Lesson at a Glance

Aim
To provide Heads of Police Components (HOPCs) and Senior Police Advisers (SPAs) with the requisite knowledge in regards to: UN strategic planning processes at Headquarters, UN Police involvement in Headquarters-based mission planning processes, and the integrated assessment as an analytical process.

Learning Outcomes
Learners will:

▪ Understand the integrated assessment as UN analytical process at the strategic, programmatic or operational level;

▪ Be aware of the mission planning process following a Security Council resolution and the related planning documents;

▪ Be aware of the three levels of command within a UN peace operation; and

▪ Be aware of mission life cycles.
The Lesson

Starting the Lesson

Introduce the following (using the Introductory Slides):

- Lesson Topic
- Aim
- Learning Outcomes
Planning framework for an integrated UN presence

Slide 3

Key Message: Planning peace operations is a highly complex endeavour, requiring adequate time to ensure a rigorous formulation of options for the Secretary-General to present to the Security Council and a timely response on the ground.

In anticipation of a possible future peace operation, planning is generally led by DPA until otherwise decided, although DPKO – including Police Division – should be closely involved, along with DFS.

References:
UN Policy on Integrated Assessment and Planning, April 2013
DPKO/DFS Policy on Planning and Review of Peacekeeping Operations (Ref. 2016.09), January 2017
Key Message: The decision to **recommend** a strategic assessment may follow:

1. an indication of interest or request from the Security Council, the General Assembly, the potential host government, and/or regional or sub-regional organizations;
2. a deterioration of the situation that may constitute a threat to regional or international peace and security;
3. a likely ceasefire or peace agreement that requires UN involvement; or
4. a change in circumstances that may require a UN peacekeeping response.

The decision to **launch** a strategic assessment can be taken by the Secretary-General, the Executive Committee, or an Integrated Task Force (ITF) at the director level or above.

The Policy Committee has been replace by the Executive Committee as of January 2017.
Strategic Assessments (continued)

Slides 5 & 6

UN Strategic Assessment: Overview of the Assessment Process
**Key message:** Visualization of the strategic assessment aims, commencing with an analysis of the conflict, encompassing the priority objectives for the country, and after a SWOT analysis considering strategic options for the UN system. This includes taking into account the comparative advantages of not only the full UN system but also, for example, regional and/or sub-regional organizations.

**References:**
- UN Policy on Integrated Assessment and Planning, April 2013
- DPKO/DFS Policy on Planning and Review of Peacekeeping Operations (Ref. 2016.09), January 2017
Ask participants about their experiences with strategic assessment missions. Answers will give openings to cover lesson content.

**Strategic Assessments – lessons**

**Slide 7**

**Some Main Lessons of SAs**

- Strong senior **leadership** engagement is required;
- Field engagement is required – don’t hesitate to **establish initial parameters**, but be ready to be challenged;
- **Robust stocktaking** of entire field presence needed;
- Focus the Strategic Assessment on **peace consolidation objectives**;
- Use the SA to agree, for each objective, on the **depth and nature of an integrated approach**;
- An integrated approach can range from **information sharing** to **joint work plans/teams**;
- **Integrated approaches can be at different levels** (policy, programmatic, operational, messaging, etc.);
- Use the SA to strengthen a **common understanding of the situation**;
- Value of **process is** at least equal to that of product (e.g. Syria);
- **Dedicated planning capacity** is crucial;
- Integrated coordination **structures** are a prerequisite (SPG, ITF);

**Key Message:** Given that during the lifespan of a mission, as a member of the UN police leadership, learners should be aware of these points regarding how to interact with strategic assessments that will likely occur at several points during their deployment.
Authority, Command & Control

Slide 8

As per the DPKO-DFS Policy on Authority, Command and Control (Ref. 2008.4), we see the Strategic, Operational, and Tactical levels of Command & Control in peacekeeping.

Strategic (New York)

The Security Council provides the legal authority, high-level strategic direction and political guidance for all UN peacekeeping operations, and it vests the operational authority for directing these operations in the Secretary-General.

The Under Secretary-General for Peacekeeping Operations (USG DPKO) has delegated responsibility from the Secretary-General for the administration of, and provision of executive direction for, all UN peacekeeping operations. The USG DPKO:

- directs and controls UN peacekeeping operations;
- formulates policies & develops operational guidelines based on SCRs;
- prepares SG reports to the Security Council on each peacekeeping operation with appropriate observations and recommendations;
- advises the SG on all matters relating to the planning, establishment and conduct of UN peacekeeping operations;
- acts as a focal point between the Secretariat and Member States seeking information on all matters related to United Nations peacekeeping missions;
• is responsible and accountable to the SG for ensuring that the requirements of the UN security management system are met within DPKO-led field missions.

**Operational (Mission HQ)**

The field-based management of a peacekeeping operation at the Mission Headquarters is considered the operational level. Operational level authority, command and control responsibilities at the Mission Headquarters level are held by:

- Head of Mission (HOM)
- Head of Military Component (HOMC)
- **Head of Police Component (HOPC)**
- Deputy Special Representative(s) of the Secretary-General (DSRSG); and
- Director of Mission Support / Chief of Mission Support (DMS/CMS)

The **Head of Police Component (HOPC)** reports to the Head of Mission, exercises operational control and provides direction to all members of the police component of the mission. This includes all UN Police Officers (including all members of Formed Police Units) and relevant civilian staff serving in the Police Component. The HOPC, in consultation with DPKO, establishes the police chain of command in the mission. The HOPC also establishes appropriate succession arrangements within the police component to ensure effective command and control in his/her absence.

The HOPC maintains a technical reporting and communication link with the DPKO Police Adviser at UNHQ. This does not circumvent or substitute the command chain between the USG DPKO and the HOM, nor should it interfere with decisions taken by the HOM.

**Tactical Level**

The management of police operations below the level of MHQ as well as the supervision of individual personnel is considered to be at the tactical level and is exercised at various levels by subordinate commanders of the component at levels below the Mission Headquarters.

**Remember**: The HOPC, whether a Police Commissioner or Senior Police Adviser, is responsible for the implementation of police-related tasks of a mission mandate.
Ask participants if they are aware of how the decision to deploy a peace operation comes about, and what the three phases of HQ mission planning process are. Answers will give openings to cover lesson content.

**Mission Planning Process**

**Slide 9**

**Police Planning Manual: Mission Planning Process**

The three phases of the HQ mission planning process:

**Preparations**
- Characterized by the collection of strategic information and an analysis and determination of the UN’s strategic role in the conflict situation

**Planning**
- Drills deeper into the analysis and planning of the core responses, require capabilities, drafting of initial actions and reporting the same for the Security Council (who then decide if, and what type, of mission will be authorized).
Decision & Implementation

- This phase commences when the Security Council authorizes the issuance of a resolution. Following on the SCR, the Mission formally begins deployment with a start-up team.

Key Documents

Slide 10

- **Mission Concept** - statement of intent and strategy on how a field mission plans to implement its Security Council mandate, taking into account the mission's role within the broader UN system and international context. It is a tool for senior mission management to present its vision for mandate delivery, set priorities in order of importance and sequence, and direct mission components to align and synchronize their activities, as well as inform resource allocation. As such, the Mission Concept informs component level-planning and serves as a management tool.

- **Police Concept of Operations (CONOPS)** - translates the political intent of the mandate into specific strategies and operational directives. The UN police CONOPS reflects the Police Adviser's strategic intent, and establishes the broad
approach, roles and responsibilities, processes and identification of resource requirements from which to formulate the police component’s work, operational, programmatic and projects, and resourcing plans; directives, SOPs and other guidelines in order to implement the mandated policing and other law enforcement tasks of the police component. The initial CONOPS is developed by the Secretariat, while later reviews of the CONOPS will be undertaken jointly by DPKO/PD and the Mission following a substantive change in the mandate, change in circumstances, mission reconfiguration, etc.

- **Directives on use of force (DUF)** – provides the authority (if any) for any detention, searches and use of force by either members of formed police units (FPUs) and/or individual police officers (IPOs) on assignment with the specified mission while carrying out their mandated tasks. The DUF sets out the principles, parameters, and conditions under which detention, searches, and use of force may be used. Implementation of the DUF is a command responsibility.

- On the basis of a concept of operations, it is good practice for the police, justice, corrections, DDR, SSR and mine action components to develop an **annual workplan**. This is a detailed document stating objective(s), expected accomplishments, indicators (in relation to expected accomplishments), outputs, timelines (i.e., the deadline for completion of outputs), and roles and responsibilities. It is used as a monitoring and accountability tool to ensure the effective implementation of the component’s workplan. The workplan is designed as a logical framework (logframe).

- In addition, police, justice, corrections, DDR, SSR and mine action components may also have **multi-year programmes** plans (e.g., a plan for a multi-year joint programme or joint initiative with the national government and another UN entity on justice issues, or a multi-year training programme to support the national police). These feed into the development of the component’s annual workplan. The annual workplan of a UN Field Mission and multi-year programmes are funded through assessed contributions from the peacekeeping budget (the annual budget of the UN Field Mission is called a “Results-based Budget” (RBB)) and also through voluntary contributions (e.g., from bilateral donors).

- **Operational plan (OPlan)**. The component, both at the headquarters level as well as the Unit/ Section level, may also design and implement unilaterally or jointly, plans for operations on (i) specific events (e.g., police operational plan to provide security at a national election), or (2) series of related events (POC Tier 2 (protection plan for IDPs) or contingency plans (e.g. security, relocation and evacuation plan). Once again, and as much as conditions allow, these plans will be developed in coordination with other mission components, and host-state counterparts.

- **UNPOL Standard operating Procedures (SOPs)**: The UN Police component SOP serves as the authoritative document governing administrative and personnel matters for the UN Police component in missions. The UN Police Chief of Staff (COS), in consultation with PD/SPDS at UNHQ, is responsible for preparing the mission-specific SOP, which is largely uniform across missions, except where it reflects a mission’s specific mandate. SPC can support in drafting the SOP with SPDS guidance and on the basis of a Mission’s request. Finally, the SOP is signed into effect by the Police Adviser at UNHQ.
Mission Life Cycle & Coordination between Mission Components

Key message – the UNCT will often be present both before and after the Mission. Continued UN support to the host-State will be undertaken by the UNCT (as well as other multi- and/or bi-laterals), while much will be transitioned to the host-State itself.

In an integrated UN setting, there will be other agencies, funds and programmes that will have their own planning documents.
Key message:

- Over the course of the mission life cycle, various components may have varying levels regarding the primacy of their activities at that stage. For example, the military may have a more prominent role in the immediate stabilization post-conflict, where there may be a more military-type threat. This should alter over time, and the UN police primacy for addressing, for example, situations of public disorder of a non-military nature will lead to UN police primacy.
- Concurrently, the capacity building work of the UN police (along with other components including justice, corrections, human rights, civil affairs...) moves through stabilization and reconstruction towards sustainable peace.
- Increase coordination with partners including the UNCT will become evident, with a final transition at mission drawdown and exit.
Reference Materials

Below are materials which are: a) referenced in this lesson, and b) required reading for instructor preparations:

- UN Policy on Integrated Assessment and Planning (2013)

Additional Resources

UN Information

The website for UN peacekeeping: http://www.un.org/en/peacekeeping/

UN Documents


DPKO and DFS Guidance

The repository for all official DPKO and DFS guidance is the Policy and Practice Database: ppdb.un.org (only accessible from the UN network). Official peacekeeping guidance documents are also accessible through the Peacekeeping Resource Hub: http://research.un.org/en/peacekeeping-community

Instructors are encouraged to check for the latest guidance.

Additional Training Resources

UN.SkillPort is the UN Office of Human Resource Management’s (OHRM) on-line learning solution. More than 3,000 courses and 15,000 books are available online. UN personnel are encouraged to self-register at https://un.skillport.com/skillportfe/register.action