medical Supplies:

8. The United Nations provides standard medical supplies such as vaccines, antibiotics and vitamins prescribed for the mission area and may reimburse military observers and civilian police officers for all physician-prescribed medicines, except medicines and pharmaceutical products for general use.

9. Medicines and pharmaceutical products for general use are the personal responsibility of the military

observer/police officer. However, when reviewing the medical requirements of each mission the United Nations Medical Service may recommend that certain medicines and pharmaceutical products be procured by the Organization for use there. The DOA/CAO may request that medicines not normally procured for a mission be purchased at Headquarters if such medicines are required for use by observers/police officer and not locally available (or if a substantially superior product is available at Headquarters). Requests to this effect, which should give full details, will be taken up by OMS with the Medical Service. At the same time the Medical Service shall determine whether the cost of such medicines will be borne by the United Nations or will be recovered from the observers/police officers concerned.

**Reimbursement of Medical Expenses After Completion of Tour of Duty:**

10. The United Nations provides coverage for medical and hospital services only during the period of an MILOB's/CIVPOL's assignment in the area, while he/she is in receipt of subsistence allowance. The Organization is not responsible for any medical or hospital expenses incurred after completion or termination of the assignment without review by its Advisory Board on Compensation Claims. No payment or reimbursement will be made to an observer/police officer for medical or hospital expenses which have been applied for under another medical/hospital benefit, service or scheme.

11. Claims for medical or hospital expenses arising after completion of assignment, for treatment of illness or injury attributed to service with the United Nations, should be submitted to PMSS for consideration and decision, in accordance with the provisions for compensation for service-incurred illness or injury.

**Related Topics:**

Compensation Claims

**Procedures and Guides:**

---

Workflow Process

IMIS Desk Procedures & Processing Guidelines

---

## **ANNEX 10**

### **CTO Policy for Military Observers and Civilian Police**

1 January 2001

**CTO POLICY FOR MILITARY OBSERVERS  
AND CIVILIAN POLICE**

1. The purpose of this policy is to introduce a revised compensatory time off (CTO) policy for the military observers and civilian police officers serving in peacekeeping operations and other field missions. It replaces current provisions as well as any other schemes or local arrangements of CTO for observers and constitutes the only policy governing CTO in respect of MILOBs/CIVPOL.

The hours of work

2. The Chief of Staff/CMO/the Police Commissioner shall establish the hours of work and official holidays for military observers/police officers, in consultation with CAO/DOA. An equitable duty schedule is organized to meet operational and administrative requirements of the mission.

3. If operational requirements allow, the norm would be the establishment of a five-day workweek. If for operational reasons military observers/police are required to work on Saturdays, Sundays and official holidays, CTO should be granted to compensate for the weekends and holidays worked.

Five-day workweek

4. If the operational requirements of the mission allow the establishment of a five-day workweek, no CTO would be granted. It should be noted that the scheduled days off in the course of a month's duty roster are not CTO; they are simply days off in lieu of weekends/ holidays.

CTO granted only on the basis of continuous active duty

5. CTO can only be granted, if operational reasons require active duty of military observers or civilian police on a continuous basis, including Saturdays, Sundays and official holidays. Thus, if the mission HQ officers, or any other MILOBs/CIVPOL/ MLOs, enjoy weekends and holidays off, they do not qualify for CTO which requires continuous active duty, where the service otherwise breaks only for sick leave or annual leave.

6. CTO would normally apply only in those missions and those locations/functions in which a continuous and active duty for military observers/civilian police is an essential requirement, i.e., in isolated locations, patrol duties,

1 January 2001

observation posts, law enforcement etc., which do not allow for a regular workweek with scheduled days off.

#### Purpose of the CTO

7. CTO is granted to MILOBs/CIVPOL/MLOs to provide them with the opportunities for rest after a particularly demanding period of continuous service. CTO shall be authorized by COS/CMO/ Police Commissioner subject to operational requirements and exigencies of the service.

#### Granting of CTO

8. At the discretion of the Chief of Staff, CMO or the Police Commissioner, MILOBs/CIVPOL/MLOs who are required to be on duty on a continuous basis including weekends and official holidays may be granted compensatory time off with MSA as follows:

9. CTO is granted on a pro-rata basis: for every five days of continuous duty/service, one CTO day is earned. For periods of less than five days, CTO is earned in fractions ( $\times 0.2$ ) which can be accumulated to make a whole day. A maximum of 56 CTO days may be granted in a one-year period, and no more than 12 CTO days may be taken at any one time. CTO can only be granted and taken when the exigencies of the service so permit.

#### CTO and annual leave

10. CTO may be taken in conjunction with leave. The annual leave continues to be accrued at the rate of  $1 \frac{1}{2}$  days per month. Annual leave can be accrued up to a maximum of 12 days, on the understanding that it is to be taken as actual leave without cash compensation in lieu of leave not used.

11. Based on the operational requirements, COS/CMO/Police Commissioner shall organize the duty roster and establish appropriate procedures for the advance approval of observers' compensatory time off. It is up to the missions to decide whether CTO is granted in fractions or any other arrangement is applied, e.g. one day given after 5 working days, 2 days after ten working days, 6 after 30 days. This would offer a modicum of flexibility to the field missions in the awarding of CTO.

#### Advance CTO; Payment of MSA

12. CTO must be earned before it is granted. There can accordingly be no granting of advance CTO. MSA is payable



1 January 2001

for all CTO days whether taken inside or outside the mission area.

13. The compensatory time off must be taken within the regular tour of duty. The tour of duty shall not be extended in order to facilitate taking such time off. Observers may, however, be granted up to ten (10) days of accrued compensatory time off/annual leave in the last month of their tour of duty in order to complete all arrangements, including travel and baggage formalities, prior to their departure from the mission area. No annual leave or cash compensation in lieu of compensatory time off is granted. However, granting CTO/annual leave during the last month of duty should be kept to a minimum and no annual leave/CTO is granted or should be taken during the last week of duty. This is to ensure that the personnel return to the mission area for important check-out and repatriation travel purposes. Hence, CTO may not be taken in conjunction with repatriation.

#### Travel days

14. There is no provision for travel days in connection with accrued compensatory time off and/or annual leave spent inside or outside the mission area.

#### Oversight of attendance records and granting of CTO

15. The DOA/CAO is responsible for the administrative and financial certification as well as proper implementation of UN policies, rules and regulations in the mission. He/she oversees the efficient use of UN resources. Given that there are financial implications in granting CTO, the DOA/CAO, or his/her representative, should also review the recording of MILOB/CIVPOL/MLO attendance records and ensure the proper administration of the CTO arrangements.

16. While the CMO/COS/Police Commissioner grants CTO, oversight of CTO provisions is the responsibility of the DOA/CAO. The latter or his/her representative shall establish procedures and develop internal guidelines within the mission in order to ensure adherence to policy and procedures. Verification of granting CTO/annual leave for observers should be conducted prior to the departure of the personnel in question from the mission area. Attendance and CTO records should always be kept current for review and audit purposes.

17. Any deviations from the standard policy without prior authorization will result in recovery actions against individual MILOBs/CIVPOL/MLOs and the application of rules

1 January 2001

governing financial responsibility of approving officers.  
All missions are to ensure that any SOPs or other internal  
mission instructions/directives are in line with the above  
stated policy and that they are copied to the Military  
Advisor's office/ CivPol Unit and to FALD.

-----

## **ANNEX 11**

# **DPKO Standard Operating Procedures on Performance Appraisal of United Nations Police Officers**

United Nations  
Department of Peacekeeping Operations  
Ref. DPKO/PD/2006/00132



# **DPKO STANDARD OPERATING PROCEDURES**

19 December 2006

---

## **Performance Appraisals of United Nations Police Officers**

---

---

## STANDARD OPERATING PROCEDURES ON PERFORMANCE APPRAISAL OF UNITED NATIONS POLICE OFFICERS

---

### Contents

- A. Purpose
- B. Scope
- C. Rationale
- D. Terms and Definitions
- E. Policy
- F. Monitoring and Compliance
- G. Entry into Force

#### A. Purpose

1.1 These Standard Operating Procedures set-forth the principles, standards and procedures applicable for the appraisal of the performance of certain categories of United Nations Police Officers deployed as Experts on Mission in United Nations peacekeeping operations.

---

#### B. Scope

2.1 This policy applies to the Heads of Police Components (1) of peacekeeping operations and their delegates and to all United Nations Police Officers deployed as Experts on Mission to such operations, with the exception of non-commissioned officers and lower ranking members of Formed Police Units (2).

2.2 This policy does not apply to the appraisal of United Nations Police Officers employed as Staff of the United Nations. The appraisal system applicable for United Nations Staff shall be applied as is to these personnel.

---

#### C. Rationale

3.1 These Standard Operating Procedures are adopted in order to present, in a factual and documented form, the performance, competence and capabilities of the concerned United Nations Police Officers. Such records should be used *inter alia* in making decisions on extending the tour of duty of officers, selection for future missions, or consideration for managerial responsibilities with the United Nations.

---

#### D. Terms and Definitions

4.1 The following definitions apply to these Standard Operating Procedures:

4.1.1 *United Nations Police Officers* – For the purpose of these Standard Operating Procedures, this includes United Nations Police Officers deployed as Experts on Mission in United Nations peacekeeping operations with the exception of non-commissioned officers and lower ranking members of Formed Police Units.

---

1. Referred to as Police Commissioners or Senior Police Advisors.

2. It shall be the sole responsibility of commanding officers to evaluate the performance of non-commissioned officers and lower ranking members of Formed Police Units in accordance with the applicable standards of the concerned police contributing country.

4.1.2 *Reporting Officer* – A member of the police component of the peacekeeping operation who has been designated as such by the Head of the Police Component or his or her delegate and who has worked as the direct supervisor of the United Nations Police Officer subject to the appraisal for a period of not less than one (1) month.

4.1.3 *Reviewing Officer* – The Head of the Police Component or his or her delegate for the review of performance appraisals.

4.1.2 *Core values* – shared principles that underpin the work of the Organization and guide the actions and behaviors of concerned United Nations Police Officers in carrying out their individual work: integrity, professionalism and respect for diversity/gender. All United Nations Police Officers are expected to behave in accordance with the core values and will be appraised on their compliance with the values.

4.1.3 *Core competencies* – the skills, attributes and behaviors, which are considered important for all United Nations Police Officers, regardless of their level. The eight core competencies are: communication, teamwork, planning and organizing, accountability, creativity, client orientation, commitment to continuous learning, and technological awareness.

4.1.4 *Managerial competencies* – the skills, attributes and behaviors that are considered essential for United Nations Police Officers with managerial or supervisory responsibilities. The six managerial competencies are: managing performance, vision, leadership, building trust, judgment/decision-making, and empowering others. Managing performance must be included among the managerial competencies selected for all United Nations Police Officers who supervise others.

4.1.5 *Job-related competencies* – this includes the competencies that are directly related to the post and may include knowledge of official languages for job-related purposes, project management, specific computer skills or other skills of a technical nature. In all cases, this includes a thorough knowledge of police and law enforcement related matters as well as a very good understanding of international criminal justice and human rights standards as applied to policing.

---

## **E. Standard Operating Procedures**

### General

5.1 All appraisal reports shall be professional, objective, transparent and impartial and shall, to the extent possible, highlight positive as well as negative aspects of United Nations Police Officers conduct and competence as reflected in the performance of their duties or discharge of their responsibilities. Reporting and Reviewing Officers should be aware that inaccurate assessments will reflect negatively on the appraisal of their own performance.

### Appraisal procedures

5.2 A performance appraisal must be completed for each United Nations Police Officer for each period of six (6) months of continuous service with the peacekeeping operation in strict accordance with the attached Performance Appraisal Form. For the purpose of these Standard Operating Procedures, continuous service shall be understood to comprise any periods of compensatory-time-off, annual leave, sick leave or any other duly certified period of absence from Office.

5.3 The Reporting Officer shall evaluate the core values, the core competencies, the managerial competencies, as applicable, and the job-related competencies for the concerned United Nations Police Officer. In the evaluation of such parameters, the Reporting Officer must consult the relevant guidelines of the United Nations Office of Human Resources Management which shall be applied *mutatis mutandis* in this regard (3).

5.4 The Reporting Officer must grade the concerned United Nations Police Officer based on the parameters set-forth in the attached Performance Appraisal Form. An overall grading of "outstanding" shall only be awarded to United Nations Police Officers who have consistently performed above what would normally be expected of them in the normal and routine performance of their duties, no matter how diligent they have been. A single exceptional performance shall not qualify an officer for this grading. The Head of the Police Component or his/her designate may adopt mission-specific standards / performance benchmarks that are to be used for the overall grading.

5.5 The concerned United Nations Police Officer shall be required to comment on his/her appraisal report before it is submitted to the Reviewing Officer. If, for any reason, the concerned United Nations Police Officer is unwilling or unable to make comments, the Reporting Officer shall make appropriate remarks in this regard and submit them to the Reviewing Officer for final review.

5.6 A Reviewing Officer shall ensure that the grading of the concerned United Nations Police Officer is consistent with the remarks made by the Reporting Officer. The Head of the Police Component or his or her delegate are considered in all cases to be Reviewing Officers.

5.7 The Reporting Officer must comment on steps to be taken for the improvement of the concerned United Nations Police Officer when graded as "partly satisfactory" or "unsatisfactory".

5.8 In instances where the concerned United Nations Police Officer does not agree with his/her overall rating and/or the narrative of his/her performance appraisal, he/she may send a written rebuttal note to this effect to the Head of the Police Component or his/her designate with a copy of the signed performance appraisal form within fifteen (15) days of the signature of the Reviewing Officer. The Head of the Police Component or his/her designate shall review these documents and shall take a decision on this matter such as rejecting the rebuttal or instructing that the concerned United Nations Police Officer be re-evaluated.

#### Records management

5.9 Appraisal reports shall be prepared in two (2) original signed copies. One copy shall be given to the concerned United Nations Police Officer and another copy shall be placed in his/her personnel file in the mission.

5.10 A scanned copy of the original must be forwarded by electronic mail to the Recruitment Officer, Police Division, Department of Peacekeeping Operations, no more than forty-eight (48) hours after its completion.

5.11 All performance appraisal records must be systematically archived in the mission and at United Nations Headquarters in accordance with United Nations issuances pertaining to the transfer, maintenance, custody and disposal of archives and records (4).

---

3. See: *Using PAS: A Guide for Staff and Supervisors*, United Nations Office of Human Resource Management, undated.

4. See: Secretariat's Administrative Instruction on *The United Nations Archives*, ST/AI/326, dated 28 December 1984 and DPKO Policy Directive on *Records Management*, 6400/ADM/POL/0504, dated 30 January 2006.

Performance appraisal, assignment to peacekeeping operations and renewal and end of tour of duty

5.12 No personnel can be assigned for service as a United Nations Police Officer in a peacekeeping operation if he or she has received an "Unsatisfactory" rating whilst serving with the United Nations.

5.13 No United Nations Police Officer can have his or her tour of duty renewed if he or she has received an "Unsatisfactory" rating whilst serving with the peacekeeping operation.

5.14 A final performance appraisal must be completed prior to the check-out and end of tour of duty of the concerned United Nations Police Officer.

---

**F. Monitoring and Compliance**

6. All missions with United Nations Police Officers deployed as Experts on Mission must comply with these Standard Operating Procedures. The Police Advisor to the Department of Peacekeeping Operations, Heads of Missions or their delegates, and the Heads of Police Components shall monitor compliance with this document.

---

**G. Entry into Force**

7. These Standard Operating Procedures shall come into force on 19 December 2006. They can only be abrogated in writing by the Under-Secretary-General for Peacekeeping Operations.

(signed)

Mark Kroeker  
Police Advisor and Director, Police Division  
Department of Peacekeeping Operations  
19 December 2006

**ANNEX: Performance Appraisal Form for United Nations Police Officers deployed as Experts on Mission**





**REPORTING OFFICER RATINGS 1-4: 1 Unsatisfactory; 2 Developing; 3 Fully Competent; 4 Outstanding**

<b>CORE VALUES</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Integrity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Professionalism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Respect for Diversity/Gender	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>CORE COMPETENCIES</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Communication	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Teamwork	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Planning and Organizing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Accountability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Creativity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Client Orientation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Technological Awareness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Commitment to Continuous Learning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>MANAGERIAL COMPETENCIES</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
Managing Performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Vision	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Building Trust	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Judgment/Decision-making	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Empowering Others	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>JOB-RELATED COMPETENCIES</b> (Provide evaluations only for competencies selected as relevant for the post occupied)	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
<b>Job-related competencies</b>				
1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**REPORTING OFFICER OVERALL RATING AND NARRATIVE OF PERFORMANCE APPRAISAL**

**OVERALL RATING**

- Unusual contribution } only top 2% - truly exceptional and rare performance which far exceeds reasonable expectations, including of originality, creativity and initiative.
- Exceeds expectation } only top 24% - distinctly better performance than reasonably expected, inclusive of consistent willingness to undertake additional work.
- Fully satisfactory } approximately 55 % - competent and adept performance that fully meets reasonable expectations.
- Partly satisfactory } approximately 15 % - performance meets some or most of requirements but is in need of improvement.
- Unsatisfactory } at least 4% - performance does not meet reasonable requirements.

**NARRATIVE OF PERFORMANCE APPRAISAL**

**Reporting Officer**

Name:  
Position:  
Signature and Date:

**COMMENTS OF OFFICER BEING ASSESSED**

**United Nations Police Officer appraised**

Name:  
Position:  
Signature and Date:

**COMMENTS OF REVIEWING OFFICER**

**Reviewing Officer**

Name:  
Position:  
Signature and Date:

## **ANNEX 12**

### **Directive for Disciplinary Matters involving Civilian Police Officers and Military Observers**

**Directives for Disciplinary Matters  
Involving Civilian Police Officers and  
Military Observers**



## I. PURPOSE

1. The purpose of the present directives is to establish United Nations procedures to be followed for alleged breaches of conduct in the mission areas of peacekeeping and other field operations by civilian police officers and military observers.

## II. SCOPE OF APPLICATION

2. These directives shall apply to cases of serious misconduct as defined in section III, committed by civilian police officers<sup>1</sup> and military observers. In addition, any act of misconduct that has a detrimental effect on the image, credibility, impartiality or integrity of the United Nations, the peacekeeping or other field operation or the civilian police officers and military observers concerned shall be regarded as an act of misconduct falling within the scope of these directives.

3. Cases of minor misconduct, as defined in section III, committed by civilian police officers and military observers shall normally be dealt with by the commanders or other supervisors responsible for the maintenance of discipline, in accordance with any relevant rules, mission directives and the standard operating and administrative procedures.

## III. DEFINITIONS

4. For the purpose of the present directives, the following definitions shall apply:

**Serious misconduct:** Any act, omission or negligence, including criminal acts, that is a violation of mission standard operating procedures, directives, or any other applicable rules, regulations or administrative instructions, that results in or is likely to result in serious damage or injury<sup>2</sup> to an individual or to the mission. Serious misconduct includes, but is not limited to:

- Sexual abuse and exploitation of any individual, particularly children;
- Harassment, including sexual harassment<sup>3</sup>;
- Abuse of authority;
- Excessive use of force;
- Unlawful discharge of firearms;
- Breach of confidentiality;
- Abuse of United Nations privileges and immunities;
- Conduct prejudicial to good order and discipline;

<sup>1</sup>These Directives shall not be applicable to members of national formed police units. Responsibility for disciplinary action in these units rests with the commanders of the national units, who must keep the Head of Mission fully informed in all disciplinary matters.

<sup>2</sup>The term "injury" denotes any harm whatever illegally caused to any person, in body, mind, reputation or property.

<sup>3</sup>Refer to *Directive on Sexual Harassment in United Nations Peacekeeping and Other Field Missions for Military Members of National Contingents, Military Observers and Civilian Police Officers* for a description of a formal complaint of sexual harassment.

- Driving while intoxicated or other grossly negligent driving;
- Intoxicated while on duty or in public on repeated occasions;
- Repeatedly absent from duty without permission;
- Use, possession or distribution of illegal narcotics;
- Embezzlement or other financial malfeasance;
- Wilful disobedience of a lawful order;
- Unlawful acts (e.g. theft, fraud, smuggling, bribery) on or off United Nations premises, with or without the involvement of United Nations vehicles, and whether or not the individual was officially on duty at the time of the offence.

**Minor misconduct:** Any act, omission or negligence that is a violation of mission standard operating procedures (SOPs), directives, or any other applicable rules, regulations or administrative instructions, but which does not result in or is not likely to result in major damage or injury to an individual or the mission. Minor misconduct includes, but is not limited to:

- Improper uniform appearance;
- Neglect in performance of duty not amounting to a wilful or deliberate act;
- Intoxication while on duty or in public;
- Negligent driving;
- Absence from duty without permission;
- Malingering.

#### **IV. STANDARD OF CONDUCT**

5. Civilian police officers and military observers shall refrain from any action or activity incompatible with the impartial and independent nature of their duties and inconsistent with the letter or spirit of the authorized mandate of the operation, the status of forces agreement, and other applicable legal norms and standards. Civilian police officers and military observers shall respect all local laws and regulations.

6. Civilian police officers and military observers are required to abide by the highest standards of integrity while in service for the United Nations. They shall refrain from any conduct that would adversely reflect on the United Nations and shall not engage in any activity that is incompatible with the aims and objectives of the United Nations. They are also required to abide by mission standard operating procedures, directives, or any other applicable rules, regulations or administrative issuances.

7. Upon deployment to the field mission, all civilian police officers and military observers shall receive a briefing on these directives, the types of serious misconduct prohibited and the disciplinary process that shall ensue should an allegation of misconduct be made. In this briefing, particular attention shall be drawn to local laws and customs and the need to respect them

---

## V. LEGAL STATUS

8. Civilian police officers and military observers enjoy the status of "experts performing missions" for the United Nations, under Article VI of the 1946 Convention on the Privileges and Immunities of the United Nations. In accordance with that status, they enjoy *inter alia* immunity for the purposes of the official acts they perform. These privileges and immunities are granted in the interests of the United Nations and not for the personal benefit of the individuals themselves. The Secretary-General has the right and the duty to waive the immunity of any individual in any case where, in the Secretary-General's opinion, the immunity would impede the course of justice. Such a waiver shall be without prejudice to the interests of the United Nations. Civilian police officers and military observers are, however, subject to the jurisdiction of the host country/territory in respect of any criminal offences that may be committed by them in the host country and any disputes/claims of a civil nature not related to the performance of their official functions.

## VI. NOTIFICATION

9. In cases where civilian police officers or military observers are believed to have been involved in an act of serious misconduct or an act that has the potential to damage the image, credibility or integrity of the United Nations, the Head of Mission shall be notified immediately. Any member of the field mission who becomes aware of such acts shall report them to the Head of Mission.

10. Notification may also be made to the Personnel Conduct Officer, who shall bring it to the attention of the Head of Mission.

## VII. PRELIMINARY INVESTIGATION

11. Upon receiving a report of any serious misconduct involving a civilian police officer or a military observer, the Head of Mission shall immediately initiate a preliminary investigation. Mission officials may be assisted in this investigation by local police. If required, the investigation team could include a civilian member of the field mission, such as, human rights monitor, United Nations security officer, or child protection adviser, to assist in carrying out the preliminary investigation.

12. The purpose of the preliminary investigation shall be to establish the facts of the case. The investigation shall be conducted in accordance with the "Guidelines for Preliminary Investigations" contained in Annex B.

13. To the extent possible, the preliminary investigation must be completed before the individuals(s) involved and any witnesses leave the mission area due to rotation or for any other reason. No repatriation of individual(s) involved must occur before the conclusion of the preliminary investigation and a determination of the appropriate administrative action to be taken. However, individuals concerned may be allowed to depart the mission area after they have provided statements and their role in the investigation is complete.



14. The results of the preliminary investigation shall be immediately reported to the Head of Mission. The report shall contain a full account of the facts, any documentary evidence, statements made, or other relevant records. If the preliminary investigation appears to indicate that the report of serious misconduct is well-founded, the Head of Mission shall immediately report this to United Nations Headquarters in New York, who shall inform the national authorities of the country concerned through their Permanent Mission. The Head of Mission shall also convene a Board of Inquiry.

#### **VIII. BOARD OF INQUIRY**

15. Acts of serious misconduct or acts that have the potential to damage the image, credibility or integrity of the United Nations shall require the convening of a mission headquarters Board of Inquiry,<sup>4</sup> in accordance with the procedures set out in Annex A.

16. The purpose of the Board of Inquiry shall be to establish the facts of the case. The Board shall determine cause and responsibility in the incident under review. The Board of Inquiry may also make recommendations for appropriate administrative action, including repatriation. A Board of Inquiry shall not be a judicial body; it is a management tool to assist the Head of Mission in discharging his/her responsibilities. It may also assist the participating State concerned in its own investigation of the incident or act, for the purpose of appropriate national disciplinary proceedings. A Board of Inquiry shall not consider questions of compensation or legal liability.

17. The Board of Inquiry shall be convened within 48 to 72 hours after the findings of the preliminary investigation becoming available. The Board of Inquiry shall be convened by the Head of Mission, who shall issue its terms of reference. The Board shall be composed of at least three impartial, senior officials appointed by the Head of Mission. Due consideration shall be given to geographic and gender representation on the Board of Inquiry. All Board members shall serve in their individual capacity. In exceptional cases, the Secretary-General or the Under-Secretary-General for Peacekeeping Operations shall appoint Board members external to the mission.

18. The proceedings of the Board of Inquiry shall be conducted as speedily as possible. The members of the Board shall not proceed on other missions or on leave until the Board has completed its deliberations. (See Annex A on *Procedures for Board of Inquiry for Disciplinary Cases.*)

19. The Head of Mission shall review the final report of the Board of Inquiry and its recommendations, if any, in consultation with the appropriate personnel (e.g. Legal Officer, Medical Adviser) before determining the action to be taken. The final report of the Board of Inquiry shall be transmitted to United Nations

---

<sup>4</sup> Other circumstances under which a mission headquarters Board of Inquiry should be instituted are described in the *Draft Field Administration Manual*.

---

Headquarters in New York, along with the decision of the Head of Mission and the description of measures taken to implement that decision. Any comments that the Head of Mission may have on the recommendations of the Board or on the report in general shall also be transmitted along with the final report.

20. Recommendations of the Board of Inquiry, together with any comments thereon by the Head of Mission and his/her final decision, shall be communicated to the commanders or other supervisors responsible for the maintenance of discipline of the individual(s) concerned for the purpose of imposing disciplinary measures.

21. The Board of Inquiry file shall be closed after the Head of Mission has approved and forwarded copies of the Board's report to United Nations Headquarters in New York. The Board of Inquiry file and all relevant documentation shall be retained in the mission archives until the closure of the mission and thereafter shall be transferred to United Nations Headquarters in New York.

22. Board of Inquiry reports shall be confidential, internal documents of the United Nations and, as a rule, shall not be made available to outside entities. The release of a Board of Inquiry report to a Government to be used for its official purposes shall be approved by United Nations Headquarters in New York.

#### **IX. ADMINISTRATIVE ACTIONS AND DISCIPLINARY MEASURES**

23. Following receipt of the recommendations of the Board of Inquiry and the final decision of the Head of Mission, as referred to in paragraph 20, the commander or other supervisor responsible for the maintenance of discipline shall take appropriate administrative and/or disciplinary action. Such actions may be one or more of the following:

- Removal from position of command;
- Redeployment to another position/area after retraining, if necessary;
- Removal of benefits and concessions provided to United Nations personnel;
- Recommendation to repatriate;
- Suspension of leave/compensatory time off;
- Full or partial recovery from Mission Subsistence Allowance;
- Recommendation to repatriate;
- Written censure or reprimand, including a possible recommendation for non-eligibility for future assignment with the United Nations.

24. In addition to any United Nations administrative and/or disciplinary action(s), the individual may be subject to any applicable national disciplinary proceedings. For this purpose, a report on the misconduct and action taken shall be forwarded to United Nations Headquarters in New York in order to inform the Permanent Mission concerned.

25. The decision to repatriate a civilian police officer or a military observer, in all cases, shall be made by United Nations Headquarters in New York, based on the recommendation of the Head of Mission. Once decided, repatriation shall be immediate and the national authorities concerned shall be contacted at once through the Permanent Mission concerned in New York. The expenses connected with the repatriation and replacement action shall be borne by the Member State involved.

26. Leaving the mission area without authorization from United Nations Headquarters in New York to avoid disciplinary procedures or criminal charges shall not be allowed and shall require the Member State concerned to return the individual(s) to the mission area to facilitate the disciplinary process. If the national authorities do not comply, they shall not be requested to provide a replacement.

27. If the continued presence in the mission area of individual(s) to be repatriated on disciplinary grounds is detrimental to the morale of the staff, the image of the mission or has other negative effects, the objective of the Organization shall be to repatriate as soon as appropriate. In certain cases, the Head of Mission may decide to await the completion of the report of the Board of Inquiry if (s)he is of the opinion that the preliminary investigation report is inadequate to support an immediate repatriation decision, or the possibility of criminal charges exists. The Head of Mission shall inform Headquarters in New York of such a course of action and provide it with a copy of the preliminary investigation report and a statement as to the reasons why such a decision has been taken. In such situations, the Board of Inquiry shall be required to complete its work on a priority basis and as speedily as possible.

#### **X. CRIMINAL OFFENCES**

28. If the misconduct committed by a civilian police officer or military observer amounts to an alleged criminal offence, the Secretary-General has the right and the duty to waive the immunity, if applicable, of the individual(s) concerned, if in his opinion the immunity would impede the course of justice. The United Nations and the host country shall agree on whether or not criminal proceedings are to be instituted.

#### **XI. ASSISTANCE TO VICTIMS**

29. Once the final report of the Board of Inquiry along with the comments and/or decision of the Head of Mission have been reviewed by United Nations Headquarters in New York, the final decision, action or guidance shall be conveyed immediately back to the Head of Mission. If necessary, this information shall be used by the Head of Mission to appropriately inform the victims/individuals concerned of the action taken.

30. The Head of Mission shall consider taking appropriate measures to assist victims of acts of serious misconduct, including directing them to relevant organizations/support groups that could provide assistance.

**XII. FOLLOW-UP**

31. The United Nations shall request information from Member States regarding national disciplinary or criminal action taken with regard to repatriated civilian police officers and military observers. If no response is received, periodic reminders will be sent to the concerned Permanent Mission from the Department of Peacekeeping Operations. If still no response is forthcoming, appropriate steps shall be taken to bring the matter to the attention of the Government concerned at the highest possible levels to underscore the seriousness of the matter and to pursue it with a view to seeing that appropriate disciplinary steps are taken.

**XIII. FINAL PROVISION**

32. These Directives supersede *DPKO Administrative Procedure on Discipline for Military and Civilian Police Personnel in Mission Areas, directive MPS/651* and any other procedures and guidelines on this subject to the extent that they are inconsistent with these Directives.

---

**ANNEX A**

**PROCEDURES FOR BOARD OF INQUIRY FOR DISCIPLINARY CASES**

1. The Chairman of the Board of Inquiry, upon receipt of the convening order, shall immediately contact the Legal Officer, who shall provide an initial briefing and subsequently review the draft of the Board's report prior to its submission to the Head of Mission for decision and/or comments. The Chairman shall advise the Legal Officer of the Board's progress and submit the draft report of the Board for his/her review one week prior to the designated deadline. (See Attachment 1 for the format of a convening order and Attachment 2 for the format of a final report.)
2. A Board of Inquiry constituted to deal with an incident involving technical or other specialized matters may seek, if necessary, the written opinion of mission or outside experts in those matters.
3. Members of the field mission may be ordered to appear and testify as witnesses before a Board of Inquiry. Any other person, including local citizens and local police or military officers, may be requested to make a statement to the Board or answer its questions but is under no obligation to do so.
4. If possible, a majority of Board members shall be present when victims, witnesses or the subjects are being interviewed.
5. Witnesses shall be questioned individually by the Board and in the absence of other witnesses, so that information received from one may be compared with that received from others. If necessary, witnesses who have provided statements shall be questioned by the Board to clarify any ambiguities in their statements and to indicate to what extent, if any, they have knowledge of relevant facts not mentioned in their statements.
6. In the event of a witness or victim being under the age of 18, the Board of Inquiry shall question the minor in the presence of a guardian or an adult of the minor's choosing.
7. If a witness refuses to make a statement to the Board, the Board shall record that fact. If appropriate, it shall also state the reason(s) why certain persons were not called as witnesses before it.
8. If feasible and useful, the Chairman and members of the Board shall visit the scene of the incident and note any important features that could have a bearing on the case.
9. A Board must reach its findings only after it has considered all the evidence; they must be based upon and supported by the evidence contained in its report. The Board must give the matter the attention it deserves; i.e. conduct a

---

proper investigation, including sound analysis, supporting rationale, and substantiated conclusions.

10. A Board of Inquiry shall make at least the following findings relating to the incident under investigation:

- i. cause of incident;
- ii. whether any person was responsible for the incident;
- iii. whether any court action (prosecution or law suit) has been initiated;
- iv. whether individual(s) concerned were on United Nations duty at the time of the incident;
- v. extent of injuries, if sustained, substantiated by medical documentation;
- vi. whether any mission regulations, rules, orders or instructions were contravened.

11. The Board shall make recommendations concerning decisions/measures to be taken by the United Nations, for example any measure that could help avoid the recurrence of an incident, such as specific additional safety precautions; or legislative or administrative action, such as repatriation of the subject(s), amending regulations, rules or instructions, or other administrative issuances.

12. The report of the Board of Inquiry shall be written in a simple and plain language. The Chairman must submit the draft report, together with all necessary documents and attachments, for review by the Legal Officer. Board of Inquiry reports that lack the necessary details in their consideration and merely refer to the preliminary investigation report shall be returned by the Legal Officer, or the Head of Mission, to the Board for reconsideration.

13. The Head of Mission shall review the final report of the Board of Inquiry and its recommendations, if any, in consultation with the appropriate personnel (e.g. Legal Officer, Medical Adviser) before determining the action to be taken.

---

**ATTACHMENT 1**

**FORMAT FOR MISSION HEADQUARTERS BOARD OF INQUIRY  
CONVENING ORDER**

[Name of mission]

Date: \_\_\_\_\_

To: [distribution]  
From: [name and title of Head of Mission]  
Subject: Convening Order. Mission Headquarters Board of Inquiry

1. In accordance with the Directives for Disciplinary Matters Involving Military Members of National Contingents (MD/ ), a mission headquarters Board of Inquiry is hereby convened to investigate and report on the accident/incident which occurred on the day of [date] at [time] hours at [place].

2. The Board is to submit the final report and 10 copies by [date].

3. Composition:

	Name	Title
Chairman:		
Member:		
Member:		
Secretary:		

Distribution:  
[Chairman;  
Members and Secretary of Board;  
Legal Officer;  
CMPO/CCPO or appropriate official of the related component;  
Any other relevant official.]

---

**ATTACHMENT 2**

**FORMAT FOR MISSION HEADQUARTERS BOARD OF INQUIRY REPORT**

A mission headquarters Board of Inquiry report should be structured along the following lines:

- a. **Constitution**: Cite the convening order; the time, date and place of the incident; and the period during which the Board conducted its proceedings;
- b. **Description of the incident**: Present the objective facts of the incident obtained from the available evidence, with full reference to the sources used, including details of duty being performed at the time;
- c. **Deliberations**: Present the main issues to be addressed when assessing the incident and reaching substantiated conclusions;
- d. **Findings and conclusions**: Address the issues raised by presenting the Board's findings and conclusions based on the available evidence and relevant mission headquarters/unit orders, directives, regulations or SOPs.
- e. **Recommendations**: Recommend any remedial or preventive measures to avoid a similar incident;
- f. **Signatures**: Affix the signatures of the Chairman and members of the Board.
- g. **Annexes**: Attach as annexes the following:
  - i. Convening order;
  - ii. MP/UN civilian security or other police or investigating authority's report, with original photographs;
  - iii. List of persons present at or involved in the incident, giving name, rank, unit and ID number for United Nations personnel and distinguishing them from other persons, whose full name, occupation and address must be listed;
  - iv. Statements and reports of witnesses;
  - v. Any additional relevant documents or statements, including all medical reports and technical



- inspection reports (e.g. weapon inspection reports, vehicle inspection reports);
- vi. Any maps or sketches of the scene of the incident;
- vii. Any claims, local police reports, pending proceedings or actual decisions of local courts;
- viii. Detailed description of property destroyed or damaged, attaching any available damage/discrepancy reports;
- ix. Relevant copies of mission headquarters/unit orders, directives, regulations, SOPs, etc.

---

**ANNEX B**

**GUIDELINES FOR PRELIMINARY INVESTIGATIONS**

**Investigating Allegations of Serious Misconduct Involving Military Members of National Contingents, Military Observers and Civilian Police Officers Serving in United Nations Field Missions**

**I. INTRODUCTION**

1. These guidelines are intended to serve as a guide for the conduct of preliminary investigations into acts, omissions and negligence amounting to serious misconduct involving military members of national contingents, military observers, and civilian police officers serving in United Nations field missions, and as referred to in the *Directives for Disciplinary Matters Involving Military Members of National Contingents* and *Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers*.

2. To the extent possible, preliminary investigations shall be conducted by appropriate authorities with the relevant expertise in the category of misconduct being investigated. Preliminary investigations shall be conducted in accordance with internationally recognized principles of due process and fairness.

**II. PURPOSE**

3. The purpose of the preliminary investigation is to establish the facts of the case.

**III. PLANNING OF AN INVESTIGATION**

**Step One**

4. Define an investigation work plan, listing the steps necessary for conducting the investigation, such as:

- Witness list;
- Document list and/or "other evidence" list;
- The means to be used to collect the evidence;
- Locations to be investigated;
- Possible travel arrangements;
- Local authorities to be consulted;
- Technical expertise/opinion needed;
- Estimated time frame;
- Cost of investigation; etc.

**Step Two**

5. Discuss the investigation work plan among the investigating team to obtain a common understanding on how to proceed. Go over the procedures outlined below to ensure that there is a consensus on the methodology.

6. Clearly identify responsibilities of each team member and division of tasks.

**Step Three**

7. Identify any mission regulations, rules, orders or instructions that may have been contravened, as well as any applicable laws.

#### **IV. CONFIDENTIALITY**

8. The investigation shall be conducted with the greatest regard to confidentiality. Authorized disclosure, only under certain circumstances, shall be permitted. Unauthorized disclosure constitutes misconduct for which disciplinary measures may be imposed.

9. Provisions of confidentiality shall apply to the following:

- (i) The initial complaint or report (hereinafter complaint);
- (ii) The identity of the person who has made the complaint;
- (iii) The identity of the subject;
- (iv) The identity of witnesses;
- (v) The victim.

10. The investigators shall be responsible for ensuring that the information provided in the complaint, the identity of the complainant and the subject, and witnesses and their statements are not accidentally, negligently or wilfully disclosed. The investigator(s) will be obliged to take all appropriate measures for the protection of this information.

11. Authorization for disclosure will be given by the Head of Mission.

#### **Confidentiality of Complaint**

12. Although the information provided in the complaint should be confidential, it will be used for the conduct of the investigation and for the conduct of administrative, disciplinary or judicial proceedings.

#### **Confidentiality of Complainant/Victim**

13. Circumstances under which authorized disclosure of the identity of the complainant/victim can be made are as follows:

- (i) The complainant/victim has consented to the disclosure;
- (ii) Such disclosure is necessary for administrative, disciplinary and judicial proceedings;
- (iii) Authorized disclosure can also be made when a false complaint or report is made. Making a willfully false allegation constitutes misconduct and, therefore, disciplinary measures may be imposed against the complainant. Consequently, for the subsequent administrative and disciplinary proceedings the identity of the person who has, with bad intent, made a false complaint may be disclosed.

#### **Confidentiality of Subject**

14. Identity of the subject may be disclosed for the purposes of furthering the investigation and for the imposition of administrative, disciplinary or judicial proceedings.

#### **Confidentiality of Witnesses**

15. Witnesses shall be provided confidentiality, if they request, to the extent possible.

## **V. INTERVIEWING COMPLAINANTS, SUBJECT(S) AND WITNESSES**

### **Sequence of Interviews**

16. The sequence of interviews should be at the discretion of the investigator(s). Normally, the sequence is as follows:

- (i) Complainant(s) and/or victim(s);
- (ii) Subject (the person in question);
- (iii) Witnesses;
- (iv) Follow-up interviews with complainant/victim and the subject, if necessary.

17. Sometimes it may be appropriate to interview some or all of the witnesses before interviewing the subject (and reviewing other evidence, such as documentary or physical evidence) in order to give him/her an effective opportunity to respond to all the allegations.

18. The investigator(s) shall conduct as many interviews or make as many contacts with witnesses and/or subject(s) in order to support a rational finding of facts.

### **Interview Site**

19. It is preferable to conduct interviews in a place where other employees will not be able to see who is being interviewed and how long the interview takes.

20. This may require that the interview be conducted away from the job site, such as at a hotel conference room, or perhaps at the home of the interviewee.

21. In-person interviews are preferable to telephone interviews, which are not optimal because investigators need to be able to see the person to make an assessment of credibility. Telephone interviews may be appropriate for non-crucial witnesses, when an in-person interview would be too difficult or expensive.

### **Language of Interview**

22. All interviews shall be in the preferred language of the interviewee. If an interpreter is necessary, one shall be provided. The interpreter shall remain impartial and objective in the conduct of the interview.

### **Interviewing Minors**

23. When a minor is to be interviewed, an appropriate adult must be notified as soon as possible. Minors must be interviewed in the presence of an adult of the minor's choosing.<sup>5</sup>

---

<sup>5</sup> A minor is defined according to the applicable local laws. However, the international legal standard, as defined by Article 1 of the Convention of the Rights of the Child, is that a minor is "a person under 18 years of age".

---

### **Third Parties**

24. A third party whose presence is deemed necessary by the investigator(s) (interpreters, adults accompanying minors, etc.) shall be obliged to maintain full confidentiality, and shall sign a certification to that effect, with respect to the matter discussed and to all the information gathered during the interview. The role of a third party in an interview is solely to facilitate the interview.

### **Interviewing Victims**

25. Interviewing a victim of an act of serious misconduct shall be done with sensitivity and understanding.

### **Interviewing Subjects**

26. The subject of an investigation should be advised about the matter under investigation and any specific allegation made against him/her.

27. The subject has an obligation to cooperate with the investigation and to answer questions truthfully and honestly. The subject should be given the opportunity to speak and to provide information in his/her own words without unnecessary interruptions by the investigator(s). The subject may offer such information, documents or other materials as (s)he wishes to assist in the inquiry. The subject may name witnesses on his/her behalf and in favour of his/her contentions.

28. The interviewing investigator(s) can question the subject on all the aspects deemed relevant for the conduct of the investigation, in any rhetorical manner, in a free conversation or in a strict question-and-answer format.

### **Interviewing Witnesses**

29. Witnesses who are members of the field mission are obliged to cooperate with the investigation and must reply honestly and truthfully to questions. A witness acknowledgement form shall be completed and signed. Witness acknowledgement forms should be made available in local languages when dealing with local witnesses.

### **How to Interview**

30. Prepare an outline of topics to be covered during the interview, e.g. What is the complaint? What is in dispute? What relevant information does the interviewee possess? As a general rule, investigators should address non-threatening topics first and hard topics last.

### **Structure of the Interview**

#### **Introductory questions**

31. These are examples of introductory questions:

- The investigators should introduce themselves;
- Inform interviewees of the purpose of the interview;
- Stress that no conclusions have been reached (the goal is to hear all sides of the story);

- 
- Put the interviewee at ease by first establishing a rapport with him/her by asking general questions on non-threatening topics, such as general background, age, employment history, address, etc.

#### **Questions about the matter under investigation**

32. Investigators should not be afraid to ask the tough questions. If the interviewee is not cooperating fully, investigators should politely but persistently seek an answer to their questions.

33. It is important to ask the interviewee if they know of any documents related to the matter. The investigators should always define what they mean by "documents", which could include memos, letters, notes, calendars, e-mails, computer files, voice mails, tape recordings, diary notes, etc.

- Use the "Funnel Method" for questioning:
  - Open-ended questions
    - Who? What? Where? When? Why? How? Describe. Explain. Tell me.
    - First ask broad, open-ended questions designed to elicit an expansive, narrative response.
    - Seldom interrupt a witness. As they talk, investigator(s) should take notes on areas that they may want to explore in further detail later. If they learn of a new topic, they should make a note of it and come back to it later.
  - Follow-up
    - Once the interviewee has answered the open-ended question, follow-up by asking about each incident/conversation/issue separately. Ask for details.
  - Follow-up on non-responsive answers

#### **Closing questions**

34. These are examples of closing questions:

- Is there anything else that we have not discussed that you think is relevant to this matter? (Interviewee should be able to contact the investigators later if they think of or have additional information or documents related to the matter.)
- Who else should we interview?
- Are there any documents relating to this issue? (Documents may include e-mails, personal letters, faxes, medical records, etc.)
- Remind subjects and witnesses that retaliation against victims and complainants constitutes serious misconduct.
- Request that the interviewee keep the matter confidential in order to protect the integrity of the investigation.
- Thank the person for his/her cooperation.

---

**What not to ask**

35. Investigators should avoid aggressive, leading questions especially at the beginning of the interview. For example, a friendly, conversational approach works better than an aggressive, cross-examination. The aim is to get the interviewee to talk as much as possible in order to obtain as much information as possible, look for inconsistencies in the interviewees' stories and make credibility determinations.

36. Avoid leading or close-ended questions (especially at the beginning of an interview and at the beginning of a category of questions). For example, "Did you see John drinking at the Post Office?"

37. Avoid compound questions that would allow the interviewee to truthfully answer only part of the question. For example, "Was he drunk when you saw him at the Post Office?" Answer: "I did not see him at the Post Office."

38. Avoid legalese; use simple language.

39. Avoid questions that allow the interviewee to define a term in his or her own way, e.g. "Was he just having a good time?"

**Taping of Interviews**

40. Normally, it is not obligatory to conduct tape recordings of interviews. However, interviews could be taped by investigator(s) for their own convenience. It allows the investigator(s) to focus more on listening to the interviewees' answers, rather than taking copious notes. All tape recordings must be transcribed and summarized into a formal record of the interview, which will require a signature by the interviewee attesting to its accuracy, as mentioned in paragraph 39 below.

41. However, transcribing the tapes of interviews could be time-consuming. Quality of the tape could be poor, which could be a critical problem if the investigators are relying on the tape and have not taken notes. Also, taping of an interview could potentially inhibit the interviewee and have a "chilling effect". The investigators should make every effort to put the interviewee at ease so that they feel at ease to speak candidly.

**Written Statements**

42. The investigator may request an interviewee to furnish a written statement, or an interviewee may choose to make a written statement. The interviewee may provide this written statement in addition to an interview.

43. The statement shall be written in simple and plain language. The statement should be written in the first person (singular or plural, depending on how many persons are involved).

44. The language of the written statement shall be determined according to its likely use. For administrative action or disciplinary measures to be taken by the United Nations, the language of the statement shall be the working language of the mission. If a criminal prosecution seems probable, it may be considered to translate the statement into the working language of the court that will be in charge of conducting the trial. If possible, the language of the statement should be in the interviewee's preferred language.

45. The interviewee shall acknowledge the accuracy of the written statement by initialling it at the bottom of every page and signing at the end of the statement. If the interviewee decides to amend any part of the statement, (s)he shall initial the amendment as well.

46. The person shall sign and date the statement in the investigator's presence.

47. No threats or coercion of any kind may be used to obtain a written statement.

## **VI. COLLECTION OF EVIDENCE**

### **Forms of Evidence**

48. Forms of evidence include but are not limited to:

- Documentary evidence
- Demonstrative/physical evidence
- Statements by complainants, subjects and witnesses
- Experts' opinion

### **Means of Obtaining Evidence**

49. Means of obtaining evidence include but are not limited to:

- Observation
- Forensic research and analysis
- Interviews

50. When attending the scene/location of an incident, the investigator shall document what he/she sees, not what he/she thinks and take all necessary steps to protect the scene. The notes and reports shall be done in a chronological order and shall include no opinions, no analysis, or no conclusions; just the facts.

51. The evidence observed, its location, condition, or anything remarkable about the evidence shall be included in the investigation report. If necessary, photographs shall be taken or a sketch/diagram made.

### **Safeguarding Evidence**

52. Evidence should be duly logged and secured. The log should indicate where and how each piece of evidence was obtained.



53. When an act of serious misconduct that may amount to a criminal offence has occurred, investigator(s) should pay particular attention to the collection and safeguarding of evidence, as it may serve as a basis for a subsequent judicial process.

#### **Validating Information**

54. The goal of the preliminary investigation is to find one or more facts to establish the existence or non-existence of a key element of proof of the allegation. Furthermore, a determination needs to be made if any relevant rules, directives or standard administrative or operating procedures were contravened.

55. Once the initial fact-finding has been conducted, there is a need to establish the accuracy and authenticity of the evidence such as testimony, observations, records, and other documentary and physical evidence. Throughout the investigation, evidence obtained shall be checked against the investigative plan by verifying its accuracy. Initial evidence shall be checked against new evidence obtained. Conflicting testimony, information or material matters will be resolved by collecting additional evidence from other competent witnesses and sources.

56. In determining credibility of witnesses, account shall be taken of their interest, bias, integrity, reputation, the manner in which they gained their information, and any possible motive. The demeanour of the witness/subject being interviewed should also be taken into account when determining credibility.

57. Through this continuous process of the validation of evidence obtained, the investigator(s) shall ensure that the findings and conclusions of the investigation are fully supported by evidence. If any piece of evidence is ambiguous, it needs to be weighed. This means that the investigator(s) needs to reflect on the evidence with regard to the following factors: credibility; logic; plausibility; completeness; and persuasiveness. The standard of proof used by the investigator(s) is the preponderance of the evidence (50 plus 1).

58. Acting neutral and impartial in the process of weighing the evidence is crucial for the persuasiveness of the investigation's findings.

#### **VII. REPORT OF PRELIMINARY INVESTIGATION**

59. The Investigation Report is the summary of the work that has preceded it and its findings and conclusions are based on the evidence obtained. Each fact expressed in the Investigation Report will be fully and substantially supported by evidence. No evidence shall be included in the report that has not undergone extensive review and testing.

The investigator(s) shall ensure that facts are backed by evidence and supporting rationale.

---

**Format and Content of Preliminary Investigation Reports**

60. The report of the preliminary investigation generally shall contain the following major sections:

- (a) Title Page
- (b) Executive Summary
- (c) Methodology
- (d) Background Information
- (e) Investigative Details
- (f) Issues
- (g) Finding of Facts
- (h) Annexes

**(a) Title Page**

61. The title page contains the official title of the case. It shall contain a warning that the report is the property of the United Nations field mission and is not to be reproduced or disclosed to unauthorized persons. The details of the reporting investigator(s) (name, rank and title), the date and the distribution shall be shown on the title page.

**(b) Executive Summary**

62. The Executive Summary shall specify the nature of the allegation(s); the methodology used for the investigation; the violation (if any) of mission regulations, rules, orders or instructions, as well as any applicable laws; and the results of the fact-finding.

63. The Executive Summary should also include the date, time, place and other specifics of the incident, including who committed what, when and where. The Executive Summary is intended to give the reader a quick overview of the case from its inception to the writing of the report. Every statement in the summary must be fully substantiated in the body of the report. It must not include any opinions or conclusions of the investigator(s); only facts or statements substantiated in the body of the report will be presented in the Executive Summary.

**(c) Methodology**

64. This section shall contain a brief description of the methodology used to conduct the investigation, including locations that were investigated; witnesses interviewed; local authorities that were consulted; technical expertise/opinion sought; documents analysed; etc.

**(d) Background Information**

65. This shall provide details of the allegation(s) and who made them; a narrative of the context in which the incident occurred, without mentioning evidence at this stage; and any other necessary background information.

**(e) Investigative Details**

---

66. This section shall provide a detailed account of the conduct of the investigation and the evidence collected. This should be presented in a logical form, with supporting information provided in annexes to the report. A chronology of the investigation should be part of this section.

**(f) Issues**

67. A discussion of any issues that may have come up during the investigation.

**(g) Findings of Fact**

68. This section shall provide an analysis of the facts as established by the corroborating evidence obtained in the course of the investigation. This section must contain the supporting rationale for the findings of the investigators. If the evidence is ambiguous, the investigator(s) should explain what criteria were used to weigh the evidence and why a specific conclusion was drawn.

**(g) Annexes**

69. The report can contain as many annexes as necessary. Normally these would contain interview lists; statements of the subject and the witnesses; list of evidence; etc.


**VIII. SUBMISSION OF REPORT**

70. The report of the preliminary investigation shall be submitted to the Head of Mission as soon as it has been completed. The distribution of the report, as indicated on the Title Page, will also be done concurrently. Normally, the report will be submitted only to the Head of Mission or his/her designee.

71. On the basis of the findings of the preliminary investigation, the Head of Mission may either convene a mission headquarters Board of Inquiry, or (s)he may conclude that no act of serious misconduct occurred.

## **ANNEX 13**

### **Blank Personal History Form**

<b>INSTRUCTIONS</b>  Please answer each question clearly and completely. Type or print in ink. Read carefully and follow all directions.	 <b>UNITED NATIONS</b>  <b>PERSONAL HISTORY</b>	<i>Do not Write in this Space</i>
--	---	-----------------------------------

1. Family name	First name	Middle name	Maiden name
----------------	------------	-------------	-------------

2. Date of birth	Day	Mo.	Yr.	3. Place of birth	4. Nationality(ies) at birth	5. Present nationality(ies)	6. Sex
------------------	-----	-----	-----	-------------------	------------------------------	-----------------------------	--------

7. Height	8. Weight	9. Marital status:					
		Single <input type="checkbox"/>	Married <input type="checkbox"/>	Separated <input type="checkbox"/>	Widow(er) <input type="checkbox"/>	Divorced <input type="checkbox"/>	

10. Entry into United Nations service might entail assignment and travel to any area of the world in which the United Nations might have responsibilities.

(a) Are there any limitations on your ability to perform in your prospective field of work? YES  NO

(b) Are there any limitations on your ability to engage in all travel? YES  NO  If "yes", please describe.

11. Permanent address	12. Present address	13. Office telephone no. ( )
Telephone No. ( )	Telephone No. ( )	14. Fax No. if available

15. Have you any dependants? YES  NO  If answer is "yes", give the following information:

NAME	Date of Birth	Relationship	NAME	Date of Birth	Relationship

16. Have you taken up legal permanent residence status in any country other than that of your nationality? YES  NO  If answer is "yes", which country?

17. Have you taken any steps towards changing your present nationality? YES  NO  If answer is "yes", explain fully:

18. Are any of your relatives employed by a public international organization? YES  NO  If answer is "yes", give the following information:

NAME	Relationship	Name of international organization

19. What is your preferred field of work?

20. Would you accept employment for less than six months? YES <input type="checkbox"/> NO <input type="checkbox"/>	21. Have you previously submitted an application for employment with U.N.? If so, when?
--	---

22. KNOWLEDGE OF LANGUAGES. What is your mother tongue?

OTHER LANGUAGES	READ		WRITE		SPEAK		UNDERSTAND	
	Easily	Not easily	Easily	Not easily	Fluently	Not Fluently	Easily	Not easily

23. For clerical grades only  
Indicate speed in words per minute

*List any office machines, equipment or software you can use*

Typing Shorthand	English	French	Other languages		





28. Have you any objections to our making inquiries of your present employer ?      YES  NO

29. Are you now, or have you ever been, a permanent civil servant in your government's employ ?      YES  NO   
 If answer is "yes", when ?

30. REFERENCES: List three persons, not related to you, who are familiar with your character and qualifications.  
*Do not repeat names of supervisors listed under item 27*

FULL NAME	FULL ADDRESS	BUSINESS OR OCCUPATION
1.		
2.		
3.		

31. State any other relevant facts. Include information regarding any residence outside the country of your nationality.

32. Have you ever been arrested, indicted, or summoned into court as a defendant in a criminal proceeding, or convicted, fined or imprisoned for the violation of any law (excluding minor traffic violations)?  
 YES  NO   
 If "yes", give full particulars of each case in an attached statement.

33. OTHER AGENCIES OF THE UNITED NATIONS SYSTEM MAY BE INTERESTED IN OUR APPLICANTS. DO YOU HAVE ANY OBJECTION TO YOUR PERSONAL HISTORY FORM BEING MADE AVAILABLE FOR TO THEM?      YES  NO

34. I certify that the statements made by me in answer to the foregoing questions are true, complete and correct to the best of my knowledge and belief. I understand that any misrepresentation or material omission made on a Personal History form or other document requested by the United Nations renders a staff member of the United Nations liable to termination or dismissal.

DATE: \_\_\_\_\_ SIGNATURE: \_\_\_\_\_

N.B. You will be requested to supply documentary evidence which supports the statements you have made above. Do not, however, send any documentary evidence until you have been asked to do so by the Organization and, in any event, do not submit the original texts of references or testimonials unless they have been obtained for the sole use of the Organization.