

SUMMARY OF INITIATIVES UNDERTAKEN BY THE SECRETARIAT TO STRENGTHEN UNITED NATIONS PEACEKEEPING

28 March 2019

Recognizing the increasing challenges faced by peacekeepers, particularly in environments in which they face significant and growing threats, the Secretariat has launched or deepened several workstreams to take forward peacekeeping reform.

I have submitted my proposals for the reform of the Secretariat's peace and security architecture and for management reform. If approved, they will: (i) provide the basis for more effective work across the continuum of peace from conflict prevention and conflict resolution to peacebuilding; (ii) ensure that our analysis is more comprehensive, and our country and regional strategies more accurately calibrated to the needs on the ground, and (iii) improve this Headquarters' engagement with our field missions by moving decision-making closer to the point of delivery and aligning responsibility with authority through simplification, decentralization and delegation of authority.

As the Member States consider these proposals, I want to provide in this document a non-exhaustive overview of the progress we have made thus far in our effort to strengthen peacekeeping. The following areas of action are drawn from several assessments and reports conducted or published in recent years, including the HIPPO, the "*Report on Enhancing the Safety and Security of Peacekeepers*" (Dos Santos Cruz report). They are aligned with the guidance of bodies competent to monitor peacekeeping, notably the reports of the Special Committee on Peacekeeping Operations (C-34), Security Council resolutions and presidential statements.

Section 1 of the document outlines our efforts to enhance operational safety, security, performance and leadership across missions; Section 2 articulates our most recent efforts to address conduct, discipline and compliance with our Human Rights obligations to ensure that all personnel serving with the UN meet the highest standards of efficiency, competence and integrity; and Section 3 provides an overview of my decision to conduct independent reviews of peacekeeping missions. The reviews will facilitate a frank dialogue with Member States on operations, the challenges they face and their future.

For the implementation of the action plan derived from the "*Report on Enhancing the Safety and Security of Peacekeepers*" (the Dos Santos Cruz report) specifically, we have put in place a Headquarters Implementation Support Team to steer our collective efforts. The five highest-risk missions (MINUSCA, MINUSMA, MONUSCO, UNAMID and UNMISS) have also appointed implementation teams to drive concrete changes in the field. The Headquarters team and mission teams are working closely, including through monthly teleconferences, to take forward the implementation of the action plan. We have also aligned this action plan with the implementation of recommendations of the investigations of Protection of Civilians incidents in the Central African Republic and the fatal attacks at Semuliki and Manundioma in the Democratic Republic of Congo.

From 9 to 11 March 2018, the Headquarters Implementation Support Team and implementation teams from the five highest-risk missions held a workshop in Entebbe, Uganda. It took stock of

efforts made so far and reaffirmed that the joint approach and development of a broad spectrum of actions both at Headquarters and the field should continue. Participants decided to develop additional concrete proposals to change mindset, increase capacity, adjust footprint and enhance accountability.

I. ENHANCING SAFETY, SECURITY, PERFORMANCE AND LEADERSHIP

We are taking concrete actions to step up our ability to deliver on mandates in the field.

A. Changing Mindsets

1. ***Projecting a proactive, robust posture:*** Our missions are undertaking multiple operations to deter attacks and control areas where civilians and peacekeepers face an elevated level of risk. For example, in the last year, through the use of its urgent temporary measures, MINUSCA has supported the Central African authorities in arresting and extraditing several individuals suspected of fatal attacks against peacekeepers and other atrocities against civilians.
2. ***Enhancing command and control at all levels:*** We will complete a review of our Policy on Authority, Command and Control by the end of this year.
3. ***Boosting leadership in field missions:*** SRSGs, DSRSGs, Force Commanders and Police Commissioners in all missions are undertaking more field visits, particularly to high-risk, remote sites, to personally promote a common understanding of mandates and to instruct and motivate sector commanders and through them all uniformed personnel in the fields of safety, security and performance.

B. Strengthening performance, stepping-up compliance and enhancing accountability

1. ***Ensuring that units pledged for future deployments meet our standards for training, conduct, and operational readiness:*** Since May 2016, we have conducted 100 Assessment and Advisory Visits (AAVs) to assess 100 units pledged to the Peacekeeping Capability Readiness System (PCRS). We will conduct 25 more AAVs in 2018 for units newly registered in the PCRS. We have also conducted 112 operational readiness assessments for formed police units as well as tested the capabilities and skill sets of 12,022 individual police officers.
2. ***Strengthening verification of units' readiness before deployment (pre-deployment certification):*** Pre-deployment visits (PDVs) have largely focused on equipment. We are strengthening the methods for pre-deployment verification and certification to increase the focus on operational matters. A new method of PDV will be piloted during a test pre-deployment visit in the coming weeks. We previously only conducted PDVs prior to the initial deployment of a unit, but in the near future, if required, we will also carry out PDVs to select TCCs to verify the operational readiness of the second or third unit to be deployed.
3. ***Evaluating performance and enhancing accountability and compliance:*** We have created a standardized performance evaluation and reporting system for all military units across all

missions. Thus far, we have assessed 68 military contingents using this new system. We have collated the data from these evaluations with other key performance indicators and will use it to inform decisions on remediation actions for underperforming T/PCCs. We are developing a framework that will track whole-of-mission performance against clear indicators. It will incorporate and unify relevant policy and measurement tools into one system, including the newly created standardized performance evaluation and reporting system for all military units across all missions. We have also developed a framework to enhance accountability and reinforce senior leadership responsibility for the implementation of Protection of Civilian mandates.

4. ***Addressing contingent-owned equipment shortfalls:*** We have established a working group to strengthen the mechanism to rectify shortfalls in contingent-owned equipment (COE), and we have proposed new reimbursement approaches to reduce gaps and to improve readiness, several of which have been endorsed by the General Assembly:
 - We have developed a new modality to reimburse Equipment Contributing Countries for helping to fill COE gaps of other TCCs;
 - We are making older-yet-serviceable equipment eligible for reimbursement in case of rotation or loss or damage in hostile action;
 - We are making deductions for missing or non-functional equipment to contingents' personnel reimbursements by up to 35%. An average of 164 units from 50 P/TCCs were subject to deductions from 1 January to 30 September 2017. These were out of an average of 272 units from 79 countries deployed with signed MoUs;
 - We have provided one personnel premium to a T/PCCs providing capacities in short supply, but in high demand (GA 67/261). ;
 - We are currently engaging with twenty contributing countries with serious equipment shortfalls to request that the shortfall be addressed.
5. ***Investigating incidents:*** When incidents that indicate serious shortfalls in mandate implementation by the mission occur, we will commission independent, ad-hoc investigations to clarify the causes and circumstances around these shortfalls and to advise on how we can constructively address performance with T/PCCs. We have completed three such investigations since 2017.

C. Adapting to the new threat environment, increasing situational awareness and advancing new technology

1. ***Bringing deployments in line with threat assessments and operational requirements:*** Our missions are re-examining their deployment footprint, taking into account priority locations, threat assessments, mission support and medical considerations, as well as operational capacities, and, where appropriate, are closing or consolidating bases. In MONUSCO, we finalized a threat assessment in February to inform the civilian, police and military footprint for the 2018-2019 period. Significant steps have been taken by the Force and Mission Support to reinforce the six highest-risk bases, and dedicate additional field defence stores to priority locations. This entails the completion of major improvement works at Kamango base (North Kivu), upgrading of communications at Semuliki and Kamango bases, and major progress on the road upgrading between Semuliki and Kamango, which will facilitate access

between the two bases and improve security. While the roadworks were only 6% complete at the end of January, as of the end of February the road was 79% complete (14.3 km complete out of 18 km). High-risk missions are also re-examining and updating their Protection of Civilians strategies in order to address new realities on the ground. For example, revised and strengthened Protection of Civilians strategies for MINUSCA and MONUSCO will be finalized in the coming months.

2. ***Improving situational awareness, interacting better with local populations and addressing protection of civilian threats:*** Community Liaison Assistants (CLAs), national staff alongside uniformed components who support community engagement and situational awareness, are currently deployed to MONUSCO, MINUSCA and MINUSMA. We are encouraging missions to build on this good practice and deploy CLAs in other mission areas. A new Protection of Civilians handbook, which will provide practical guidance on forecasting threats to civilians, will be finalized by this summer.
3. ***Rolling out the peacekeeping intelligence policy adopted in May 2017:*** We have developed a clear methodology and legal framework to enable missions and relevant personnel to make the best use of available information, within the framework agreed by Member States. A first UN Peacekeeping Military Intelligence Training Course will be conducted in July 2018. We will continue providing regular briefings to member states on the roll out of the policy.
4. ***Strengthening IED threat mitigation:*** In MINUSMA, the peacekeeping mission most exposed to asymmetrical threats, the UN Mine Action Service (UNMAS) has extended technical training for contingents and rolled out a course for Convoy Commanders to ensure the appropriate application of techniques at all levels of chain of command.
5. ***Deploying technology to strengthen force protection, command and control, and situational awareness:*** We have deployed camp protection technology known as sense and warn systems to camps in MINUSMA (Kidal, Gao, Timbuktu) and will deploy these systems to four additional camps by the end of the year. To strengthen our ability to conduct surveillance we have deployed electric long endurance unmanned aerial system (UAS), which provide tactical information support, to Central African Republic. We will establish a Rapid Deployment Mobile Command Centre in MONUSCO within the next 60 days.

D. Training

1. ***Strengthening peacekeeping engineering, signals and medical capabilities:*** To date, we have trained almost 200 peacekeepers from African TCCs on heavy engineering equipment operation and 2,000 UN personnel on command and control communications. From 2018 onwards, we will expand the project to include training in medical skills for peacekeepers in East Africa and an engineering training programme in Asia and the surrounding region.
2. ***Training action plan:*** We have developed an ambitious training action plan to address operational training needs for both uniformed and civilian personnel. This work focuses on supporting Member State-led pre-deployment training by building Member State capacity to

deliver training to personnel to be deployed and building in-mission capacity to provide training for deployed personnel through “training of trainers”. We will share this action plan with Member States by the end of April 2018, and look forward to cooperating with Member States in its implementation.

3. ***Operating the Entebbe training center:*** We opened the Entebbe training center in late 2016 and conducted 11 “training of trainers” courses in 2017. We are planning or already undertaking 11 courses for the first six months of 2018 – these include the military Sector Commanders’ course, a military gender advisers’ course, a “buddy first aid” course, a military sector commanders’ course and a comprehensive protection of civilians course for battalion level personnel.
4. ***Enhancing pre-deployment training:*** We briefed Member States on 2 March to outline specific training requirements for the five highest-risk missions and we are updating the professional and UN-specific operational preparation guidance provided to T/PCCs. We plan to complete this work by 30 April 2018. We have also held focused bilateral meetings to determine how we can deepen or initiate capacity building training for T/PCCs.

E. Following up on incidents

1. ***Improving life-saving medical response:*** We are implementing a recently approved Casualty Evacuation Policy. Our goal is to provide advanced life support to personnel in the field within one hour of injury and life-saving surgical care within two hours in line with the endorsed 10-1-2 framework. Our missions are currently completing a review of medical support arrangements against this framework. The support of Member States in terms of doctrine, infrastructure and equipment will be critical to meet these objectives.
2. ***Responding to peacekeepers casualties:***, we are endeavoring to settle death and disability compensation claims as expeditiously as possible and within 90 days of receipt of the claims with all necessary documentation.

II. CONDUCT, DISCIPLINE AND HUMAN RIGHTS

A. Sexual exploitation and abuse (SEA)

1. ***Promoting collective commitment to prevent SEA:*** I continue to encourage Member States to sign up to a Voluntary Compact between the Secretariat and Member States. To date, 90 Member States representing 67 percent of the uniformed personnel to our missions have joined the Compact.
2. ***Raising awareness on SEA:*** We have made an e-learning programme on prevention of sexual exploitation and abuse mandatory for all Secretariat personnel, including in field missions. To date, over 14,000 personnel have completed the programme.
3. ***Placing the victims at the forefront of our effort:*** I have appointed the first Victims’ Rights Advocate for the United Nations, Ms. Jane Connors, to put the rights and dignity of victims at

the forefront of our efforts to prevent and respond to sexual exploitation and abuse. I have engaged Member States and encouraged them to make contributions to the Trust Fund in Support of Victims of Sexual Exploitation and Abuse. The current Trust Fund portfolio comprises voluntary contributions from 19 Member States totaling US\$ 2.1 million. This is inclusive of the US\$ 317,000 of payments withheld for substantiated allegations of SEA by civilian, military and police personnel. Projects funded from the Trust Fund aim to provide victims with specialized services and support. We are also funding initiatives to strengthen community-based complaint reception networks.

4. ***Reviewing the deployment of contingents and personnel against UN standards of conduct and discipline:*** We have and remain willing to repatriate personnel and units from missions on the basis of non-compliance with preventing and combatting sexual exploitation and abuse requirements.

B. Human rights screening and vetting

1. ***Ensuring compliance with human rights norms and standards:*** All personnel serving with the UN should meet the highest standards of efficiency, competence and integrity, including respect for and commitment to Human Rights. In accordance with UN policy, the UN should neither select nor deploy for service any individual who has been involved in violations of international human rights or humanitarian law. Member States that provide UN personnel to peacekeeping operations have the responsibility to certify that the personnel they nominate have not been involved, by act or omission, in violations of international humanitarian law or human rights law, or have been repatriated on disciplinary grounds from a UN operation. In cases where we have concerns regarding the human rights record of specific troop contributing countries, we have put in place additional enhanced measures to ensure that the personnel are deployed in line with the UN human rights screening policy.

III. REVIEWING THE STATE OF OUR MISSIONS

A. Implementing a new peacekeeping mission review methodology

Reviews of peacekeeping missions are conducted on the basis of methodological improvements designed to strengthen and sharpen their analytical scope. These reviews are:

1. ***Led by external high-level experts*** with knowledge and experience of UN peacekeeping, but not currently employed by the Organization, to encourage independence of the assessment;
2. ***Supported by a review secretariat*** which provides consistency of all reviews in line with the improved methodology and a ***quantitative analytics team*** that collects and consolidates data across a range of relevant areas ranging from the political context to the operational capacity of each mission; Each review process also includes engagement with external experts and academics, as well as the support of in-house advisory teams providing specialised analysis on issues such as transition strategies, protection or community engagement;
3. ***Include a red-teaming process***, whereby recommendations are stress tested by a group of

internal and external country and thematic experts who have not been involved in the conduct of the review.

C. Calendar

The timing of the reviews is set so that reviews are completed, to the extent possible, ahead of mandate renewals, to enable me to convey recommendations to the Security Council in a timely manner. A number of reviews have been completed or are currently underway:

1. The review of the *United Nations Peacekeeping Force in Cyprus (UNFICYP)* was led by Mr. Wolfgang Weisbrod-Weber (Germany). It was conducted in accordance with resolution 2369 (2017) and completed in November 2017.
2. The review of the *United Nations Mission in South Sudan (UNMISS)* was led by the former Deputy Special Representative in Haiti, Mr. Kevin M. Kennedy (USA), and was completed on 18 January 2018. Relevant recommendations were shared with the Security Council in my most recent report to the Security Council.
3. We are currently conducting the *United Nations Interim Security Force for Abyei (UNISFA) review*. It is led by the former UNAMID Force Commander, General Martin Luther Agwai (rtd, Nigeria), and is expected to be completed by mid-April 2018 in view of the mandate renewal deadline of 15 May 2018.
4. The review of the *United Nations Integrated Mission in Mali (MINUSMA)* is underway. It is being led by the former Special Representative to South Sudan, Ms. Ellen Løj (Denmark), and is expected to be completed at the end of April 2018 in view of the mandate renewal deadline of 30 June 2018.
5. The following Missions will be reviewed according to the following tentative calendar:
 - UNSOS: May/June 2018 following joint AU-UN review of AMISOM;
 - UNDOF: May/June 2018 (UNSC mandate renewal every 6 months in June and December)
 - MINURSO: June/July 2018 (UNSC mandate renewal 30 April 2018);
 - MINUSCA: July/August 2018 (UNSC mandate renewal 15 November 2017).

D. Following up and sharing conclusions

1. **Sharing conclusions:** The review reports are internal Secretariat documents, provided to me by the external Review leader. Following a discussion with relevant Under-Secretaries-General at the Executive Committee to assess the political, financial and practical feasibility of the Review recommendations, I will provide to the Security Council those recommendations contained in the reviews that are relevant to the Security Council in its consideration of the mandate renewal for each mission.
2. **Continuous learning:** Each review concludes with a thorough lessons learned analysis to inform future reviews and identify trends from the entire series of reviews.

These efforts are taking place under the framework of a new initiative to support and strengthen peacekeeping that I have entitled “**Action for Peacekeeping**” – A4P – which was launched during the open debate of the Security Council on 28 March 2018.

While recognizing the value and the many achievements of peacekeeping over the course of 70 years, the Action for Peacekeeping initiative also recognizes the challenges that our missions face and calls for a renewed commitment in support of this great, shared enterprise. I established an inter-Departmental Task Force to spearhead the “A4P” initiative.

Peacekeeping’s chances for success increase dramatically when the UN and its Member States share burdens, risks, and responsibilities. The “A4P” initiative calls on all those who have a stake in peacekeeping -- the UN Secretariat, Security Council, General Assembly, troop and police contributors, host states, financial contributors, and regional organizations -- to acknowledge and fulfil their respective roles. It is structured around four “Ps”: “People, Politics, Partnerships and Performance” that encompass the main workstreams in which the Organization is currently investing its peacekeeping effort.

I call on all peacekeeping partners to join this initiative and come together to reflect on concrete ways to revitalize our sense of shared responsibility for the success of UN peace operations.

28 March 2018.