Module 3: Operational Framework

L e s s o n

1

Military Planning Process

Why is this important for me?

- All military staff officers in the FHQ of a UN mission need to understand the UN Military Planning Process for peacekeeping operations in order to fully participate in the process

- Successful military operations rely on commanders and staff understanding and employing a common and comprehensive planning and decision-making process

Learning Outcomes

- Identify the phases of the Military Planning Process

- Explain the basic methods to analyze the Operational Environment (OE)

- Undertake the Analysis of the OE

- Develop Courses Of Action (COA)

- Evaluate different COAs

Lesson Content

Overview of the Military Planning Process

Analysis of the Operational Environment

Mission Analysis

Course of Action Development

Definition of the Military Planning Process

A methodical process that relies on joint efforts of commanders and staff to seek optimal solutions and to make decisions to achieve an objective in a dynamic environment

Principles of Planning

- Comprehensive

- Efficient

- Inclusive

- Informative

- Integrated (with long term goals)

- Logical

- Transparent

Themes of Planning

- Identify problems and objectives

- Gather information

- Generate options to achieve those goals

- Decide on the way ahead and then execute it

  - Who, What, Where, When, How, Why?

Likely Consequences of Hasty or Incomplete Planning

- Inefficient use of resources

- Potential loss of life

- Ultimately mission failure

Successful military operations rely on commanders and staff understanding and employing a common and comprehensive process

Phases of Military Planning Process in UN Peacekeeping

1. Analysis of the Operational Environment.

2. Mission Analysis.

3. Course of Action Development.

4. Course of Action Analysis and Decision.
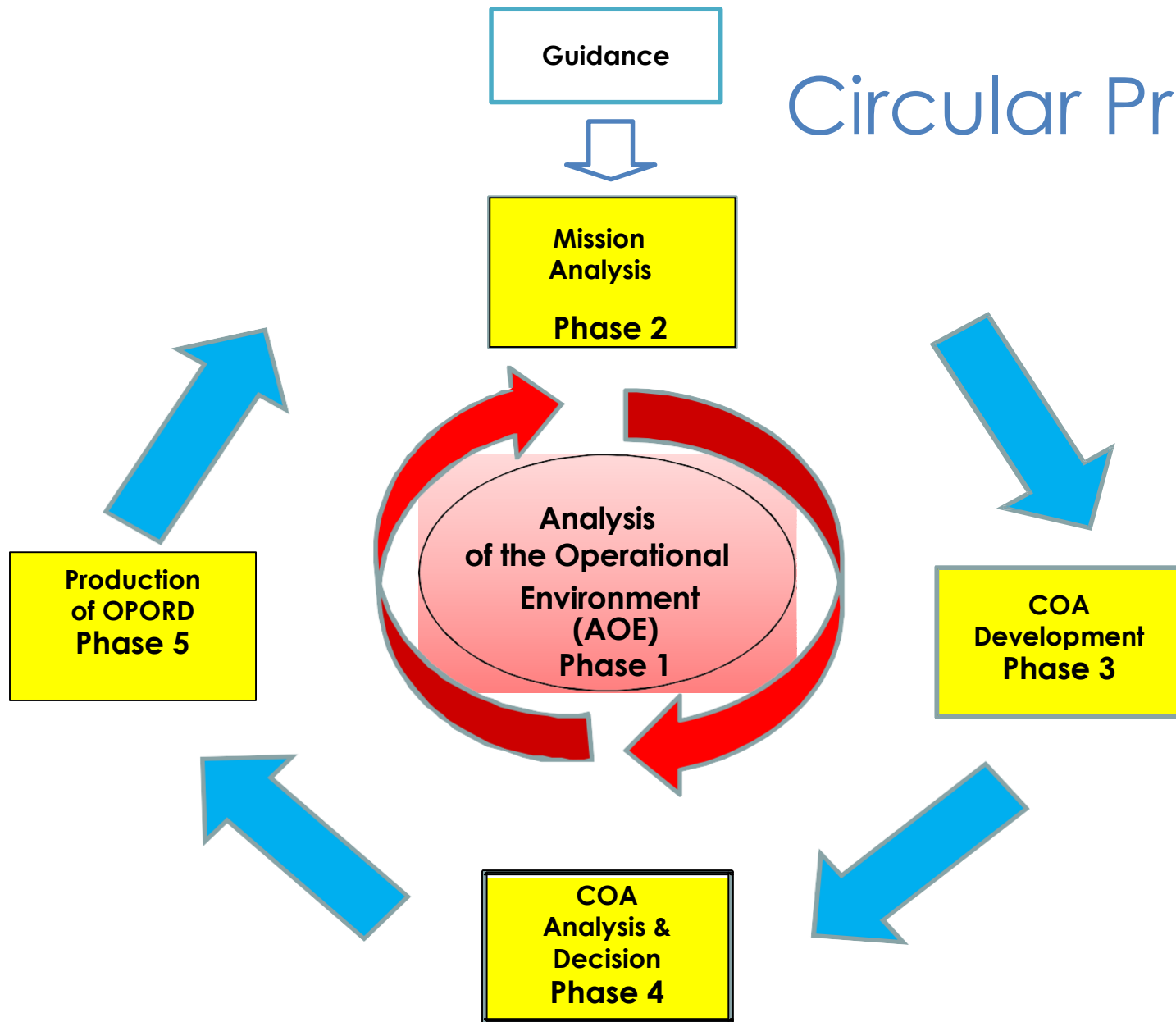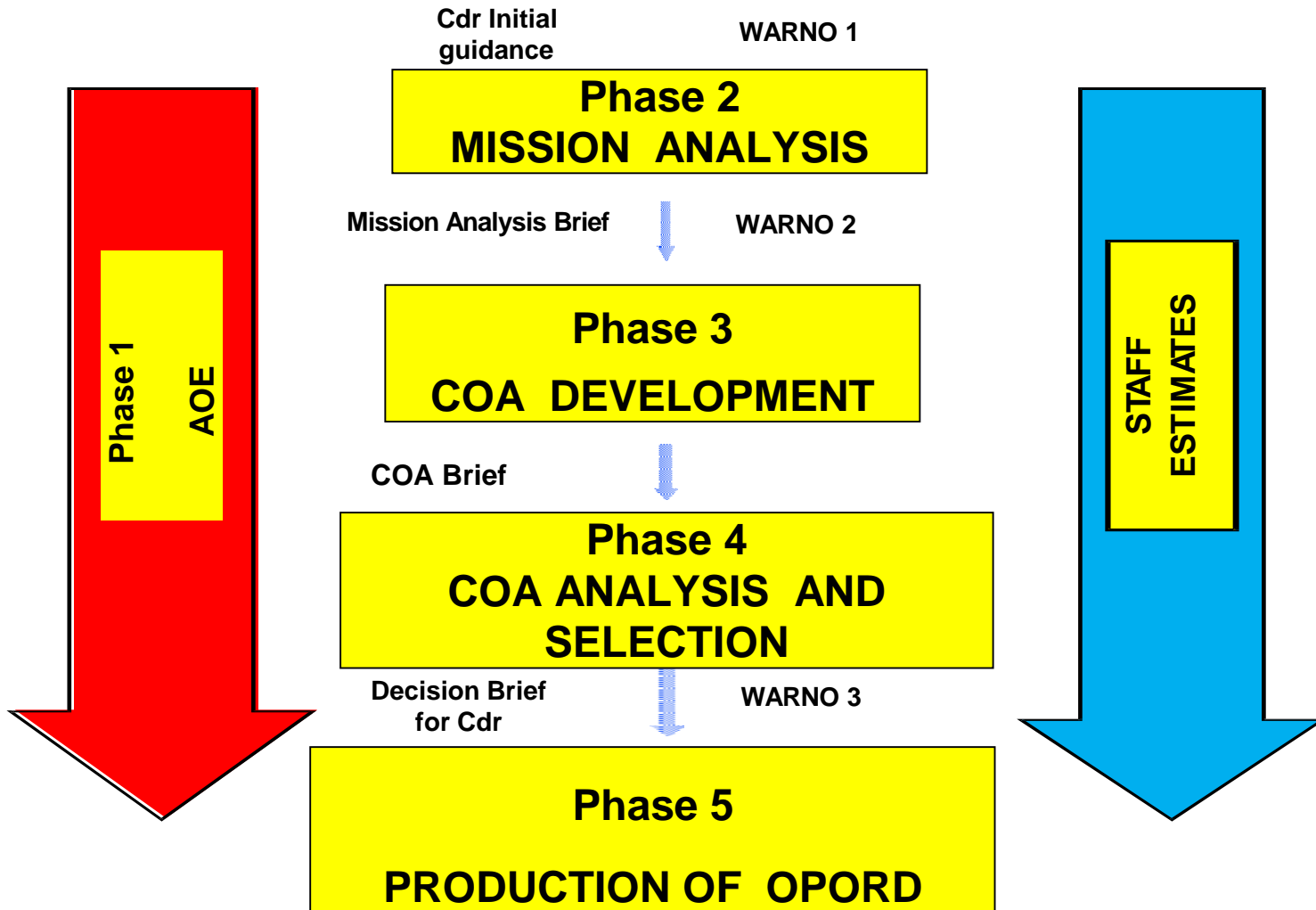
5. Production of Operations Orders.

Phases of MPP

Phase 1 – Analysis of the Operational Environment

Phase 2- Mission Analysis

Phase 3 – Course of Action Development

Phase 4 – Course of Action Analysis and Decision

Phase 5 – Production of Operations Order
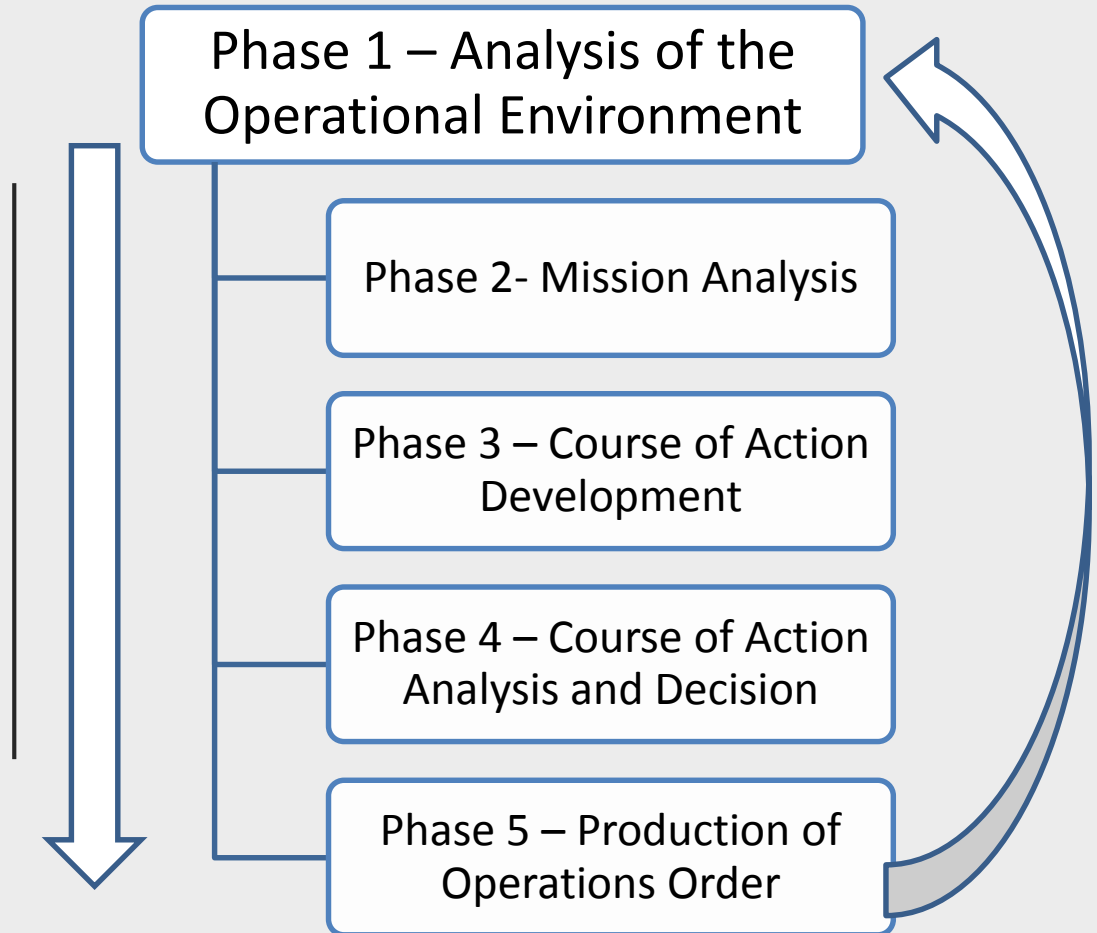
Sequential Process

Requirements for Military Planners and Decision-makers

- Follow the process sequentially

- Consider the full scope of determining factors

- Understand the risks associated with the assumptions

- Refrain from shaping their analysis to suit a predetermined course of action

Time Allocation

One-third/Two-thirds Rule:

A general rule of thumb is to allocate a minimum of two-thirds of the time available for planning and preparation to sub-units

Information Requirements

- Make collection plan

- Use risk-managed assumptions

Interactions with Commanders

- Analyze commander intent carefully

- Ask for commander guidance at regular intervals

- Brief commanders in each phase

Summary of Key Messages

- The Military Planning Process relies on joint efforts of commanders and staff to seek optimal solutions in a dynamic environment.

- The Principles of Planning call for the MPP to be comprehensive; efficient; inclusive; informative; integrated; logical; and transparent.

- The five phases of MPP include: Analysis of the OE; Mission Analysis; COA Development; COA Analysis and Decision; and Production of OPORDs.

Questions?

Phases of MPP

Phase 1 – Analysis of the Operational Environment

Phase 2- Mission Analysis

Phase 3 – Course of Action Development

Phase 4 – Course of Action Analysis and Decision

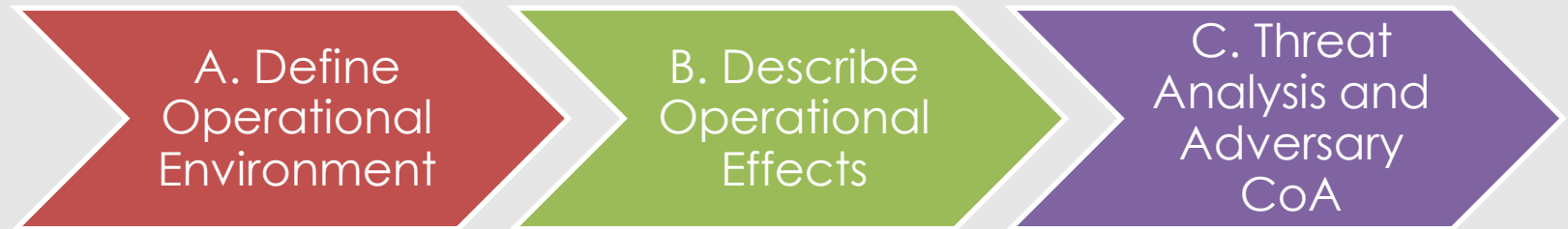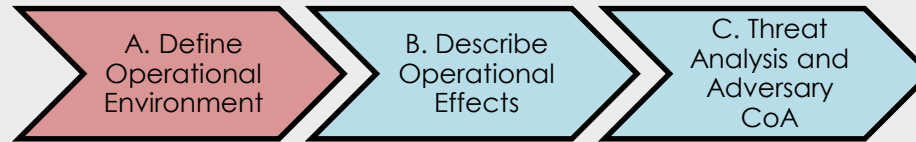Phase 5 – Production of Operations Order
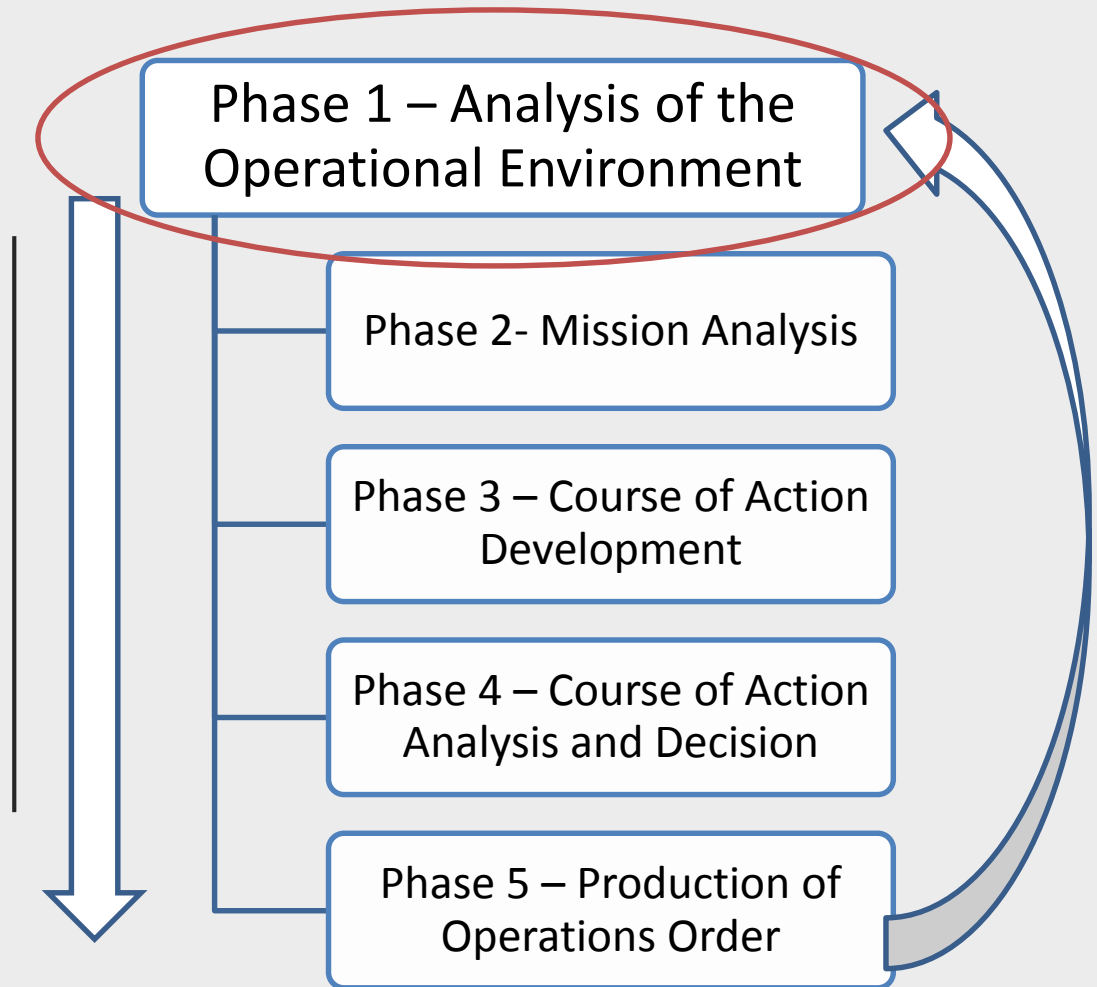
Analysis of the Operational Environment

Analysis of the Operational Environment (AOE) helps the command and staff elements to refine their situational awareness and understanding in order to have better visualization of the operational environment.
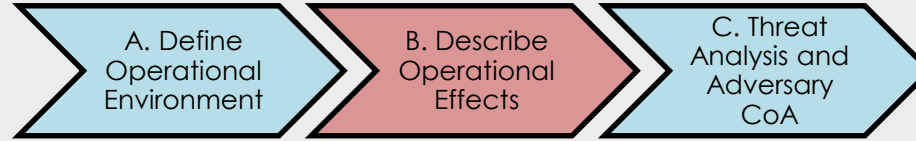
AOE Steps

A. Define Operational Environment → B. Describe Operational Effects → C. Threat Analysis and Adversary CoA

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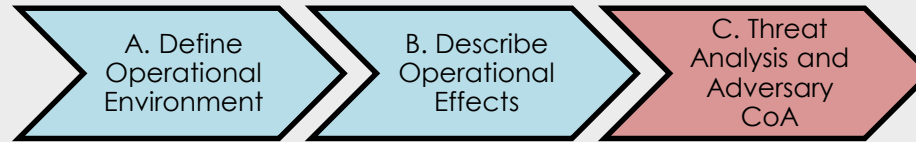
Describe Operational Environment

- Review the existing situation

- Scope the likely threats

- Identify significant characteristics of the environment

- Determine AO limitations

- Identify intelligence gaps

- Determine key information requirements

Military Threat Assessment and Adversary Courses of Action

- Focus on armed threats to the PKO that might affect the safety and security of own forces, designated persons and designated infrastructure

- Focus on physical threats to civilians
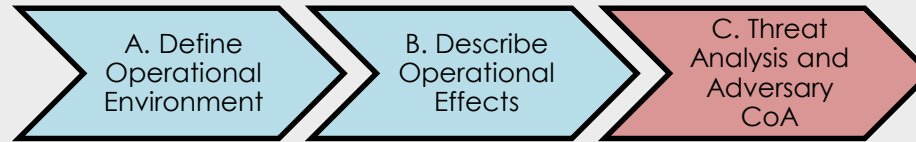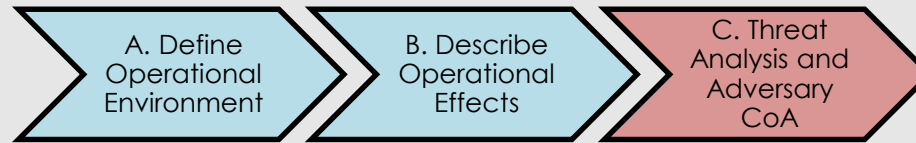
Threats

Threat: Any factors (actions, circumstances, hazards or events) which have the potential or possibility to cause harm, loss or damage to the operations.

Threat = Capability x Intent
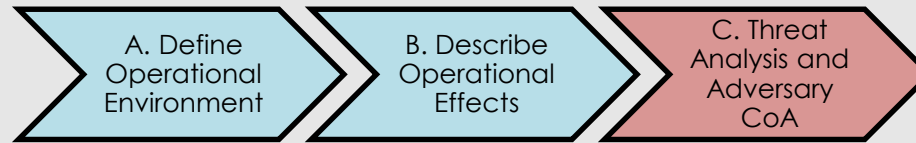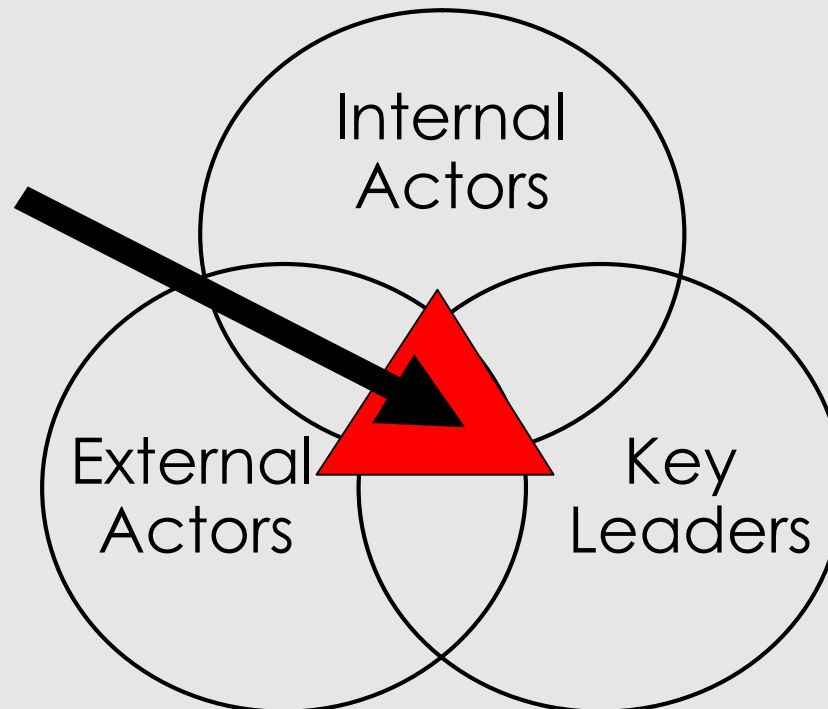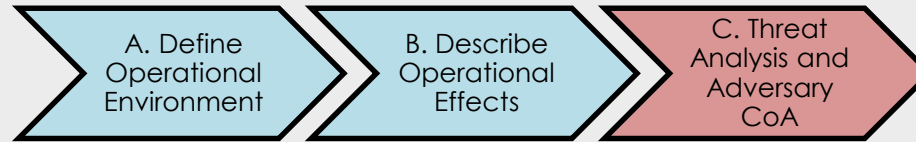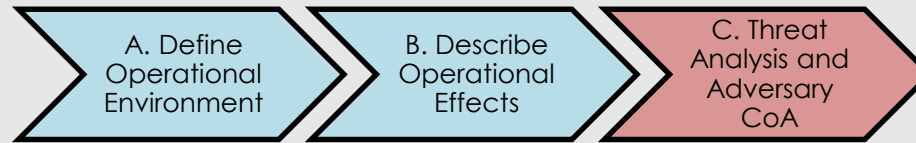
Risks

Risk: The combination of the impact and likelihood for harm, loss or damage to the Operation from the exposure to threats.

Risk = Likelihood x Impact

Risks are categorized in levels from Low to High for their prioritization.

Risk Assessment Matrix

IMPACT	Very Unlikely	Unlikely	Moderately Likely	Likely	Very Likely/ Imminent
Catastrophic	Low	MEDIUM	HIGH	VERY HIGH	VERY HIGH
Severe	Low	MEDIUM	HIGH	HIGH	VERY HIGH
Moderate	Very Low	Low	MEDIUM	HIGH	HIGH
Minor	Very Low	Low	Low	MEDIUM	MEDIUM
Negligible	Very Low	Very Low	Very Low	Low	Low
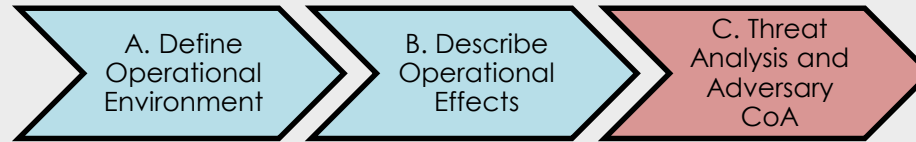
LIKELIHOOD

Differences in Military Threat Assessment

Adversaries

War-like operations

- Easily identifiable by military uniforms, equipment and tactics

- Clear command and control lines

- With the makings of traditional military force

Peacekeeping operation

- Irregular forces

- Complex relationships

- Unstable

Learning Activity #1

Ask participants to determine the

      Most Likely and
      Most Dangerous COAs

for

      MPC and
      ICSC

in Carana scenario.

Learning Activity #2

Have a discussion about the questions staff and commanders need to ask when analyzing threats and risks to civilians.

For example:
- Who are at risk, where are they, and where are they moving?
- What are their vulnerabilities?
- What are the particular threats and risks facing civilians?
- What types of (armed) actors are responsible for violence against civilians?
- What are their motivations to attack civilians?
- Which HR violations are being committed, and what strategies/tactics are used?

Summary of Key Messages

- The AOE consists of: defining the OE; describing the Operational Effects; Threat Analysis and Adversary COAs.
- The military threat assessment focuses solely on armed threats to the PKO that might affect the safety and security of own forces, designated persons and designated infrastructure.
- Threats are a product of both capability and intent.
- Risk is characterized by both the probability and severity of a potential loss.

Questions?

Lesson Content

Overview of the Military Planning Process

Analysis of the Operational Environment

Mission Analysis

Course of Action Development

Phases of MPP

Phase 1 – Analysis of the Operational Environment

Phase 2- Mission Analysis

Phase 3 – Course of Action Development

Phase 4 – Course of Action Analysis and Decision

Phase 5 – Production of Operations Order
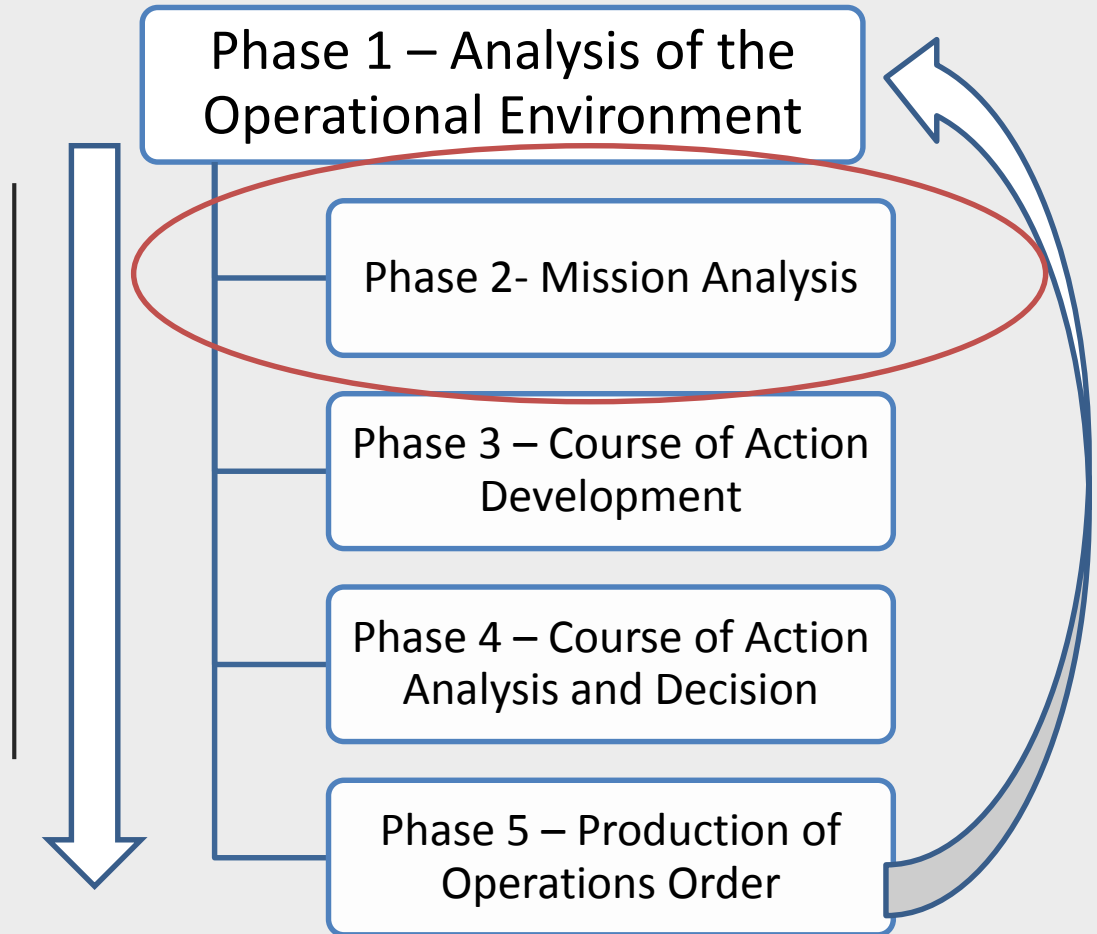
Mission Analysis

Mission Analysis is the principal decision making tool that guides the planning process. It takes the higher-level guidance provided to the planners, challenges it against the facts and assumptions, and then refines it to better detail the mission and the planning requirements.

Mission Analysis

Analyse Higher Command Intent → **Draft Commander's Intent** → **Identify and Analyse Tasks** → **Identify and Analyse Constraints and Restrictions** → **Identify and Analyse Critical Facts and Assumptions** → **Draft the Mission Statement**
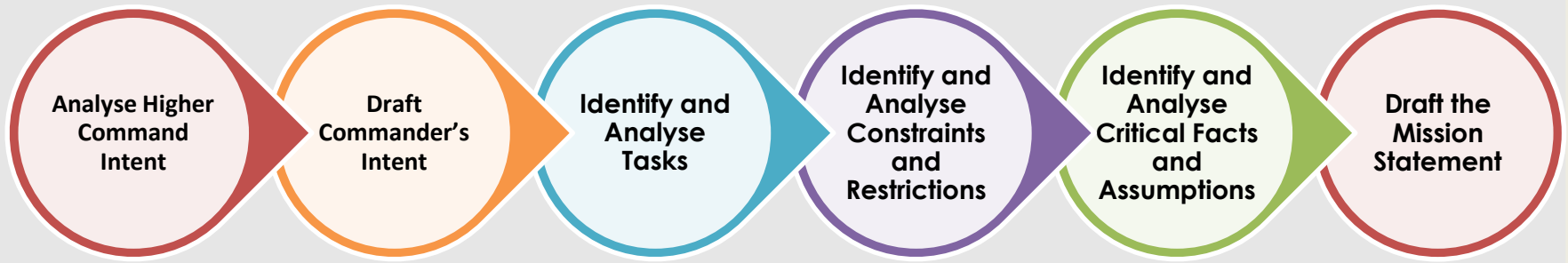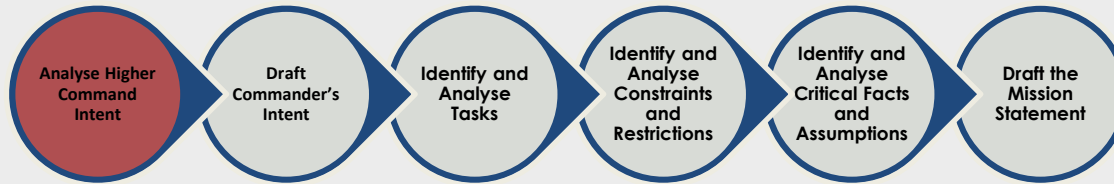
Analyse Higher Command Intent

- Must understand the purpose of the operation and the key effects – Ideally at least two levels up.

- Must understand the key tasks – What is to be done.

- Must understand the commanders Scheme of Manoeuvre and synchronisation of effects – How.

- Identifies your role in the Commander's plan and where the Main Effort will be – What are my Commander's priorities and how do I fit into the plan

Draft Commander's Intent

Purpose → Method → End State
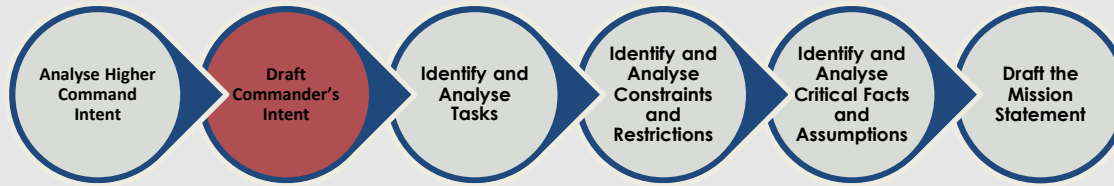
The process flow diagram shows: Analyse Higher Command Intent → Draft Commander's Intent → Identify and Analyse Tasks → Identify and Analyse Constraints and Restrictions → Identify and Analyse Critical Facts and Assumptions → Draft the Mission Statement
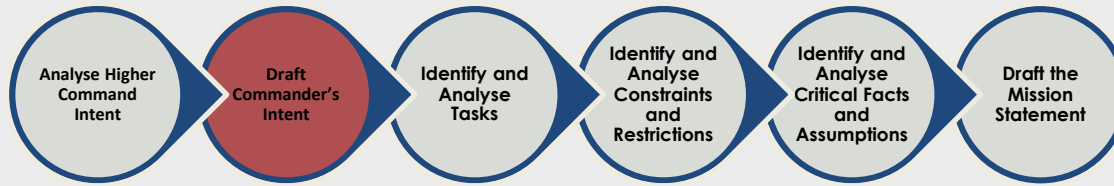
Requirements of Commander's Intent

- Must be understood two levels down

- Include a clear and concise statement of the success criteria and desired end-state

- Include key tasks that become the basis for planning

Analyse Higher Command Intent

Draft Commander's Intent

Identify and Analyse Tasks

Identify and Analyse Constraints and Restrictions

Identify and Analyse Critical Facts and Assumptions

Draft the Mission Statement
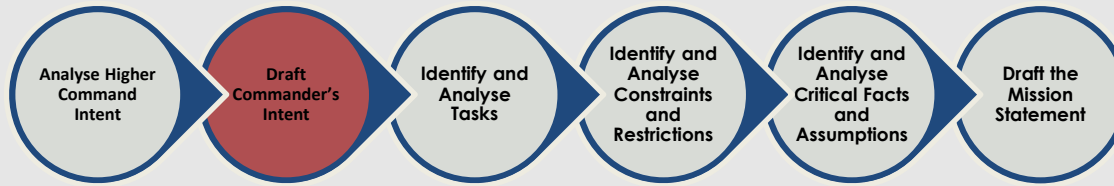
Commander's Intent - Example 1

Purpose: Restore security in the AOR while dominating the area to ensure compliance with UN Security Council Resolution.

Method: Free movement of the population throughout the AOR without fear of attack or harassment by conflict parties or criminal gangs.

End State: Complete cessation of interference with humanitarian aid, attacks on civilians and hostilities against the UN's presence.

Analyse Higher Command Intent

Draft Commander's Intent

Identify and Analyse Tasks

Identify and Analyse Constraints and Restrictions

Identify and Analyse Critical Facts and Assumptions

Draft the Mission Statement
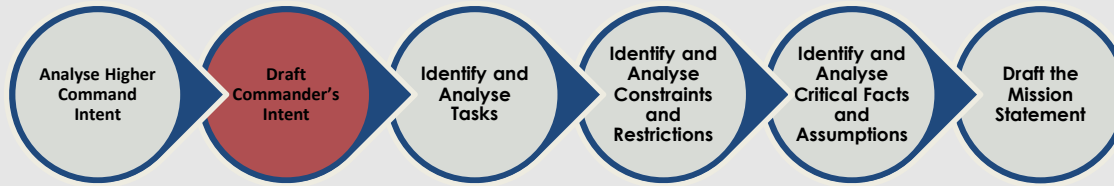
Commander's Intent - Example 2

Purpose: To Neutralise Conflict Parties' ability to conduct offensive operations by conducting operational activities to seize all arms, ammunitions and war-like materials in the AO.

Method: Dominate the AO with a system of Checkpoints, Observation Posts and Patrols, then conduct Cordon & Search operations whiles providing intimate support to the disarmament processes in the AO.

End state: Conflict Parties do not have the capacity to threaten the peace process through the use of arms.

Learning Activity #1

Analyze the following example of Commander's Intent and answer the following questions:

- What is the reason to conduct the mission?

- What are the key tasks?

- How the objective is to be achieved?

- What are the commander's priorities?

- What are the success criteria ?

Commander's Intent – Example

- **Purpose**: To disrupt insurgents' ability to conduct offensive operations by denying them access to XXX town, their key logistics hub.

- **Method**: I will use a robust joint military force to overwhelm insurgents and secure key infrastructure in XXX town, build defendable positions, & then expand our military presence to secure key LOC using force if required.

- **End State**: The deployment of a joint military force has reduced insurgent influence in, & ability to use, XXX town and the region; & enabled the expansion of TFG presence.

Analyse Higher Command Intent → Draft Commander's Intent → **Identify and Analyse Tasks** → Identify and Analyse Constraints and Restrictions → Identify and Analyse Critical Facts and Assumptions → Draft the Mission Statement
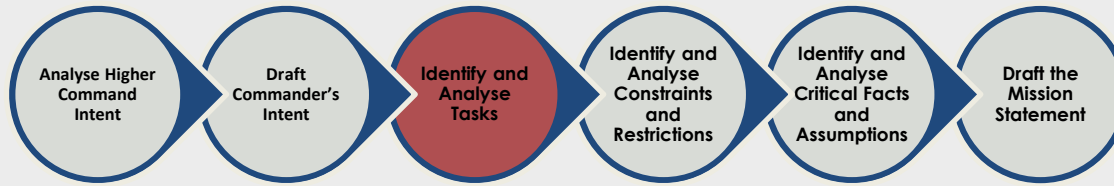
Identify and Analyse Tasks

- Specified Tasks

- Implied Tasks

- Essential Tasks

Learning Activity #2

1. Discuss what are the specified tasks, implied tasks, and essential tasks for a peacekeeping infantry battalion.

2. Analyze the latest mandate of UNMISS and determine the tasks for an infantry of this mission.

Tasks Listed in the UN Infantry Battalion Manual

Primary Tasks
- Patrolling
- Observation Post
- Check Point
- Outreach & Engagement
- Situational Awareness
- Cordon & Search
- Convoy & escort
- Operation Base

Support Tasks
- Disarmament & Demobilization
- Critical Infrastructure & assets Protection
- Crowd Management
- Detention

Other Tasks
- Buffer Zone
- Joint Operations
- Reinforce/Relief
- Extract/Evacuate

Analyse Higher Command Intent → Draft Commander's Intent → Identify and Analyse Tasks → **Identify and Analyse Constraints and Restrictions** → Identify and Analyse Critical Facts and Assumptions → Draft the Mission Statement
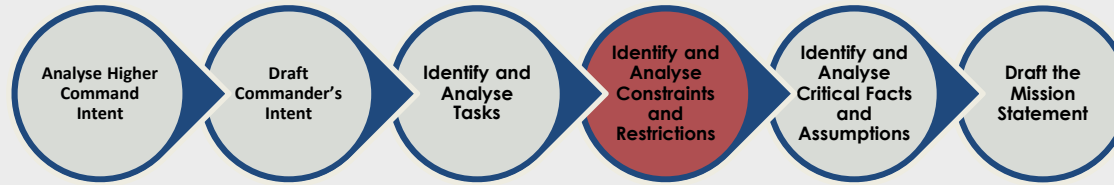
Identify and Analyse Constraints and Restrictions

- Constraints/limitations ("must do" actions)

- Restraints/Restrictions ("Must not do" actions)

- Caveats (Restrictions on the deployment or employment of forces)

Learning Activity #3

Discuss the specified tasks, implied tasks, and essential tasks for the military component in a peacekeeping mission in the implementation of the POC mandate of MINUSMA, and answer the following questions:

- How is POC stipulated in the UNSCR mandate?
- What is the role of military forces in protecting civilians?
- What are specified, implied and essential POC tasks?
- What are the constraints that affect the conduct of POC tasks and operations?
- What are the limitations of our own forces capabilities?

Analyse Higher Command Intent → Draft Commander's Intent → Identify and Analyse Tasks → Identify and Analyse Constraints and Restrictions → Identify and Analyse Critical Facts and Assumptions → Draft the Mission Statement
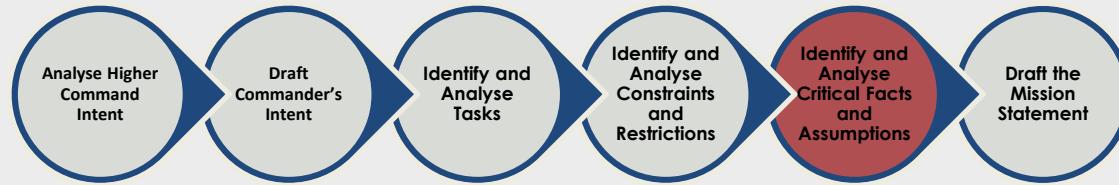
Identify and Analyse Critical Facts and Assumptions

- **Facts:** statements of known data concerning the situation

- **Assumptions:** suppositions about the current or future situation that are assumed to be true in the absence of facts

Analyse Higher Command Intent → **Draft Commander's Intent** → **Identify and Analyse Tasks** → **Identify and Analyse Constraints and Restrictions** → **Identify and Analyse Critical Facts and Assumptions** → **Draft the Mission Statement**
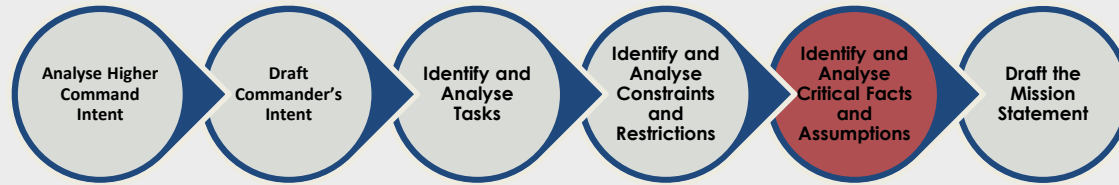
Assumptions

Assumptions should meet the tests of validity and necessity:

- Validity means the assumption is likely to be true
- Necessity is whether or not the assumption is essential for planning

Assumptions are replaced with facts as soon as possible

Commander's Critical Information Requirements (CCIR)
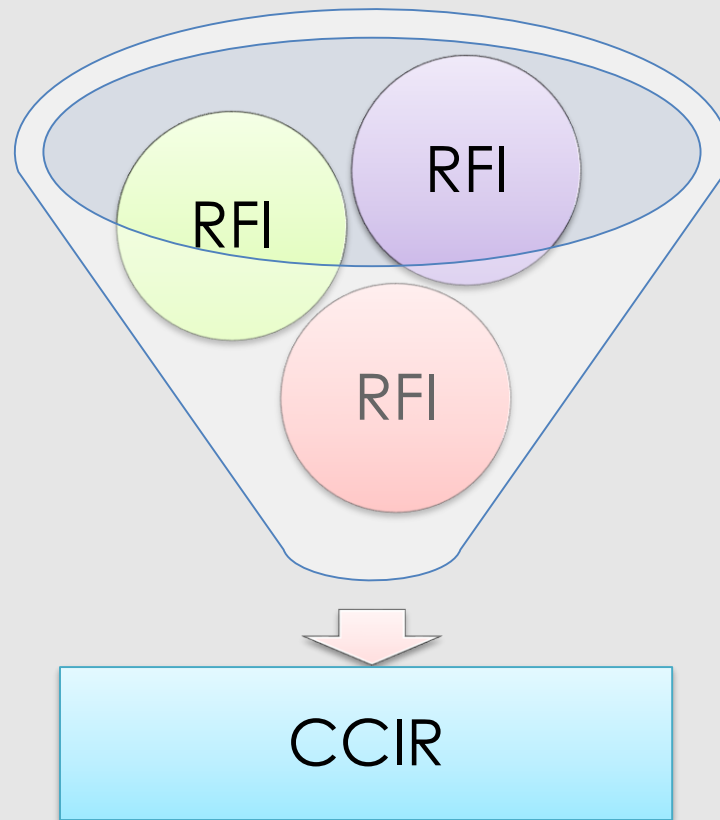
CCIRs identify information needed by the commander to make critical decisions, especially to determine or validate courses of action
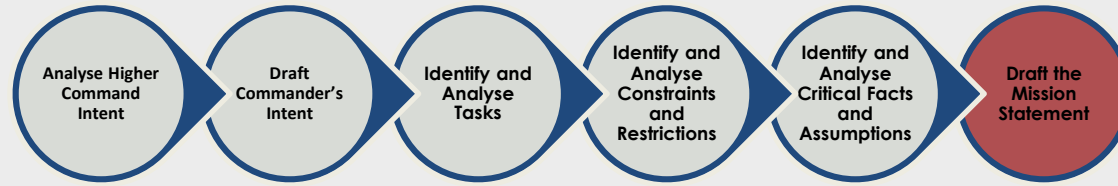
Draft the Mission Statement

<u>Who</u> - The group to execute the action.

<u>What</u> – The overall task or tasks to be performed.

<u>When</u> - the action will begin or be completed by.

<u>Where</u> - the action will occur - locations.

<u>Why</u> - (for what purpose) each unit will conduct its part.

Breakdown of a Mission Statement

<u>Who</u> – Sector Northeast…..

<u>What</u> – is to conduct security operations…..

<u>When</u> – from 21 0800hr Oct 16…….

<u>Where</u> – in the Company A's AOR…...

<u>Why</u> – in order to enable the delivery of humanitarian assistance to the local population within a safe and secure environment.

Example of a Mission Statement

Acting under chapter VII of the Charter of the United Nations, the UNPKO Military Component will contribute to the development of a sustainable security environment by protecting civilians within capabilities and in its area of deployment, and supporting the implementation of the XXX peace processes in order to foster the reinsertion of state authority.

Mission Analysis Brief - Purpose

- To integrate the planning efforts

- Seek approval of the re-stated Mission Statement.

- Obtain further guidance from the Commander

Mission Analysis Brief - Sample

Briefer	Subject
Chief of Staff	Purpose of brief and current mission,
U2	AOE deductions Threats' Most Likely COA and Most Dangerous COA
U3	Facts and Assumptions Analysis of Higher Commander's Intent Recommended essential tasks and end state
U1	Personnel service support and key deductions
U4	Sustainment capacity to achieve the mission
U5	Initial intelligence Collection Plan (CCIRs) Recommended broad COAs.
Chief of Staff	Proposed restated mission
Commander	Guidance and intent

Learning Activity #4

Scenario. You are members of the FHQ staff of a UN mission. A crisis has broken out in your AOR's neighbouring country where the UN established a new mission. UNHQ requires your mission to release an infantry battalion to support the new mission for 90 days. The COS has directed the FHQ staff to conduct a Mission Analysis and be prepared to give a Mission Analysis Brief with the following Force Commander's guidance:

- Protection of civilians must remain our highest priority.
- We must continue to be prepared to deal with the all identified threats within the mission area.
- It is imperative that we remain prepared to respond quickly and robustly to deal with any cross-border threats to civilians
- We will provide the reallocated infantry battalion with all necessary logistic and training support prior to its deployment

Learning Activity #4 (cont'd)

Requirement. Using the reference material and the provided briefing template, each group needs to brief on the outcome of their mission analysis. The briefing is to be completed within 15 mins. Be prepared to answer questions from the FC throughout the brief.

Group 1. AOE summary and threat ML COA and MD COA.

Group 2. Facts, assumptions, higher commander's intent, essential tasks and end-state.

Group 3. Recommended CCIRs, broad COAs and restated mission, if required.

Summary of Key Messages

- Mission Analysis is the principal decision-making tool that guides the planning process.
- Commander's Intent provides direction to the planning officers so that they can determine the solution.
- Planning officers gather two categories of information concerning the mission: facts and assumptions.
- An assumption is appropriate if it meets the tests of validity and necessity.
- The mission statement should describe the task with a purpose, and can be expressed using the elements of who, what, when, where and why.

Questions?

Lesson Content

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Phases of MPP

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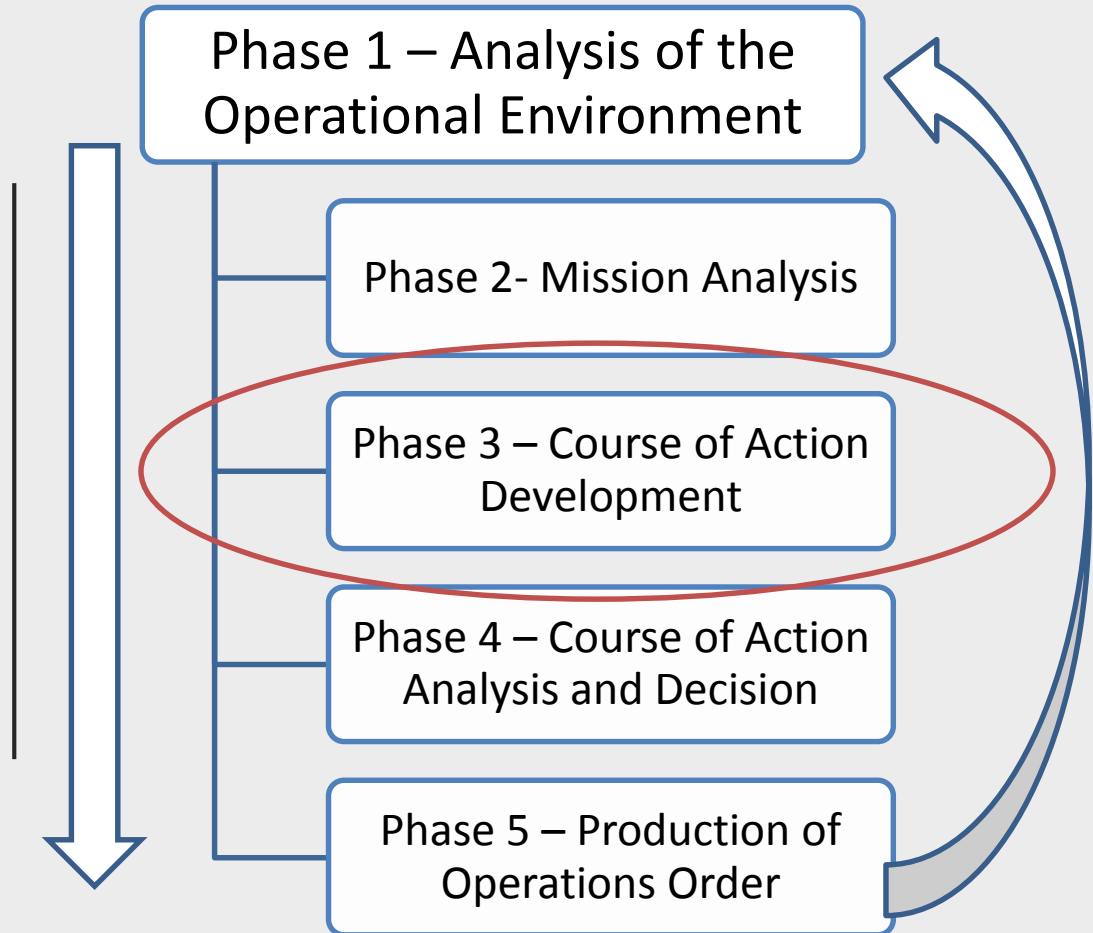
Steps to Develop COAs

1. Confirm centre of gravity
2. Conduct critical capability analysis
3. Develop decisive points and lines of operation
4. Develop broad courses of action
5. Develop detailed courses of action

Confirm centre of gravity. > Conduct critical capability analysis. > Develop decisive points and lines of operation. > Develop broad courses of action. > Develop detailed courses of action
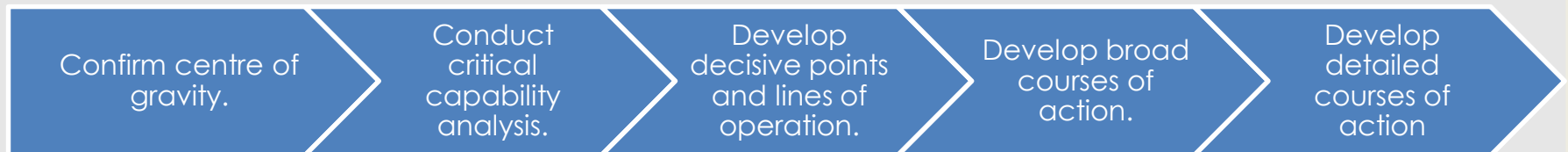
Confirm Centre of Gravity

COG is the characteristic, capability or locality from which the force derives its freedom of action, strength or will to engage in the operation.

| Confirm centre of gravity. | Conduct critical capability analysis. | Develop decisive points and lines of operation. | Develop broad courses of action. | Develop detailed courses of action |
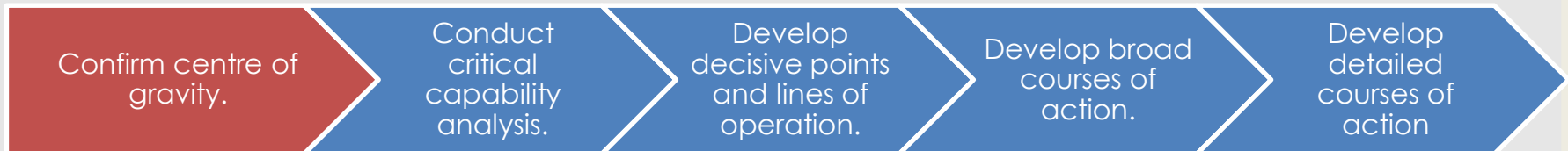
Example Centres of Gravity

- Ability to see, move and respond quickly and decisively

- UN Mandate – legitimacy, international support

- Local support – consent and trust

Confirm centre of gravity.	Conduct critical capability analysis.	Develop decisive points and lines of operation.	Develop broad courses of action.	Develop detailed courses of action
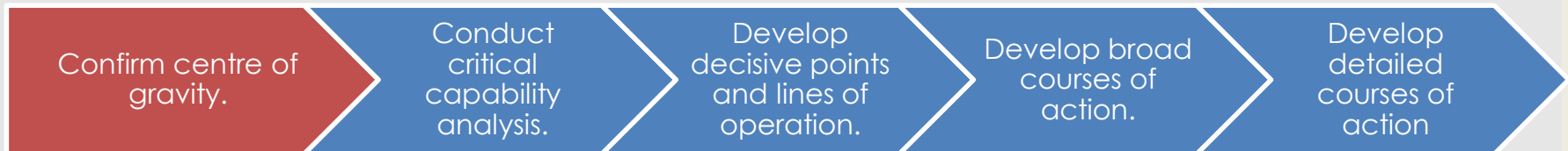
Elements of Centre of Gravity

- Critical Capabilities

- Critical Vulnerabilities

- Critical Requirements

Understanding own and adversary's COG is critical to developing a successful plan

Example Centre of Gravity Analysis

- **Critical Capabilities:** Air operations, force mobility and firepower

- **Critical Vulnerabilities:** Limited forces, level of credibility

- **Critical Requirements:** Consent, Situation Awareness, freedom of action, robust ROE

| Confirm centre of gravity. | Conduct critical capability analysis. | Develop decisive points and lines of operation. | Develop broad courses of action. | Develop detailed courses of action |
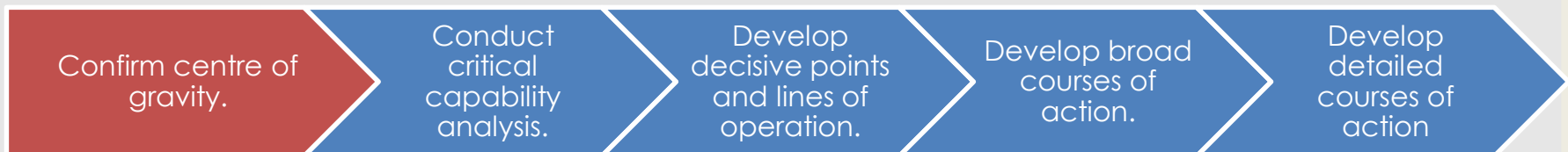
Conduct Critical Capability Analysis

- Identify critical capabilities of the adversary that are vulnerable and can therefore be targeted

- Identify critical capabilities of own force that are vulnerable and therefore need to be well defended

| Confirm centre of gravity. | Conduct critical capability analysis. | Develop decisive points and lines of operation. | Develop broad courses of action. | Develop detailed courses of action |
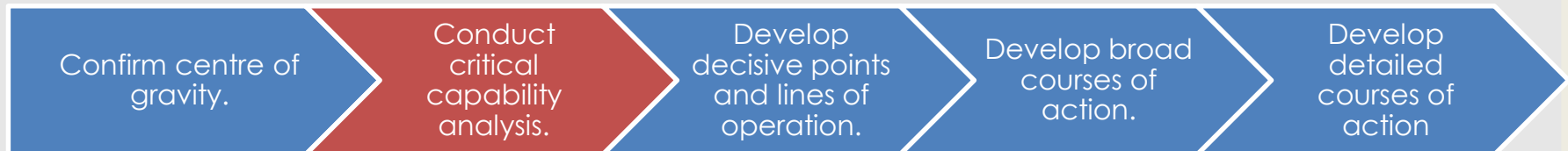
Develop Decisive Points and Lines of Operation

Decisive Point (DP)

- The achievement of desired effects
- The operation cannot progress further until it has achieved
- Must be measurable and have a clearly articulated purpose

e.g. securing a vital piece of local infrastructure, winning the support of the local population or the degradation of the adversary's will to fight

Confirm centre of gravity. | Conduct critical capability analysis. | Develop decisive points and lines of operation. | Develop broad courses of action. | Develop detailed courses of action
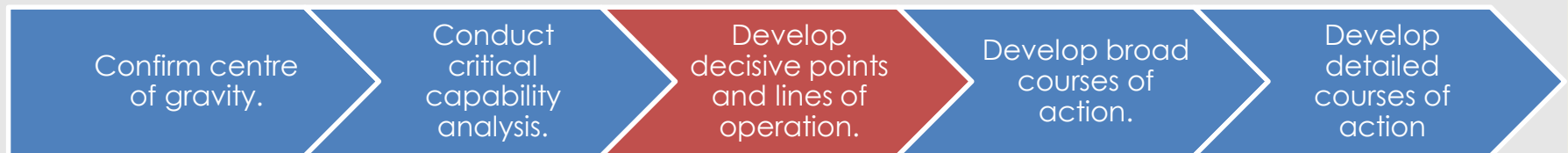
Develop Decisive Points and Lines of Operation

Line of Operation (LOO)
- The linking of DPs to achieve the required effect
- May be expressed functionally or environmentally
- The operation will be broken down into distinguishable LOOs with identifiable DPs

e.g. logistics LOO, humanitarian LOO, land LOO, maritime LOO.

| Confirm centre of gravity. | Conduct critical capability analysis. | Develop decisive points and lines of operation. | Develop broad courses of action. | Develop detailed courses of action |
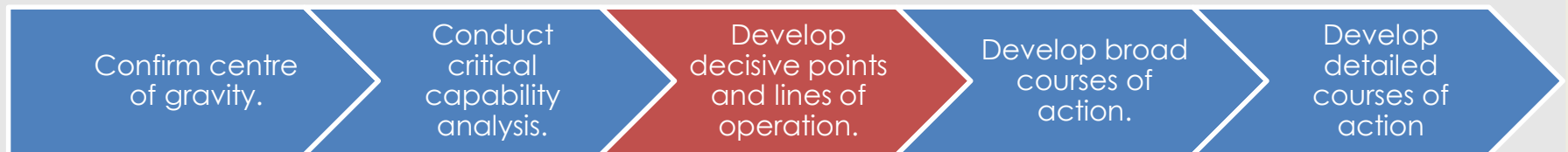
Develop Broad Courses of Action

Each COA must meet the criteria of:

- Suitability

- Feasibility

- Acceptability

- Distinguishability/Exclusivity

- Completeness

| Confirm centre of gravity. | Conduct critical capability analysis. | Develop decisive points and lines of operation. | Develop broad courses of action. | Develop detailed courses of action |

Requirements of COA

Suitability
- Will it result in Mission accomplishment?
- Will it comply with the commander's guidance?

Feasibility
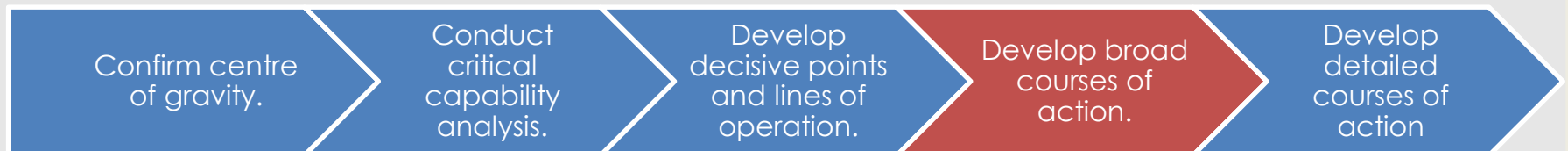- Is it achievable within allocated resources?
- Is it achievable within the time frame?

Acceptability
- Is it in line with accepted doctrine, e.g. ROE, SOP?
- Is it within the legal boundary?
- Are the inherent risks for own forces manageable or acceptable?

Exclusivity
- Is it different from other COAs?

Completeness
- Does it include answers to 5W questions?

| Confirm centre of gravity. | Conduct critical capability analysis. | Develop decisive points and lines of operation. | Develop broad courses of action. | Develop detailed courses of action |

Develop Detailed Courses of Action

At a minimum the following must be considered for each COA:

- Main effort.

- Supporting effort.

- Integration of different Lines of Operation.

- Command, control and communications.

- Adversary threats, risks and COA.

- Tested against suitability, feasibility, acceptability, distinguish-ability and completeness.

| Confirm centre of gravity. | Conduct critical capability analysis. | Develop decisive points and lines of operation. | Develop broad courses of action. | Develop detailed courses of action |

ME & SoM

Main Effort (ME)

The Main Effort establishes an activity, the successful accomplishment of which is decisive to the achievement of the mission

Scheme of Manoeuvre (SoM)

Description of how the Commanders Intent is expressed in the deployment of military assets to accomplish the mission

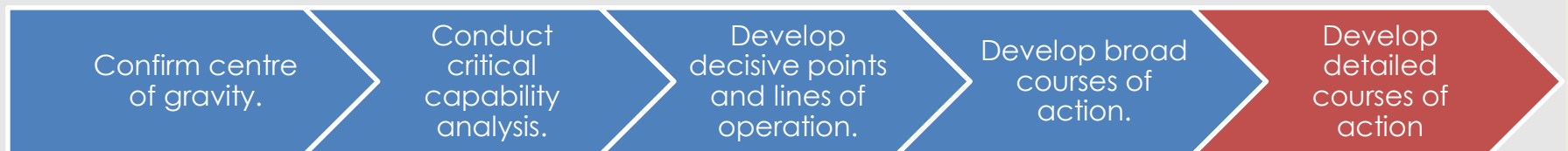| Confirm centre of gravity. | Conduct critical capability analysis. | Develop decisive points and lines of operation. | Develop broad courses of action. | Develop detailed courses of action |
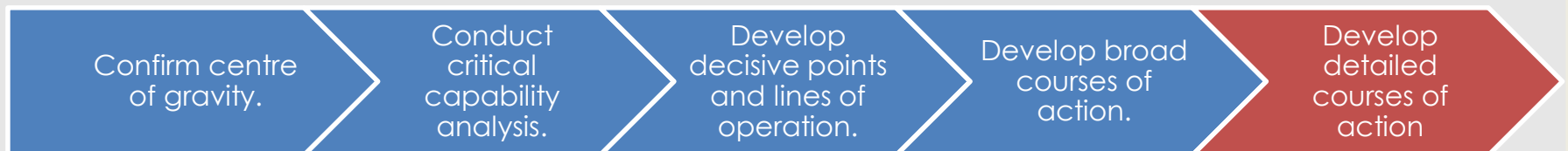
COA Presentation Example

Sketch

COA #1

Intent:

SOM: (Scheme of maneuver)

ME: (Main Effort)

End State:

Success Criteria:

Synchronisation Matrix

ORIGINATOR: (HQ)
DTG:
REF:

MSN	INTENT	INTENT SCHEMATIC
	SOM	
	ME	END STATE

TIME		H - 72	H - 48	H - 36	H - 24	H - 12	H HR	H + 12	H + 24	H + 36	H + 48	H + 72	REMARKS
CONFLICT PARTY 1 (ACTIONS)													
CONFLICT PARTY 2 (ACTIONS)													
POTENTIAL DB													
MANOEUVRE	SUB UNIT 1												
	SUB UNIT 2												
	SUB UNIT 3												
	MOBILE RES												
	RES SUB UNIT												
SP ARM	OS												
	ENGR												
	COMM ETC												
SYC SP	LOG												
	MED												
	ES												

Phases of MPP

Phase 1 – Analysis of the Operational Environment

Phase 2- Mission Analysis

Phase 3 – Course of Action Development

Phase 4 – Course of Action Analysis and Decision

Phase 5 – Production of Operations Order

COA Testing Guidelines

- Remaining objective and impartial

- Continuous verification of each COA's credibility

- Avoid premature conclusions

- Each COA must be tested against each Conflict Party's COA

Example: Course of Action Analysis and Selection Comparison

COA	Advantages	Disadvantages
1	Surprise Less employment of threat's robust capabilities	Potential loss of domestic and international support May compromise inter – agency cooperation
2	Affords flexibility Provides Initiative Strengthens moral authority of UN forces	Lacks Long-term sustainability Vulnerability of forward deployed forces Highly dependent on Host Nation Support
3	Strong moral authority and international acceptance Domestically popular	Loses military initiative Potential for attrition

Example: Course of Action Analysis Selection and Evaluation

|	CRITERIA	COA1	COA2
1	Consent	3	2
2	Impartiality	4	4
3	Non Use of Force	3	2
4	Legitimacy	5	3
5	Credibility	4	3
6	ROI	4	3
7	Risk Management	3	2
8	Totals	26	19

Learning Activity

1. Analyze the two Courses of Action for the deployment of UN military component in Carana mentioned in the following slides

2. Make COA comparison with the given format

3. Give a short COA brief

Course of Action (COA1)
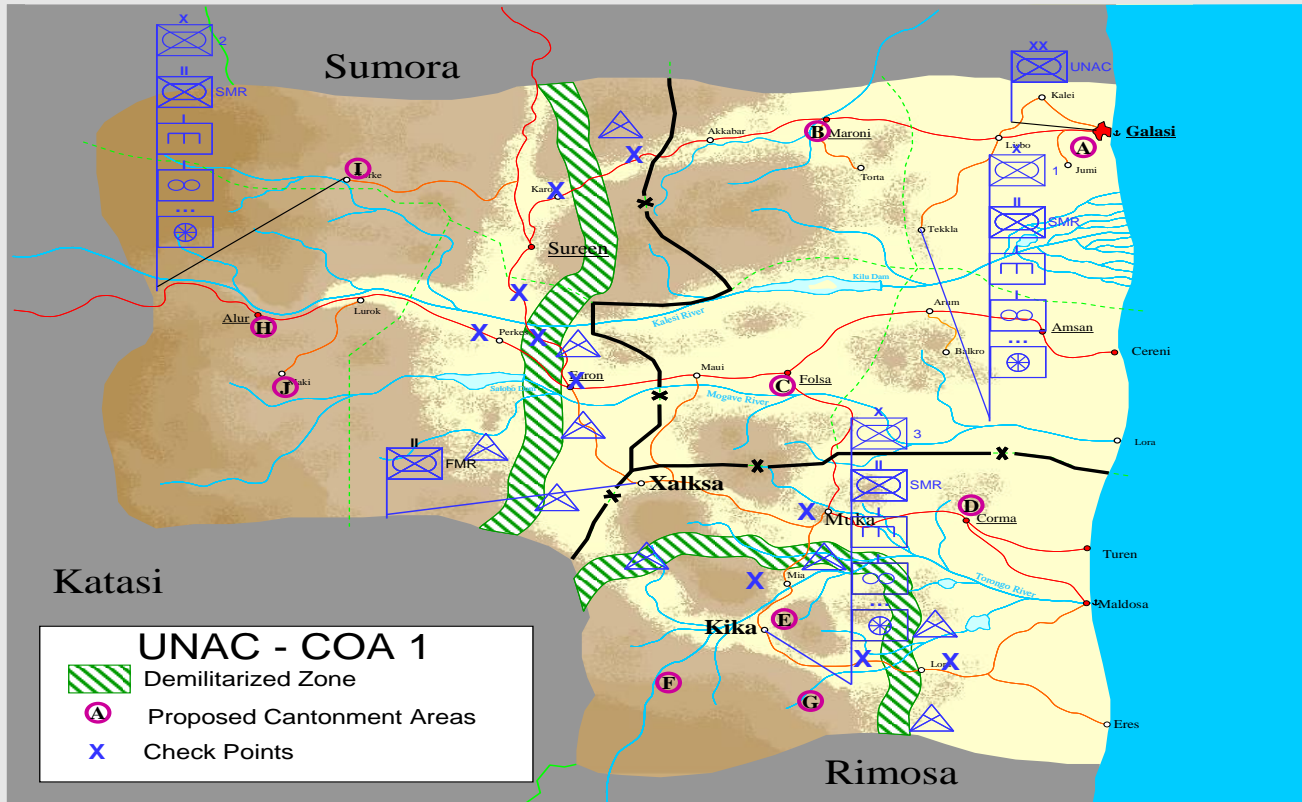
Intent: *To restore peace and security in Carana through effective safeguarding of the United Nations demilitarised zone while dominating the Area of Operation to ensure compliance with UN Security Council Resolution.*

SOM: To divide the force into three sectors, *secure the demilitarised zones with a system of Checkpoints, Patrols and Obs Posts with each sector maintaining a company size reserve for employment under orders of Force HQ*

Map labels: Sumora, Katasi, Rimosa, Sureen, Alur, Xalksa, Kika, Maroni, Akkabar, Torta, Tekkla, Kalei, Lebo, Galasi, Jumi, Arum, Balkro, Amsan, Cereni, Folsa, Maui, Karn, Lurok, Perkera, Varon, Faki, Uake, Kilu Dam, Kalesi River, Mogave River, Sakabi, Muka, Corma, Lora, Turen, Maldosa, Mia, Lom, Tomnga River, Eres

UNAC - COA 1
- Demilitarized Zone
- Ⓐ Proposed Cantonment Areas
- X Check Points

ME: *Safeguarding the United Nations demilitarised zones and population centres in each Sector*
End State: *Complete cessation of hostilities in Carana with UNAC presence felt in the entire country*
Success Criteria: *Free movement of UNCT and locals throughout Carana without fear of attack or harassment by conflict parties or criminal gangs.*

Course of Action (COA2)
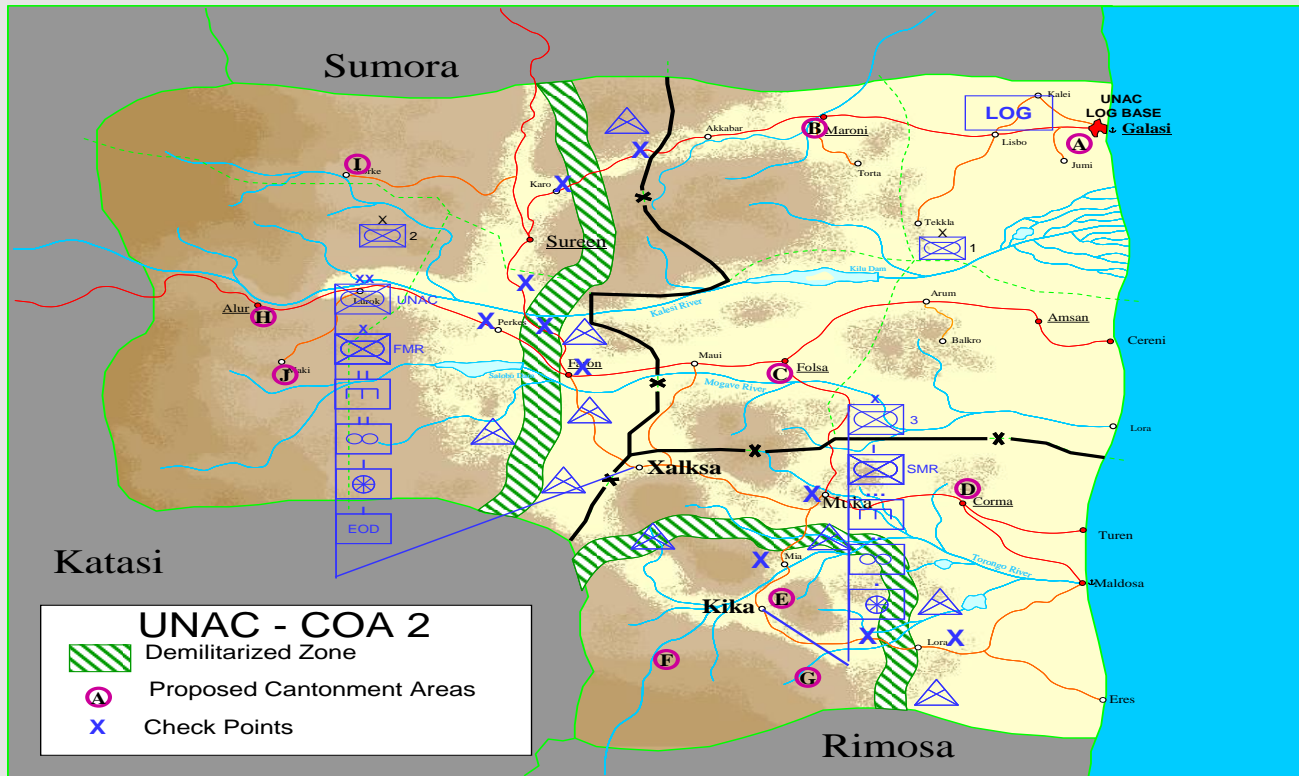
Intent: *To restore peace and security in Carana through effective safeguarding of the United Nations demilitarised zone while dominating the Area of Operation to ensure compliance with UN Security Council Resolution.*

SOM: *To divide the forces into two sectors , secure the demilitarised zones with a system of Checkpoints, Patrols and Obs Posts with a strong Force Mobile Reserve of brigade group size.*

UNAC - COA 2
- Demilitarized Zone
- Proposed Cantonment Areas
- Check Points

ME: *Safeguarding the United Nations demilitarised zones and conduct offensive actions against spoilers*
End State: *Complete cessation of hostilities in Carana with UNAC presence felt in the entire country*
Success Criteria: *Free movement of UNCT and locals throughout Carana without fear of attack or harassment by conflict parties or criminal gangs.*

COA Comparison

COA1 (Statement /or Schematic)				**COA2 (Statement /or Schematic)**		
Intent SOM ME				Intent SOM ME		
ADVANTAGES	DISADVANTAGES	Score	CRITERIA	Score	ADVANTAGES	DISADVANTAGES
		3	Consent	2		
		4	Impartiality	4		
		3	Non Use of Force	3		
		5	Legitimacy	3		
		4	Credibility	3		
		4	Return on Investment	3		
		3	Risk Management	2		
Summary (of advantages and disadvantages)				Summary (of advantages and disadvantages)		
Total Score		26		19	Total Score	

COA Decision Brief Template

Briefer	Subject
Chief of Staff	Higher Commander's Intent, situation, HOMC Guidance, conclusion
U2	AOE (Relevant aspects)
Chief of Ops / U3	Re-stated Mission and Status of own forces
Staff branches - U1, 4, 5, 6, 9	Own situation
Chief of Plans / U5	COA Comparison (Including risks and control measures)
Commander	Decision
Chief of Staff	Apportion tasks to staff areas; plan for the further development of the selected COA

Phases of MPP

Phase 1 – Analysis of the Operational Environment

Phase 2- Mission Analysis

Phase 3 – Course of Action Development

Phase 4 – Course of Action Analysis and Decision

Phase 5 – Production of Operations Order
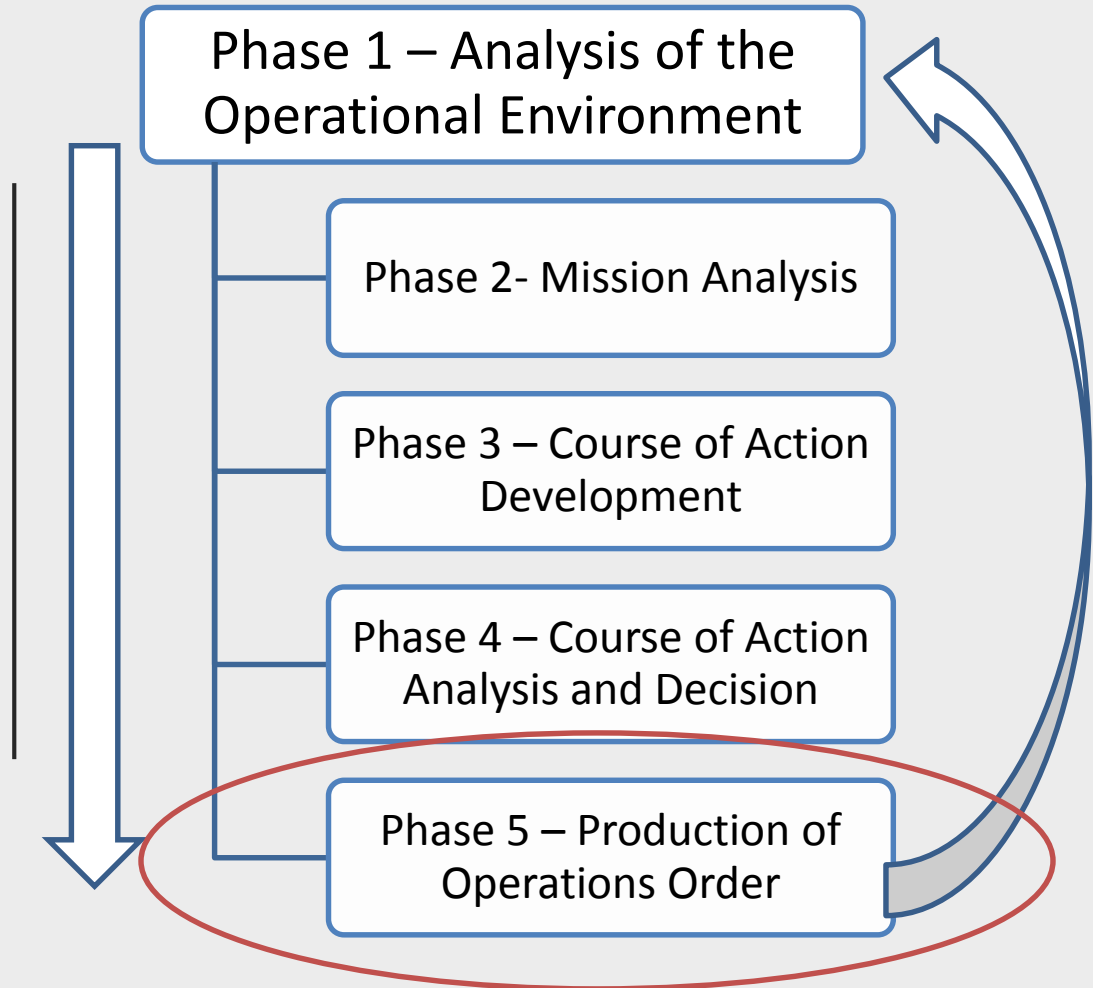
Headings of the Op Plan

BACKGROUND

CURRENT SITUATION

- Conflict Parties
- Own Forces
- Assumptions
- Limitations and Constraints

MISSION

EXECUTION

- Concept of Operations
- Tasks
- Coordinating Instructions

INTEGRATED SUPPORT SYSTEM

EXAMPLE - OP ORDER

UNITED NATIONS
United Nations Mission in
Bogaland

NATIONS UNIES
Mission de l´Organisation des
Nations Unies en Bogalande

UNMIB
Eskilstuna

Copy No__of __copies
Total pages __

UNMIB /Force HQ
_ _ _ ___ APR 20 xx

OPO xx/20XX: UN MISSION NAME OPERATIONAL ORDER

Reference:
A.United Nations Security Council Resolution...
B.ROE dated....
C.Map Bogaland Military 1:100000

Time Zone Used Throughout the Order: ZULU

Task Org. See Annex A.

1. SITUATION
Background. *Short summary of key issues.*
   a) Current Situation. *Relevant detail on the current situation*
   b) Threat Assessment. *Key features of threat, further detail in Annex.*

Summary of Key Messages

- Steps to develop COAs:
    1. Confirm Centre of Gravity (COG)
    2. Conduct Critical Capability Analysis
    3. Develop decisive points (DP) and lines of operation (LOO)
    4. Develop broad COAs
    5. Develop detailed COAs
- The COG for any force can be defined as the characteristic, capability or locality from which the force derives its freedom of action, strength or will to engage in the operation.
- Each COA must be suitable; feasible; acceptable; distinguishable; and complete.

Questions?

L e s s o n

2

Intelligence Processing

Aim

The aim of this lesson is to inform military staff officers in missions on the concepts and practices of intelligence acquisition and processing in a complex United Nations peace operation environment

Learning Outcomes

- Understand intelligence acquisition principles

- Understand the mission intelligence cycle

- Identify various techniques/ methods of intelligence acquisition

- Identify the various products of processed intelligence

- Recognize and protect sensitive intelligence

Lesson Content

Peacekeeping Intelligence Overview

Peacekeeping Intelligence Cycle

Peacekeeping Intelligence Cycle Management Tools

Lecture Content

- Why "Information" has changed to "Intelligence"

- Definition and objectives of Peacekeeping Intelligence

- Principles of Peacekeeping Intelligence

Why has the UN now embraced Intelligence instead of Information?

United Nations
Department of Peacekeeping Operations /
Department of Field Support
Ref. 2017.07

Policy

Peacekeeping Intelligence

Approved by: USG DPKO
                 USG DFS
Effective date: 2 May 2017
Contact: DPKO-DFS/DPET/PBPS Policy Planning Team
Review date: 2 May 2019

The Special Committee "recognizes that some peacekeeping missions have been deployed in fragile political and security environments with asymmetrical and complex threats. In this context, the Special Committee recalls […] its request for the Secretariat to develop a more cohesive and integrated United Nations system for situational awareness…"

2017 report (A/71/19) of Special Committee on Peacekeeping Operations

Definition

Peacekeeping intelligence is the non-clandestine acquisition and processing of information by a mission within a directed mission intelligence cycle to meet requirements for decision-making and to inform operations related to the safe and effective implementation of the Security Council mandate.

Objectives of Peacekeeping Intelligence

- Support a common operational picture

- Provide early warning of imminent threats

- Identify risks and opportunities

Principles of Peacekeeping Intelligence

- Under rules
- Within mandates
- Independence
- Accountability, capability and authority
- Security and confidentiality

Under Rules

- In line with mandates

- In full compliance with the UN Charter

- Consistent with overall legal framework

- With full respect for human rights

Clandestine activities are illicit and outside the boundaries of peacekeeping intelligence

Learning Activity #1

Form two groups.

Debate over the pros and cons of having clandestine intelligence in peacekeeping missions.

Under rules

Within mandates

Independence

Accountability, capability and authority

Security and confidentiality

Within Mandates

- Exclusively for mandate implementation

- With respect to the safety and security of UN personnel.

Under rules

Within mandates

Independence

Accountability, capability and authority

Security and confidentiality

Independence

- Fully autonomous from and independent in all aspects of any national intelligence systems

- Maintain exclusively international character

- Share intelligence with non-mission entities only when UN conditions are met

Under rules

Within mandates

Independence

Accountability, capability and authority

Security and confidentiality

Accountability, capability and authority

- Accountable for the effective execution of responsibilities

- Proper capabilities to execute functions

- Authority to make decisions

Under rules

Within mandates

Independence

Accountability, capability and authority

Security and confidentiality

Security and confidentiality

- Secure information management and communications

- Shared and disseminated on the basis of the "need to know" and "need to share" concepts

- Only disclosed to trusted individuals for official duties

Learning Activity #2

Based on the peacekeeping intelligence principles, discuss the do's and don'ts for military peacekeepers in the provision of intelligence support.

Summary of Key Messages

- The fundamental purpose of peacekeeping intelligence in United Nations peacekeeping operations is to enable missions to take decisions on appropriate actions to fulfil mandates effectively and safely.

- Principles of Peacekeeping Intelligence include:
    1. Under Rules
    2. Within Mandates
    3. Independence
    4. Accountability, capability and authority
    5. Security and confidentiality

Questions?

Lesson Content

Peacekeeping Intelligence Overview

Peacekeeping Intelligence Cycle

Peacekeeping Intelligence Cycle Management Tools

Peacekeeping Intelligence Cycle
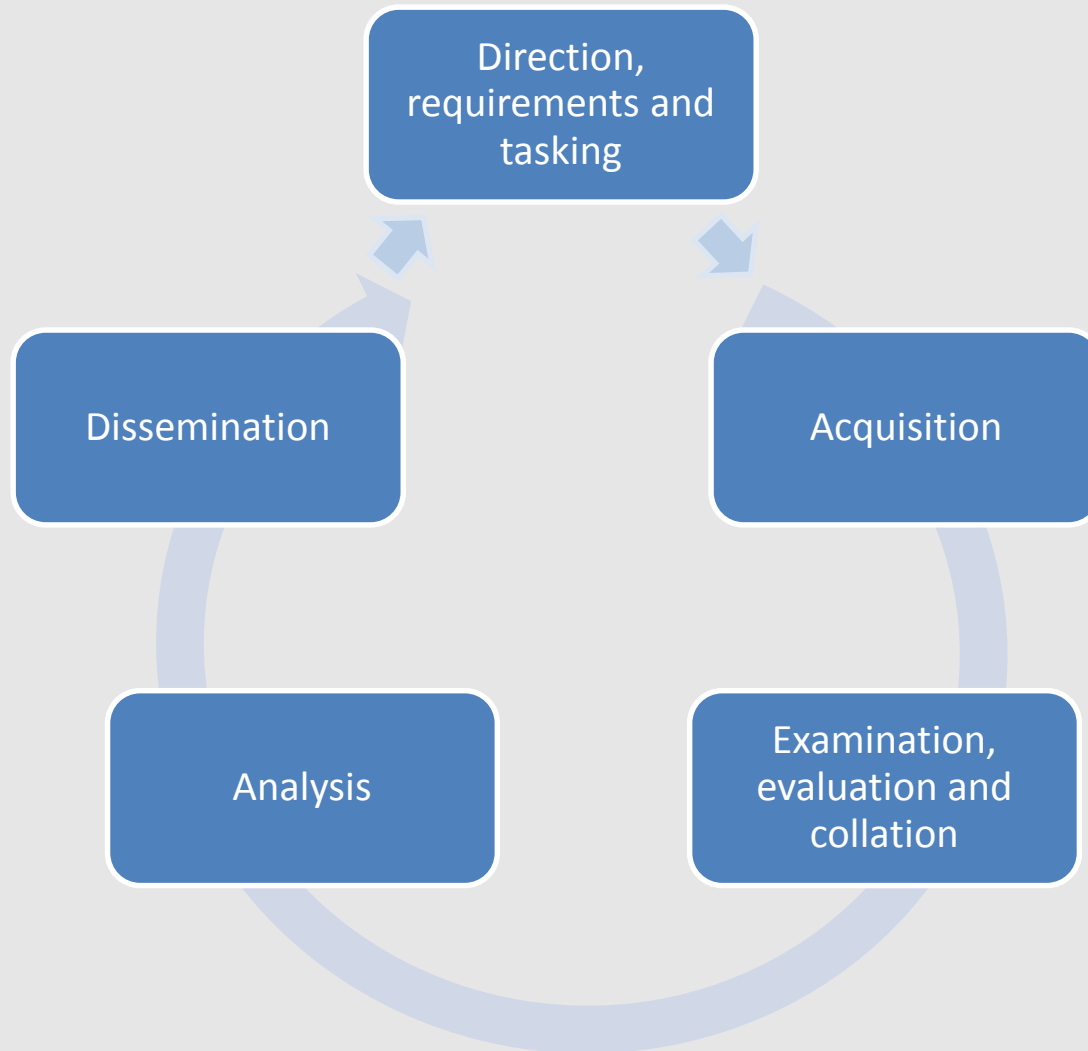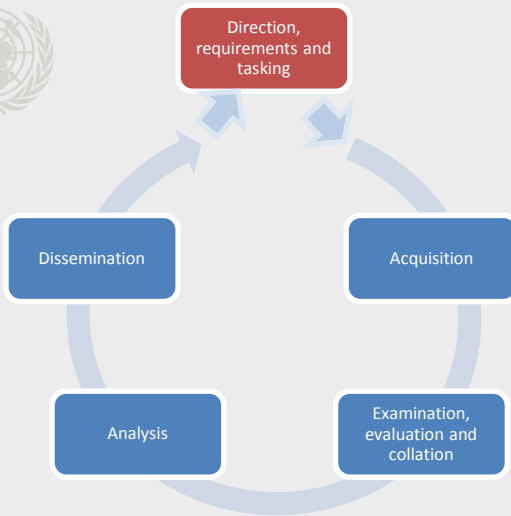
Direction, requirements and tasking

- Specify Information or Intelligence Requirements (IRs), prioritization of tasks and timeframes

- Under authority and accountability of the HoM or delegated authority
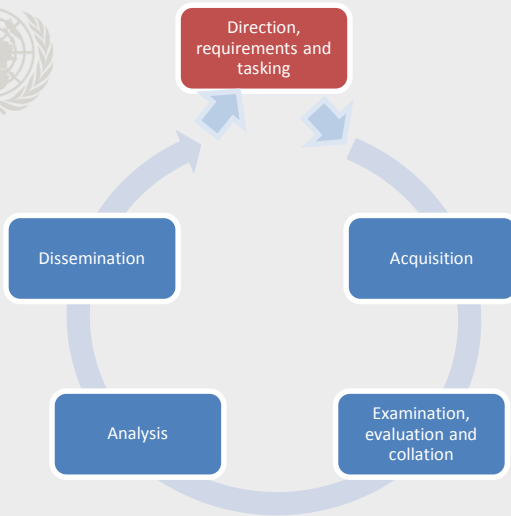
Tasking

- Priority Information Requirement (PIR)

- Request for Information (RFI)

- Use of collection assets

Learning Activity #1
(Part 1 of 2)

Discuss the intelligence support requirements and tasking considerations for the following situations:

- Quick Impact Projects

- Convoy escort

- IED disposal

- IDP camp protection

- UN camp perimeter defense

Learning Activity #1

(Part 2 of 2)

Based on the discussions of the different situations, answer the following questions:

- What information is required?

- How do we collect it?

- What is the priority?

- How do we synchronize/coordinate efforts?

- What is the timeframe?
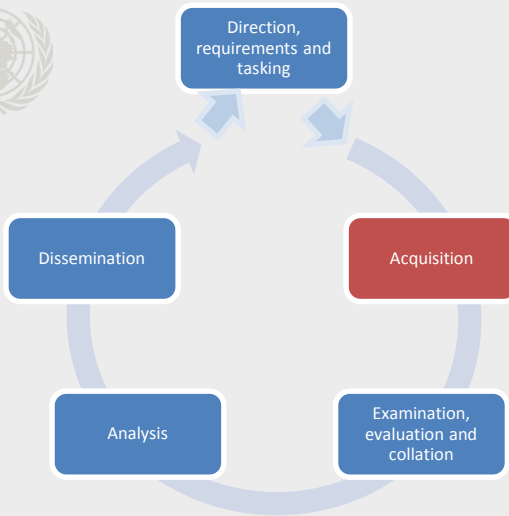
Acquisition

Intelligence acquisition sources:

- SIGINF (including COMINF and ELINF)

- IMINF

- HUMINF

- Media

- Reports

- OSINF (open sources of information),

- Other agencies, NGOs, IOs

Learning Activity #2

Discuss the following questions:

- What intelligence acquisition means are there in a peacekeeping mission?

- Are there differences in intelligence collection for military, police and civilian components?

- What are the pros and cons of each intelligence acquisition method?
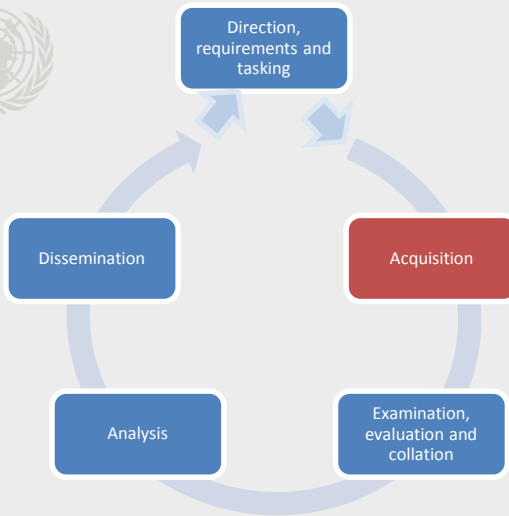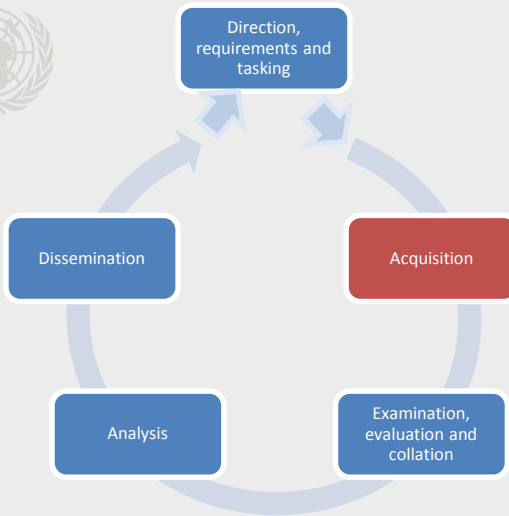
Aerial Reconnaissance

- Reach remote and inaccessible areas

- Quickly deployable to respond to emergency situations

- Centralized airspace management

- UAVs or tethered balloon
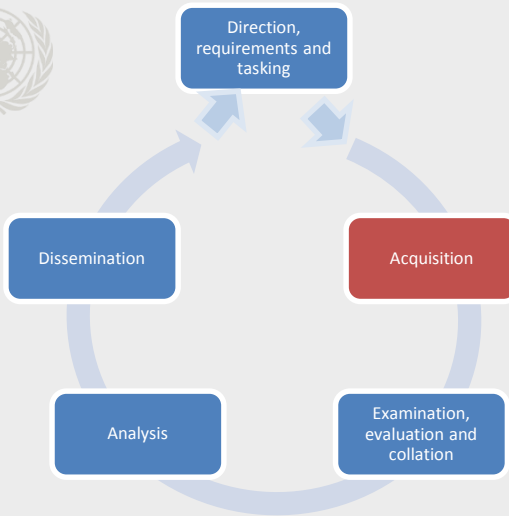
Signals Monitoring

- Radio communication and other electromagnetic emissions

- Modalities defined in SOFA/SOMA or bilateral arrangements with the host-country
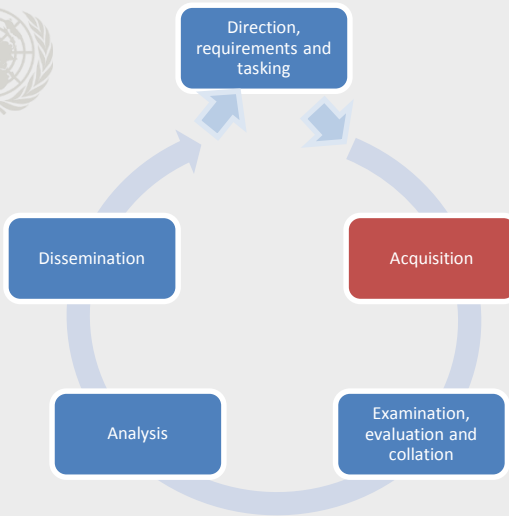
Closed Circuit Television (CCTV)

- Have dissuasive and preventive effect

- Should seek to minimize intrusiveness and impact on local population
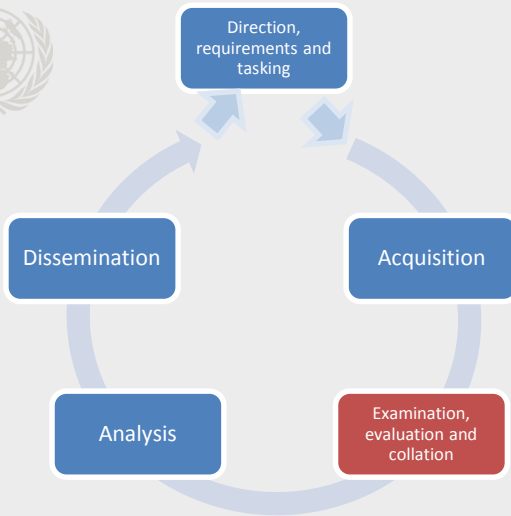
Examination, evaluation and collation

Standardized tools for the collation of data:

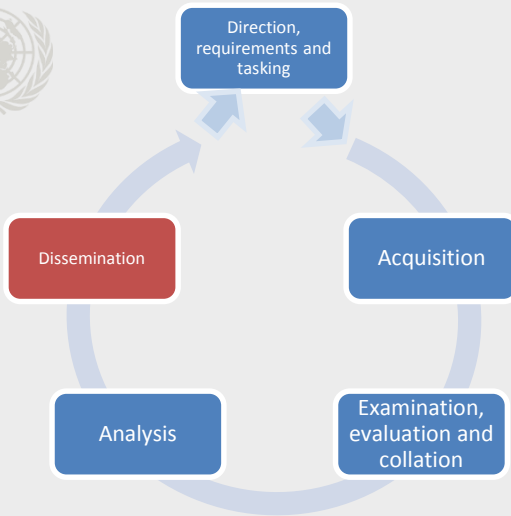- Common databases

- Taxonomies

- Planned indexing and menus
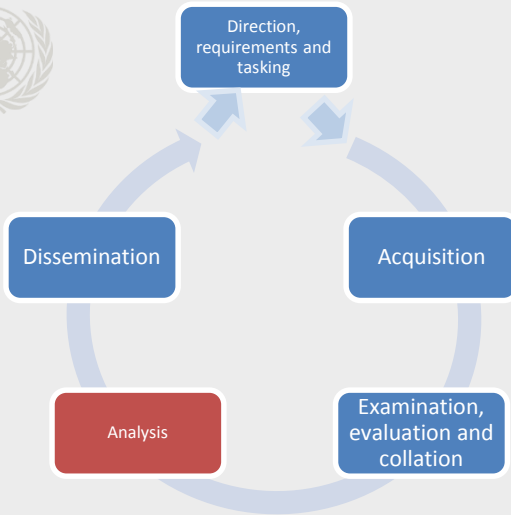
Analysis

Analysis refers to

- Methodical breaking down of information

- Examination to find interrelationships

- Application of reasoning to determine the meaning of the parts and the whole

Dissemination

- Convey intelligence to decision-makers and relevant personnel

- Through the mission intelligence coordination structure

- Follow "Need to know/need to share" concepts

UN Information Security Classifications

01 Strictly Confidential

02 Confidential

03 Unclassified

Information should be classified on an exceptional basis and only as required

Intelligence Sharing

Within the mission:

- Default approach should allow for sharing of information within the mission

With non-mission and non-UN entities:

- Registered centrally by authorized and trained personnel

- Documented and justified in terms of the mandate

- Approved by HoM or delegated authority

Summary of Key Messages

- The peacekeeping intelligence cycle is the process by which peacekeeping intelligence is acquired, examined/collated, analysed and disseminated based on clearly identified Intelligence Requirements

- The cycle includes:

    - Direction, requirements and tasking;
    - Acquisition;
    - Examination, evaluation and collation;
    - Analysis;
    - Dissemination.

Questions?

Lesson Content

Peacekeeping Intelligence Overview

Peacekeeping Intelligence Cycle

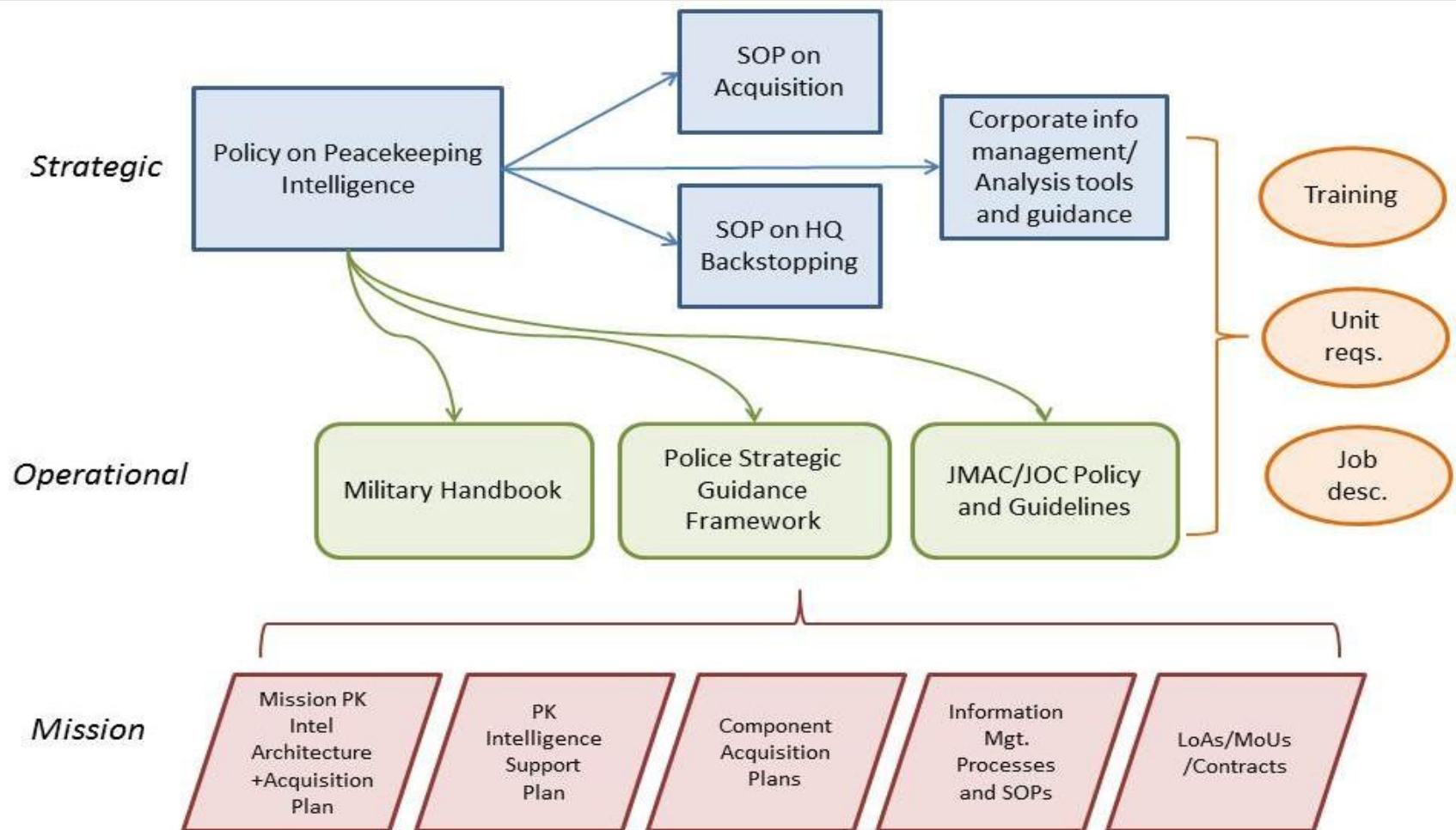Peacekeeping Intelligence Cycle Management Tools

Aim

The aim of this lesson is to understand key mechanisms that shall be used for the management of peacekeeping intelligence in missions

# Peacekeeping Intelligence Policy Framework

Mission Intelligence Coordination Structure

Members	Primary Manager	Planning responsibility	Focus
Chair	SRSG/DO	**Mission IRs** Mission Intelligence Plan	
Joint Mission Analysis Centre		**SRSG's IRs,** JMAC Acquisition Plan	Medium-to-long term, threats to mandate
UNDSS		**DO's IRs** Security Threat Info Acquisition Plan	Safety and security of UN personnel, premises, assets
	Chief of Staff		
Joint Operations Centre (supporting)			Information management and flow
U2	Force Cmdr.	**FC's IRs** Military Intel Acquisition Plan	Military intel, planning of operations
Police Component	Police Comm.	**PC's IRs** Criminal Intelligence Acquisition Plan	Criminal intel, planning of operations

Joint Mission Analysis Center

Chief JMAC operationalizes the central control and direction of the mission's peacekeeping intelligence system
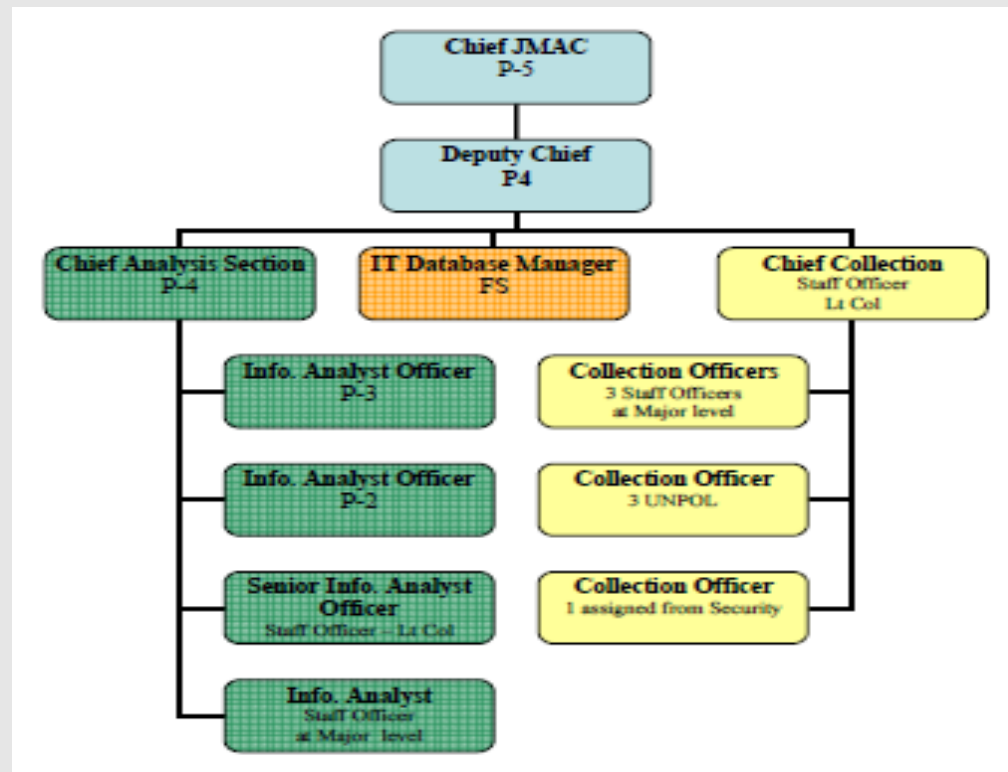
Learning Activity #1

Discuss why missions should establish a coordination structure?

Peacekeeping Intelligence Management Tools

- Intelligence Requirements (IRs)

- Mission Intelligence Acquisition Plan

- Mission Intelligence Support Plan

Intelligence Requirements (IRs)

- Derived from gaps or voids

- Usually phrased as questions

- Form the basis of a Mission Intelligence Acquisition Plan

Mission Intelligence Acquisition Plan

- Translate SML strategic direction and requirements into tangible IRs

- Provide a roadmap for the fulfillment of these requirements

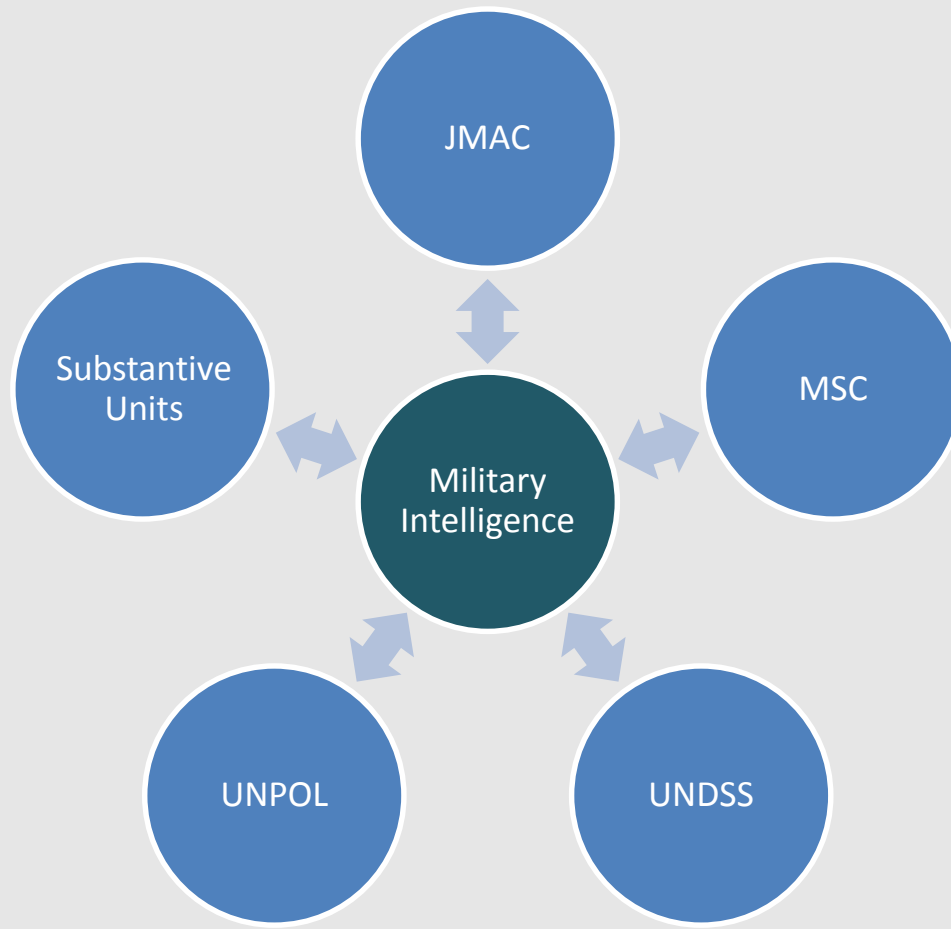- Guide the development of Military Intelligence Acquisition Plan

Mission Intelligence Support Plan

- Describe boundaries

- Identify key considerations

- Provide direction to the peacekeeping intelligence cycle

Military Intelligence Coordination with other Mission Entities

Example: POC Mission-wide Intelligence Support

- Have a comprehensive and current understanding of the threat environment

- Integrate threat/predictive assessments

- Identify trends of violence against civilian communities

- Assess the intentions and capabilities of perpetrators

- Analyse conflict dynamics

- Predict potential threats to civilians

- Have mission-wide information priorities

Learning Activity #2

Draft Priority Information Request (PIR) and Collection Plan for Carana Scenario with the following details:

- Define the different factors you will take into account

- Define the tasks you would assign to the collection sources

- Identify the leading source and the supporting sources

Summary of Key Messages

- Missions shall establish a mission intelligence coordination structure to direct and oversee the peacekeeping intelligence cycle within the mission.
- Intelligence Requirements (IRs) derive from gaps or voids between what is known and what is not.
- The Mission Intelligence Acquisition Plan translates the strategic direction provided by Senior Mission Leadership and requirements communicated by operational planners into tangible IRs.
- The Mission Intelligence Support Plan describes the boundaries within which the peacekeeping intelligence cycle will be executed.

Questions?

Lesson

3

Logistics Support

Aim

The aim of this lesson is to provide staff officers with an overview of the United Nations logistics system and its operations in support of field missions

Learning Outcomes

- Describe UN mission support concept

- List various mission support entities in the field

- Define the Contingent Owned Equipment System (COE) and United Nations Owned Equipment (UNOE)

- Explain the medical support in the field

Lesson Content

UN Mission Support Concept

UN Mission Support Entities in the Field

UN Mission Support for Uniformed Personnel

Mission Statement of
UN Mission Support

Why they exist

We help international peace operations succeed

What they do

by providing support solutions that are

How they do it

rapid, effective, efficient and responsible.

*rules and regulations, environment,
ethical standards*

They prioritize strategic mandate tasks

Vision Statement of
UN Mission Support

They are not there yet

What they aspire to achieve

We strive to be recognized for operational excellence.

measurement, awards, certification

consistent, reliable, sustainable results

The Full Spectrum of UN Mission Support

- Strategy, policy, advocacy
- Planning
- Performance and analytics
- Member state interaction

- Budget development / reporting
- Trust fund management
- Payment / claims processing

- Recruitment
- Roster management
- Post management
- Entitlements and benefits

- Property, asset, inventory mgt.
- Procurement support
- Systems contract mgt.
- Strategic deployment stocks

- MOU administration
- Troop deployment / rotation
- Troop reimbursements
- COE verification
- COE reimbursements
- Death and disability claims

- Office accommodation
- Living accommodation
- Camp facilities
- Construction services

- Fuel management

- Water supply
- Waste management

- Power generation / supply

- Rations management

- IT hardware / infrastructure
- Applications and solutions
- Geo information services
- User support

- VSAT/HF/VHF infrastructure
- Telecom services

- Air transport
- Movement control
- Aviation safety
- LOA management

- Ground transport
- Fleet maintenance

- Medical services
- Medical supplies
- MEDEVAC / CASEVAC

- Conduct and discipline
- Boards of inquiry

- Audit management
- Risk management

- Naval transport

Mission Support : What does it involve?

Civilian Staffing → **Personnel**

Logistics Operations,

Strategic Movements

Air Transport

Surface Transport

Supply/Life support

Engineering

Comms & IT, GIS

Medical

→ **Logistics**

Budget → **Finance**

Personnel → **Mission Support**

Logistics → **Mission Support**

Finance → **Mission Support**
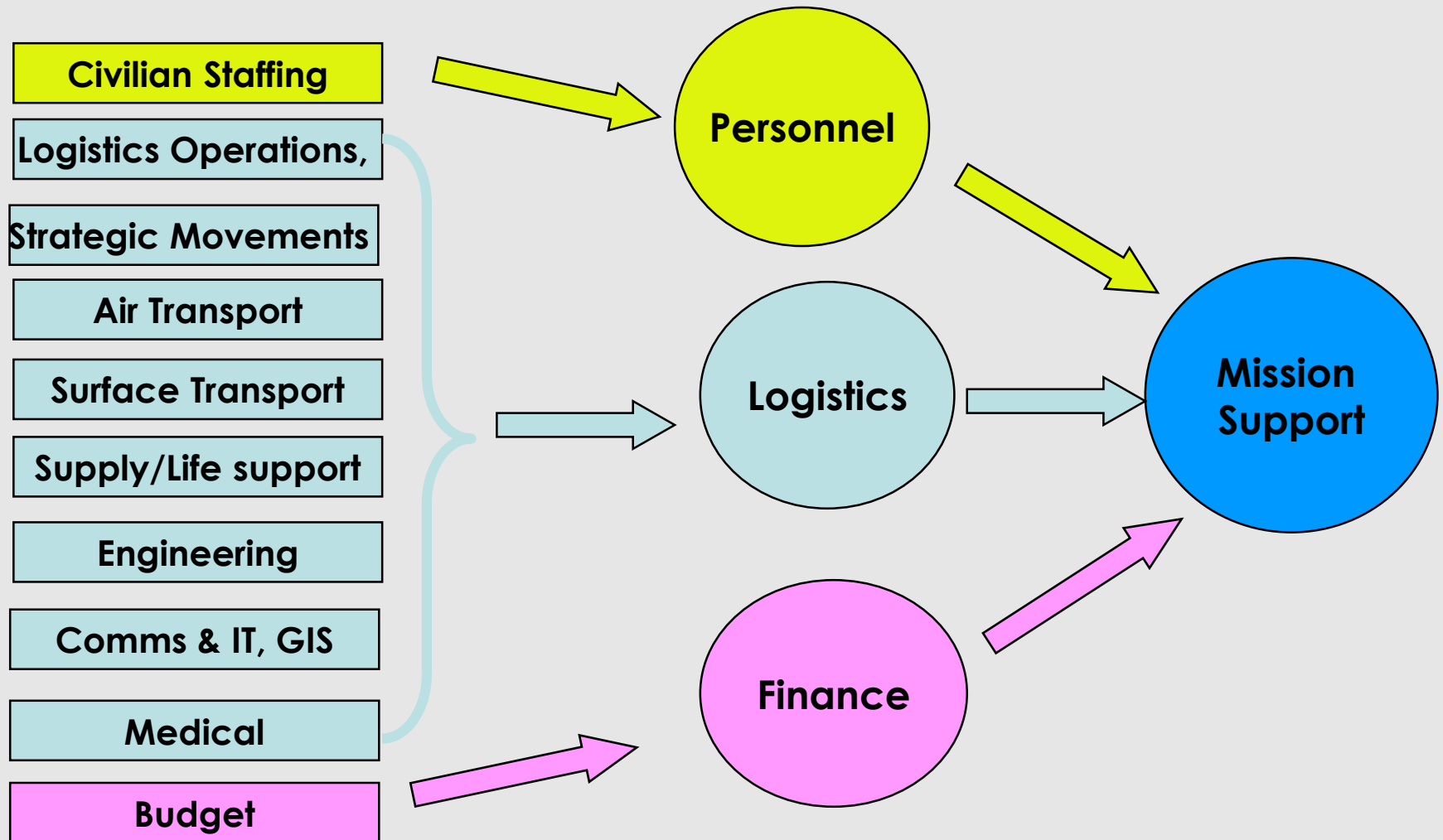
Learning Activity #1

Discuss about the Activities or Tasks involved within UN Mission Support.

Complexity and Criticality

Meet the needs of **clients & stakeholders**

- Security Council

- Member States
  TCCs, PCCs, financial contributors,
  host governments

- Missions
  SRSGs and field staff

- Client organisations
  DPKO, DPA, AU, others

Deliver in **complex environments**

- Remote locations

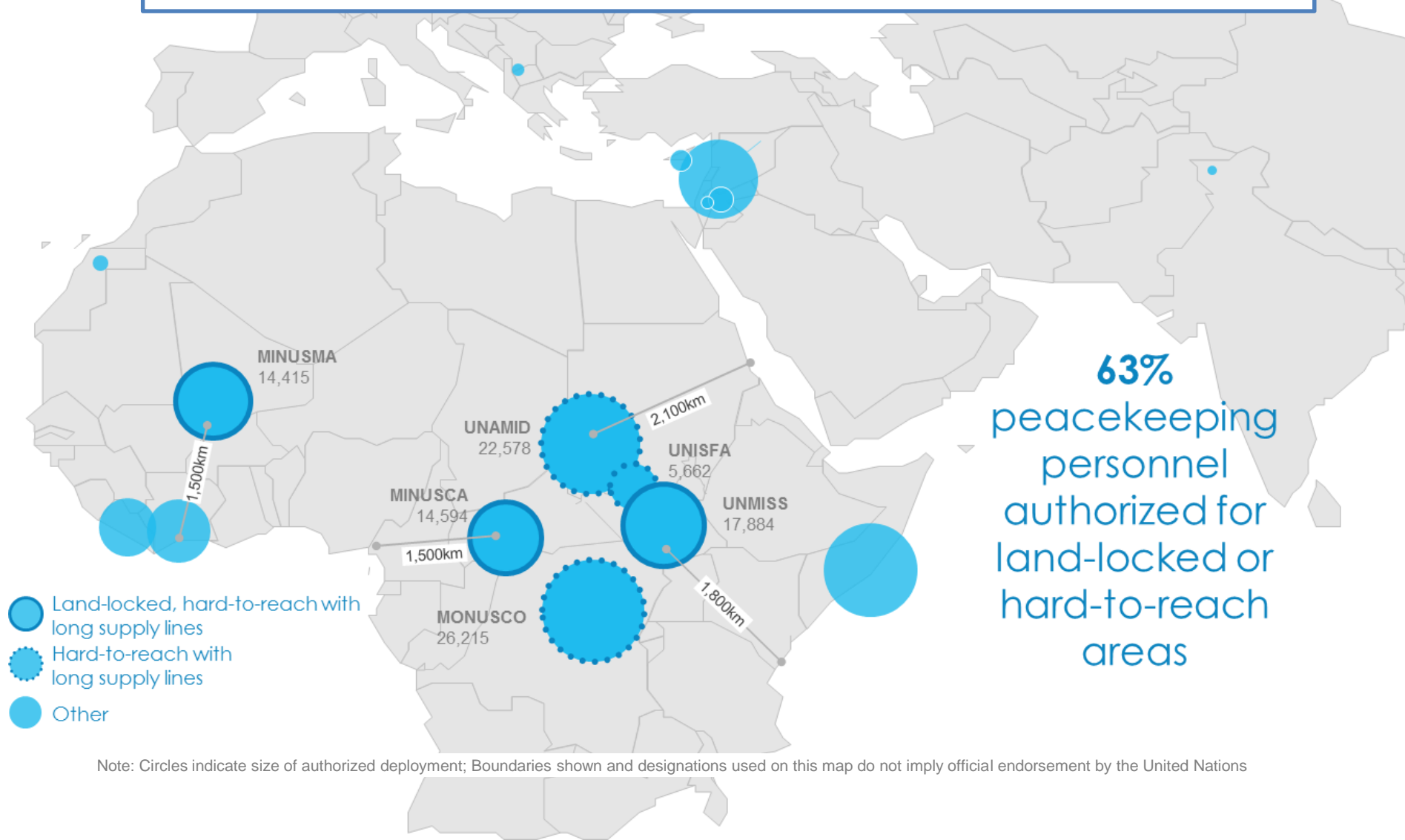- High security risks

- Poor infrastructure

- Weak markets

- Budget pressure

Learning Activity #2

Discuss about the
Complexity and Criticality
of UN Mission Support.

Operating environments are increasingly remote…

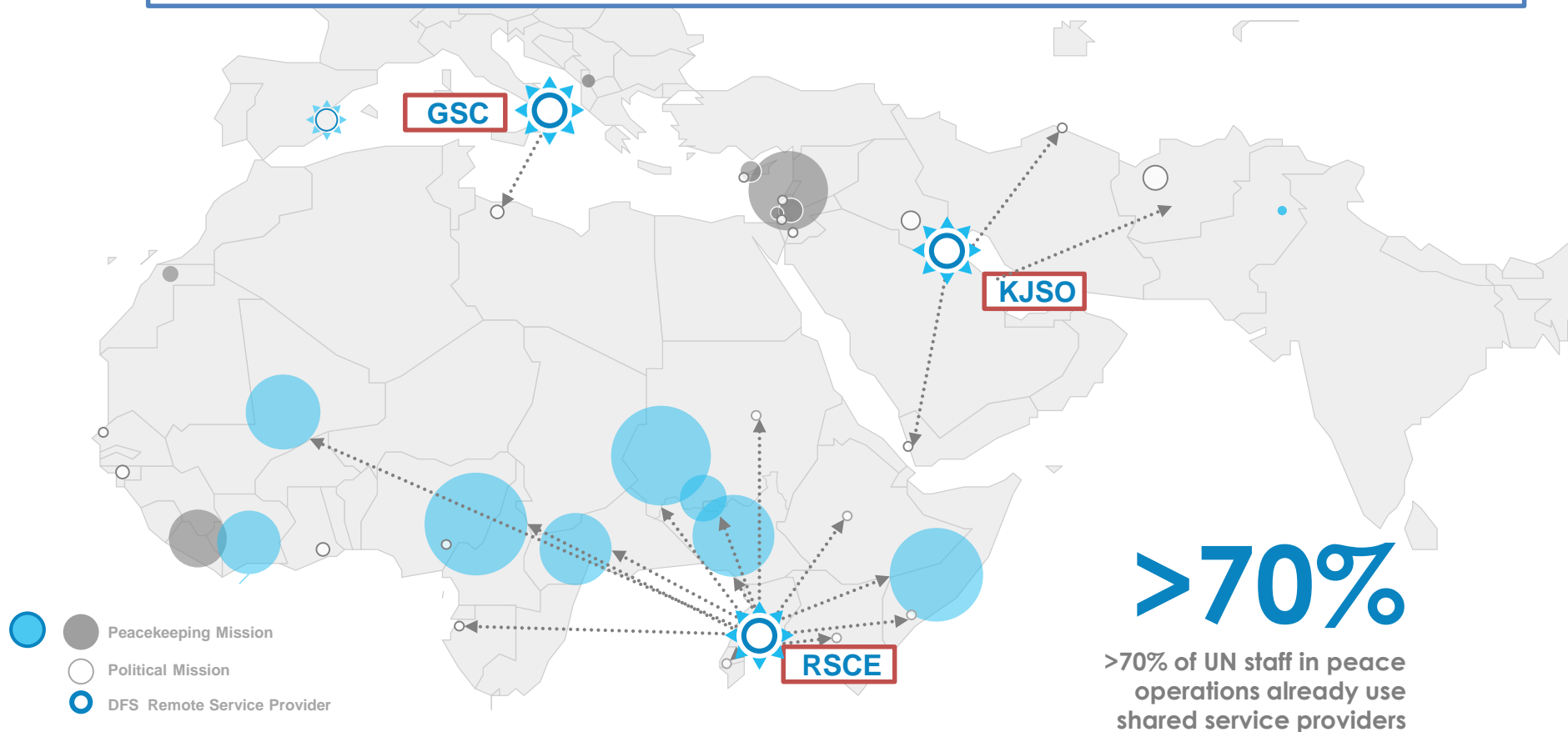Largest ops are now in remote / hard-to-reach areas with long supply lines

MINUSMA
14,415

1,500km

UNAMID
22,578

2,100km

UNISFA
5,662

MINUSCA
14,594

1,500km

UNMISS
17,884

MONUSCO
26,215

1,800km

63% peacekeeping personnel authorized for land-locked or hard-to-reach areas

Land-locked, hard-to-reach with long supply lines

Hard-to-reach with long supply lines

Other

Note: Circles indicate size of authorized deployment; Boundaries shown and designations used on this map do not imply official endorsement by the United Nations

Sharing services is now common

70% of staff in the field already use shared service providers and the objective is to reach 100%

GSC

KJSO

RSCE

Peacekeeping Mission
○ **Political Mission**
◉ **DFS Remote Service Provider**

>70%

>70% of UN staff in peace operations already use shared service providers

Note: Circles indicate size of authorized deployment; Boundaries shown and designations used on this map do not imply official endorsement by the United Nations

UN Service Centres
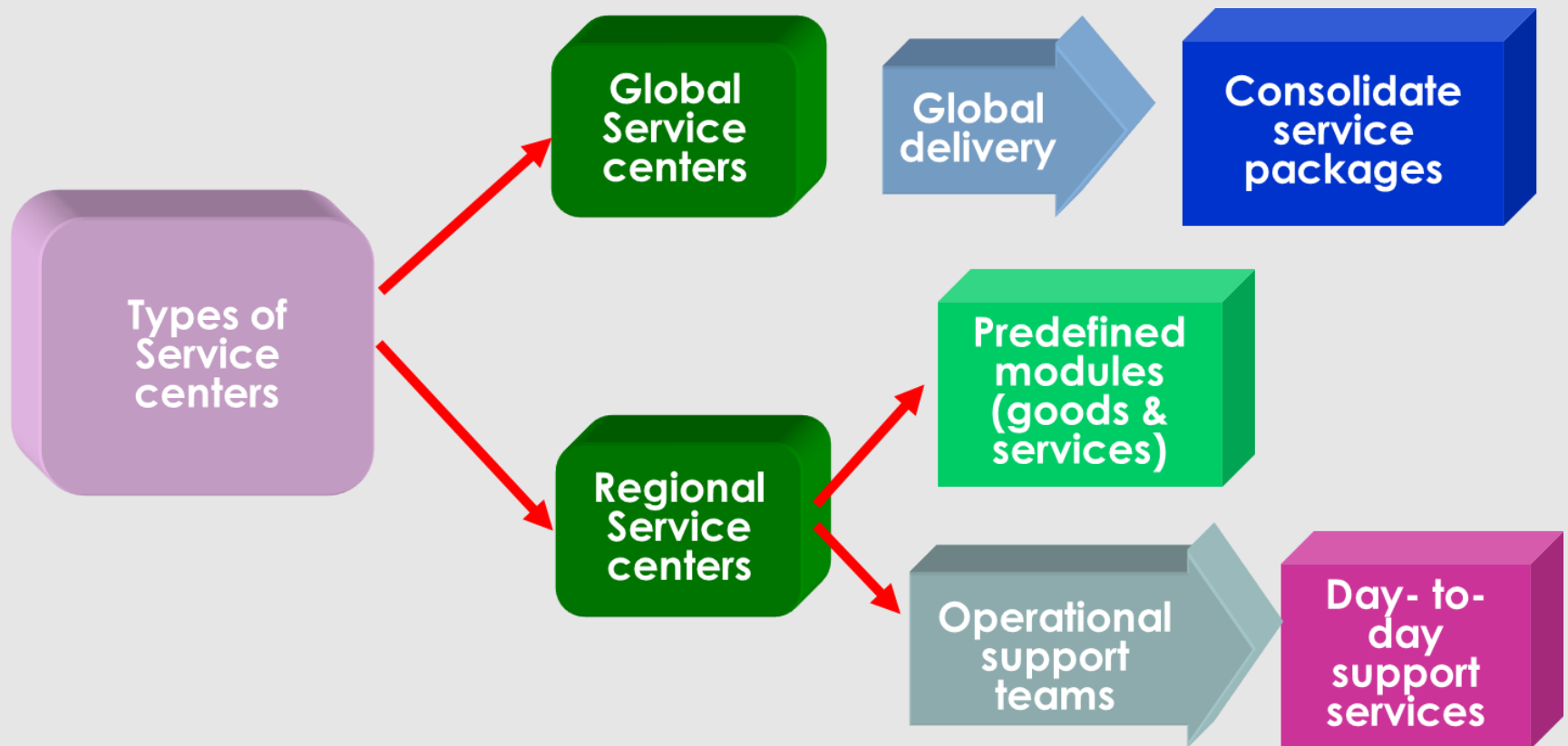
Learning Activity #3

Discuss what are the major considerations for Mission Support on a Strategic Level.
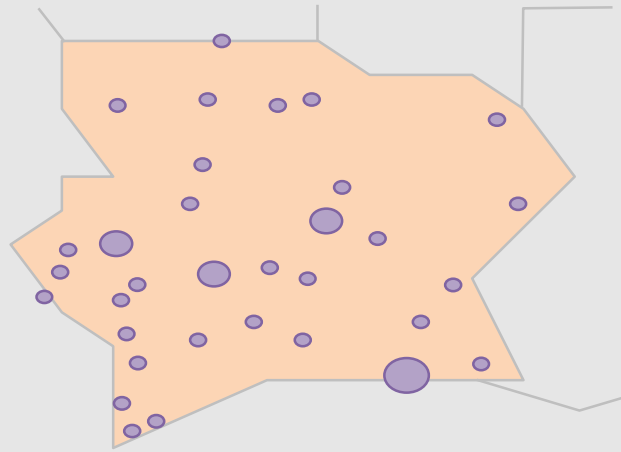
How many troops?
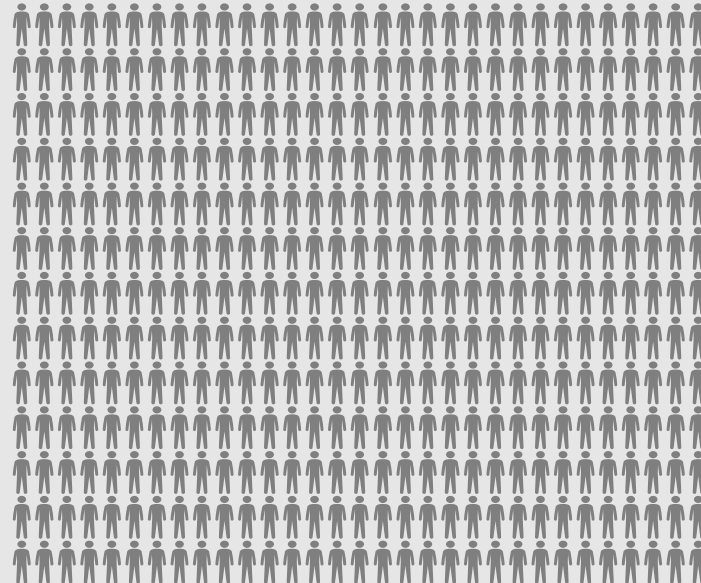
$28m / battalion
direct cost per infantry battalion (850 people at $32k per person per year)
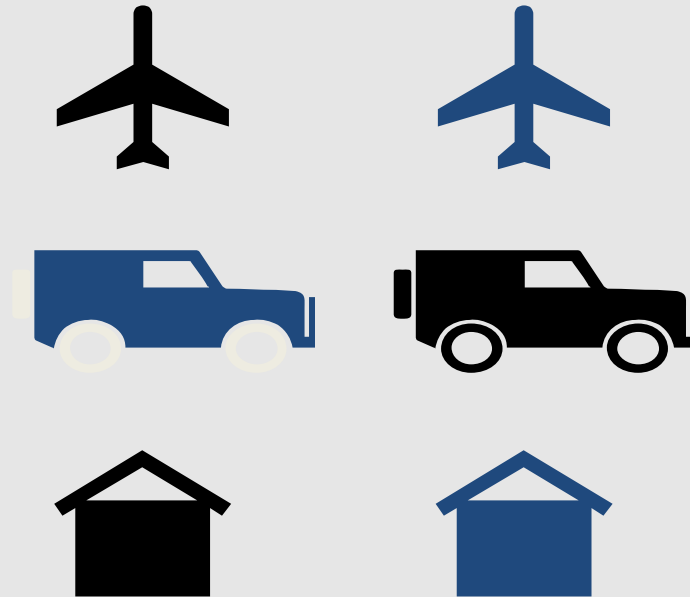
How many locations?

34 locations
Typical number of locations for 8 largest missions
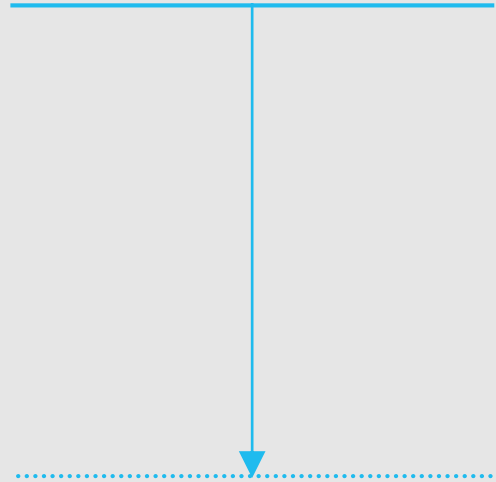
What asset mix?

2 modalities
total cost of ownership of military support solutions often higher than for commercial solutions

How long?

12 years
average duration of 8 largest missions at average cost of $832m per year

Summary of Key Messages

- UN Mission Support aim to provide solutions that are rapid, effective, efficient and are within the rules, regulations, environment and ethical standards of the UN.

- Mission Support involves Personnel, Logistics and Finance functions meeting the needs of clients and stakeholders in complex, often remote, operating environments.

- Their Global and Regional Service Centers deliver predefined modules for goods and service and host operational support teams responsible for delivering day-to-day support services.
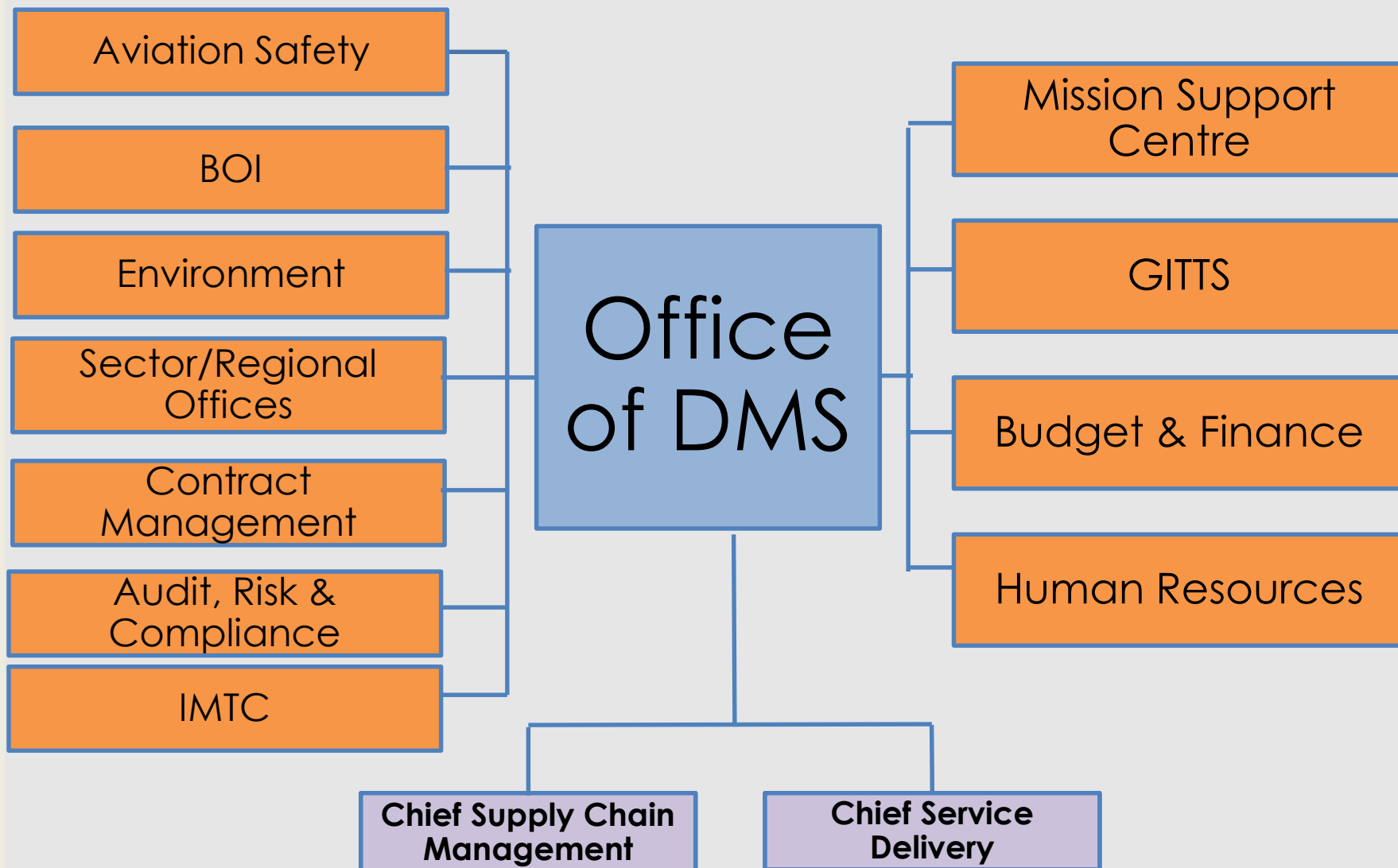
Questions?

Lesson Content

UN Mission Support Concept

UN Mission Support Entities in the Field

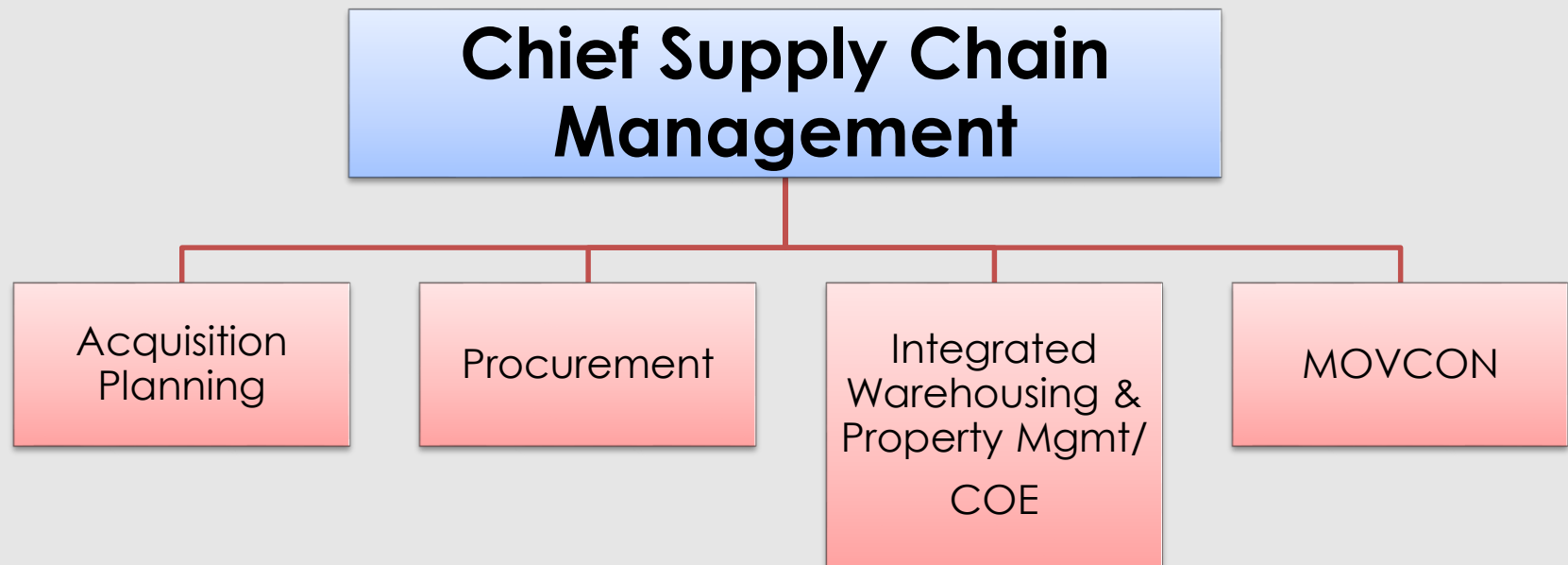UN Mission Support for Uniformed Personnel

FIELD MISSION SUPPORT STRUCTURE

Office of DMS

- Aviation Safety
- BOI
- Environment
- Sector/Regional Offices
- Contract Management
- Audit, Risk & Compliance
- IMTC

- Mission Support Centre
- GITTS
- Budget & Finance
- Human Resources

- Chief Supply Chain Management
- Chief Service Delivery

SUPPLY CHAIN MANAGEMENT

Chief Supply Chain Management

Acquisition Planning

Procurement

Integrated Warehousing & Property Mgmt/ COE

MOVCON

SERVICE DELIVERY

Chief Service Delivery

- Mobility (Transport and Aviation)
- Engineering & Facilities/Camp Management
- Life Support Contracts (rations, fuel, major supply items)
- Medical

Mission Support Centre

- Nerve centre for logistics support

- Provide a single point of coordination for all aspects of logistics support

- Serving all mission components, other UN and non-UN entities

MISSION SUPPORT CENTRE DECISION-MAKING PROCESS

To receive requests for logistics support

Analyse the requirements

Prioritise according to leadership guidance

Plan and coordinate implementation

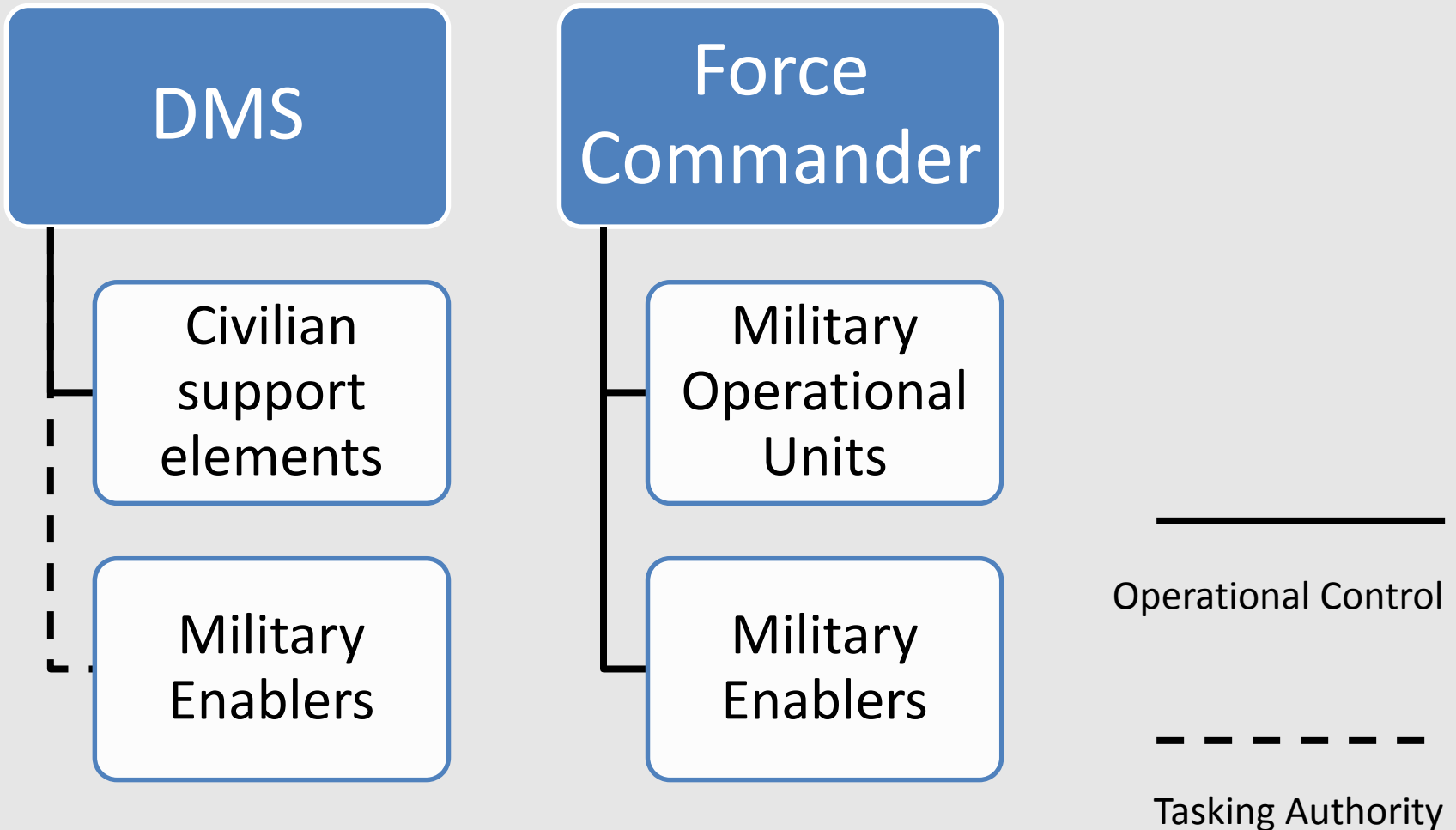Task technical/other sections

Monitor implementation

OPERATIONAL CONTROL
VS. TASKING AUTHORITY

- Force enablers are under operational control of HOMC

- DMS/CMS has tasking authority over force enablers

COMMAND & CONTROL OF MILITARY ENABLERS

DMS

- Civilian support elements
- Military Enablers

Force Commander

- Military Operational Units
- Military Enablers

——————— Operational Control

— — — — — Tasking Authority

COMMAND & CONTROL
OF MILITARY ENABLERS

DPKO Command & Control (C2) Policy - 2008

Integration of civilian and military support assets

Military logistics and support units

are tasked by the Director of Mission Support (DMS)

INTEGRATED ASSETS AND RESOURCES

Mission resources are distributed to all mission components

on an **equitable basis**,

depending on functional needs and assessed priorities.

Assets considered common to the mission:

- o Engineering Units

- o Transportation Units

- o Aviation Units

- o Communication Units

- o Medical Units

- o Logistics Units

ROLE OF MILITARY STAFF OFFICERS IN SERVICE DELIVERY

Military logistics capability

- Providing special military expertise and advise in relation to military unit deployment and support

- Direct contact to contingent logistic structure

Working relations

- Deployed as Subject experts, with MSA entitlement.

- The Deputy-Chief Service Delivery is a military seconded personnel.

- Integrated planning and operational structure

FOCAL POINTS FOR PREPARING TASKING ORDERS IN FHQ

- Force Engineer (U-8)

- Military Medical Officer
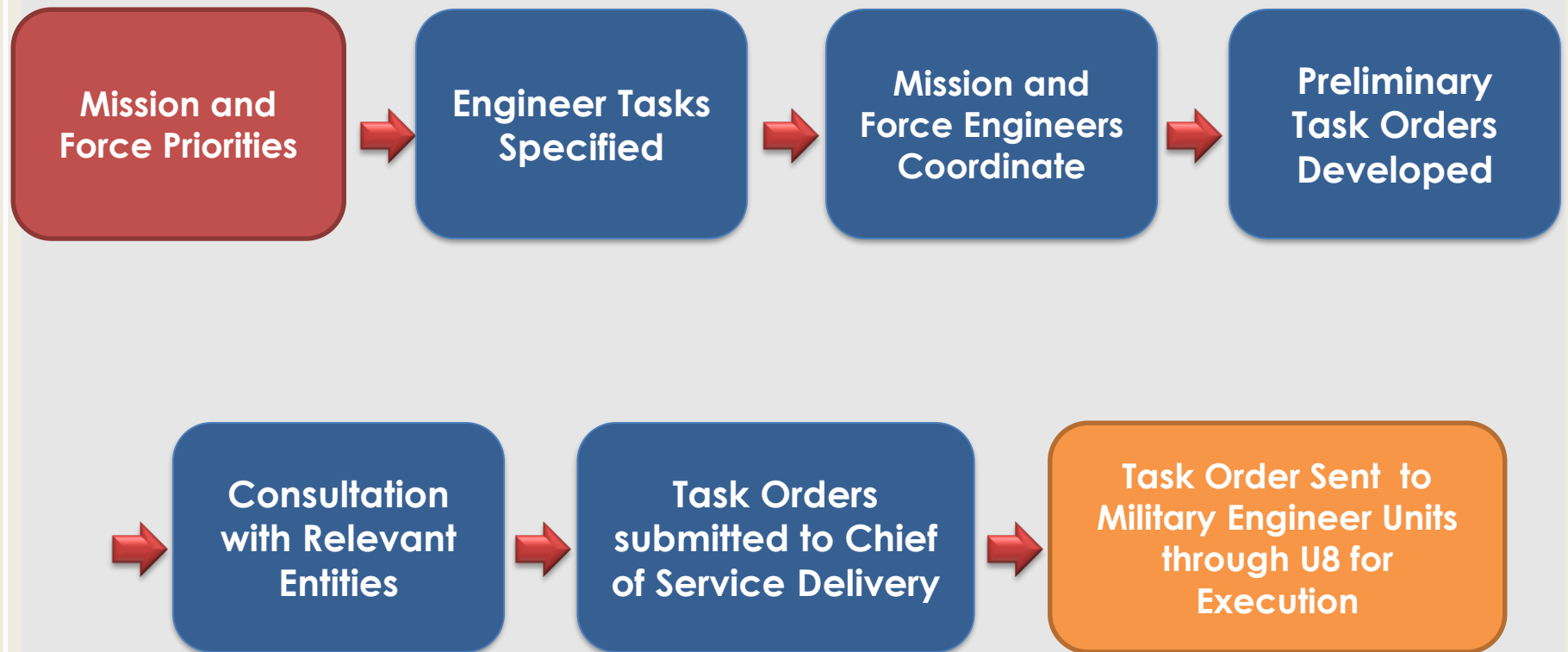
- U4

COORDINATION BETWEEN
FC AND DMS

FC remains involved in tasking process through consultation with DMS

involving:
- mission and military priorities
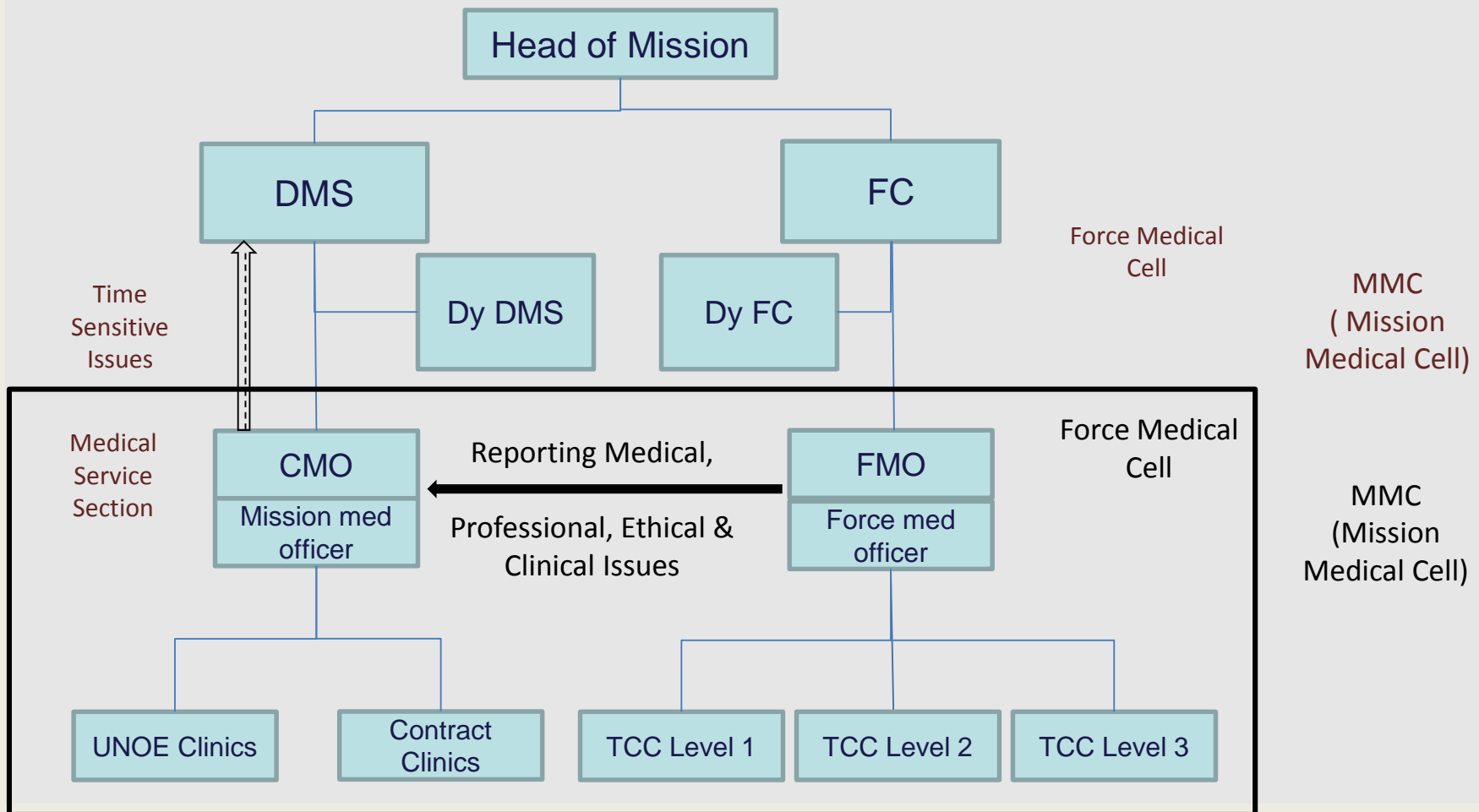- Budgeting
- Unit level requirements

EXAMPLE: MILITARY CONSTRUCTION ENGINEER UNIT TASKING PROCESS

Mission and Force Priorities → **Engineer Tasks Specified** → **Mission and Force Engineers Coordinate** → **Preliminary Task Orders Developed**

→ **Consultation with Relevant Entities** → **Task Orders submitted to Chief of Service Delivery** → **Task Order Sent to Military Engineer Units through U8 for Execution**

EXAMPLE: MEDICAL SUPPORT RELATIONS

Summary of Key Messages

- Acquisition Planning, Procurement, Integrated Warehousing & Property Mgmt/COE, and MOVCON are organized by the Chief, Supply Chain Mgmt.
- The Chief Service Delivery is responsible for Mobility, Engineering and Facilities Mgmt., Life Support Services and Medical Support.
- Mission Support Centre is the nerve centre for logistics functions in a mission involving information gathering, analysis, planning, coordination, execution, monitoring and feedback.
- All force non-combat logistic support units are tasked by the Director Mission Support.

Questions?

Lesson Content

UN Mission Support Concept

UN Mission Support Entities in the Field

UN Mission Support for Uniformed Personnel

LOGISTIC SUPPORT FOR UNIFORMED PERSONNEL - DEPLOYMENT

Mission Element	Deployment Means	Comments
SOs, UNMOs, IPO	Commercial Air/LOA	By air/road/rail to final deployment locations
Mil. Contingents and FPUs	UN short-term charter aircraft.	
UNOE and COE	High Priority – airlift Routine – sea-lift	

LOGISTIC SUPPORT FOR UNIFORMED PERSONNEL - SUSTAINMENT

Category	UN Staff, SOs, UNMOs, IPO	Military Contingents and FPUs
Domestic Accommodation	UN provided to SOs (or MSA).	Existing camps, if any. New contingents self-sufficient if required. UN provided thereafter or contingent self sustainment .
Office Accommodation	UN provided	
Food	MSA	Mission specific initial provisioning Standard UN scales thereafter.
Water	MSA	UN provides water source/contingents may provide water treatment plants .
Fuel	UN provided.	UN provided.

LOGISTIC SUPPORT FOR UNIFORMED PERSONNEL – SUSTAINMENT (CONT'D)

Category	SOs, UNMOs, IPO	Mil. Contingents and FPUs
Surface Transport	UN provided. Standard scales.	COE Major Equipment
Air Transport	UN provided.	UN provided, or under LOA.
ICT	UN DPKO WAN (voice, data, fax, e-mail, Internet). Telephone landline, Cell-phone, VHF.	UN provided up to Bn HQ. Self-sustained for internal comms.
Medical	Level 1: UN/TCC/PCC clinic. Level 2, 3, 4: UN provided, or under LOA.	Level 1: Self-sustained. Level 2, 3, 4: UN provided, or under LOA.
Waste Treatment	UN provided	UN provided /contingent sewage plants /trucks

Learning Activity #1

Discuss about the logistic support that uniformed peacekeeping personnel have from UN mission support entities in the field

UN EQUIPMENT SUPPORT SOLUTIONS

- UN Owned Equipment (UNOE)

- UN contracted resources

- Contingent Owned Equipment (COE)

Learning Activity #2

Discuss …

- How to get equipment for military peacekeepers in remote regions?

- How to maintain and repair equipment in harsh environment and far away from home countries?

- How to ensure quality and interoperability of equipment from various countries?

CONTINENT OWNED EQUIPMENT (COE)

Major Equipment

+

Minor Equipment

→

COE
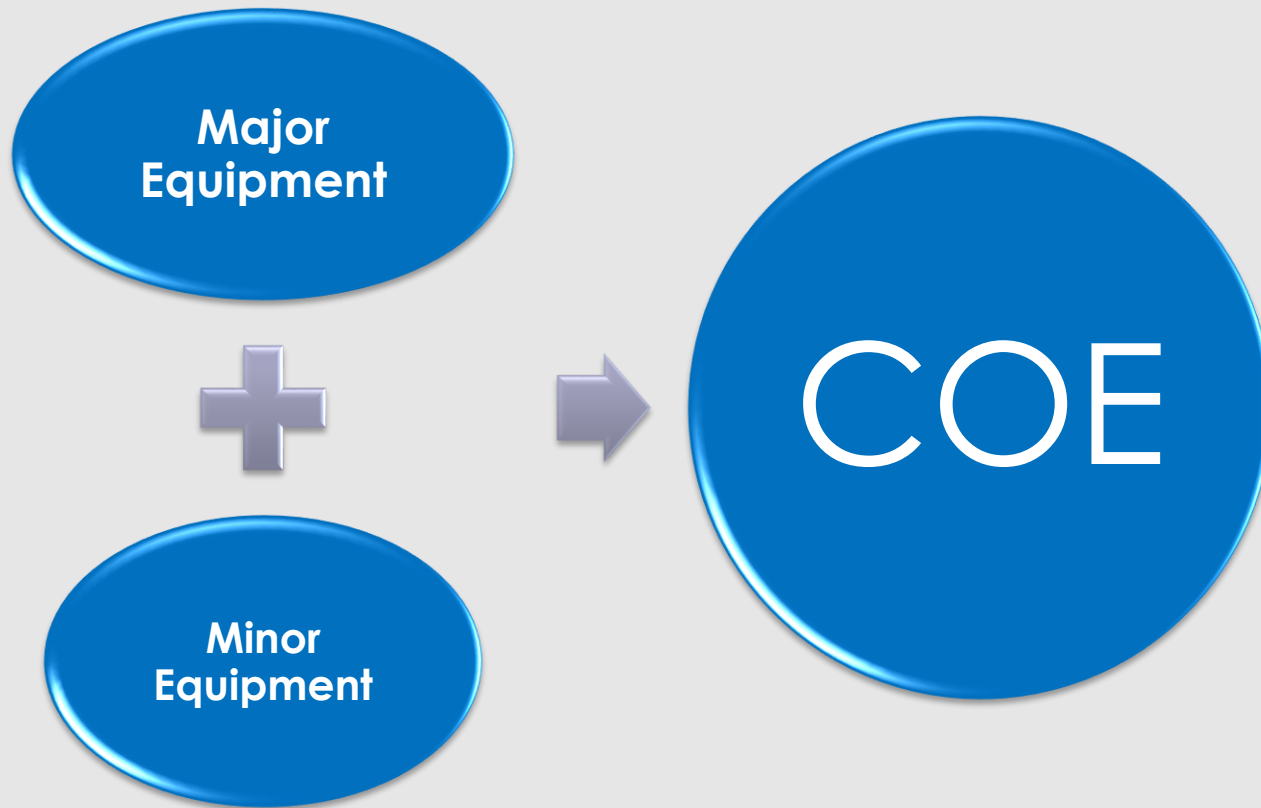
COE MANUAL

- Key document for COE and MOU related issues

- Lists the current monthly reimbursement rates
  - ➢ Annex B – major equipment
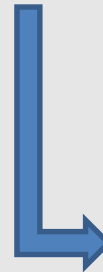 - ➢ Annex C – self-sustainment

- Latest edition – 2014 (A/C.5/69/18)

COE MAINTENANCE

Dry Lease
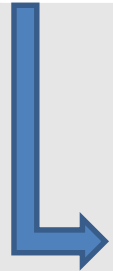
Maintained by UN or 3rd party

Wet Lease

TCC responsible for maintenance

SELF-SUSTAINMENT

- Must meet minimum operational capabilities

- Compatible with other TCC where interface is required

- Similar to the cost if centrally arranged by the UN

Learning Activity #3

Discuss about the advantages and disadvantages of different equipment support solutions.

LEVELS OF MEDICAL CARE IN THE FIELD

- Basic Level

- Primary Care (Level One)

- Hospital care (Level two)

- Hospital care (Level three)

- Tertiary/Out of Mission Medical Support (Level four)

MEDICAL EVACUATION AND REPATRIATION

- Casualty Evacuation (Casevac)

- Medical Evacuation (Medevac)

- Medical Repatriation.

FREQUENTLY ASKED QUESTIONS

- Will the United Nations provide me with uniforms?

- What about my welfare?

- How much equipment support can I get in the mission?

- What about medical services in the mission area?

Summary of Key Messages

- UN Equipment Support are categorized under UN Owned Equipment, UN contracted resources and Contingent Owned Equipment (COE).

- The COE system was adopted to simplify reimbursement to countries providing equipment, personnel and self-sustainment support services.

- 'Self-sustainment', between the first 30-60 days of deployment, consist of rations/drinking water, canteen supplies, repair parts and diesel fuel.

- Medical evacuation is a mission responsibility shared between the FMedO and the CCMO.

Questions?

L e s s o n
4

Crisis Management

Aim

The aim of this lesson is to provide staff officers with an overview of the crisis response in the UN HQ and DPKO-led field missions as well as highlighting DSS' role during a crisis situation

Learning Outcomes

- Understand the principles of UN HQ crisis management policy and UN HQ response in support of DPKO-led field missions.

- Define the DPKO-led field mission crisis response.

- Comprehend the DSS role in a crisis situation.

Lesson Content

UN Crisis Management Basics

UN Security Management System

Definition

A crisis is defined as an incident or situation, whether natural or human-made, that due to its magnitude, complexity or gravity of potential consequence, requires a UN-wide coordinated multi-dimensional response.

Such situations include two or more of the following:

- Presents an exceptional risk to the safety and security of UN personnel, premises and assets;
- Presents an exceptional threat to the effective functioning of a UN mission or other field presence;
- Presents an exceptional threat to the effective implementation of the mandate or a UN mission or other field presence;
- May have a significant negative humanitarian impact; and/or,
- May give rise to serious violations of international human rights or humanitarian law.

Principles

Crisis Management should be guided by:

- Accountability

- Field-focus

- Adaptation to context

- Inclusiveness

- Simplicity and predictability

- Respect for values, standards and principles

- Respect for Humanitarian Principles

Roles and Responsibilities

Secretary-General
responsible for ensuring appropriate and coordinated UN response

Senior leadership in the field

Lead-coordinating HQ entity

All UN entities have a joint responsibility to develop and implement UN-wide crisis response strategies

Roles and Responsibilities in the Field

- **Senior-most UN official** in country (e.g. HoM/SRSG/DSRSG, RC, HC) is responsible/accountable at the field-level

- **RC or HC** continues in the lead for all **development or humanitarian** operational activities respectively

- **Designated Official** responsible for **security** of UN personnel, premises and assets

Roles and Responsibilities in the HQ

Lead-entity is responsible for the coordination of UN crisis response efforts:

PKM setting	→ **DPKO**
SPM setting	→ **DPA**
Non-mission setting	→ **DPA/regional UNDG Chair**

Additional entities have responsibility for specific aspects of the response:

Safety/Security	→ DSS
Humanitarian	→ OCHA
Health	→ WHO
Human Rights	→ OHCHR

Crisis Response Coordination Mechanism
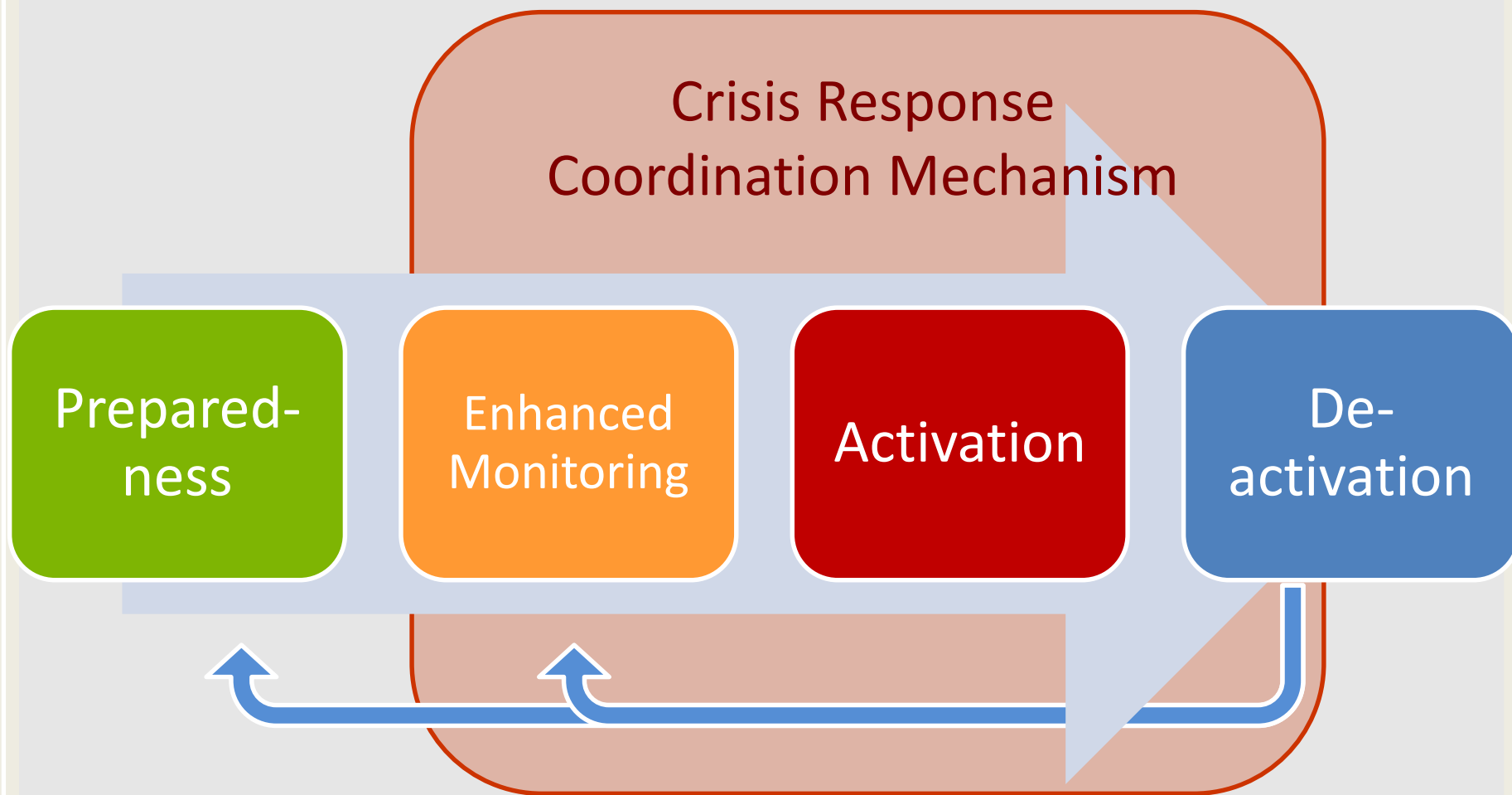
Preparedness Phase

- Normal day-to-day activities to ensure readiness

- JOC/JOC-like entity maintains **situational awareness** for decision-makers

- Reports significant developments and disruptive events

- JMAC provides predictive assessments and integrated analysis

Enhanced Monitoring Phase

- Response to a deteriorating situation or situation with the potential to evolve into crisis
- Standard decision-making procedures remain in place complemented by preparedness measures, e.g.
  - Update contingency plans, security and evacuation arrangements
  - Increase reporting outside

Preparedness ← → Activation

Activation of Crisis Response Procedures

Activation of crisis response procedures when a situation significantly deteriorates or in a sudden onset crisis

Crisis Response Procedures to:
- Accelerate and streamline decision-making
- Enhance operational coordination
- Ensure information flow and communications

Crisis Response Mechanism

Crisis Management Team (CMT)

Leadership-level, cross-pillar decision making body

Chaired by HoM/designated HQ Crisis Manager

Determines coordination mechanisms

Shares decisions

Decides on public messaging

Agrees on timeframe, information requirements and communication arrangements

Operations Coordination Body

Working-level, cross-pillar body (possible existing coordination body)

Chaired by HoM designate / HQ Crisis Coordinator

Supports day-to-day operations of the crisis response, policy recommendations, and common messaging

Crisis Response Mechanism
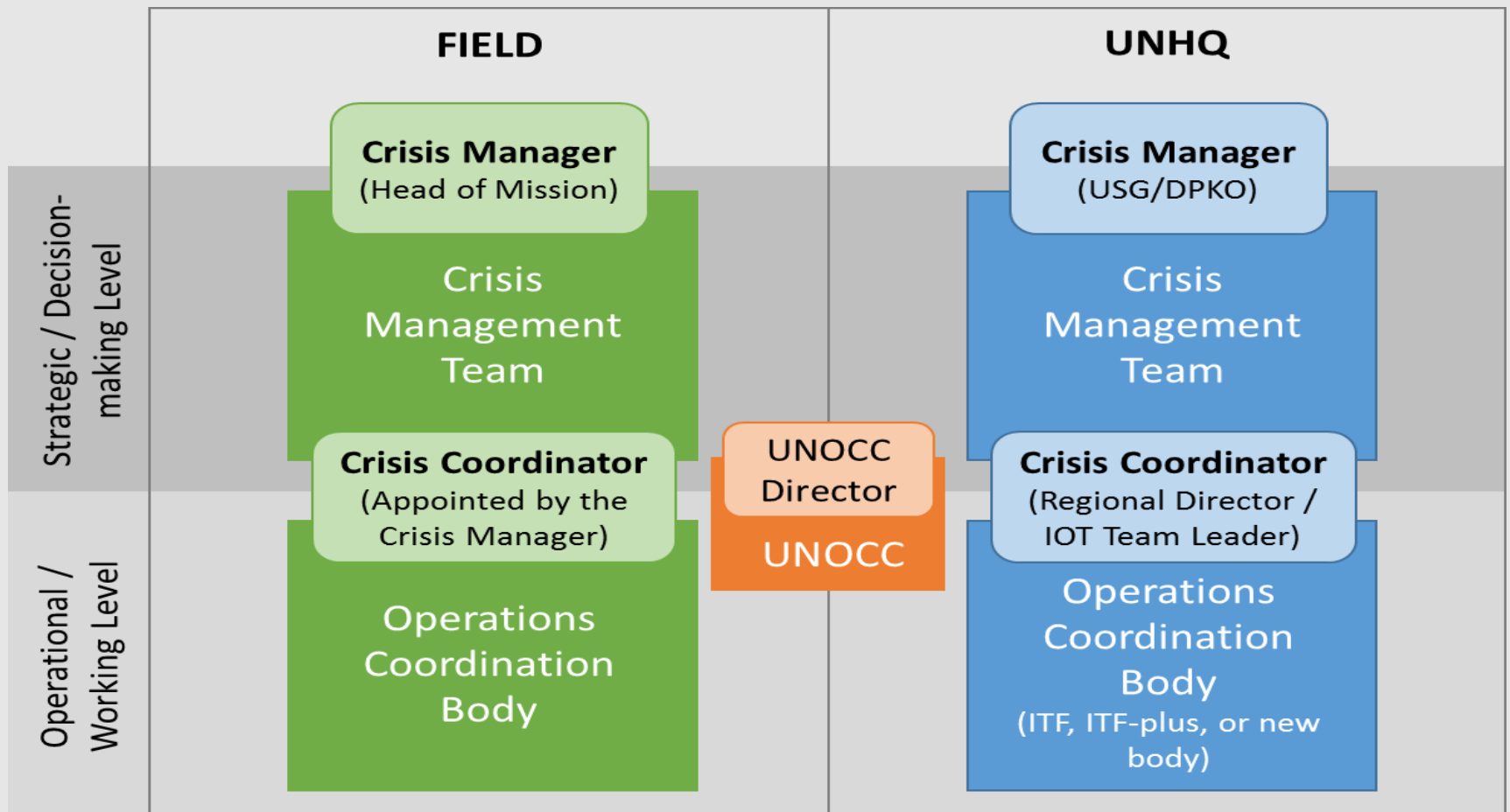
Crisis Information Management

During crisis, there is a HQ need for enhanced and additional reporting, inter alia, to

- effectively support the mission in crisis management
- give strategic direction and advice
- respond to public information demands
- assess safety, security and location of UN personnel

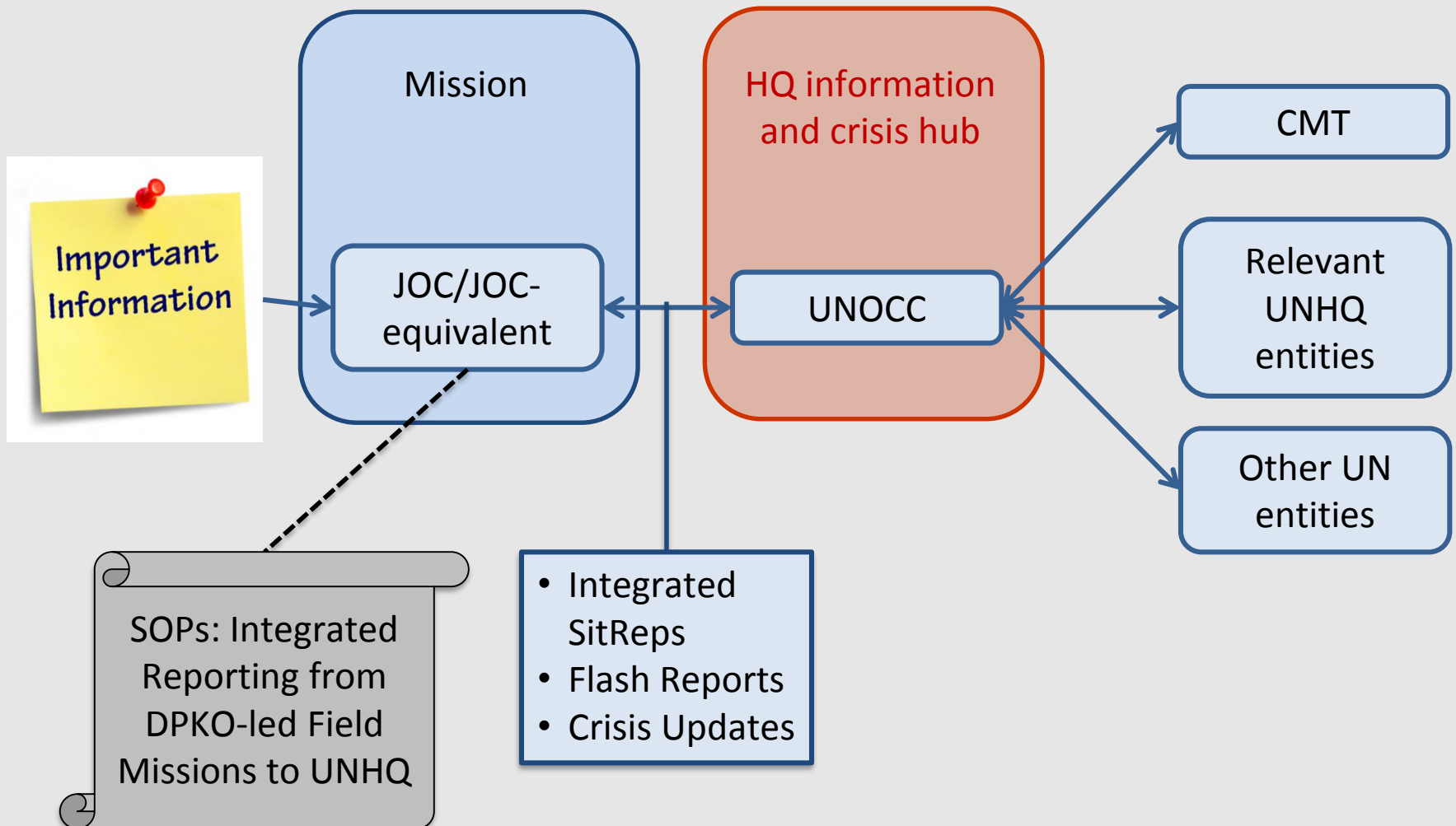**Crisis Management** **Information Exchange** **More effective crisis response!**

Information Flow and Reporting

Crisis Communications

Important role for strategic communications and public information for staff safety and security and reputation management

CMT decides on key common messaging to ensure coherence across the system

- **External communications** (incl. reputational management) with Member States affected communities, media, private sector, donors and civil society
- **Internal communications** with staff (incl. affected staff, responders) and their dependents

De-activation of Crisis Response Procedures

- Situation abated or no longer requires sustained, accelerated and urgent support; or
- Sufficient standing capacity to manage a more protracted situation
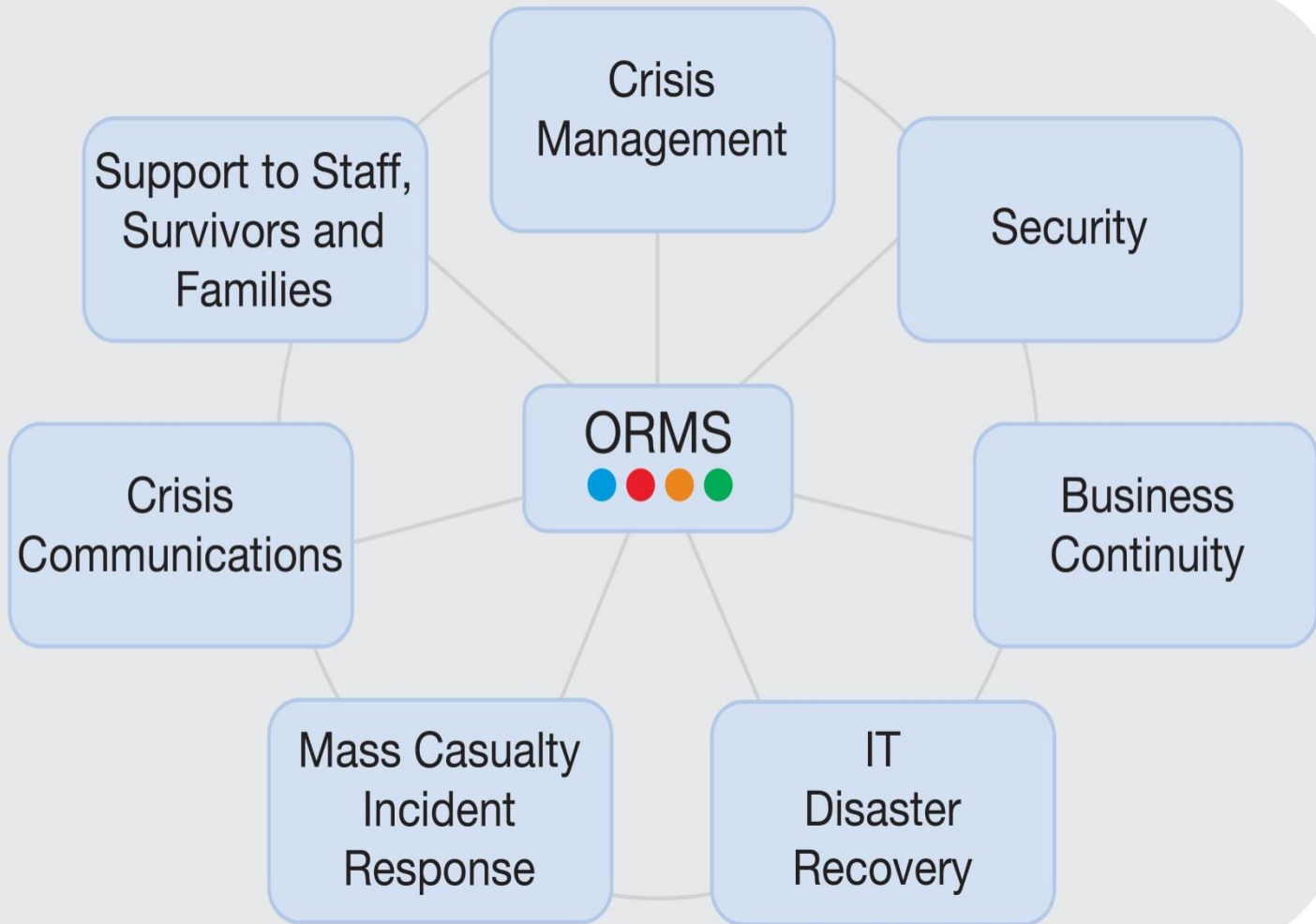- HQ may deactivate while crisis response continues to be activated on mission-level

| Preparedness | Enhanced Monitoring | Activation | Deactivation |
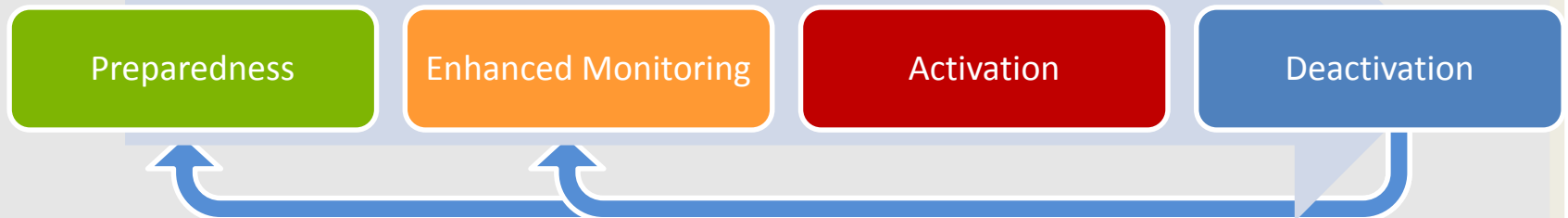
Crisis Management - What to consider?

- ✓ Improve situational awareness and communications
- ✓ Integrate analysis and planning for early identification and response to deteriorating situations
- ✓ Decentralize crisis management
- ✓ Accelerate decision-making and coordination structures on all levels
- ✓ Develop guidance clearly outlining roles and responsibilities, authority and accountability
- ✓ Identify a central venue for crisis response activities
- ✓ Exercise flexibility of available funding in addressing urgent needs
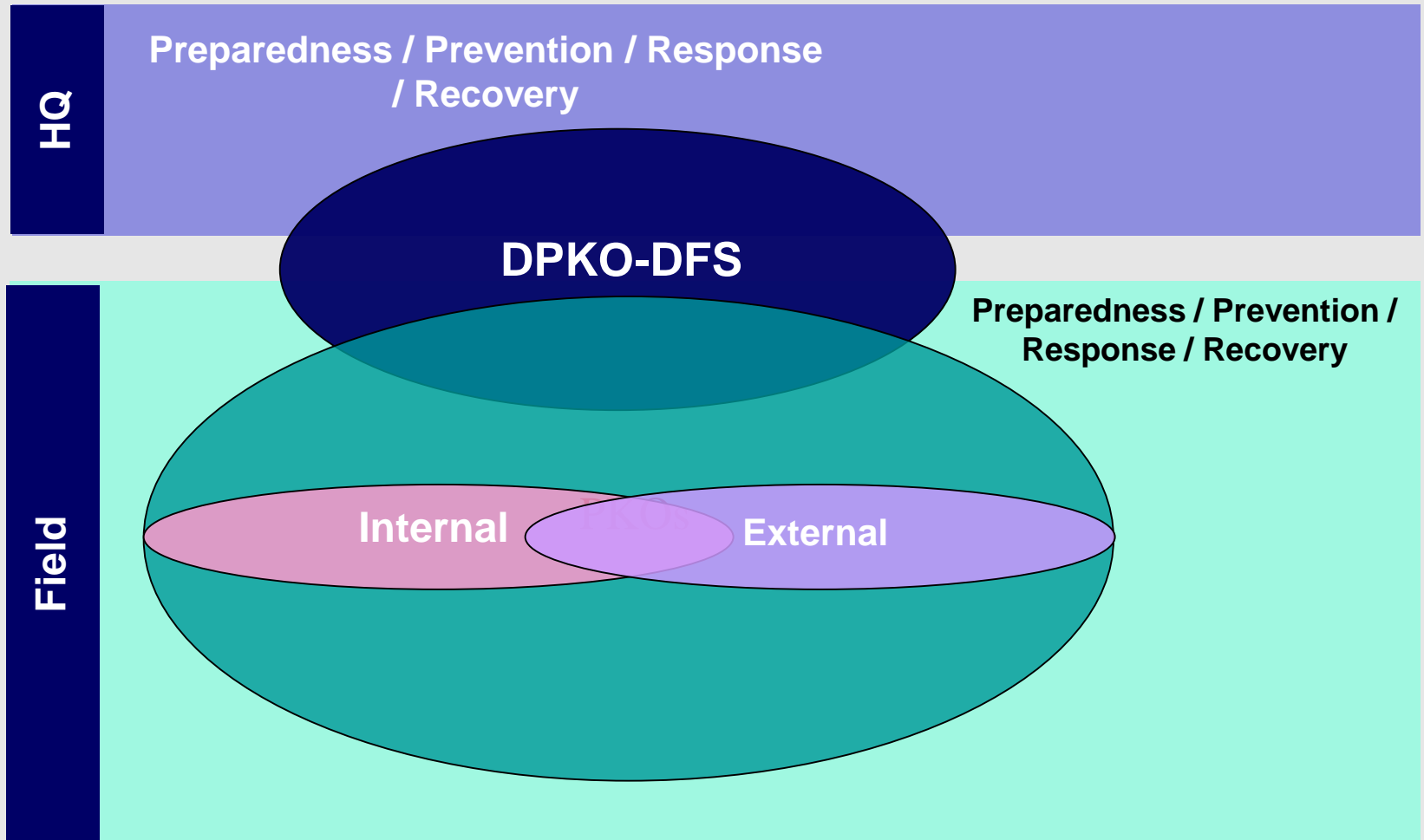
Organizational Resilience

Crisis Management

HQ

Preparedness / Prevention / Response / Recovery

DPKO-DFS

Preparedness / Prevention / Response / Recovery

Field

Internal

External

Summary of Key Messages

- A crisis is defined as an incident or situation, whether natural or human-made, that due to its magnitude, complexity or gravity of potential consequence, requires a UN-wide coordinated multi-dimensional response.

- Crisis Management should be guided by the principles of accountability; field-focus; adaptation to context; inclusiveness; simplicity and predictability; respect for values, standards and principles; and respect for humanitarian principles.

- The Crisis Response Coordination Mechanism consists of the following phases: preparedness, enhanced monitoring, activation and de-activation.

Summary of Key Messages (cont'd)

- The Organizational Resilience Management System (ORMS) is a comprehensive risk based emergency management methodology to prepare for, prevent, respond and recover from disasters, that can be applied in all duty stations irrespective of size, organizational structure and culture, and risk exposure.

- The OR approach has application guiding crisis response both at HQ (New York) and in the field.

Questions?

Lesson Content

UN Crisis Management Basics

UN Security Management System

Introduction to the Security Management System

The goal of the United Nations Security Management System is to enable the effective and efficient conduct of United Nations activities while ensuring the security, safety and well-being of staff as a high priority

UNSMS Policies and Procedures apply to…

- All UN civilian and eligible dependents

- Case by case to Individually deployed military and police personnel

- Security Risk Management model as tool also for Military and Police Components

Security Risk Management and Military and Police Components

The UN security management system applies to individually deployed military and police officers.

In peacekeeping missions, Heads of military and police components are mandatory members of the Mission/Country Security Management Team.

UNITED NATIONS SECURITY MANAGEMENT SYSTEM
Policy Manual

Chapter

III   APPLICABILITY

Applicability of United Nations Security Management System

UNITED NATIONS SECURITY MANAGEMENT SYSTEM
Policy Manual

Chapter

II   UNITED NATIONS SECURITY MANAGEMENT SYSTEM

SECTION B   Framework of Accountability for the United Nations Security Management System

Applicability

However, by DPKO-DFS policy…

the Security Risk Management Process is applicable to military and police components' formed units.

United Nations
Department of Peacekeeping Operations
Department of Field Support
Ref. 2010.29

Policy

SECURITY RISK MANAGEMENT PROCESS

Approved by: Alain Le Roy, USG/DPKO and Susana Malcorra, USG/D FS
Effective date: 1 November 2010
Contact: OUSG/Focal Point For Security
Review date: 1 November 2012

The DSS role in Crisis Management

- Designated Official (DO)
- Country Representatives
- Security Management Team (SMT)
- Field Security Officers: Full-time Professionals - Principal Security Advisor (PSA) and/or Chief Security Advisor (CSA)
- Chief Security Officer for PK Missions
- Field Security Officer
- Single-agency Security Officers
- Wardens
- Personnel employed by the UN System

Security Management Team (SMT)

- Designated Official;

- Deputy Designated Official (s), as applicable;

- Heads of Agencies, Programmes and Funds;

- Chief Security Advisor;

- Representatives of IGOs/NGOs who have signed the Memorandum of Understanding; and any mission dispatched to the area by DSS.

UNDSS USG

- USG for the DSS – acting on behalf of the SG supports crisis management activities coordinated by the D.O's through strategic guidelines and advises the SG and the Executive Heads on the process and the situation.

- If the DO and SMT are unable to fulfil their responsibilities the UNDSS USG will assume operational lead over crisis management in the field.

Roles and Responsibilities

- **Executive Group on Security** – in the most complex situations critically affecting most organizations in the United Nations Security Management System the UNDSS USG may call a meeting of the executive group on security comprising executive heads of organizations affected by the crisis to coordinate strategic issues pertaining to crisis management.

- **Host Country** - the primary responsibility for safety and protection of UN personnel, other individuals covered by the UNSMS (this excludes uniformed components unless they are individually contracted) and the property of UNSMS organizations rests with the host government.

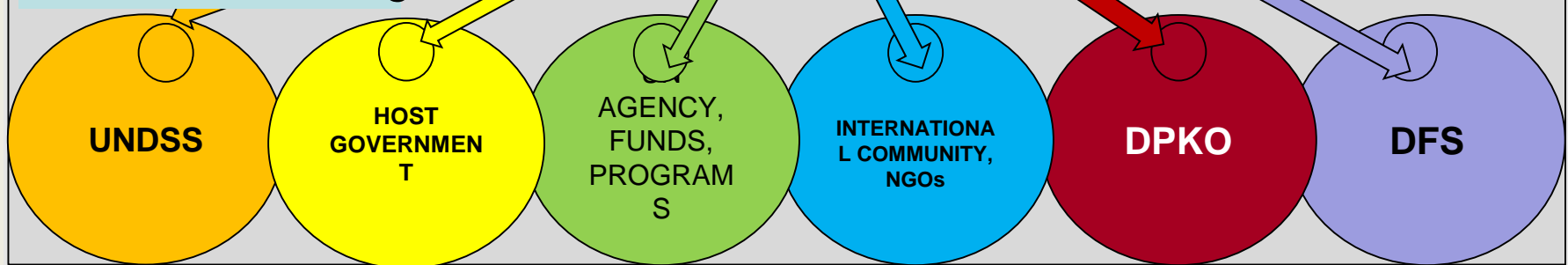# Simple UN Country Team Model
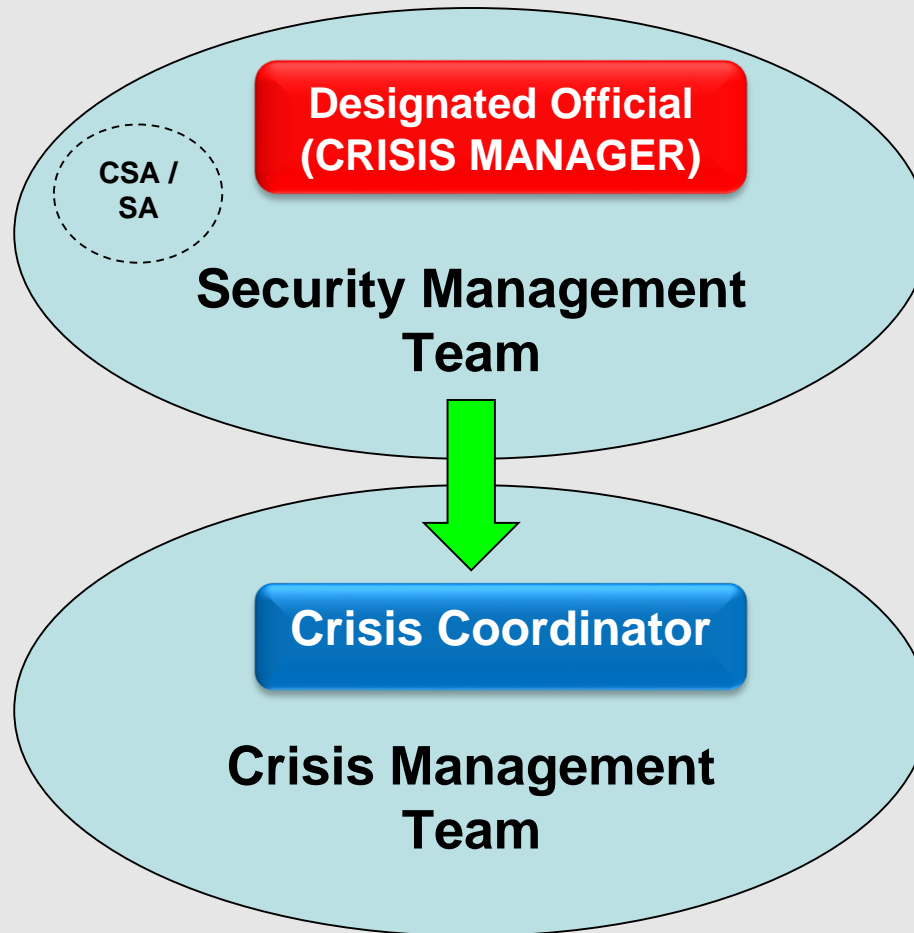
Integrated Mission Model Example
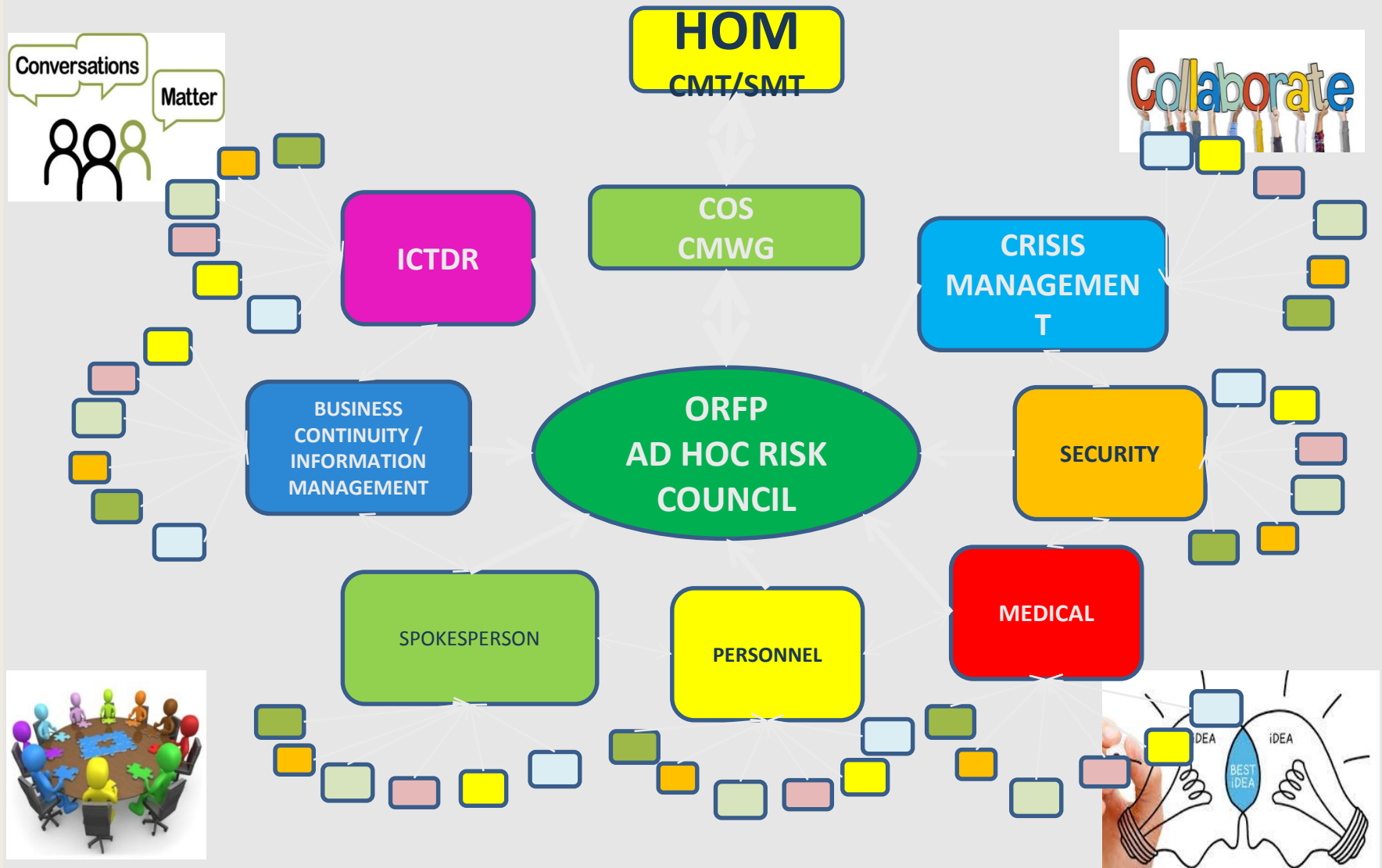
Summary of Key Messages

- The UN Security Management System (SMS) applies to all UN civilian and eligible dependents; and on a case-by-case basis to individually deployed military and police personnel.

- The DPKO-DFS Security Risk Management Process Policy is applicable to all military and police components' formed units.

- The Security Management Team (SMT) comprises the D.O. (i.e. HoM), Heads of Agencies, Programmes and Funds, CSA and reps of IGO/NGOs who have signed the MOU.

Questions?