United Nations
Department of Peacekeeping Operations
Department of Field Support
Ref. 2013.10

Policy

Military Capability Study

DPKO/DFS POLICY ON
MILITARY CAPABILITY STUDY

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A. PURPOSE

1. This policy establishes the framework for the conduct of a Military Capability Study (MCS) in a UN peacekeeping operation. It outlines principles and clarifies roles and responsibilities that apply to all MCS processes. Detailed instructions for the Office of Military Affairs (OMA) led planning and execution of an MCS is provided in a related Standard Operating Procedure.

B. SCOPE

2. This document applies, in particular, to OMA leadership and staff and deployed military components in peacekeeping operations as well as other personnel from entities supporting the MCS. All relevant DPKO/DFS personnel and field missions should be aware of this policy.

C. RATIONALE

3. OMA is responsible for the identification and deployment of military capabilities in a peacekeeping operation, in relation to the military component's assigned tasks. The MCS is a tool in this process and is a technical field assessment and/or desk assessment which analyses the current capabilities against current and future anticipated tasks. The MCS addresses all deployed military personnel and units in a mission, in summary, the force[1].

4. In order to provide conformity in preparation and execution, cohesion of effort and to utilize documented best practices, the policy is necessary, as guiding material, for transparency and broad understanding and awareness of MCS.

D. POLICY
Principles
5. A capability is defined as the ability to deliver against an accepted standard. It encompasses the combination of capacity (personnel and equipment), preparedness (organisation, process and training), and sustainment (support and logistics) required to

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[1] Including United Nations Military Experts on Mission (UNMEM) in peacekeeping operations.

accomplish the assigned tasks[2].

6.   The military component and its capabilities in support of the mandate implementation will have to vary throughout the life-cycle of a mission depending on the mandate, situation, operational environment, strategic direction including objectives, tasks, benchmarks and different phases of the operation.

7.   The objective of the MCS, in support of the mission's military component is two-fold:
-   assess the suitability and utilization of current capabilities for current objectives, tasks and phase, and;
-   assess the suitability of current capabilities for future objectives, tasks and phases of the operation.

8.   The assessment of the force and its units covers the configuration, its posture, the ability to function in relation to the operational environment and the ability to plan and execute all types of military operations on a 24/7 basis. The assessment is conducted through the examination of the capabilities[3] below, that in combination deliver the effect.

-   <u>Command and Control and Communications (C3).</u>
The capability to exercise command over all assigned personnel and units to control ongoing operations in accordance with plans, directives and policy and to direct events through the timely exploitation and passage of Orders in order to deliver effect.

-   <u>Operational and Tactical information.</u>
The capability to acquire, process and exploit information for tactical and operational advantage.

-   <u>Fire-Power (kinetic and non-kinetic).</u>
Firepower is a targeted and focused effect derived from individual and/or crew-served weapon systems which are either lethal or non-lethal in nature.

-   <u>Force Protection.</u>
It is the capability to provide protection from direct and indirect threats through the combination of risk analysis, physical security, procedural measures and environmental health techniques.

-   <u>Mobility.</u>
It is the capability to move, both tactically and non-tactically, with the intention of repositioning military force to the most advantageous location by the desired time.

-   <u>Sustainment.</u>
It is the capability to sustain operations through the provision and distribution of all classes of supply, provision of medical support, application of a system of maintenance and care of soldiers' morale and welfare.

-   <u>Interoperability.</u>
It is the capability of forces to operate together in either a national or multinational context.
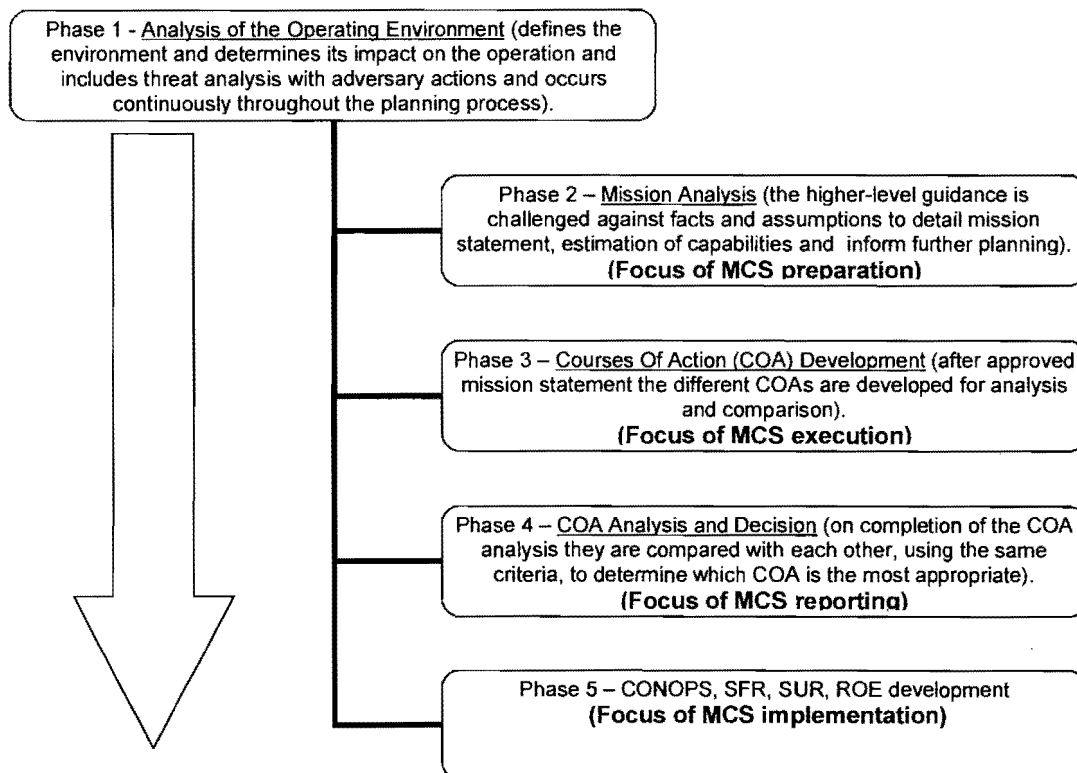
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[2] The definition of a capability is taken from the DPKO/DFS Pilot Project on Capability Development and is stated in the UN Infantry Battalion Manual, 2012.
[3] Ibid

-   Civil-Military interaction.

The operational and tactical coordination between the UN military and civilian partners, especially the civilian components of UN field missions, UN Police, UN agencies, funds and programmes, host national government, non-governmental organizations, and grass-roots organizations. Such coordination encompasses activities undertaken and/or facilitated by military components in UN field missions across the full spectrum of operations.

9.   The MCS is a part of the Military Planning Process (MPP) which is a coordinated OMA staff process to determine the best method of accomplishing tasks. The MPP is designed to optimise the logical and analytical steps of military decision-making. The MCS informs the establishment and review of military strategic and operational direction [4], i.e. Military Strategic Concept of Operations (CONOPS) including Statement of Force Requirements (SFR) and Statement of Unit Requirement (SUR), Rules of Engagement (ROE), at the UNHQ level and subsequently the Operations Order (OPORD) at the mission level. It also informs the review of Mission Factors[5]. The five phases of MPP and its relation to MCS is summarized below:

Phase 1 - Analysis of the Operating Environment (defines the environment and determines its impact on the operation and includes threat analysis with adversary actions and occurs continuously throughout the planning process).

Phase 2 – Mission Analysis (the higher-level guidance is challenged against facts and assumptions to detail mission statement, estimation of capabilities and inform further planning).
(Focus of MCS preparation)

Phase 3 – Courses Of Action (COA) Development (after approved mission statement the different COAs are developed for analysis and comparison).
(Focus of MCS execution)

Phase 4 – COA Analysis and Decision (on completion of the COA analysis they are compared with each other, using the same criteria, to determine which COA is the most appropriate).
(Focus of MCS reporting)

Phase 5 – CONOPS, SFR, SUR, ROE development
(Focus of MCS implementation)

Responsibilities

10.   An MCS may be requested by UNHQ or the mission, in anticipation of a situation or mandate change or as a regular study[6] in relation to the life-cycle of the mission and its progress. However, an MCS may also be conducted as an ad-hoc activity in response to a

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[4] See Terms and Definitions, section E

[5] It is the responsibility of OMA to review the Mission Factors that describes the mission environment and keep DFS informed of changes. Capabilities required in the mission relates to the mission environment described. See Terms and Definitions, section E.

[6] MCSs are conducted at least every two years.

crisis situation or major changes in the mission operational environment. The MCS is authorised by the United Nations Military Adviser in consultation with DPKO/Office of Operations (OO), relevant Integrated Operational Team (IOT) and the mission leadership.

11. The Military Planning Service in OMA is responsible for leading any MCS, and is usually supported by the mission and other DPKO/DFS entities after consultation. In addition to OMA, other entities may involve the Office of Operations (OO), Police Division and the relevant DFS divisions.

12. All MCSs should receive political guidance from OO prior to deployment. This includes the potential changes of mission mandate and strategic direction including objectives, benchmarks, tasks and phases or phase-shift.

13. An MCS may be conducted as a stand-alone activity, as a component of a periodic mission review or an inter-disciplinary integrated assessment. The MCS principles remain similar in either case. It must be well coordinated with other assessment initiatives. When part of an inter-disciplinary assessment mission the MCS is either scheduled immediately prior to the assessment, in order to inform the follow-on assessment, or immediately after to augment the planning. The MCS is used for existing missions as well as in preparations for a mission start-up.

Process

14. The process for planning and conducting an MCS is built on six phases:
- Scheduling,
- Preparations,
- Execution,
- Reporting,
- Implementation and,
- After Action Review.

Scheduling,	Scheduling[7] is initiated through OMA's analysis of the life-cycle of a mission, reviewing earlier assessments and anticipated changes in the mandate, situation and mission environment. This analysis includes other potential assessment missions and indications from the Security Council of requests for specific assessments. This phase culminates in an annual OMA/OO coordinated assessment plan including projections for the forthcoming year, when applicable, to follow the related Results Based Budget (RBB) cycle assuring funds are available.
Preparation	The preparation phase starts, at least, three months before the execution of the MCS, ensuring time for preparation and Mission Analysis and ends with the coordinated Terms of Reference (TOR)[8], between the UNHQ and the field mission. This phase includes preparations by UNHQ and the mission; analysis of all related strategic and operational direction; consultation with DFS on support-related matters; development of political guidance in full consultation

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[7] Scheduling is not applicable when MCS is determined as an ad-hoc activity. This will also have impact on time for preparation.

[8] Template for TORs is included in the related MCS SOP. The TORs includes at least, background, objectives, methodology and responsibilities, schedule, composition of the MCS, financial arrangements and results and timelines.

	with the relevant IOT and the mission leadership; ensuring shared situational awareness; and briefings/consultation to/with Troop Contributing Countries (TCCs) and Military Staff Committee' (MSC).
Execution,	The execution phase starts with the deployment of the OMA-led team to the mission and ends with a consolidated briefing of key findings by the team and FHQ to the mission leadership, including Head of Mission, Head of the Military Component and Director/Chief Mission Support. The phase includes production of a draft report and hand-over to follow-on assessment mission as and when applicable.
Reporting,	The reporting phase starts with a Decision-Brief on Courses of Action Analysis to OMA leadership and ends with an USG DPKO reviewed and approved report within 30 days of the conclusion of the MCS, coordinated with the mission and other UN partners, especially DFS. Logistical implications (e.g. troops induction/ extraction/ redeployment, COE induction/ repatriation/ redeployment restructuring of support arrangements, etc) as a result of the MCS are to be coordinated with DFS/ Logistics Support Division and Director/Chief Mission Support. Financial implications as a result of the MCS are to be coordinated with DFS Field Budget and Finance Division and the Director/Chief Mission Support to inform the timeline for implementation. This phase includes briefings to USG, OO, TCCs and MSC. It informs the Secretary-General's report and other relevant communications to the Security Council.
Implementation	The implementation phase starts either after the USG DPKO and mission leadership approve the report or a SCR and possible changes in the strategic direction, and ends with implementation of recommendations. The phase includes the establishment of a shared implementation matrix with the mission including timelines, regular updates by the mission and updates to the OMA leadership and OO.
After Action Review (AAR)	The AAR phase starts with the lessons identified from the planning and execution of the MCS by UNHQ and the mission and ends with the UN Military Adviser's approved lessons learned for implementation in forthcoming MCS.

E. TERMS AND DEFINITIONS

For the purpose of this policy, the following terms and definitions apply:

UN Integrated Assessment
An integrated assessment is defined as any UN analytical process at the strategic, programmatic or operational level which carries implications for multiple UN entities, and which therefore requires participation by concerned UN entities. The Strategic Assessment is the analytical process used to undertake integrated assessment at the UN system-wide level to ensure a shared understanding of a conflict or post-conflict situation, to propose options for UN engagement and to articulate a common UN vision, priorities and respective responsibilities. Assessments of a technical nature, such as technical assessment missions (TAMs) and sector assessments initiated by either Secretariat departments or agencies, funds and programmes, are integrated if and when their scope and operational implications relate to multiple entities of the UN system.

Military Strategic Concept of Operations (CONOPS) and Statement of Force Requirements (SFR).

The military strategic CONOPS articulates the strategic intent for the utilization of military capabilities to achieve military strategic objectives and end-state in support of the overall mandate implementation. The CONOPS should be consistent with the mandate and strategic direction and should drive the formulation of military component-level operational plans. As part of the CONOPS, the military capabilities and the composition of the force are stated in the SFR

Statement of Unit Requirements (SUR)
The Statement of Unit Requirements (SUR) is produced for each unit of the force. The SUR includes mission, tasks, organization, equipment and personnel.

Operations Order (OPORD)
The Force OPORD is based on and developed from the CONOPS. The OPORD will be generated by the Force Headquarters (FHQ) and is issued by the Force Commander to subordinate formations/sectors for execution. Each subordinate military unit will develop its own orders based on the OPORD.

Rules of Engagement (ROE)
Issued by the USG/DPKO for each particular peacekeeping operation and provide the authority for the use of force and explain the legal framework, policies, principles, responsibilities and definitions of the ROE.

Mission Factors
Mission factors are intended to compensate troop/police contributors for extreme operating conditions in the mission area, where conditions impose significant and additional hardship and are to be applied to lease rates. They include:
- Extreme environment such as mountainous, climatic and terrain conditions;
- Intensity of operations such as the scope of the task assigned, length of logistic chains, non-availability of commercial repair and support facilities and other operational hazards and conditions, and;
- Hostile action and forced abandonment.

F. REFERENCES

Normative or superior references
- A/64/572, Secretary-Generals Report, Comprehensive analysis of the Office of Military Affairs in the Department of Peacekeeping Operations, 2009.
- ST/SGB/2010/1, Secretary-General's bulletin, Organization of the Department of Peacekeeping Operations, 2010

Related procedures or guidelines
- DPKO/DFS Mission Evaluation Policy, 2010.
- UN Guidelines on Strategic Assessment, 2010
- UN Policy on Integrated Assessment and Planning (IAP), April 2013.
- Military Planning Process for Peacekeeping Operations, Department of Peacekeeping Operations, Office of Military Affairs, Military Planning Service, 2009.
- Standard Operating Procedure on Military Capability Studies, Final draft June 2013.
- Contingent Owned Equipment (COE) Manual, 2011
- UN Infantry Battalion Manual, 2012
- Generic Guidelines for Troop Contributing Countries, 2008
- DPKO/DFS UNMEM Manual, Selection, Deployment, Rotation, Extension and Repatriation of United Nations Military Experts on Mission in United Nations Peacekeeping Operations,

2010.

G. MONITORING AND COMPLIANCE

The implementation of this policy is monitored by DPKO/OMA. All DPKO/DFS staff, Heads of Mission, Heads of Military Component and Directors/Chiefs of Mission Support in UN field missions shall make arrangements to support the implementation of this policy.
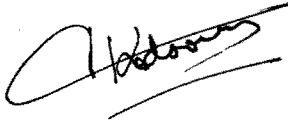
H. CONTACT

Point of Contact for this policy is Military Planning Service/OMA/DPKO.

I. HISTORY

This is the first issue of this policy. It has not been amended.

APPROVAL SIGNATURE:

APPROVAL SIGNATURE:

DATE OF APPROVAL:

DATE OF APPROVAL:

17 July 2013

UNITED NATIONS

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OMS DPKO/DFS

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2013 JUN 20 P 1:03

Reference:
MARS log no: 012215

TO: Mr. Hervé Ladsous, Under-Secretary-General for Peacekeeping Operations
Ms. Ameerah Haq, Under-Secretary-General for Department of Field Support

cc: Maj. Gen. Jean Baillaud, Acting Deputy Military Adviser for Peacekeeping Operations
Mr. Kevin Kennedy, Director, Policy, Evaluation and Training Division
Col. David Barr, Chief, Military Planning Service
Mr. Jens Andersen, Chief, Policy and Doctrine Team
Ms. Leanne Smith, Peacekeeping Best Practices Section

THROUGH: Mr. Edmond Mulet, Assistant Secretary-General for Peacekeeping Operations

FROM: Lt. Gen. Babacar Gaye, Military Adviser for Peacekeeping Operations

Drafter: Lt. Col. Daniel Martella   **Room No:** S-1433   **Ext:** 3-2856   **Date:** 14/06/2013

PURPOSE: FOR APPROVAL + Signature

SUBJECT: Policy on Military Capability Study

REMARKS: Please find attached the first issue of the MCS Policy for approval (Flag A). The Policy has been coordinated within OMA and DPET, and consulted with all the Policy focal points.

RECOMMENDED ACTION: If approved, please sign the MCS Policy.

Coordinated with or cleared by (please indicate name or initials):

DPKO	Coordinated	Cleared		Coordinated	Cleared		Coordinated	Cleared
OUSG			**OO**			**OROLSI**		
Front Office	☐ Cr	☐	Front Office	☒ NI.	☐	Front Office	☐	☐
O/COS (F.O.)	☐	☑	AD-I	☐	☐	CLJAS	☐	☐
- PAS	☐	☐	- EA IOT	☐	☐	DDR	☐	☐
- PK IMU	☐	☐	- Sudan IOT	☐	☐	MAS	☐	☐
- EO	☐	☐	AD-II	☐	☐	PD	☐	☐
- SitCen	☐	☐	- GL IOT	☐	☐	SSR	☐	☐
OMA			- WA IOT	☐	☐			
Front Office	☒ CB	☒ JB	AMED	☐	☐	**DPET**		
AT	☐	☐	- Asia IOT	☐	☐	Front Office	☐	☐
PDT	☒ SM	☒ JA	- ME/WS IOT	☐	☐			
CMOS	☒ WH	☒ SF	- Afghan. IOT	☐	☐	ITS	☐	☐
FGS	☒ DW	☒ NA	ELAD / IOT	☐	☐	PBPS	☒ MF	☐
MPS	☒ VPO, DG	☒ DB						

DFS	Coordinated	Cleared		Coordinated	Cleared			
OUSG			ICTD	☐	☐			
Front Office	☐	☑ T.I.M	FBFD	☐	☐	**SECRETARIAT**		
SLAS	☐	☐	FPD	☐	☐	DEPT./OFFICE	☐	☐
OASG			LSD	☐	☐	DSS	☐	☐
Front Office	☐	☐				OHCHR	☐	☐
CDU	☐	☐					☐	☐
AR/BOI Sect.	☐	☐				**AGENCY/INST.**		
SMART Team	☐	☐					☐	☐
PLT	☐	☐					☐	☐

If no consultation or coordination was made please clarify why:

Supporting Documents: Flag A: MCS Policy - Ref No 2013.10.

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2013 JUN 26 P 1: 06

TO: Mr. Hervé Ladsous, Under-Secretary-General for Peacekeeping Operations

cc: Ms. Ameerah Haq, Under-Secretary-General for Department of Field Support
Maj. Gen. Jean Baillaud, Acting Deputy Military Adviser for Peacekeeping Operations
Mr. Kevin Kennedy, Director, Policy, Evaluation and Training Division
Col. David Barr, Chief, Military Planning Service
Mr. Jens Andersen, Chief, Policy and Doctrine Team
Ms. Leanne Smith, Peacekeeping Best Practices Section

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Drafter: Lt. Col. Daniel Martella   **Room No:** S-1433   **Ext:** 3-2856   **Date:** 14/06/2013

PURPOSE: FOR APPROVAL

SUBJECT: Policy on Military Capability Study

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Coordinated with or cleared by (please indicate name or initials):

DPKO	Coordinated	Cleared		Coordinated	Cleared		Coordinated	Cleared
OUSG			**OO**			**OROLSI**		
Front Office	☐	☐	Front Office	☒ NI	☐	Front Office	☐	☐
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- PAS	☐	☐	- EA IOT	☐	☐	DDR	☐	☐
- PK IMU	☐	☐	- Sudan IOT	☐	☐	MAS	☐	☐
- EO	☐	☐	AD-II	☐	☐	PD	☐	☐
- SitCen	☐	☐	- GL IOT	☐	☐	SSR	☐	☐
OMA			- WA IOT	☐	☐			
Front Office	☒	☒ JB	AMED	☐	☐	**DPET**		
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CMOS	☒ WH	☒ SF	- Afghan. IOT	☐	☐	ITS	☐	☐
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MPS	☒ VPO, DG	☒ DB						

DFS	Coordinated	Cleared		Coordinated	Cleared			
OUSG			**ICTD**	☐	☐			
Front Office	☐	☐	**FBFD**	☐	☐	**SECRETARIAT**		
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OASG			**LSD**	☐	☐	**DSS**	☐	☐
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AR/BOI Sect.	☐	☐				**AGENCY/INST.**		
SMART Team	☐	☐					☐	☐
PLT	☐	☐					☐	☐