

**United Nations**  
**Department of Peacekeeping Operations**

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# **DPKO STANDARD OPERATING PROCEDURES**

**19 December 2006**

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## **Performance Appraisals of United Nations Police Officers**

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## STANDARD OPERATING PROCEDURES ON PERFORMANCE APPRAISAL OF UNITED NATIONS POLICE OFFICERS

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### 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.

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### 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.

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### 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.

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### 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.

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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.

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## **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 use 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).

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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.

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**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.

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**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**

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Mark Crocker  
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**

**UNITED NATIONS**  
(Full name of Mission in English)



(Acronym of  
mission)

**NATIONS UNIES**  
(Full name of mission in French)

**PERFORMANCE APPRAISAL FORM FOR UNITED NATIONS POLICE  
OFFICERS ASSIGNED AS EXPERTS ON MISSION**

**UNITED NATIONS OFFICER INFORMATION**

**Last Name:**

**First Name:**

**Middle Name:**

**Nationality:**

**ID Card No:**

**APPRAISAL PERIOD**

**FROM:**

**TO:**

**APPOINTMENTS HELD AND DUTIES PERFORMED DURING THE PERIOD (with dates)**

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**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>
<b>Integrity</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Professionalism</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Respect for Diversity/Gender</b>	<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>
<b>Communication</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Teamwork</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Planning and Organizing</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Accountability</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Creativity</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Client Orientation</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Technological Awareness</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Commitment to Continuous Learning</b>	<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>
<b>Managing Performance</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Vision</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Leadership</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Building Trust</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Judgment/Decision-making</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Empowering Others</b>	<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>				
<b>1.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>2.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>3.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>4.</b>	<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:

