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# **Mission-based Police Planning in Peace Operations**

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**UNHQ, New York, 2017**

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## Mission-based Police Planning in Peace Operations

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### 1. Terms and definitions

**Assessed contributions:** All Member states of the UN, based on their Gross Domestic Product, make contributions towards the budgets of UN field presences and General Assembly (GA) approved plans. Assessed contributions fund the regular budget, peacekeeping operations, the international tribunals and the “Capital Master Plan” (CMP).<sup>1</sup>

**Command.** The authority vested in a United Nations Head of Police Component (HoPC) for the direction, coordination and control of police personnel. Command has a legal status and denotes functional and knowledgeable exercise of police authority to attain police objectives or goals as determined by the mandate.

**Commitment Authority.** The Department of Peacekeeping Operations (DPKO) and the Department of Field Support (DFS) expenses related to mission planning and mission start up are funded, prior to the authorization and deployment of a mission, through the Peacekeeping Reserve Fund<sup>1</sup>. Commitments from this fund are designed to facilitate the rapid deployment of a new peacekeeping operation or the expansion of an existing one.

**Concept of Operations (CONOPS).** The CONOPS translates the political intent of the mandate into specific strategies and operational directives. The UN police CONOPS reflects the Police Adviser’s strategic intent, and establishes the broad approach, roles and responsibilities, processes and identification of resource requirements from which to formulate the police component’s work, operational, programmatic and projects, and resourcing plans; directives, SOPs and other guidelines in order to implement the mandated policing and other law enforcement tasks of the police component.

**Formed Police Unit (FPU).** A cohesive mobile police unit that provides support to United Nations operations and ensures the safety and security of United Nations personnel and facilities and contribute to the protection of civilians (POC), primarily in public order management.

**Gender mainstreaming.** Mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all areas and at all levels. It is a strategy for making women’s as well as men’s concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality.

**Gender equality** (Equality between women and men): Gender equality refers to the equal enjoyment of human rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men will become the same but that rights, responsibilities and opportunities will not depend on whether a person is born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration, recognizing the diversity of different groups of women and men. Gender

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<sup>1</sup> A/RES/47/217, 94th plenary meeting, 23 December 1992

equality is not a women's issue, but should concern and fully engage men as well as women. Equality between women and men is seen both as a human rights issue and as a precondition for, and indicator of, sustainable people-centred development.

**Individual Police Officer (IPO).** Individual police officers (IPOs) are police officers or other law enforcement personnel of various ranks and experience assigned to serve with the United Nations on secondment by governments of Member States.

**Integrated Assessment and Planning (IAP).** The United Nations framework for the integrated conduct of assessments and planning in conflict and post-conflict settings where an integrated UN presence is in place or is being considered. It outlines the responsibilities of different components (e.g. political, peacekeeping, humanitarian, human rights and development) in the process (see *the Integrated Assessment and Planning Policy and Handbook*).

**Integrated Strategic Framework.** A strategic plan for the United Nations presence in a host State that provides a vision of the organization's strategic objectives for peace consolidation, with agreed results, responsibilities and timelines.

**Mission Concept (MC).** MC prescribes how a field mission is to implement its Security Council mandate, taking into account the mission's role within the broader UN system and international context. Senior mission management present their vision for mandate delivery, set priorities and sequencing, and direct mission components to align and synchronize their activities, as well as inform resource allocation. In terms of hierarchy, UN Police CONOPS derives its form from, and is aligned with the Mission Concept.

**Mission Mandate.** United Nations peace operations function on the basis of a mandate from the UN Security Council, outlining the tasks that it is required to perform. UN Police may be required under appropriate mandates to support capacity-building and development of the host-state police; support policing operations or assume either partial or full executive policing responsibility or other law enforcement duties within a designated territory while the host-State police and other law enforcement agencies regain functional self-sufficiency. The mandate will then be translated as overarching policing strategies with objectives and benchmarks in the UN police CONOPS and other planning documents. Mandates also assist to justify resource requirements.

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

**Planning.** A structured process through which a United Nations field mission develops a plan to achieve its mandate(s) and in a way that is responsive to the environment. Planning includes elements such as agreeing on objectives, priorities, strategies and activities, and guides the acquisition and allocation of resources to achieve the objectives.<sup>2</sup>

**Programme and project plans.** Planning for the deployment or implementation of programmes and projects should be undertaken in the same manner as that of developing a Component or Unit Work Plan as programme plans are work plans of activities. The only difference is that while most work plans are based on the period of implementation, programme plans are based on the life cycle of the project or programme of activities.

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<sup>2</sup>For example: 1) the objective is defined; 2) the expected accomplishments that contribute to this objective are defined; 3) the outputs that contribute to these expected accomplishments are defined; and finally 4) the inputs or cost in terms of posts and non-post resources are identified.

**Resource plans.** These are specific plans to determine the level of capabilities required to undertake a mandated activity. These capabilities can be classified physical, human and financial. Physical resources fall may be in the form of police equipment, vehicles, administrative equipment and facilities. Human resources refers to the human element of the UNPOL component while obtaining and allocating financial resources for each strategy or task in a timely manner is the key factor for success in implementing any plan

**Results-Based Budget (RBB)** RBB is a way of budgeting that uses a logical framework – a chain of relationships – a chain of influences or events – that link inputs to outputs to outcomes. RBB is the basis for programme planning and evaluation. It helps identify what is necessary to achieve desired outcomes in a planning mode and serves to identify data to collect to monitor and assess performance in the evaluation mode. (See elaboration under Resource Planning)

**Rule of Law.** Principle of governance in which all persons, institutions and entities, public and private, including the state itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards. It requires, as well, measures to ensure adherence to the principles of supremacy of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency (*see report of the Secretary-General, S/2004/616*).

**Specialized Police Team (SPT).** Group of police and law enforcement experts in a specialised area, on secondment by an individual Member State or a group of Member States, at the request of the Secretary-General and assigned to serve with the United Nations peace operation/s to facilitate capacity development of the host-states in order to ensure the continuity and consistency of the approach to police capacity building.

**Strategic Planning.** A type of directional planning that examines broad concepts, structures and elements involved in meeting mission objectives. Strategic plans commonly include elements such as situation analysis, planning assumptions, mission statement, vision statement (end state), objectives, expected accomplishments, and indicators including benchmarks, targets or milestones.

**Status of Mission Agreement (SOMA) / Status of Forces Agreement (SOFA) –.** These agreements between the UN and the host-state formalize the status of a United Nations mission in the host State, and regulate the legal relationship between a specific United Nations mission and the host State. It provides appropriate protection and safeguards the privileges and immunities to United Nations peacekeepers. In the absence of a formal SOFA/ SOMA, or if a mission is deployed before a specific SOFA or SOMA is agreed, the Model UN SOFA will provisionally apply.

**United Nations Country Team (UNCT).** UNCT encompasses all the entities of the UN system that carry out operational activities for development, emergency, recovery and transition in programme countries, and ensures inter-agency coordination and decision-making at the country level. The UNCT is led by the UN Resident Coordinator (RC), who is the designated representative of the UN Secretary-General. Once a mission is deployed, the mission and the UNCT should devise an integrated strategic framework (ISF). The ISF should include a shared vision of the UN's strategic objectives and a related set of agreed results, timelines and responsibilities for the delivery of tasks critical to consolidating peace.

**United Nations Operational Control.** The authority granted to a police commander in a United Nations peacekeeping operation to direct forces assigned so that the commander may accomplish specific missions or tasks that are usually limited by function, time, or location (or a combination); to deploy units concerned and/or personnel; and to retain or assign tactical command or control of those units/personnel. Operational control includes the authority to assign separate tasks to sub-units of a contingent, as required by operational necessities, within the

mission area of responsibility, in consultation with the Police Contingent Commander and as approved by UNHQ.

**United Nations police (UNPOL).** Includes both Headquarters staff at the United Nations Police Division (including the Standing Police Capacity) and mission staff in United Nations police components.

**United Nations police component.** All United Nations police officers in a given peacekeeping operation or special political mission, i.e., contracted or government-provided civilian policing and other law enforcement experts non-contracted Individual Police Officers and FPU personnel.

**Workplan.** The Component work plan shall also serve as a basic management tool for monitoring and accountability to ensure the effective implementation of the mandated police tasks in accordance with the benchmarks and the phases, especially in relation to the components resourcing requirements and the CONOPS. Work plans exist at two levels – (i) Component and (ii) Constituent Unit/ offices/ pillars/ sectors/regions.

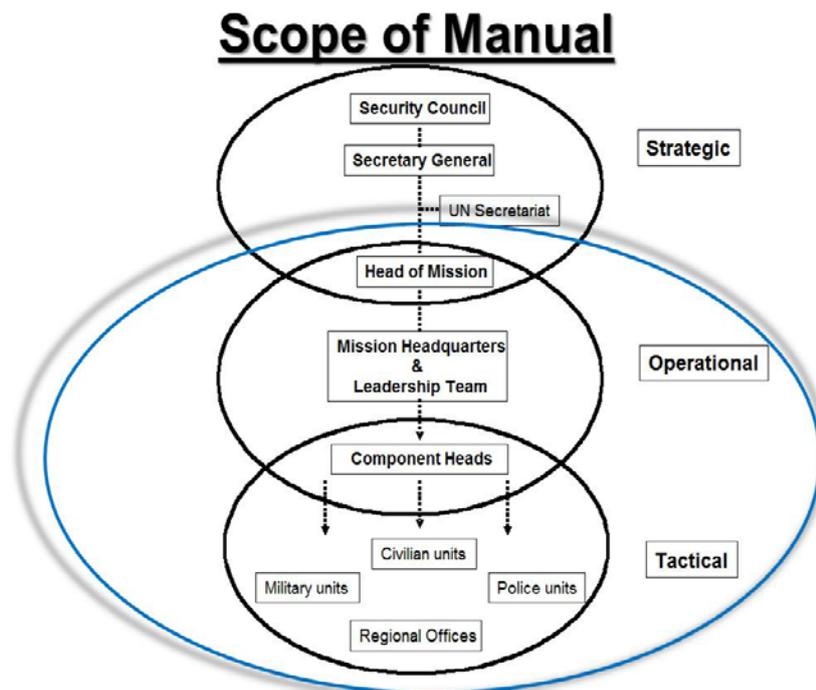
## 2. Context

*While the subject of the Manual is Mission-based police planning, it is critical that some concepts like UN Command hierarchy, strategic planning processes at Headquarters, UN police involvement in the HQ-based Mission planning processes and strategic planning documentation produced through these processes are defined to contextualize subsequent transfer of responsibility and operational authority of planning to the field.*

### 2.1. Authority, Command and Control in Multi-dimensional United Nations Peacekeeping Operations

2.1.1. The levels of authority in UN peace operations are not as clear-cut as they are in domestic police organizations. At the Secretariat, the Department of Peacekeeping Operations (DPKO) and Department of Political Affairs (DPA) respectively take control of policy guidance and strategic direction in peace operations (whether peacekeeping operations (PKOs) or special political missions (SPMs)); the Department of Field Support (DFS) is responsible for logistical and administrative support. In the field, the Head of Mission (HOM) has operational authority over the mission's activities, including police. In integrated missions, the Special Representative of the Secretary-General (SRSG)/HOM is a civilian who reports to the Secretary-General (SG) through either the Under-Secretary-General (USG) for Peacekeeping Operations (DPKO) or USG for Political Affairs (DPA).

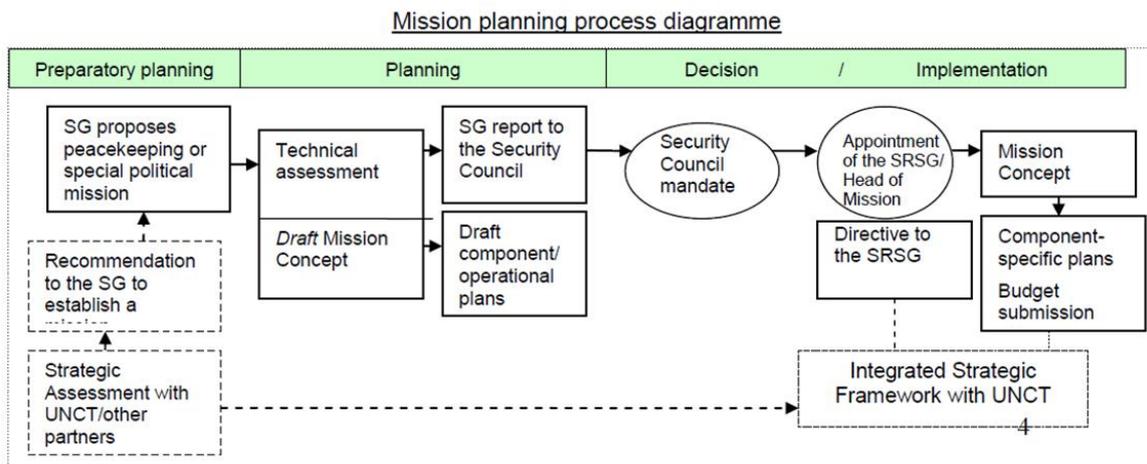
2.1.2. The SRSG/HOM forms a Mission Leadership Team (MLT), which is comprised of all the major functional components of the missions, including the HoPC. During the creation of the mission plan, clear and effective command and control arrangements must be elaborated that will result in an optimal strategic direction of the assets deployed in a peace operation. The three levels of command within a United Nations peace operation are graphically illustrated in Figure (Fig.) 1. In some jurisdictions, these levels may also be known as Gold, Silver and Bronze.



**2.2. Mission Planning Processes**

2.2.1. Planning peace operations is a highly complex endeavour, which requires adequate time to ensure a rigorous formulation of options for the Secretary-General to present to the Security Council and a timely response on the ground. In anticipation of a possible future peace operation, the process of assessment and planning is generally led initially by DPA in close collaboration with DPKO and DFS until otherwise decided. The Executive Office of the Secretary General will designate the lead department and decide when a transfer of the lead should take place from DPA to DPKO or vice versa, and may include initial planning guidance to inform a particular planning process.

2.2.2. HQ mission planning process is generally characterized by the following three phases of: preparations, planning, decision and implementation (See Fig 2). The preparatory phase is characterised by the collection of strategic information, and the analysis and determination of the UN's strategic role in the conflict situation. The planning phase drills deeper into the analysis and planning of the core responses, capabilities required, drafting initial actions and reporting the same for the Security Council's information to ascertain its authorization or otherwise. The decision and implementation phase begins with the 15-member Security Council authorizing the issuance of a resolution. Following the Security Council Resolution (SCR), the Mission formally begins its deployment with a mission start-up team.



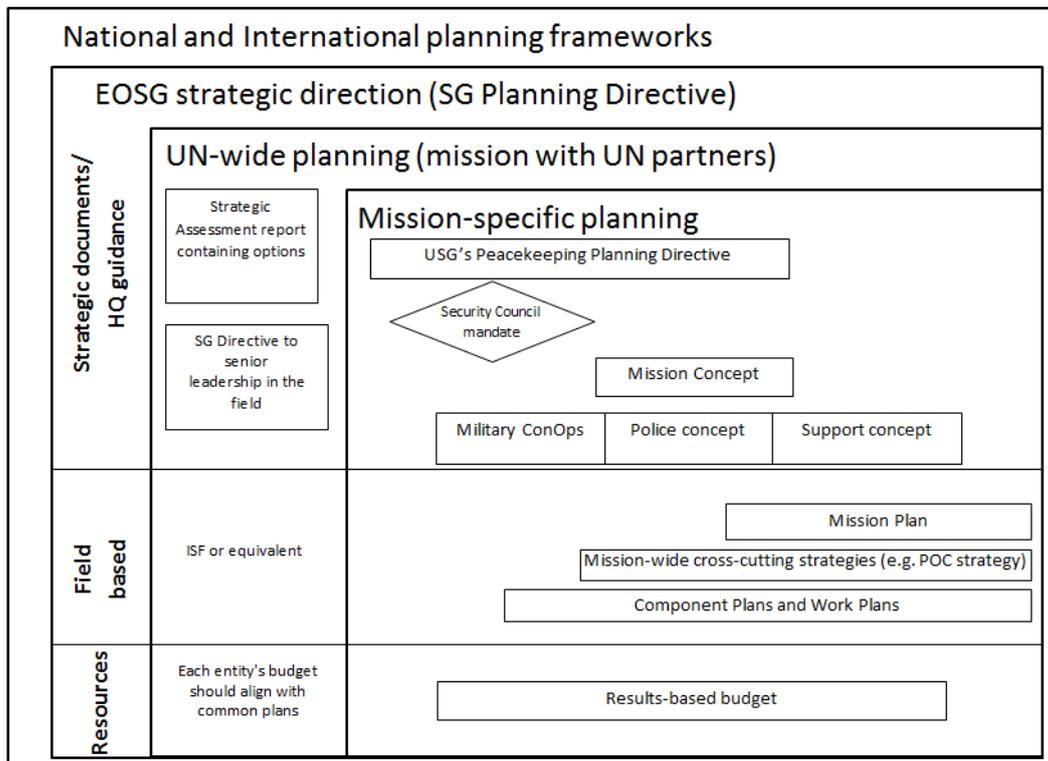
**Fig. 2**

(Source: DPKO/DFS and DPA Guidelines on the Mission Concept (2014))

**2.3. UN-wide Strategic Planning Documents**

2.3.1. Figure 3 below summarizes the hierarchy of the planning framework for peacekeeping operations documents. Special political missions also have similar planning frameworks for start-ups when dealing with the deployment of a police component in a special political mission. However, specifically to police, special political missions do not ordinarily have planning documents such as directives on the use of force due to the specific nature of their engagement. Budget cycles are also different – PKOs are generally funded annually in accordance with their mandates while SPMs are funded through a two-year cycle. SPMs will also not likely have Military Concepts of Operation, except where a Guard Unit is deployed to provide protection in which case a special CONOPS will be drawn up for the Guard Unit. Since both PKOs and SPMs are supported by DFS, all peace

operations have a support concept. In addition to a Mission Concept/ mandate implementation plan, the mission may or may not have an Integrated Strategic Framework, developed together with the United Nations Country Team (UNCT).



**Fig. 3**

(Source: DPKO/DFS Policy on planning and review of peacekeeping operations (2017))

**2.3.2. Mission Concept:** Following the authorization of a United Nations peacekeeping operation or special political mission, a "Mission Concept" (MC) is finalized. (See *template in Annex A*) The MC provides the overall vision for mandate delivery, sets priorities in order of importance and sequence, and directs mission components to align and synchronize their activities.

2.3.3. The first MC is developed at the headquarters and validated in the field. – it is also coordinated with the UNCT and the humanitarian and human rights actors, - taking into account the mission's role within the broader UN system and international context and to ensure that the new mission does not encroach/ derail existing planning instruments. Strictly speaking, the MC is expected to guide the component level planning, however in practice, component CONOPS are often developed in tandem with the development of the Mission Concept. The MC lays out to the field level presence how the relevant Security Council mandate will need to be implemented.

2.3.4. The MC is reviewed at the field level, often in line with the review of component CONOPS, and most often in response to Strategic Assessment Mission (SAM). The aim of a SAM is to outline possible objectives of a potential mission, a reconfiguration of the mission or the UN presence; achievement of key milestones; or any other conditions that require a re-orientation of the mission materialized as alternative options for a UN involvement depending on the host-State situation that are likely to recommend a change of mandate, a change in circumstances or the operating environment.

2.3.5. Details on the purposes, functions and minimum standards of the Mission Concept are in the DPKO/DFS and DPA Guidelines on The Mission Concept, however, as a minimum, the MC should<sup>3</sup>:

- 2.3.5.1. define the overall approach to mandate implementation;
- 2.3.5.2. identify critical tasks in each phase(see fig. 4) of the mission lifecycle; and
- 2.3.5.3. provide guidance to mission entities in order to streamline their activities on the basis of these parameters, including through monitoring and evaluation.

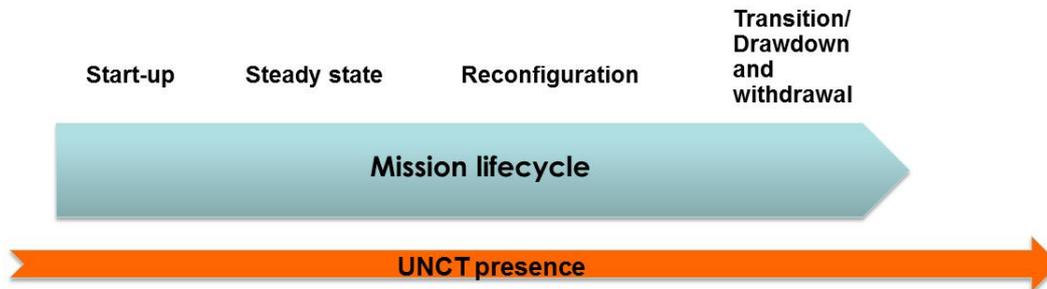


Fig. 4

2.3.6. It should be remembered that in an integrated UN setting, there will be other UN agencies, funds and programmes that will have their own planning documents – which at the mission level will need to be integrated with the Mission Concept in order that the “UN delivers as One”. The humanitarian actors are likely to be guided by a Common Humanitarian Action Plan (CHAP)/ Consolidated Appeals Process (CAP), while the UNCT will be guided by the United Nations Development Assistance Framework (UNDAF).

2.3.7. It should also be noted that the Mission is established for the purposes of restoring peace and security while the host state may have had, in most, if not all cases, a pre-existing UN presence – the United Nations Country Team – UNCT. This presence will likely continue after the Mission has exited as well, hence all Mission planning is undertaken with due regard to the UNCTs presence – for the UN to deliver as One.

2.3.8. DPKO and DFS have developed a new Policy on Planning and Review of Peacekeeping Operations which went into effect on 1 January 2017<sup>4</sup>. The policy provides a standard planning process specific to peacekeeping, clarifies roles, responsibilities and decisions points, and ensures coordination and coherence in planning peacekeeping operations. Further, it serves as an important foundation to ensure clarity, transparency and coherence in the work of the two Departments – especially as it relates to the decision making to trigger subsequent phases to the planning process. The new Policy complements the Policy on Integrated Assessment and Planning (2013), which applies to United Nations-wide planning processes but does not specifically address planning undertaken by DPKO and DFS. The planning process for a peacekeeping operation comprises four broad phases: assessment (in mission start-ups), development of plans, implementation and monitoring, and review/assessment for existing or newly established missions.

<sup>3</sup>DPKO/DFS and DPA Guidelines on The Mission Concept (2014)

<sup>4</sup> DPKO/DFS Policy on Planning and Review of Peacekeeping Operations (2017)

## 2.4. UN Police involvement in Mission planning processes

2.4.1. Figure 5 identifies the headquarters and field involvement of police assessment and planning in the overall Mission planning process.

2.4.2. For a Mission start-up, the Secretariat develops the Mission Concept, component CONOPS, budgets, organization charts, HoPCs directives, Directives on the Use of Force (DUFs) and Standard Operating Procedures (SOPs). Following this, planning is transferred to the field along with the transfer of operational authority to the new SRSG and his/ her Senior Management Team (SMT).

2.4.3. Once planning is transferred to the field, the start-up team as part of the initial operating capability (IOC) of the Mission's police component will develop the following **mission-specific** documents amongst others:

- 2.4.3.1. policies, guidelines, directives and procedures (broad range of administrative and operational);
- 2.4.3.2. operation plan, deployment (regions/ sectors) plan, contingency and risk management plans; and
- 2.4.3.3. police reform and restructuring strategic frameworks (in case of police reform mandates), plans for the execution of other mandated tasks, a security plan, and a relocation and evacuation plan.

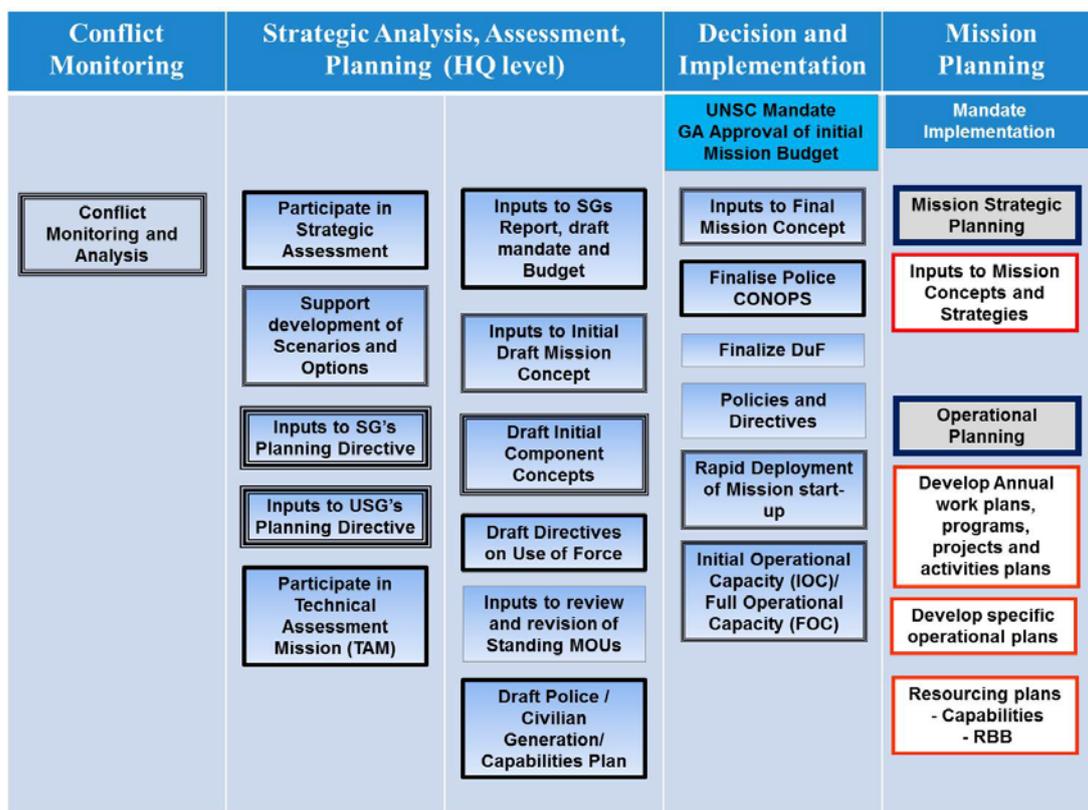


Fig. 5

## 2.5. Core Police Planning Documents for Peace Operations

2.5.1. The planning process at the Secretariat may result in the development of a series of related planning documents such as the UN police Concept of Operations (CONOPS) (see template in Annex B), and Directives on the Use of Force (DuF), both for FPU as well as for Individual Police Officers (IPOs) and other specialized teams/ units. In addition, other documents related to scenarios and options development, courses of actions development and analysis, police

capability to tasks matrices, draft budget submissions, police generation and deployment plans, Statement of Unit Requirements (SUR) for Units especially FPU, may be found in the compendium of Secretariat-based planning documents.

#### 2.5.2. CONOPS

2.5.2.1. The police CONOPS translates the requirements related to policing and other law enforcement activities contained in the mission mandate and the Mission Concept into strategic direction. It provides broad guidelines on the implementation of strategic and operational requirements and includes:

- the Police Adviser's strategic intent, establishing the broad approach, tasks and responsibilities of the police component, including in relation to protection of civilians and human rights;
- organization and deployment (including timelines); security/force protection; administration and logistics; and command and control;
- Phases and sequences with their respective benchmarks and or indicators of achievement
- programmes for delivery and expected outcomes of police operations and activities; and
- activities, processes and resource requirements from which to formulate the component's annual work plans and its subsequent cascading into sections/pillars/units work plans; thematic considerations, including environment, gender mainstreaming/ sexual exploitation and abuse/ sexual and gender based violence, HRDDP; and policies, standard operating procedures and other guidance materials needed to implement mandated tasks.

2.5.2.2. The HoPC is required to formally acknowledge the Concept of Operations and he/she is required to produce Mission-level police plans reflecting short and long-term organizational goals, objectives and priorities<sup>5</sup> as per the CONOPS as cascaded by the Mission Concept. The HoPC is also to ensure that appropriate coordination is undertaken within the Mission and the UNCT to ensure integration, and the delivery of "One UN".

2.5.2.3. In the case of a new mission, the first draft of the CONOPS is developed at UN Headquarters as part of the broader DPKO/DFS (and DPA) planning process, and after a decision is taken to deploy a peace operation. As such, with the issuance of the CONOPS, the operational responsibility is transferred from the Police Division to the HoPC.

2.5.2.4. In the case of an existing mission, the **review** of the CONOPS is undertaken jointly between the Mission and DPKO/PD following a substantive change in the mission's mandate, changes in circumstance (s) or operating environment, mission reconfiguration, achievement of key benchmarks / milestones, or other factors requiring a reorientation.<sup>6</sup> A review of the Police CONOPS is recommended to coincide with that of the Mission Concept. The police CONOPS may also be reviewed unilaterally, if agreed between DPKO/PD and the Mission, or undertaken annually or whenever the Security Council authorizes adjustments to the nature or size of the mission. The review of the CONOPS may also be accompanied by the review of other

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<sup>5</sup> See also DPKO/DFS Guidelines on Police Command (2015.14), paras. 36-38.

<sup>6</sup> DPKO/DPA/DFS Guidelines: The Mission Concept, 1 January 2014, Ref. 2014.04

planning documents like the DUF, SOPs and SURs, depending on the extent to which the mandate has changed.

2.5.2.5. By definition, the Mission Concept should be the guiding document for the development and review of the Police CONOPS; however, in practice, the revision of the Mission Concept and the Police CONOPS can be undertaken simultaneously, ensuring the synchronicity of the two documents. The mission concept may evolve over time in line with programme implementation and mandate changes and in that case, the police CONOPS should be revised accordingly. Whenever the issuance of a new police CONOPS is required, the HoPC should engage police contingent commanders of PCCs about changes to a mandate to ensure unity of understanding about mandate changes at the field level, and to ensure that the views and recommendations of Police Contingent Commanders are communicated to UNHQ to complete the loop of the triangular consultation between the Security Council, Secretariat and the PCCs and their respective entities represented on the ground.

### 2.5.3. Standard Operating Procedure (SOP)

2.5.3.1. The SOP for the administration of the police component in a particular mission provides the policies and procedures governing personnel administration and management of all IPOs and FPU's assigned to work in a field mission. Where applicable, it also applies to contracted police experts (international professional posts). The SOP serves as the authoritative document governing police component's administrative and personnel matters in missions.

2.5.3.2. The SOP provides guidelines to the Police component on the organizational and procedural framework for the effective and efficient implementation of the strategic priorities outlined in the Police CONOPS. SOPs also provide in-depth guidance and direction to all members of the police component in upholding the highest standards of professionalism and integrity while implementing its mandated tasks within the purview of the Mission Concept and the relevant mission mandate.

### 2.5.4. Directives on the Use of Force (DUF)

2.5.4.1. In accordance with the Policy on Authority, Command and Control (Ref. 2008.4)<sup>7</sup>, a technical directive regulating the use of force in strict accordance with the authorization by the United Nations Security Council, the mandated tasks and the capabilities of FPU's/ IPOs shall be issued by UNHQ. The use of force is regulated by the Basic Principles on the Use of Force and Firearms by Law Enforcement Officials, the Code of Conduct for Law Enforcement Officials<sup>8</sup> and mission-specific guidance, such as Directive on the Use of Force (DUF).

2.5.4.2. Mission-specific guidance shall be issued to specify the authorization of FPU's (and IPOs) to use force and carry firearms, including the precise specifications of the firearms and other items of police and law enforcement equipment. Police commanders must ensure that the personnel under their command use force in full compliance with the applicable UN policies and laws in effect within a given mission environment. The HoPC shall also ensure

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<sup>7</sup> DPKO/DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations (15 February 2008).

<sup>8</sup> Adopted by the Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, Havana, Cuba, 27 August to 7 September 1990

familiarisation with, training on and adherence to the DUF. Any alleged contravention of the DUF related to the protection of civilians must be subject to a formal UN investigation.

### 3. Rationale

- 3.1. UN police in field missions have identified **operational planning for UN police components** (hereinafter referred to as “Mission-based police planning”) as an area that needs key guidance. The work conducted at the Headquarters and in-mission planning processes, including the development and review of the concept of operations, need to address issues in a consistent manner. The Policy on Integrated Assessment and Planning (IAP) adopted in April 2013 applies to UN-wide planning processes; however, it does not specifically address the planning processes and requirements in terms of component-specific strategies. The Policy Committee of the Secretary-General has asked the lead Departments (and its components) to address the challenges identified in the area of planning through Department-level policies and component-level guidance. Further, the DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions reiterates the need, among others; of defining the core functions and fundamental principles that shall serve to guide, UN police planning (and deployment) processes and inform other mission components as to how United Nations police are to approach the implementation of their mandated tasks.
- 3.2. For the UN police components, the Police Concept of Operations (CONOPS) remains as the only formal strategic planning product to guide the implementation of the Mission’s policing and other law enforcement-related mandates. However, this too remains as a strategic planning product. Mission-based police planning, a key component in mission start-ups and mandate implementation has remained devoid of any guidance. Therefore to date, domestic police officers are being seconded with perhaps little knowledge or previous experience of UN systems and standards and are required to undertake the unenviable role of Mission-based police planning in an integrated multi-dimensional mission in a post-conflict setting where the only guidance that is available is the mandate and the UN police CONOPS. This manual seeks to address this very issue.

### 4. Objective

- 4.1. The aim of this manual is to define the processes and provide practical advice and guidance for United Nations police planners as well as those supporting police planning in field missions or other crisis situation on how to undertake and better implement Mission-based police planning. While focussed on integrated missions, this manual will also be applicable to settings where UN presence is not structurally integrated. The Manual will be fully compliant with the IAP; it will integrate with similar Department-wide initiatives, including the DPKO-DFS Policy on Planning and Review of Peacekeeping Operations (2017), as well as incorporate the planning elements of DPA-led special political missions and policing and other law enforcement elements of rule of law initiatives of Global Focal Point (GFP) arrangement.
- 4.2. The guidance will endeavour to address the different processes undertaken to develop:
- 4.2.1. Component and unit work plans
  - 4.2.2. Operational plans for supporting security and stabilisation tasks
    - Continuing activities
    - Special operations
  - 4.2.3. Programmatic plans
    - Projects, QIPs and activities plans;

- 4.2.4. Resourcing plans
  - 4.2.4.1. Personnel and enablers;
  - 4.2.4.2. Financial

## 5. General Aspects

### 5.1. Definition

5.1.1. Mission-based police planning is the process of linking strategic goals and objectives to operational goals and objectives through a cycle of actions. Mission-based police planning should cover, among other aspects:

- Analysis of need/ operational environment including on gender-related aspects
- Identification of courses of action and development of strategies for achieving operational goals and objectives
- Monitoring, evaluation and review

5.1.2. Mission-based police planning process shall be guided by the strategic plans of the Mission, including the Mission Concept, overarching strategies like the Mission's POC strategy, and ultimately the UN Police CONOPS.

5.1.3. Mission-based police plans should be vertically integrated in the higher order direction, and horizontally integrated with the planning process of other components of the Mission. It should be proactive, rather than reactive, establishing 'what' required (task) is and 'why' (purpose) of an operational activity that will vary in scale and duration. Planning requires continuous monitoring, evaluation and reporting and must be flexible enough to allow changes without introducing confusion. The process should be auditable in so far that it identifies operational objectives and related threats and risks, and establishes accountability.

### 5.2. Police planning process

5.2.1. Police Planning is a continuous process that requires optimal cooperation, coordination, and flexibility. It includes the systematic collection of information, assessment of the situation and issuance of directives and orders in addition to directing and controlling the execution. Monitoring, evaluation and reporting are undertaken at all stages to ensure that lessons are learnt and good/ best practices are carried over to the next planning phase or event. The integration of gender mainstreaming is an essential component throughout all the stages of the planning process. Planning Mission-based police operation, activity or event, will follow through the core steps of Pre-planning, Planning and Implementation and review. Depending on the situation, each of these steps may include one, some or all of the sub-steps in the following:

5.2.1.1. Pre-planning (Analysis of need/ operational environment)

- Information Gathering: Technical analysis; review of pre-assumptions, political analysis, gender-related analysis, intelligence (strictly information gathering which are within the scope of the mandate of the mission), context,
- Design: What, when, for whom, in what format, and how

5.2.1.2. Planning (Identification of courses of actions and development of strategies for achieving operational goals and objectives)

- Assessment: factors – deductions, outputs, questions, assumptions
- Strategy Outline, Approval & Re-Confirmation: What is directed / mandated, aim, end-state, what needs to be reconfirmed

- Objectives: Outputs to be achieved. The path to be taken: activities, timescales, and success criteria
- Resources: capacity needs, 'Means to achieve the end-state', political, human, including diversity, financial
- Courses of Action: Identify options and justify recommendations
- Risk Assessment: Risk Analysis, Human Rights Due Diligence, SWOT, Planning matrix
- Implementation Planning & Responsibilities: Priorities, sequencing, responsibilities, leadership, detailed tasking, engagement and management resources, risk mitigation measures

#### 5.2.1.3. Implementation and Review

- Monitoring, Reporting and Review: Strategic and operational responsibilities.

### 5.3. Guiding principles

5.3.1. In addition to the principles articulated in the United Nations Policy on Integrated Assessment and Planning (IAP) (2013), which applies to UN-wide planning, the following principles will guide UNPOL when developing Mission-based police plans:

5.3.2. **Integrity of the process:** Although other factors like the operating environment, stakeholders' comparative advantages including with respect to resources, especially financial, and the restriction placed by the mandate on the selection of courses of actions, it is critical to safeguard the integrity of the planning process.

5.3.3. **Participation:** All actors and entities that will be affected by the actions taken by the outcome of the planning process should be consulted/ or asked to participate in the process. This is particularly valid with regard to the inclusion of host-state police and other law enforcement entities but also other mission components such as the human rights component. All positions shall be considered as a part of decision-making, but decisions will not require unanimity among all participants.

5.3.4. **Coherence:** All UN Mission-based police planning should be aligned with the resource availability and other efforts of the UN police component and entities/ actors involved in the Mission-based police planning process.

5.3.5. **Transparency:** Transparency and clarity in the planning process, and hence confidence in the outcomes of planning exercises should be a given must be given due consideration.

5.3.6. **Do No Harm:** Lessons from the field have shown that it is critical for the UN's legitimacy, credibility and public image to consistently respect and promote human rights, with the imperative to 'do no harm' guiding the UN's operational work and related planning at all times through the application of human rights due diligence to avoid complicity or association with serious human rights violations.

5.3.7. **Victim centred approach:** This approach requires all UN Mission based police planning to prioritize victims' rights, safety and well-being.

5.3.8. **Attention to potentially vulnerable and marginalized groups:** All UN Mission-based planning should seek information, analyse such information and in planning ensure protection of potentially vulnerable groups, such as children, elderly persons, women, refugees, persons with disabilities, and members of minority groups

5.3.9. **Consistency:** Objectives, priorities and benchmarks/targets should be consistent across the strategic mission-level planning documents (such as the

mission concept and component concepts). Such objectives, priorities and benchmarks/targets should inform and be consistent with mission-wide operational plans and strategies (such as the mission plan, protection of civilians strategy, gender strategy etc.), which in turn should inform and be consistent with component and individual work plans (including the SRSG's compact). The allocation of resources, and hence budgetary documents (such as the results-based budget), need to be closely guided by the strategic and operational planning documents.

- 5.3.10. **Clarity:** Mission-based police planning strategies should be communicated in a clear, concise, logical, achievable, timely and structured form.
- 5.3.11. **Efficiency:** Resources necessary for the operation should be utilized in a safe and efficient way. This can only be achieved if any potential risks are effectively managed.
- 5.3.12. **Outcomes, Outputs and inputs:** The plan should demonstrate the desired outcomes, outputs and inputs.
- 5.3.13. **Documentation:** Goals, actions, indicators, desired results and outputs should be clear, so that any action can be measured and evaluated.
- 5.3.14. **Prioritization:** Actions should be prioritized according to their importance, taking into account available resources, so that the desired output can be accomplished as effectively as possible.
- 5.3.15. **Flexibility:** Credible contingencies should be incorporated in the plan to ensure the ability to change course quickly.
- 5.3.16. **Sequencing:** The timing of actions and desired results should be indicated clearly

## **6. Police Component and sub-ordinate units work plans:**

### **6.1. Levels**

- 6.1.1. Work plans exist at two levels – Component and Unit (Units for this purpose refers to the constituent offices, pillars, sectors/regions and Units). The main difference between the Component and the Unit work plan is the levels of details and the deliverable(s). The core elements of Component Work plan will define the outputs of all the four pillars of the UN Police component – Police Command<sup>9</sup>; Police Operations<sup>10</sup>; Police Capacity-Building and Development<sup>11</sup>; and Police Administration<sup>12</sup>. These core elements will need to be reflected in the Unit Work plans however, the constituent elements of the various plans developed at the Unit level may not be reflected in detail in the Component Work plan. In the development of Component Work plan, the HoPC and the police component should coordinate closely with other mission counterparts, assuring coherence to mission level strategic objectives including an integrated approach inclusive of joint activities with the UNCT with respect to the development of host-state police capacities and also considering secondment/ assistance arrangement (e.g. with the human rights component).
- 6.1.2. The work of each substantive unit/ section in order to implement the mandate of the police component will contribute to the achievement of the Component work plan, hence the work plans of constituent regions, sectors, and units and individuals (especially at the management level and for police advisers in special

<sup>9</sup> DPKO/DFS Police Command in United Nations Peacekeeping Operations and Special Political Missions, Ref. 2015.14.

<sup>10</sup> DPKO/DFS Police Operations in United Nations Peacekeeping Operations and Special Political Missions, 2015.15.

<sup>11</sup> DPKO/DFS Police Capacity-building and Development, Ref. 2015.08.

<sup>12</sup> DPKO/DFS Police Administration in United Nations Peacekeeping Operations and Special Political Missions, Ref. 2016.26.

political missions) are based on the Component work plan. At the unit/ section level, the Unit/ Section will develop its annual work plan exclusively from the Annual Work plan of the Component, elaborating only the tasks that the Unit/ Section has been assigned as the Lead or Support in terms of implementation and reporting. It will take on its assigned tasking and elaborate on how the tasks will be implemented. Units/ Section heads are to ensure that these plans are developed to justify the existence of Units/ Sections but actually cascade elements of the Component work plan. Individual officer's work plans are to be reflected in their respective performance assessment – which is separate from the Unit/ Section plans.

## 6.2. Genesis

6.2.1. At the Mission's Police Headquarters, the HoPC will develop a work plan that will be founded on the Mission Concept, UN Police CONOPS, expected accomplishments of the Results-based budget and Mission strategies like POC and elections security plans. The Component work plan will be an overarching document that will align itself with work plans of other components in delivering the Mission's mandate, as well as that of the UNCT and other agencies, funds and programmes that jointly deliver policing mandates – however, the document remains under the ownership of the HoPC. ***These core elements of the Component Work plan will form a management tool for the Police Command element of UNPOL<sup>13</sup>. Its monitoring, evaluation and review will essentially drive the "Accountability Framework for the Implementation of UN Policing".***

## 6.3. Utility

6.3.1. The Component work plan shall also serve as a basic management tool for monitoring and accountability to ensure the effective implementation of the mandated police tasks in accordance with the benchmarks and the phases, especially in relation to the components resourcing requirements and the CONOPS.

## 6.4. Key Elements

6.4.1. Most often, the Component Work plan will be designed as a logical framework (log frame) (See Fig. 6), especially to provide a snapshot of the progress in achieving the outcomes. While it is encouraged to have the higher level Mission and Vision statements at the start of a Work plan, for the UNPOL component, these would have been ideally reflected in the UN Police CONOPS. However, it is **strongly advisable** that the **log frame is accompanied by a narrative** consisting of the following basic information:

6.4.2. Context – This will include a very short descriptor paragraph on the context on which the plan will be delivered, the elements of the mandate/ CONOPS that it covers (and could include the phases, objectives and benchmarks as per the CONOPS) or the expected indicator(s) of achievement of the RBB. Context includes the background for the plan.

6.4.3. Situational analysis – Situational analysis draws on the previous strategic analysis based on which the current strategy was developed and the current situation on the ground related to the focus of the priorities laid out in the work plan. It determines how a strategy will actually be operationalized in a work plan, and often it involves revisiting the strategy and cascading it to be operationalized within the current context and conditions. For example, a UN Police component is

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<sup>13</sup>DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (2014)

mandated to operationalize the capacity building and development of the host-state police as laid out in the CONOPS. The Situational analysis part will comprise of the aspects related to the Strategy (CONOPS) in view of the current situation on the ground. This could include posing questions like whether the host state is willing now to move forward with police development; whether there are still impediments including gender-related aspects; whether the previous assumptions still hold true; whether resources allocated are proportional to the task of building host-state police capacity, what needs to be prioritized at the operational level to determine the best possible operationalization method,

- 6.4.4. Assumptions – These are statements used in place of unknown facts in order to be plausible. Assumptions should be necessary and realistic, and without which planning and implementation cannot proceed. These could include statements like, “host-state police will cooperate with UN police in all aspects of its operational and capacity building and development, especially vetting”.
- 6.4.5. Risk analysis and management – Mission-based police planning should identify and manage political, reputational, human rights, legal, operational (including staff safety), programmatic and loss of assets/resources elements that would negatively impact UN police mandate implementation. For example in the capacity development of national police, the UNPOL component may be faced with criticisms of training elements of the national police who have allegedly committed human rights violations. Mitigation methodologies may include officers are only trained in line with Human rights due diligence policy and recruits vetting. Background checks, or that their performance post training vetting is carefully monitored to ensure that they do not then commit further serious human rights violations during and after UN support is completed. Risk analysis allows judgement/assessment to be made with regard to the areas of vulnerability in an activity and on the impact this might have on the probabilities of success. It is to be followed by risk strategic management whereby mitigation strategies are proposed and are to be implemented. Risk analysis can be performed jointly by UNPOL and a Mission’s HRDDP secretariat or working group.
- 6.4.6. Resource allocations – This would be a one-two paragraph summary of personnel strength, financial, logistics and administrative requirements necessary to support the overall UN police work plan, and should include complementary programmatic resources needed to implement joint programmes. Taking into consideration the development trends of the UN Peacekeeping Operations, it would be advisable to consider the necessity to use modern technology, based on appropriate analysis and mission factors.
- 6.4.7. Monitoring, evaluation and reporting – This portion is a strategically critical area as the accountability of the UNPOL component largely depends on how the Work plan will be implemented. The Component work plan will be **monitored, evaluated and reported** in line with the periods specified in the source document – vis-à-vis Mission Concept/ CONOPS, RBB or the relevant Mission strategy. The Component work plan will should include among others, **relevant information** from and on all Units’ work plans, operation plans, programmatic and project plans and utilisation of resources.
- 6.4.8. Component of budget and/or Programme Statement – It is the area or statement that draws its legal foundation from the Security Council mission mandates, Mission Concept and/or the CONOPS. It is important to note that the component or programme statement will not be fully achieved in the lifetime of the policing mission, although certain specific activities may be completed. For example, **total**

security and protection of civilians will not be achieved in Congo, or the police component will not be able to **fully** ensure the effective protection of civilians under threat of physical violence within its area of operations. However, the Police component will only be able to contribute towards the protection of civilians. The component or programme statement must reflect the contribution of the police mission to the 'Protection of Civilians'.

6.4.9. Expected Accomplishment / Statement of Objective – “A desired outcome or result of the programme/sub-programme, involving benefits to end-users. Expected accomplishments can be expressed as a quantitative or qualitative standard, value or rate. Accomplishments are the direct consequence or effect of the delivery of outputs and lead to the fulfilment of the envisaged objective”<sup>14</sup>. This desired outcome should be fully achievable. In other words, the expected accomplishment is the end result of a series of actions. For example, the desired outcome of MONUSCO Police component's POC-related activities should result in “improved security and protection of civilians in areas affected by armed conflict through the development and implementation of United Nations Police – Congolese National Police (UNPOL-PNC) strategy in line with the “UN System-wide POC Strategy in DRC”.

6.4.10. Indicators of Achievement/ Benchmark (in CONOPs) – Indicators of Achievement or benchmarks are used as an integral aspect of operational planning and monitoring progress. Indicators of Achievement or benchmarks may be defined as a standard or target that an action should achieve. For example, one Indicator of Achievement could be “**increased** confidence among Congolese people in the capacity of the State Security Forces to protect its population”. A benchmark could be “the Mission's early warning mechanism is **supported** by the gathering, analysis and dissemination of information relating to security threats against civilians, including women and children in areas of UNPOL operations”. While not clearly eminent, these are time bound – the Indicator of Achievement by the annual budget cycle and the benchmark by the mandate cycle. Benchmarks and Indicators of achievement allow managers to measure the actual result of strategies and make comparisons between desired and actual results. The "SMART" method is often used when creating Indicators of Achievement and Benchmarks. SMART stands for specific, measurable, achievable, realistic/relevant and time-bound. In the above example 1 (“**increased** confidence among Congolese people in the capacity of the State Security Forces to protect its population”)

- Specific: What is measured – **confidence that includes perspectives from women, men, boys and girls**
- Measurable: What is the standard – usually in a RBB, a **baseline** is provided as standard
- Achievable: While the norm is current, **increase** is achievable.
- Relevant: basic element of UN presence is to support the **Congolese**.
- Time-bound: this is part of an **annual** budget.

6.4.11. Outputs/ Operational Directives– These are the final product or deliverables by activities to stakeholders in order to achieve its objectives. Outputs may include reports, publications, training, meetings, and security

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<sup>14</sup>ST/SGB/2016/6 Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation

services. Outputs may also be measurable processes used to achieve an outcome. They may include numbers of police participating in a training programme, number of patrols, frequency of reporting on incidents, hours of technical assistance, and amount of equipment provided. For example,

- “XX joint patrols and daily monitoring and mentoring through co-location to provide advice and support to the Congolese national police on the fight against insecurity in 11 urban sectors”.
- “IPOs in sectors, sub sectors and antenna locations including in the six potential hotspots without Mission presences monitor and report daily on the evolving political and security trends, including around displaced persons and refugee camps, in their respective Area of Responsibility (AoRs).
- ‘XX number of host State police officers trained on the prevention and investigation of sexual and gender-based violence across the YY regional police departments.

6.4.12. Resources Requirement - Resources refer to the required capacities to act. These can include:

- Human resources - right number and, type of personnel (with the required skills sets) and diversity (female/male) deployed within a reasonable timeframe to undertake the proposed mandated tasks (e.g., experts in specific areas of law, police advisers with mentoring and advising skills, gender experts, child protection experts, programme management experts etc.)
- Financial – This represents the financial resources necessary to conduct the proposed intervention, within a reasonable timeframe. Financial resources could be sourced from assessed and/or extra-budgetary contributions. Other UN and non-UN actors, who might play the same or a similar role, unlikely to have the capacity to deliver may also contribute with financial resources.
- Logistics - support services (team sites, infrastructure, logistics, communications, equipment, security for UN personnel and assets etc.) to undertake the proposed intervention with due regard to specific needs between women and men and equal access to equipment,
- Lead Unit/ Person - Indicates which unit/person within the mission component is in the lead for implementing a particular output or operational directive, and who is in a support role. The accountability and responsibility (to be discussed later under monitoring, evaluation and review) will always be upon the Lead.

6.4.13. Expected date of completion/ Duration – While the “Expected date of completion” indicates the date by which an output has to be delivered, “Duration” indicates when the activities are taking place and can be modified to show activities by day, week, month, quarterly, biannually and annually etc.

6.4.14. Remarks/ Status – This part reflects the stage of completion of the particular output or operational directive. One of the more common forms of reflection of status in programmatic plans is the “traffic light indicator” method – using colours Blue for “Completed”; Green for “On schedule”; Orange for “Potential for delays” and Red for “No Progress/ significantly behind schedule”. If the outputs are in terms of numerical indicators, it is suggested that the actual number as well as the percentage of achievement is shown when reporting.

**UN [Mission] POLICE COMPONENT WORKPLAN**  
**[Start-date – End-date (usually the mandate and its annual renewal dates)]**

<b>Component of budget and Program Statement:</b> <i>[example: Component 2: Security and Protection of civilians: MONUSCO will continue to contribute to the protection of civilians, particularly in areas of armed conflict. In this regards, the police component, in collaboration with other MONUSCO units, as well as other UN agencies and partners, is required to ensure the effective protection of civilians under threat of physical violence within its area of operations.]</i>						
<b>Expected Accomplishment 1/ Statement of Objective:</b> <i>[Example - Improved security and protection of civilians in areas affected by armed conflict. United Nations Police – Congolese National Police (UNPOL-PNC) strategy to protect civilians in areas with UNPOL presence in line with the “UN System-wide POC in DRC” strategy is developed and implemented.</i>						
P H A S E	*Indicators of Achievement/ Benchmark in CONOPS	Outputs/ Operational Directives	Resources Requirement (staff, fiscal, logistics)	Lead Unit/ Person	Expected date of completion/ Duration	Remarks/ Status
1 (0 – 12 months)	<i>Increased confidence among Congolese in the capacity of the State Security Forces to protect its population, including the specific needs of women and children</i>	<i>**XXX joint patrols and daily monitoring and mentoring through co-location to provide advice and support to the Congolese national police on the fight against insecurity in 11 urban sectors</i>	<i>4 FPUs, including with an appropriate female platoon; 150 IPOs, including with an appropriate female element; 25 vehicles with POL facilities Operational Expenses - \$USD250,000 (assessed funding); \$150,000 (donor fund) Mission constructed base camps in Sectors</i>	<i>Operations Pillar, Regional/ Sector Commanders</i>	<i>July -</i>	<i>*There may be other outputs, operational directives assigned to one Indicator of achievement ** One output/ Operational Directive can have one or more activity (ies) at the Unit/ Section level</i>

*(Purely for indicative purposes. These have been elicited from the UN Police CONOPS for Phase 1 only; for the other Phases and for each of the Expected Accomplishment of the Outcomes of the RBB, there will be a similar layout*

**Fig. 6**

**6.5. Good Practice**

- 6.5.1. As a rule, align the annual work plan with the budget cycle of the UN Field Mission (i.e., July to June (PKOs), or January to December (SPMs)).
- 6.5.2. First, develop a draft annual work plan, then extract relevant elements, and insert them into the Mission’s Results-based Budget Framework.
- 6.5.3. Align the content of the work plan with higher-level plans (e.g., national strategies, UN-wide plans such as an Integrated Strategic Framework and Mission-wide plans such as a Mission Concept).
- 6.5.4. Consult colleagues in the component widely when developing the work plan (e.g. through a one-day retreat for the component).
- 6.5.5. Consult other actors widely when developing the work plan.
- 6.5.6. Broad consultations with other Mission components, particularly rule of law, human rights and security institutions components, other UN entities, the national authorities and other non-UN actors ensures coherence of effort and avoids duplication of effort.

**7. Operational planning**

**7.1. Genesis:**

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

## 7.2. Utility

7.2.1. Operational Plans (simply known as 'OPlan') are useful to design effective implementation of Continuous Activities (those that are under 'Public Safety' and 'Community-oriented' and 'information- & analysis-led policing' in the "Operations Pillar"<sup>15</sup>, - like protection duties at IDP camps, joint patrols to support local law enforcement, community oriented policing, implementation of counter-TOC strategy), and special operations (those that are under Investigations operations and Special operations of the Operations Pillar, like Support to Elections, Crowd management and access controls at special events like national forums or local meetings).

## 7.3. Key elements

7.3.1. The planning process should be flexible and must allow UNPOL to adapt the plan to varying operational requirements, characteristics and situations. All activities outlined within each phase of the planning cycle should be considered.

## 7.4. Operational planning cycle

7.4.1. The following phases may be considered as a standard for the development of a Police Operational plan:

7.4.2. **Initiation:** The following activities must be considered during this phase - *establish objectives, refine direction, examine options and select best option,*

7.4.2.1. Identify and engage with the designated operational commander (note that it is best practice to engage with the operational commander at this point of the cycle, but circumstances may require this task to be carried out at a later stage, e.g., when preparing to operationalize the plan)

7.4.2.2. Identify, refine and confirm the operational intent, scope and objectives that the proposed operational planning activity will address – determine the various courses of actions (COA)

7.4.2.3. Identify the level and kind of information and intelligence needs.

7.4.2.4. Identify and establish a core operational planning team commensurate to the scope and size of the proposed activity.

7.4.2.5. Identify and commence preliminary engagement with relevant UNPOL officers, including IPOs and or FPU, and other agencies, funds and programmes to ensure a clear and common understanding of planning roles, deliverables and timelines

7.4.2.6. Carry out an initial appreciation or risk assessment of the proposed activity. All assessments should consider human rights risks under the Human Rights Due Diligence Policy and accompanying mitigation measures.

7.4.2.7. Identify supporting administrative and resource requirements and strategies

7.4.2.8. Develop the initial planning document in the form of a "Draft Police Operation Concept" and obtain appropriate managerial-level approval. As such, a Police Operations Concept is a very high level one-two pager with the following headers:

7.4.2.8..1. **Assessment: factors** – deductions, outputs, questions, assumptions

7.4.2.8..2. **Objectives:** Outputs to be achieved. The path to be taken: activities, timescales, and success criteria

7.4.2.8..3. **Courses of Action:** Identify options and justify recommendations

7.4.2.8..4. **Resources:** 'Means to achieve the end', political, human, financial

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<sup>15</sup> See DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (2014)

7.4.2.8..5.**Risk Assessment:** initial risk analysis

7.4.3.**Development of OPlan:** The following elements must be considered during this phase of the planning cycle– *draft and validate*:

7.4.3.1. Revisit the planning assumptions and verify the initial planning strategies and assumptions as outlined in the approved Police Operation Concept.

7.4.3.2. Undertake a formal risk assessment and mitigation plan<sup>16</sup> for any proposed operational activity (for major events or events with sufficient lead-in time); draft and validate detailed risk matrix (see Fig. 7).

<b>RISK ANALYSIS</b>			
Risk	Probability	Impact	Mitigation
Intimidation	<b>High</b>	<b>Low</b>	Additional security
Exacerbate tension	<b>Medium</b>	<b>Medium</b>	Sensitisation programme
Shortage of time	<b>High</b>	<b>High</b>	Delay programme

**Fig. 7**

7.4.3.3. Detail all COAs and validate the relevant COAs (See Fig. 8)

<sup>16</sup> For guidance on risk assessments and mitigation measures related to human rights violations, see the 2015 UN Inter-Agency Guidance Note on the Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Security Forces.

## COURSES OF ACTIONS

**Step 1: Review of Situation.** This analysis should include the political and diplomatic short and long-term causes. It should consider the political, social, economic influences including public will, competing demands for resources, geography and infrastructure, and the political, economic, legal and moral constraints. Also included should be international interests, women and children interests and donor positions.

**Step 2: Identify and Analyze the Problem.** Experience would suggest that mandates developed by consensus are rarely as precise as UN police would wish. It is for the HOPC and the Unit/ Section Commander, guided by the CONOPS and the Mission Concept to determine precisely what is to be accomplished and is essentially the deduction of what has to be done and why. This should include the determination of any implied tasks or preconditions. The impact of time on the execution of the mission will also have priority.

**Step 3: Formulation of Potential Courses of Action (COA).** Through a combination of intuition and process, a thorough analysis of the problem will produce various COAs. Not all of the potential courses will be possible without close consideration before adoption. At this point, the ends should be clear and some possible ways and means may be beginning to emerge. The rest of the estimate must set about proving the art of the possible by the application of planning factors and by confirming/maximizing the understanding of the problem.

**Step 4: Developing and Validation of Courses of Action.** Each course must be credible and achievable. Each should be formulated with a likely operations concept and should outline the missions, activities and tasks to be accomplished, the resources required and the estimated time and space required. In order to validate each course, the effect of external actions must be analyzed.

**Step 5: Courses of Action Evaluation.** The comparison of Courses of Action should evaluate the advantages and disadvantages of each course with the aim of identifying the best course of action. If appropriate, elements of different courses should be merged. The risk associated with each course, together with its potential gain, should be highlighted. The analysis concludes with the revalidation of suitability, adequacy and feasibility of each course; determines what additional requirements exist, makes required modifications and lists the advantages and disadvantages of each course.

**Step 6 Decision.** Having evaluated the workable Courses of Action, the HOPC or the Unit/ Section chief should be in a position to decide which one is most likely to be successful. Following this, the relevant implementation plans are developed. What is to be done, explaining as appropriate the elements of When, Where, How, Why and by Whom?

**Fig. 8**

- 7.4.3.4. Develop operational plan in the form of a planning matrix (see Fig. 9) on required output, broken down into specific planning of tasks with specific timeframes, milestones and resourcing

<b>GUIDE TO THE PLANNING MATRIX</b>						
<i>THIS IS INTENDED TO BE AN EXAMPLE ONLY – IT DOES NOT PRETEND TO COVER ALL ACTIVITIES BUT TO ILLUSTRATE THE SORT OF ISSUES THAT COULD BE CONSIDERED</i>						
Overall Strategic Objective: <i>Stabilisation- Improved security and protection of civilians in areas affected by armed conflict.</i>						
Assumptions:						
<ul style="list-style-type: none"> <li>• A peace agreement needs to be in place;</li> <li>• That there is international support;</li> <li>• Issues affecting governance and adherence to human rights due diligence addressed through mitigation measures</li> </ul>						
Objective 1. <i>United Nations Police– Congolese National Police (UNPOL-PNC) strategy to protect civilians in areas with UNPOL presence in line with the “UN System-wide POC in DRC” strategy is developed and implemented</i>						
Assumptions: <i>May include issues such as:</i>						
<ul style="list-style-type: none"> <li>• That the necessary resources and capabilities are available;</li> <li>• That they can be deployed in a timely manner;</li> </ul>						
Output	Activity	Timeframe	Success Criteria	Resources	Resp	Comment
<i>XXX joint patrols and daily monitoring and mentoring through co-location to provide advice and support to the Congolese national police on the fight against insecurity in 11 urban sectors</i>	• Development of Police concept in relation to “UN System-wide POC in DRC” strategy.	0-2 months	Plan developed, consulted and agreed between all components	1 Sec / 8 IPOs	COO	
	• Establishing presence in areas of potential volatility	02-03 months	UNPOL collocated with PNC	100 IPOs/ 8 FPU	COO/ Regional/ Sector Cdrs	
	• Conducting joint patrols with PNC and UN Military in identified trouble areas	Long term	Improved local security	100 IPOs/ 4 FPU	Sector Cdrs	

Fig 9

- 7.4.3.5. Engage relevant United Nations police officers and partners in the United Nations System
- 7.4.3.6. Complete a re-assessment of the available resources - United Nations police personnel, including FPUs, and of planned operational activities (for smaller events or events with limited lead-in time)
- 7.4.3.7. Monitor and review intelligence data and summary of any threat analysis conducted.
- 7.4.3.8. Conduct final operational site surveys
- 7.4.3.9. Review and consider any relevant external agreements and/or applicable legislation
- 7.4.3.10. Identify and match resources to operational requirements – capability, capacity and logistics
- 7.4.3.11. Develop a command and control framework that is commensurate to the proposed operational activities
- 7.4.3.12. Develop a “Police Operation Order” and relevant supporting operational or technical documentation like maps of incident areas/ AOO

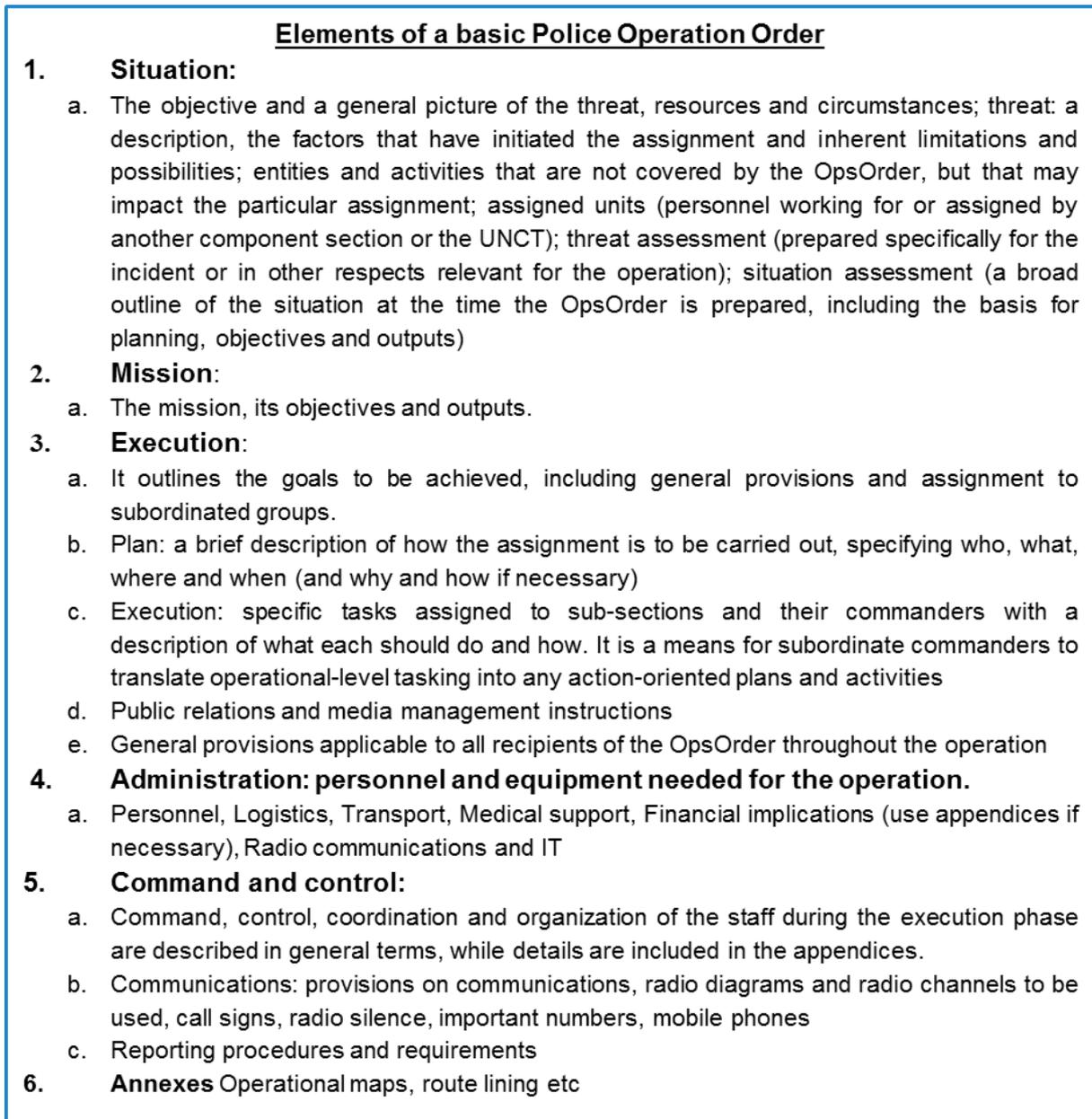
7.4.4. **Police Operation Order (OpsOrder)** The issuance of a “Police Operation Order” (hereafter called an “OpsOrder”) constitutes a Police Command function.

7.4.4.1. The OpsOrder is the baseline document to task specific police operations or responses to incidents. Owing to the details contained herein, at most times the OpsOrder is classified either “Confidential” or “Limited Distribution”. It translates all strategic and operational directives into formal orders for coordinated action. It ensures that everyone involved is fully aware of his or her own duties and of the obligations and roles of others, both inside and outside the mission.

7.4.4.2. The issuance of an OpsOrder is based on the operational planning and when properly applied, this order-making technique is a useful tool for launching, and leading an operation. For an OpsOrder to be easily

implemented, it should contain familiar terms and be laid out according to set standards. The main five headings in an OpsOrder are similar to those issued by other components like the Military in terms of headings - Situation, Mission, Execution, Administration and Logistics, and Command and control (SMEAC) (See Fig 10). They may be used in all kinds of orders or instructions and must be communicated in a clear, precise and structured form.

7.4.4.3. An OpsOrder normally consists of a body, which should provide an overall yet concise picture of the operation, and a set of appendices describing the details. The length and complexity of an OpsOrder will vary depending on the circumstances of the proposed operational activity.



**Fig 10**

**7.4.5. Implementation, review and update:**

7.4.5.1. The following aspects must be considered during the implementation and execution phase:

- 7.4.5.2. Communicate the Police Operation Plan to related staff members and senior officers
- 7.4.5.3. Brief task commanders on the Police Operation Plan and hand it over
- 7.4.5.4. Finalize operational capability and capacity requirements (e.g., training, exercises, rehearsals, logistics, etc.)
- 7.4.5.5. Implement operational deployment
- 7.4.5.6. Review and evaluate the operational environment and planning strategies throughout the deployment phase
- 7.4.6. **Finalization:** This phase should include the following:
  - 7.4.6.1. Conduct post-operational reviews (formal or informal debrief)
  - 7.4.6.2. Review any financial, administrative and logistical support processes/resources related to the operation
  - 7.4.6.3. Evaluate overall operational and planning activities to inform future planning and operations

## 7.5. Notes

- 7.5.1. Once the operation plan is in place, the relevant commander implements the relevant part of the operational commander's plan, using appropriate tactics within his or her geographic or functional area of responsibility. Implementing the operational plan involves actions and contingencies that are reasonable and proportionate to the circumstances. Commanders should ensure that officers understand the terms of their deployment. This may include:
  - 7.5.1.1. actions they are required to carry out
  - 7.5.1.2. legal basis for each action
  - 7.5.1.3. objective they are to accomplish
  - 7.5.1.4. any relevant parameters
  - 7.5.1.5. policing style
  - 7.5.1.6. situations in which officers may be required to make their own assessment and the course of action in such circumstances, including use of force limits
  - 7.5.1.7. how actions may be escalated or de-escalated in response to the circumstances.
- 7.5.2. Officers undertake roles as directed. Effective and consistent briefing and debriefing processes and command protocols are crucial in the success of a police response.
- 7.5.3. It is essential that each officer fully understands the actions they are expected to carry out.
- 7.5.4. There will also be circumstances in which officers are required to make their own assessment of the situation and act accordingly. This may extend to identifying, locating, containing or even neutralizing an immediate threat.

## 7.6. Joint police-military operations

- 7.6.1. Particularly during the stabilization phase of a peacekeeping operation, the complementary actions of both military and police facilitate outreach and engagement and the restoration of safety and security. Examples of such cooperation include checkpoints, joint patrols, human rights monitoring and protection of civilians (POC) activities.
- 7.6.2. Both military and police components have their own concepts of operations (CONOPS), which outline the requirements and tasks to fulfil their respective responsibilities in the mandate. Mission-specific guidance shall be developed that spells out the modalities of cooperation and clarifies the circumstances when the

transition of responsibility takes place. Such guidance shall be developed in the planning phase of each mission and shall be approved jointly by the HoPC and the Head of Military Component (HOMC). Joint training and exercises shall take place on a regular basis.

7.6.3. Proper planning and implementation require accurate and timely information. Police and military components are responsible for intelligence-related information-gathering and sharing. Information gathered by the police component can help and support military operations, decision-making and vice versa. Intelligence-related data should be provided to the JMAC and JOC. The inclusion of civilian components, such as human rights and protection of civilians, in planning and after action reviews can also be beneficial to the implementation of the overall mandate of the Mission.

7.6.4. Depending on the nature of the situation on the ground, UNPOL have primacy to act in case of a disturbance or public disorder of a non-military nature, i.e., when there is no sustained use of firearms or military weaponry. In this situation, as well as when there is capacity limitations on the part of UNPOL/FPU, the HoPC, in coordination with the HOMC, can request personnel of the military component to perform specific tasks in accordance with adopted rules of engagement. The designated police commander at the site exercises tactical control. In the case of a disorder of a military nature, the military component has the primacy to support the host-State police and military. The HOMC can request the HoPC to assign members of FPU to perform specific tasks. The assigned military commander at the site exercises tactical control. Any assignment of FPU staff must be approved and coordinated by the HoPC.

7.6.5. When police and military personnel act under a unified police-military chain of command, special effort should be made to organize regular joint training sessions, which can help to ensure a mutual understanding of different reporting and command systems, roles, knowledge of the area of responsibility, tasks (such as patrols or crowd management) and techniques.

## **7.7. Contingency Planning:**

7.7.1. Operational planning should involve identifying contingencies at an early stage. The development of contingency or emergency plans is vital and can enhance the resilience and flexibility of the overall operational plan if there are sudden or significant changes during an incident. Involvement of civilian components, especially the human rights component and the protection of civilian adviser, may be beneficial. Contingency plans for some activities or locations may already exist as part of normal UNPOL functions. However, it may be necessary to develop new plans in direct response to a particular operation or incident or changing circumstances.

7.7.2. A contingency plan should be a simple, concise and flexible document that can be easily understood and can be revised and updated as circumstances change. It should be subject to the same decision-making rationale as any other police action. The contingency plan should be accessible to those who require it before, during and after an incident. UNPOL should consider testing their contingency and emergency plans through training and exercises, as appropriate.

7.7.3. While it is impractical to identify every possible outcome to a given situation, commanders should identify appropriate contingencies based on the:

- 7.7.3.1. probability of the envisaged outcome occurring
- 7.7.3.2. potential impact of the outcome on the strategy and operational plan
- 7.7.3.3. potential risks to individuals involved in the incident and the response.

7.7.4. Like OpsOrder, Contingency Plans are classified “Confidential” as well.

## 7.8. Good Practice – Minimum requirements

7.8.1. **Operational Police Planning like all other police planning is a continuous process** that requires optimal cooperation, coordination and flexibility. It includes the systematic collection of information, assessment of the situation and issuance of directives and orders and consultation with other components involved in the operation in addition to directing and controlling the execution. Monitoring, evaluation and reporting at all stages to ensure that lessons learned and good practice are carried over to the next planning phase or event.

7.8.2. **Thorough planning and precise orders will simplify management and allow staff to be proactive in the field.** Whether a pre-planned operation or crisis situation, it is important, to the extent possible, to follow general principles governing planning and execution in order to ensure a coherent and controlled response regardless of the nature of the situation.

7.8.3. At a minimum, whether at the national level or unit/sector level; whether for continuing activities or special operations, a **Police Operational Plan (OPlan)** should address the following:

7.8.3.1. **Who:** those responsible for each of the strategies or tasks

- When an assignment has been given to the planning team, an assessment should be conducted in order to better understand the situation on the ground. Successful coordination and management during the planning phase require that everyone has equal access to the same information and shares an understanding of the situation to support the execution of the plan.

7.8.3.2. **What:** strategies and tasks that must be undertaken

- Determining “what” after the responsibility for planning for mandate implementation on policing and law enforcement elements is passed to the HoPC, requires careful analysis of options that are available to the HoPC, or in the case of a Unit/ Section, the relevant commander. It involves an evaluation of the Courses of Action to determine the most relevant option.
- Threat and risk assessment is an integral part of the planning and execution of all police operations in order to identify potential collateral incidents and threats, so that correct action may be taken to reduce the risks.
- SWOT analysis of the strengths, weaknesses, opportunities and threats associated with any operation, activity or approach is useful for this purpose. It is a structured planning technique and a method of categorization that involves specifying the objective of the operation and identifying the key internal and external factors that are favourable and unfavourable to achieving it. The factors should be inserted into a 2x2 matrix based on the SWOT elements. A fundamental principle to be observed is whoever directs the planning and/or execution phase should also plan how to resolve any threats or risk.
- This methodology analyses the internal and external capacities to address priority objectives. For each priority objective, the analysis could list the strengths, weaknesses, opportunities and threats for the UNPOL. The aim of the analysis is to determine the UNPOL’s comparative

advantage. The stakeholder mapping exercise as part of the desk review should be taken into account when conducting the SWOT analysis.

- For each priority objective, a SWOT analysis will allow the team to assess whether the UN should be involved, what type of role (lead versus support) it should take, and which key actors it should engage with to ensure that the priority objective is fully addressed. In some cases, it may result in supporting another, better-positioned actor, rather than taking the lead for a given priority objective.

7.8.3.3. **When:** timelines in which strategies or tasks must be completed, whether a day or several months or longer.

- Once the plan is prepared, it should be implemented. When the initial phase is complete and the tasks are set, it should be clear as to what shall be done in the immediate future. However, the plan must remain flexible as the situation may change.

7.8.3.4. **How much:** financial and other resources provided to complete each strategy or task

- Rapid developments should be considered. It is easier and less time-consuming to alter a prepared plan if adequate resources have already been obtained. The availability of required management, qualified staff and sufficient logistical support will determine the success of the operation. Efficient management of operational resources will also impact the safety and security of personnel. The availability of satisfactory IT and communication systems, catering and housing of staff, transportation and medical support should be included, along with financial implications.

## 8. Programmatic and project planning

### 8.1. Programme and project plans

- 8.1.1. Planning for the deployment or implementation of programmes and projects should be undertaken in the same manner as that of developing a Component or Unit Work Plan as programme plans are work plans of activities. The only difference is that while most work plans are based on the period of implementation, programme plans are based on the life cycle of the project or programme of activities. The life cycle can vary from one month, to one year to multi-year. In addition, requesting funding and resources for programmes can be different, if sources from donors and other extra-budgetary sources. (See Annex C for a draft template)
- 8.1.2. As a rule, whenever UNPOL resources are utilized for the implementation of projects and programmes, UNPOL is required to reflect these activities under appropriate performance gains in the substantive results-based budgeting process.
- 8.1.3. In its consideration of programmatic funding by missions in mid-2016, the General Assembly of the United Nations<sup>17</sup> noted as follows:
- 8.1.3.1. *“(GA) Recognizes that the inclusion of programmatic funds in mission budgets on a case-by-case basis is intended to support the effective implementation of mandated tasks, and, in order to provide greater transparency, requests the Secretary-General to clearly and consistently present the cost of such activities when they are included in future mission budgets; (and)*
- 8.1.3.2. *Requests the Secretary-General to provide information on programmatic funding, including the scope, criteria, governance and accounting procedures, in the context of his next overview report;”*
- 8.1.4. Additionally, the accountability of delivering programmes can be a multi-agency responsibility. One or multi-year programmes plans (e.g. multi-year joint programme or joint initiative with the national government and or the UNCT). However, it is to be noted that not all agencies, funds and programmes report to the General Assembly, therefore transparency is extremely vital – both in requesting as well as reporting on the utilization of funds for the purpose of implementing programmes and projects.
- 8.1.5. The police components may also have multi-year programmes plans (e.g. multi-year joint programme or joint initiative with the national government and or the UNCT) especially to support the capacity building and development of the host-state police and other law enforcement institutions (e.g. vetting of national police, training of the national police with stipends etc.). The development of these programme and project plans should be coordinated with the development of the annual work plan especially considering the utilization of assessed funded resources.
- 8.1.6. A joint programme is “a set of activities contained in a common work plan and related budget, involving 2 or more UN organizations and (sub-) national partners. The work plan and budget are part of a joint programme document, which also details roles and responsibilities of partners in coordinating and managing the joint activities and is signed by all participating organizations and (sub-) national partners”.
- 8.1.7. A joint programme or joint initiative:

<sup>17</sup> United Nations General Assembly, A/RES/70/286 dated on 8 July 2016.

- 8.1.7.1. ensures a more efficient and effective use of resources by basing the division of labour on each partner's comparative advantage;
  - 8.1.7.2. harnesses critical available capabilities;
  - 8.1.7.3. is seen as more credible, coordinated and coherent by donors and host-state recipients;
  - 8.1.8. While there are obvious advantages, distinct administrative and support arrangements, different planning approaches, and methodologies and budget cycles; different reporting requirements, data collection and analysis tools, and reporting formats; and the lack of flexibility to reallocate existing resources to new joint programmes or joint initiatives may often form barriers to planning and delivery of efforts.
- 8.2. Quick-impact projects (QIPS)**
- 8.2.1. The component may also design and implement specific projects and activities with their own project plan(s) that are one year or less in duration, such as quick-impact projects (QIPS) e.g. one-year limited duration projects and activities like refurbishment of the police station. These projects and activities may either be implemented solely by the police component, in coordination with another UN AFP or sub-contracted.
  - 8.2.2. 2012 DPKO/DFS Policy Directive on Quick Impact Projects defines QIPs as follows: "Quick Impact Projects are small-scale, rapidly- implementable projects, of benefit to the population. These projects are used by UN peacekeeping operations to establish and build confidence in the mission, its mandate, and the peace process, thereby improving the environment for effective mandate implementation."
  - 8.2.3. The policy also requires all missions that have QIPs to establish a Project Review Committee (PRC). The PRCs are responsible for the overall management of the QIPS programmes in the mission. These include selection and approval of individual projects, ensuring that selected projects complement and do not duplicate the activities of other UN bodies operating in the country. Additionally, the PRC nominates a mission component for monitoring of individual projects, reviewing individual projects that are subject to delay and taking remedial action as necessary, and regularly reviewing how well the QIPs programme is meeting its objectives.
  - 8.2.4. All members of the UNPOL component involved in the identification, proposal, implementation and management of QIPs, and in the preparation and submission of budget proposals for QIPs funding should be aware of this policy and are expected to comply with its policy direction.
  - 8.2.5. QIPs are presented in the budget as Projects under respective substantive item like Protection of Civilians, capacity building, etc.
- 8.3. Good Practice**
- 8.3.1. In all cases, it is advisable to use the following checklist to determine whether there is adequate utility to undertake joint initiatives.
    - 8.3.1.1. Who are potential partners?
      - Where and how do potential partners operate?
      - Do they have conflicting interests?
      - How are they viewed by local authorities? other international partners? Donors?
    - 8.3.1.2. What are the comparative advantages of each potential partner? What are the priorities of potential partners?
    - 8.3.1.3. Do UN rules allow joint programming with the particular potential partner?
  - 8.3.2. Barriers often mean that the success of a joint programme or joint initiative often relies on the quality of the relationship between key personalities in the UN Police component and the potential partner.
  - 8.3.3. In any dealings with potential partners on a joint programme, it is always advisable to be open to taking advice from those who were there before the UN

Mission arrived and who will have in-depth knowledge of the local context, and strong networks of contacts.

8.3.4.2. At all times, the UNPOL component should be careful as not to jeopardize relationships with the national authorities on sensitive issues, including over donor funding. UNPOL components should also appreciate the different planning approaches, organizational culture and values when discussing joint programmes/initiatives with either local authorities or potential partners.

8.3.5. As a final note, while UNPOL plans will often be in the form of work plans developed internally within the police component, it is advisable to share these plans with other mission components or even with host police in order to be transparent and to appreciate each other's work commitments towards joint programmes/ initiatives.

## **9. Resource planning:**

### **9.1. Resourcing**

9.1.1. There are three types of resources in any mission-based police plan: physical, human and financial. Physical resources fall may be in the form of police equipment, vehicles, administrative equipment and facilities. Determining the physical resources necessary to implement strategies is a critical part of operation planning. Planners must determine the amount of funding required to purchase, hire and maintain physical resources. Human resources refers to the human element of the UNPOL component while obtaining and allocating financial resources for each strategy or task in a timely manner is the key factor for success in implementing an operational plan.

### **9.2. Police capability to task analysis (PCT)**

9.2.1. The objective of undertaking a PCT analysis is to assess, and subsequently propose recommendations on the capabilities of the Mission's police component, including its structure, configuration, and capacity vis-à-vis its mandated tasks, including in relation to foreseeable contingencies. While an initial analysis of needs would have been conducted at Mission start-up, it is always critical to review the existing capabilities in order to remain relevant and avoid mission creep.

9.2.2. A capability is defined as the ability to deliver against an accepted standard. It encompasses the combination of capacity- (personnel, including diversity and equipment), preparedness (organization, process and skill-set, training), and sustainment (support and logistics) required to accomplish the assigned tasks. Mandates change, and circumstances evolve on the ground as well, hence a capability review is always refreshing to the mandate implementation and flexibility. A capability may "define the accomplishment" of a task or "shape and support" its accomplishment.

9.2.3. The PCT analysis is undertaken in relation to implementing the Mission's police and law enforcement-related aspects of the mandate in both aspects of security and stabilization as well as capacity building and development,

9.2.4. It focuses on,:

9.2.4.1. the current and anticipated capability requirements of the Mission's police component;

9.2.4.2. assessment of the challenges, risks, including its management, and constraints to UN police.

9.2.5. It can be either undertaken as a technical field assessment and/or desk assessment and addresses all deployed police personnel and units in a mission,

- 9.2.6. While most PCT analysis is a HQ-led process, it can also be initiated by the HoPC at the mission level through an ad-hoc mechanism – following sensitizing with the SMT of the Mission. The HoPC can then request support and advice from the HQ.
- 9.2.7. In the interim, it is advisable that the field itself undertakes a determination as the HQ team may not be in a position to determine the total needs within the limited time that it spends on the ground undertaking a PCT analysis.
- 9.2.8. At the end of a PCT analysis, the UNPOL planner will submit a report of the analysis to the HoPC, which can then become the basis for calling for HQ support. The report may also be submitted to the HOM by the HoPC.
- 9.2.9. A PCT analysis undertaken at the Mission level will have the following structure:
- 9.2.9.1. Objectives
  - 9.2.9.2. Methodology
  - 9.2.9.3. Context/ situation (includes mandate, existing configuration of the UNPOL component, challenges to mandate implementation, risks, constraints)
  - 9.2.9.4. Additional tasks not reflected directly in the mandate but expected to be implemented
  - 9.2.9.5. Matrix (see *Annex D for an indicative Police Capability to Task matrix*)
- 9.2.10. The outcome of the PCT Analysis does not only determine the numbers dependent on the functions, but as the name suggests – the needed capabilities. Capabilities are defined through what forms the “decisive” elements – the numbers, and what will “shape” the unit – the constituent elements vis a vis the type, skill sets, tools etc. The outcomes will form the “inputs” to the budget process in terms of resources – both staffing as well as financial (budget).
- 9.2.11. In all circumstances, the HoPC and the UNPOL Planner must be aware of the current and ongoing efforts being undertaken by the Secretariat to enhance efficiency and transparency in the deployment of qualified police personnel with the requisite skills for mandate implementation. The Police Division has developed separate recruitment streams for the categories of: (a) police command; (b) police operations; (c) police capacity-building and development; and (d) police administration. This adjustment aligns with the Strategic Guidance Framework for International Police Peacekeeping (SGF) and responds to recruitment based on specific functional areas in line with mandated policing tasks..

### 9.3. Police Staffing

- 9.3.1. In terms of staffing, the HoPC and the UNPOL Planning Officer should be aware of new initiatives that are being developed at the Secretariat with the assistance of Member States to augment the selection, recruitment and deployment procedures to respond to rapidly evolving mandate needs of the field missions. These initiatives are aimed at ensuring flexibility, nimbleness and fit-for-purpose approaches to streamline the mobilisation of human resources – IPOs, FPU, non-sworn officers and specialised units – to ensure the effective implementation of the policing mandates of peacekeeping operations. Initiatives in the various areas include:
- 9.3.1.1. IPOs – The published Standard Operating Procedure for Assessment of Individual Police Officers for Service in United Nations Peacekeeping Operations and Special Political Missions has assisted the police contributing countries to mobilize more individual police officers who are qualified to implement the tasks given within their mandate. UN Police components in the

missions are expected to play a major role in the recruitment process. Following the start-up of the mission, ground situation evolves, and as such the requirements for the IPOs, both in terms of skillsets as well as numbers change. HOPCs and UNPOL Planners should be able to assess and determine these requirements in advance, always asking the question – how can we more effectively and efficiently implement the Security Council resolution/s? Police components are being asked to more proactively participate in the Selection Assistance and Assessment Teams (SAAT) and Formed Police Assessment Teams (FPAT), review of applications screening and joint interviews of nominations, in coordination with the Police Division. For this purpose, it is mandatory that any UN police official designated by a HOPC for such activities receive the UN specific training on the related topics.

9.3.1.2. FPUs - The Peacekeeping Capability Readiness System (PCRS) has been implemented to establish a standby arrangement for a faster deployment of personnel, especially units, to peace operations. During the Peacekeeping Summit in 2015 and after, the Member States pledged a total of 32 police units: 26 FPU, four Guard Units and two SWAT teams in various stages of readiness for deployment. Some of them are already considered for deployment to MINUSMA, UNMISS and MINUSCA. In terms of deployed and PCC-based FPU, regular inspections have been conducted and gaps were identified in order to enhance the FPU management capacity of the UN field missions by providing essential knowledge and skills to the UNPOLs assigned to the FPU coordination offices/cells. The following elements are under monitoring, among others; (i) regular FPU assessments and inspections; (ii) relevant directives and guidelines for FPU; (iii) in-mission training; monitoring and timely reporting on COE deficiencies; (iv) weapons and ammunition storage and use; (v) organization and assignment of tasks; and (vi) organization of FPU coordination offices/cells where the FPU are deployed.

9.3.1.3. Contracted or government-provided civilian policing and other law enforcement experts - A major impediment to police reform efforts in peace operations is the limited duration of a mission's mandate and the nature of capacity-building activities which require specialist non-operational police assistance over a much longer period in order to ensure the sustainability of achievements. One of these areas is the institutional development, which encompasses a wide range of elements that extend beyond daily police operational activities to include processes, structures, policies, and practices, and sets the basis for the sustainable future development of the police service. The procedures for reforming and restructuring a police service must be assessed, designed and implemented based on the needs of the local police service. Strategic plans must be developed jointly with local counterparts and be flexible enough to meet changing circumstances. Weaknesses in a number of areas including gender, human rights, information gathering and analysis, forensics, data base management, strategic planning, maritime policing, international crime, border surveillance, public order, budget and finance, procurement, personnel, and asset management may require technical skillsets that may not be present in the sworn police officer. In such cases, the HOPC and the UNPOL Planner should weigh the advantages and disadvantages of utilising contracted or government-provided civilian policing and other law enforcement experts to undertake specific non-operational activities. The PCT Analysis should be able to identify these needs and the

Mission should be able to request for such resources, if such experts will enhance the efficiency and effectiveness of mandate implementation.

9.3.1.4. Specialised Police Teams (SPTs) – Member States contributing towards the development of the Strategic Guidance Framework for International Police peacekeeping first identified this need. Since then, the Security Council, in its resolution 2185 (2014), has welcomed its introduction to peacekeeping operations. In addition, the Special Committee on Peacekeeping Operations in its 2016 Substantive session report A/70/19 noted the efforts made by the Division to explore the use of “specialized police teams” in order to ensure the continuity and consistency of the approach to police capacity building. SPTs will be assigned to serve with the United Nations on secondment by an individual Member State or a group of Member States at the request of the Secretary-General. While the core of the SPTs remains as its human expertise, areas like preventing and investigating sexual and gender-based violence, countering serious and organised crime, enabling forensics and technology to support host-state-led investigations need specialised enablers to facilitate efficiency and effectiveness in the capacity development of the host-states. During the PCT Analysis, the Heads of Police Component analyse the in-mission staffing gaps and provide their needs in police experts, which may be requested from the PCCs within the framework of SPT. Some areas have already been identified and the deployment of teams of police specialists is in progress. Until today, SPTs have been deployed to UNMISS (SGBV, Protection Unit), MINUSMA (Transnational Organized Team), MINUSTAH (SGBV) and UNMIL (Management and Training). A new campaign has been initiated, incorporating lessons learnt from the first phase.

9.3.2. Other concurrent cross-cutting reforms of the recruitment process include:

9.3.2.1. Global efforts to increase the representation of female police peacekeepers,

9.3.2.2. Senior Police Leadership Roster to streamline the recruitment procedures to identify qualified senior men and women police candidates and facilitate their timely deployment to the field.

9.3.2.3. Implementation of various policies to improve conduct and discipline of UN police, including policy on Human Rights Screening, the disciplinary vetting of uniformed elements, and certification and vetting of incoming police personnel.

#### 9.4. **Police Budgeting:**

9.4.1. The Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation provide the legislative directives established by the General Assembly governing the planning, programming, monitoring and evaluation of all activities undertaken by the United Nations, irrespective of their source of financing. The Rules govern the planning, programming, monitoring and evaluation of United Nations activities, except as may otherwise be provided by the Assembly or specifically exempted by the Secretary-General.

9.4.2. The assessed budget of the UN is an important source of funding for police programmes. It is normally established for one year and covers the three major categories of expenses. These are:

9.4.2.1. uniformed personnel costs (FPUs, IPO's, COE);

9.4.2.2. personnel costs (international and local staff members, consultants, etc.);

9.4.2.3. operational costs (internal travel/associated costs, logistics and limited programme implementation costs).

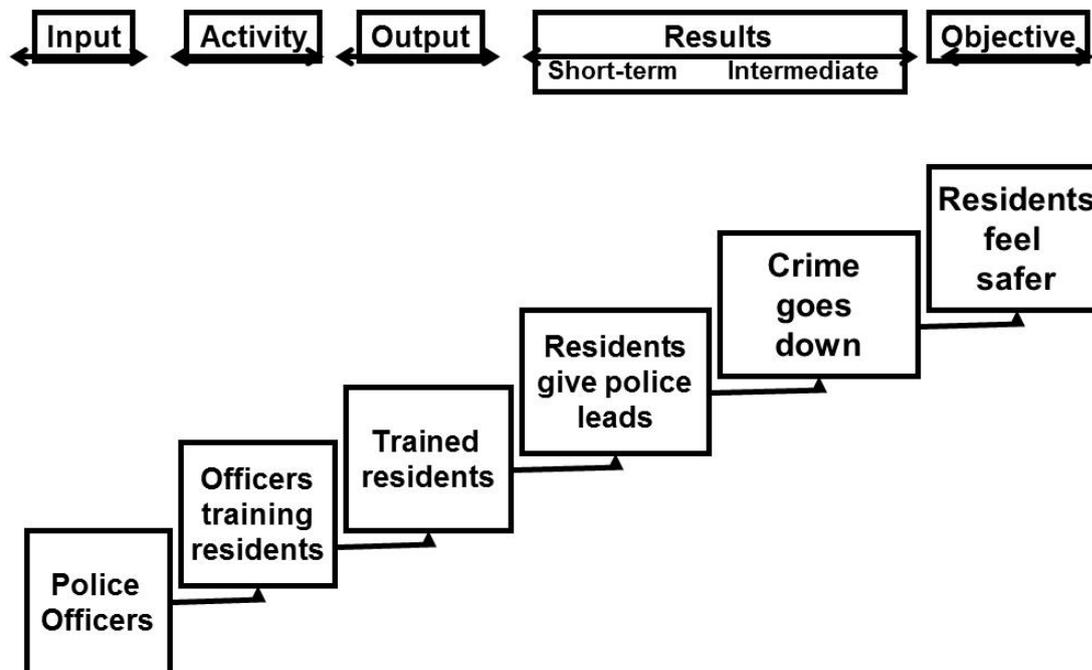
9.4.3. **Results-based budgeting (RBB)** (See Fig. 11) is about formulating budgets that are driven by a number of desired results which are articulated at the outset of the budgetary process, and against which actual performance is measured at the end of the period. A significant feature of RBB is the articulation of expected results at the beginning of the planning and budget cycle, **prior** to implementation. RBB is also intended to shift focus from output **accounting** to results-based **accountability**. It is a process in which:

9.4.3.1. programmes formulate budgets around a set of pre-defined **objectives and expected accomplishments**,

9.4.3.2. **expected accomplishments** justify the **resource requirements** which are derived from and linked to **outputs** required to achieve such accomplishments, and

9.4.3.3. **actual performance** in achieving expected accomplishments is measured by **indicators of achievement**.

**Sample of police work in Mission**



**Fig. 11**

**9.4.4. Process:**

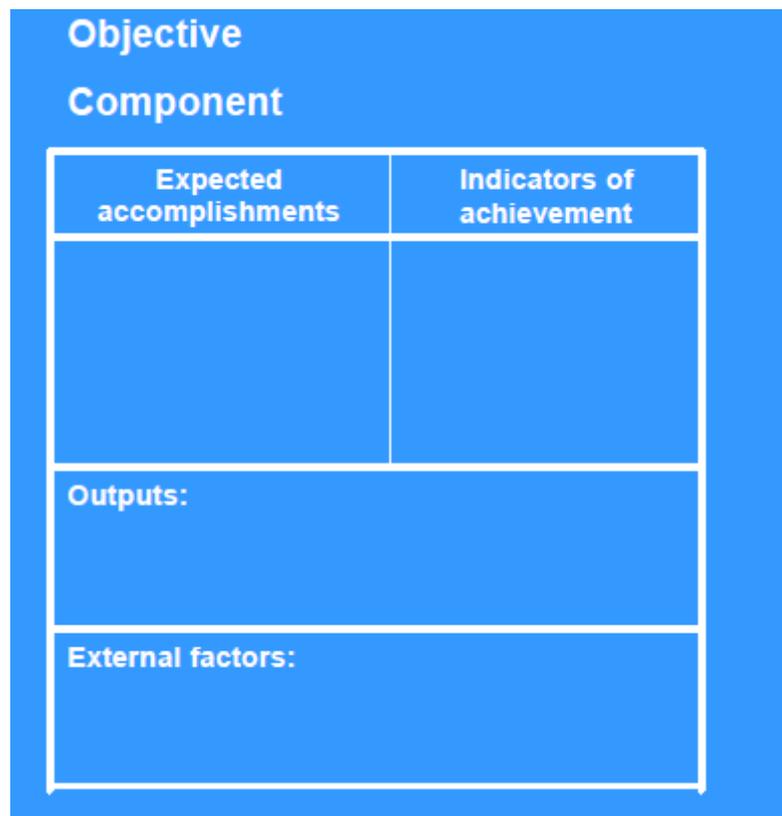
9.4.4.1. The process for preparation of the Mission budget is as follows:

9.4.4.2. First of all, the Controller will issue specific budget instructions with a submission time table and forms. The main parts of the initial budget are the RBB frameworks, staffing (staffing table, post justifications, organization chart) and cost estimates;

9.4.4.3. DPKO/DFS will, subsequently, issue strategic guidance with key assumptions for the budget period, a mission/HQ submission timetable and a list of budget counterparts;

9.4.4.4. DFS also issues additional budget guidance including standard costs and rations manual;

- 9.4.4.5. To help the mission draft its budget in keeping with the controller's deadlines, and especially where mission staff are not yet fully deployed, DPKO/DFS usually deploy RBB and ABACUS teams with the ultimate goal of improving the quality of information and timeliness of budget preparation, including improved results-based budgeting, staffing and cost estimates;
  - 9.4.4.6. DPKO/DFS/Mission budget proposal is completed and submitted to the Controller ;
  - 9.4.4.7. Controller reviews it on behalf of SG, and submits a published budget document to the GA and ACABQ. ACABQ also receives a budget supplementary package;
  - 9.4.4.8. Budget is discussed in the ACABQ with senior mission managers as well as the Controller, DPKO and DFS representatives, who are called upon to answer questions by the committee. ACABQ issues a recommendation report;
  - 9.4.4.9. Budget and the ACABQ report are considered by the Fifth Committee, again with Controller, DPKO and DFS representatives. The Fifth Committee then issues a resolution approving the budget;
  - 9.4.4.10. Controller issues an allotment advice, based on the resolution, which constitutes the approval to spend funds.
- 9.4.5. Budget is made up of 3 main parts : RBB Frameworks, Staffing and Cost Estimates
- 9.4.5.1. **RBB Substantive Frameworks:** Fig. 12 represents a RBB substantive framework.



**Fig. 12**

- **Objective** refers to an overall desired achievement involving a process of change and aimed at meeting certain needs of identified end-users, within a given period of time (e.g.: to restore peace and security and to

further the constitutional political process under way in Haiti). We do not expect objectives to change unless the mandate changes.

- **Component:** Provide focus on how mission contributes to the objective by grouping expected accomplishments and related outputs. For example: It is NOT Police, but may be Protection of civilians; or Peace and Security.
- **Expected Accomplishment:** A desired outcome involving benefits to end-users, expressed as a quantitative or qualitative standard, value or rate. Breaking down the objective into concise outcome statements that are close to the objective and to which the mission will contribute (e.g. Improved public security and law and order in Country x)
- **Indicators of Achievement:** Measurement of whether and/or the extent to which expected accomplishments have been achieved. Indicators should reflect a measurable specific change towards expected accomplishments within the budget period. It is similar to type of information often provided in SG reports to the Security Council, and where possible, should show baseline (e.g. previous years) and target (future years). (e.g. Increase in the number of districts that Country X police service assumes responsibility (2015/16: 4; 2016/17: 6; 2017/18: 10))
- **Outputs:** The final products or services delivered by a programme or sub-programme to end-users, such as reports, publications, training, servicing of meetings, or advisory, etc., which an activity is expected to produce in order to achieve its objectives. Outputs that make specific contributions to the expected accomplishment in the budget period as well as those that consume majority of the inputs like personnel should be identified and prioritized to demonstrate contributions. (e.g. Training of 1000 Country X police officers in crowd control)
- **External factors:** Events and/or conditions that are beyond the control of those responsible for an activity but that have an influence on the success or failure of the activity. Factors beyond your control that may have an effect on reaching the objectives and expected accomplishments (e.g. Suitable qualified local police candidates will be available)
- **Inputs and activities** don't appear in the substantive RBB frameworks. Inputs are personnel and other resources necessary for producing outputs and achieving accomplishments. Activities are actions taken to transform inputs into outputs.

## 10. Monitoring and Evaluation

- 10.1. **Benchmarking:** A benchmark is a standard or a set of standards used as a point of reference for evaluating a plan's performance. It is used to measure the progress made in a plan against a target that has been defined by an existing standard or a minimum requirement.
- 10.2. **Pre-deployment assessment of the ground situation and evaluation** ensures that specific mission mandates are covered within operational plans by focusing on the specific requirements of a particular mission. Evaluations provide an objective assessment of performance, resource utilization and related effects; policy

effectiveness; and managerial and structural issues at the mission level, as well as within mission components and FPUs.

- 10.3. The results and follow-up of evaluation inform management, policy development, resource utilization and training activities; strengthen the ability of UNHQ to provide strategic guidance to mission leadership based on comprehensive assessments of mission performance; and allow for improved feedback on operational issues to police-contributing countries, Member States and the Security Council. In particular for UNPOL, thorough evaluation guides appropriate resource allocation, matching available personnel and units according to the situation and needs on the ground.
- 10.4. There are two focus areas for evaluation that are relevant during the pre-deployment stage:
  - 10.4.1. Host-State policing situation: strengths, capacity and performance of the host-State's police and other law enforcement actors; available national and international resources other than the UN; and the political context and challenges.
  - 10.4.2. Resources available from the UN: gender-disaggregated personnel, skills, integrity and equipment, and other mission and UN resources. Where the mission has already been initiated, its progress and performance should also be included in this category.
- 10.5. One set of benchmarks should be developed to measure the performance of the host State, i.e., progress towards a defined end-state, while another set should measure the performance of the UN in the host State. The two are related, but will mostly differ in the levels of accountability. In some instances, the UN may perform well in realizing its mandated tasks, but the host State/context itself may be facing severe constraints in progressing towards its goals due to a number of factors beyond the control of the UN. Conversely, a country may achieve significant progress despite suboptimal performance by UNPOL.
- 10.6. The Integrated Strategic Framework (ISF), which is meant to increase the impact of the UN in-country, can serve as a link between these two levels by identifying how the performance of the UN can better support the peace-consolidation needs of the host State. Because UNPOL units and personnel are deployed at different stages throughout the mission, pre-deployment evaluation is a continuous process and uses both types of benchmarks.
- 10.7. Before any programmes and activities of UNPOL should commence, it is necessary to gather relevant baseline data in order to assess where the host State is in the fulfilment of long-term objectives for public safety and police development. The data and information-gathering process and standards development should be built into the UNPOL component from the outset of mission planning. At least some of these mechanisms shall consist of joint evaluations with host-State authorities as well as with international partners, as partnerships and mandate implementation using a strategic plan with a joint vision with the host-State authorities are vital for the success of the mission.
- 10.8. Benchmarking and evaluation require alignment with Mission mandated objectives and clear understanding of the strategic objectives of police operations and development, and should be sufficiently flexible to allow for evolving circumstances. Missions increasingly establish benchmarks at the strategic level that include mandated objectives to which police contribute. If/when the component has additional or internal benchmarks; they need to be consistent with mission benchmarks to the extent possible.
- 10.9. A thorough assessment should be made prior to the design of any police assistance or capacity building programmes, looking at the following:

- 10.9.1. Existing host-State capacities and resources
- 10.9.2. Absorption capacity
- 10.9.3. Current and future security trends
- 10.9.4. Policing and protection needs, in particular at risk groups such as women and children
- 10.9.5. Relevant stakeholders
- 10.9.6. Host-State police's alleged human rights violations and misconducts record and risk assessment under the human rights due diligence policy with proposals for mitigation measures if appropriate.
- 10.9.7. Political context
- 10.9.8. Extent to which the population trusts the host-State police, including perspectives from women, men, boys and girls
- 10.10. In this regard, mission evaluations should assess the results against the desired end state. These results may be further described as “outcomes” of the work of the mission rather than “outputs” of those efforts.
- 10.11. To illustrate these concepts, the following table (Fig. 15) provides examples of mission interventions, outputs and outcomes with accompanying methods of evaluation.

Type of Intervention	Outputs	Outcomes	Method of Evaluation
Training in criminal investigative techniques; technical assistance in the form of mentoring of criminal investigators in the performance of investigative activities	Number of police criminal investigators trained Number of hours of technical assistance/ mentoring provided to criminal investigators	Change <sup>18</sup> in the numbers of criminal investigations closed by arrest Change in the number of cases presented by police to the public prosecutor, but rejected by the prosecutor on the basis of insufficient evidence	Performance comparison through review and analysis of data from standardized criminal reporting and investigative case management system
Technical assistance in development and implementation of a community-oriented policing philosophy and public information policies and procedures emphasizing transparency; training in public relations techniques	Number of hours of technical assistance provided to host-State police in developing and implementing the community-oriented policing philosophy and procedures Number of police trained in community-oriented policing	Change in public attitudes and confidence in the police Change in number of criminal offenses reported to police Change in number of positive public contacts Change in amount of quality information flowing from the public to police	Mixed, including: Performance comparison through review and analysis of data from standardized criminal reporting and data collection system Questionnaires to police personnel Survey research of public opinions and attitudes
Training and mentoring in public order management and control	Number of police trained in public order management and control Number of hours of	Change in numbers of persons killed or injured in police public order operations Change in the amount	Mixed including: Performance comparison through review and analysis of data from

<sup>18</sup> Changes may be positive or negative.

	mentoring provided	of property damaged during a public order incident	standardized criminal reporting and data collection system Performance testing to assess extent of learning Objective observation
--	--------------------	--	---

**Fig. 15**

## 11. Mission Roles

- 11.1. The HoPC shall be guided by a strategic police Concept of Operations (CONOPS), co-signed by the Under-Secretary Generals for Peacekeeping Operations and Field Support, and UN Police Adviser, and issued by the UN Police Adviser.
- 11.2. The HoPC is required to formally acknowledge the Concept of Operations and must ensure that it integrates with the Mission Concept, and he/she is required to produce at the field level, strategic and operational plans in line with the CONOPS and the Mission Concept
- 11.3. The HoPC will translate the strategic intent and objectives of the CONOPS into specific policing and law enforcement strategies and operational directives that define the roles and responsibilities, processes and resource requirements from which to formulate the police component's operational and work plans.
- 11.4. In the case of an existing mission, the HoPC may initiate the review of the CONOPS following discussions at the mission level with other components of the mission, as needed.
- 11.5. The HoPC is required to prepare the UNPOL components annual budget and revised budgets, in coordination with DMS/CMS. In this regards, the HoPC will be guided by appropriate steps and tools issued by the DMS/CMS (who would have received these from the DFS – HQ). One of the first elements- Strategic Priorities – sets the stage for the Mission, and covers major planning parameters, changes in resources and other arrangements that affect budget planning.

## 12. References

### 12.1. Normative or Superior References

- 12.1.1. UN Policy on Integrated Assessment and Planning (2013)
- 12.1.2. UN Policy on Transitions in the Context of Mission Drawdown and Withdrawal (2013)
- 12.1.3. Mission Concept Guidelines (2014)
- 12.1.4. Mission Start-up Field Guide 2.0 (2010)
- 12.1.5. Special Political Missions Start-up Guide (2012)
- 12.1.6. DPKO/DFS Policy on planning and review of peacekeeping operations (2017)

### 12.2. Related Policies

- 12.2.1. United Nations Peacekeeping Operations Principles and Guidelines (2008)
- 12.2.2. Standard Operating Procedure, Budget Processes for Field-Based Special Political Missions (2012)
- 12.2.3. DPKO/DFS Policy on Authority, Command and Control in United Nations Peacekeeping Operations, (2008)
- 12.2.4. DPKO/DFS Policy on United Nations Police in Peacekeeping Operations and Special Political Missions (2014)
- 12.2.5. DPKO/DFS Guidelines on Police Capacity-Building and Development, Ref. 2015.08
- 12.2.6. DPKO/DFS Guidelines on Police Command in United Nations Peacekeeping Operations and Special Political Missions, Ref. 2015.14

- 12.2.7. DPKO/DFS Guidelines on Police Operations in United Nations Peacekeeping Operations and Special Political Missions, Ref. 2015.15
- 12.2.8. DPKO-DFS Guidelines on Improvised Explosive Device (IED) Threat Mitigation in Mission Settings (2016)
- 12.2.9. ST/SGB/2016/6 Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation
- 12.2.10. UN Policy on Human Rights Due Diligence on UN Support to Non-UN Security forces (2011)
- 12.2.11. UN Inter-Agency Guidance Note on the Human Rights Due Diligence Policy on UN Support to Non-UN Security Forces (2015)

### **13. Monitoring and Compliance**

- 13.1. In field missions, this manual will serve the Head of Police Component assisted by other managers, in the planning of field aspects of police planning.
- 13.2. At Headquarters, the Police Adviser to the Department of Peacekeeping Operations and Director of the Police Division shall monitor compliance with this document.

### **14. Contact**

- 14.1. The Chief of the Strategic Policy and Development Section, Police Division, Office of Rule of Law and Security Institutions, Department of Peacekeeping Operations

### **15. Annexes**

- Annex A - Mission Concept Template
- Annex B - UN Police Concept of Operations Template
- Annex C – Project Proposal Template for Donor funds
- Annex D – Police Capability to Task Matrix Template

**APPROVAL SIGNATURE:**

**DATE OF APPROVAL:**



**JUL 14 2017**



**ANNEX A**

Mission Concept Template: Start-up

Summary: This Mission Concept defines the overall approach, priorities and sequencing of mandated tasks of the UN Mission (UNM) during its start-up period from [date] to [date]. The main focus of UNM in the initial period will be (a) the deployment and establishment of the Mission and (b) the implementation of selected priorities in accordance with resolution [XXX] of the Security Council dated [XXX].

A. Context

*Include the situation analysis and briefly describe the role/comparative advantage of the mission vis-à-vis local, national and international actors and how the mission intends to engage local and national interlocutors*

B. Overall mission objectives

*Describe the desired achievement by the Mission/ end-state of mandate implementation (e.g., the presence of favourable conditions for credible and peaceful elections).*

C. Key assumptions and risks

*e.g., Timeline for deployment  
Logistic issues  
Security constraints  
Contingency measures in case of crises*

D. Mission phases

UNM is anticipated to be in the start-up phase for the initial period of XX months, given the time required to build the mission infrastructure and deploy uniformed contingents, assets, and substantive civilian personnel. [May include a vision for anticipated phases, beyond the start-up, of the Mission lifecycle.]

The start-up phase will begin with [xxx] and end with [the deployment of XX % of uniformed and civilian personnel, or the establishment of xx regional offices, etc.].

Within the start-up period of xx months from XX to XX, there will be X distinct sub-phases, with associated milestones. The scope of mission activities during these sub-phases will be contingent on the development of the mission structure and outreach, as outlined below, as well as external factors, such as the commitment of national counterparts. For example:

Phase I (dates/milestones):

- Initial deployment of uniformed personnel
- Establishment of regional offices in [XX locations], with requisite support and security personnel
- Advance teams of substantive sections to continue operating in the capital and beyond through field visits/placement of mobile teams

Phase II (dates/milestones):

- Initial deployment of substantive civilian personnel to the regions (if applicable, consider co-location with uniformed personnel in the initial stage)
- Further establishment of regional offices in XX locations [or establishment of sub-regional offices in XX locations]
- Expansion of field visits by substantive sections

Phase III (dates/milestones):

- Completion of the establishment of all regional [and sub-regional] offices
- Deployment of substantive civilian personnel to the regional offices
- Commencement of mission activities at the regional and sub-regional levels

E. Priorities

In the start-up period, UNM will focus on the following X priorities.

*Describe briefly why and how these priorities were selected, e.g.*

- Security and stability
- Protection of civilians
- Political dialogue
- Human rights
- Strengthening of rule of law and security institutions
- Community-level violence reduction
- Security sector reform

*Describe expected accomplishments of the mission in these priority areas by the end of the start-up period (not activities, but what the mission expects to see as the result of the activities)*

F. Core outputs

*Mission-wide deliverables that will contribute to the expected accomplishments (outputs of activities) planned in phases as set out in Section D.*

Phase I: [dates/milestones]

Phase II: [dates/milestones]

Phase III: [dates/milestones]

G. Strategic guidance to components

*e.g., main responsibilities, cross-pillar planning, and thematic coordination (including with UN country teams and others, as appropriate)*

H. Resource implications

*Mission structure and requisite assets*

*(Source: Mission Concept Guidelines; 2014)*



**UNITED NATIONS**

**[Revised (*if appropriate*)]  
CONCEPT OF OPERATIONS**

**FOR THE POLICE COMPONENT IN THE UNITED NATIONS MISSION IN  
[COUNTRY]  
[Mission Acronym]**

---

**ISSUED BY:  
POLICE ADVISER & DIRECTOR OF POLICE DIVISION,  
OFFICE OF RULE OF LAW & SECURITY INSTITUTIONS,  
DEPARTMENT OF PEACEKEEPING OPERATIONS**

**DATE: \_\_\_\_\_**

## **PART A:**

### **1.0 References**

(Usually the list of references including those relevant from the trigger to UN response to the current mandate)

### **2.0 Introduction**

(Includes the objectives of the ConOps)

### **3.0 Mandate of the UN Police**

(Specific requirements of UNPOL as stipulated in the mandate)

### **4.0 Situation**

(Brief statement of the ground situation, includes a security brief as well)

### **5.0 External Challenges to UN Police Operations**

#### **5.1 Recruitment**

#### **5.2 Deployment**

#### **5.3 Training**

#### **5.4 Leadership**

#### **5.5 Management**

#### **5.6 Operations**

#### **5.7 Logistics and Support**

#### **5.8 Media**

### **6.0 Local Challenges to UN Police Operations**

#### **6.1 Politics**

#### **6.2 Military**

#### **6.3 Security**

#### **6.4 Leadership**

#### **6.5 Organization**

#### **6.6 Logistics**

#### **6.7 Civil Society**

#### **6.8 Effectiveness**

#### **6.9 Other Factors**

(4.0, 5.0 & 6.0 are based on Pre Mandate SAM/TAM findings, Post Mandate assessments, information from Country Teams and any other time relevant and specific source of information and are but just a summary for start-up purposes; further assessments may be required by the Police head of mission on the ground for Operational purposes)

### **7.0 Core Assumptions to UN Police Operations**

### **8.0 Police Adviser's Strategic Intent**

#### **8.1 Objective**

#### **8.2 Method**

#### **8.3 End State**

(This is the broad statement of the Police Adviser to the incumbent head of the Police Component and provides guidance on the various phases of the mission: start up, build up, maintenance/ operations, draw – down and withdrawal)

## **PART B:**

### **9.0 Strategies of the UN Police**

#### **9.1 Security Support to national police and other law enforcement agencies and related functions**

#### **9.2 Law enforcement capacity building and development**

#### **9.3 Monitoring, observing and reporting,**

#### **9.4 Security provision to UN personnel and properties**

(The roles will have to be mapped against the Mandate and appropriate strategies drafted: all roles may not be relevant)

### **10.0 Operational Directions of UNPOL**

(These would basically be the Key programmes/ operational statements of strategies outlined in 9.0 above) – Phases and sequencing; objectives, benchmarks

### **11.0 Monitoring & Evaluation of UNPOL Mandate implementation**

(Provides for the reporting of measures of operational performance / management/ effectiveness of plans – divided into 2 broad areas – thematic consisting of the crosscutting and thematic areas and statements operationalising the strategies and objectives as per 9)

**12.0 Administrative & Reporting Guidelines**

(Administrative Instructions)

**13.0 Integration/ Coordination issues**

(States the coordination mechanisms)

**14.0 Logistics & Support**

(Statement of logistical support)

**15.0 Organization of the UNPOL Component**

**15.1 Size and Strength**

**15.2 Deployment Plan including Police Generation, Administration & Rotational Plan**

**15.3 Command and Reporting Structure**

**15.4 Downsizing Plan**

**PART C:**

**Annex I: Threat/ Security Assessment**

**Annex II: UN Police component Organisation Chart [Up to Pillar/ Sector level only]**

[Name]

Police Adviser and

Director, Police Division

Department of Peacekeeping Operations

[Name]

Under-Secretary-General  
For Field Support

[Name]

Under-Secretary-General  
for Peacekeeping Operations

## **Distribution List**

### **[Mission Acronym] Action:**

[Mission Acronym] Police Commissioner

### **[Mission Acronym] Info:**

Special Representative of the Secretary-General and Coordinator of [Mission Acronym]

Deputy Special Representative of the Secretary-General for Rule of Law in [Mission Acronym]

Deputy Special Representative of the Secretary-General for Recovery and Governance in [Mission Acronym]

[Mission Acronym] Force Commander

[Mission Acronym] Director of Mission Support

### **Internal:**

USG for Department of Peacekeeping Operations, DPKO

USG for Department of Field Services, DFS

USG for Department of Political Affairs, DPA

USG for Department of Safety and Security, DSS

ASG for the Office of Operations, OO/DPKO

ASG for the Office of Rule of Law and Security Institutions, OROLSI/DPKO

Military Adviser, Office of Military Affairs, OMA/DPKO

Police Adviser, Office of Rule of Law and Security Institutions, OROLSI/DPKO

[Mission Acronym] IOT

Policy, Evaluation and Training Division

**UNITED NATIONS POLICE  
PROJECT PROPOSAL  
(Donor Funds)  
(Requesting Office; Date)**

**Proposal ID: (For Internal Tracking purposes)**

**Project Name:**

**A. Issue/problem Statement** (Brief Description – Background (1-2 pages))

**B. Project description / outputs**

1. Description
2. Objectives,
3. Expected Outcomes
  - a. Related to Host-State agencies:
  - b. Related to Member-States
  - c. Related to UN & Mission
4. Activities

**C. Implementation:**

1. Management,
2. Timelines/ Milestones,
3. Monitoring & Evaluation

**D. Sustainability** (How will the project be sustained following its delivery)

**E. Detailed Costing** (Including item, Full Description of item, period of expenditure)

SRL	ITEM	DESCRIPTION	COST EXTENSION		
			YEAR 1 2008- 2009	YEAR 2 2009- 2010	YEAR 3 2010- 2011

**Annex D**

**Required Capabilities Derived from Functions**

SN	Function	Capability Requirement	X No(s)	Total Rqmt		Remarks
				Entities	Pers	
<b>Decisive</b>						
1.	Securing Operational Consent	a. Main HQ	X1	1	50 140	- UNPOLs for C3; emerging tasks including strategic advisors to host police and law enforcement entities - Support to Force protection incl. response to non-military type threats; public order management; joint patrols
		b. Sector / Regional / Standing deployable HQs	X3	3	8x3=24	- Further smaller subordinate HQs would form as requirements emerge - Ability to serve as regional HQs - Sector coordination & meeting emerging requirements (UNPOLs)
2.	Monitor and report on violence	UNPOLs	-	7 TS x 16	112	- Monitoring, Observing and advising local police (inc. on public order management)
3.	Secure selected Key areas / points inc.:					
	Police Presence	f. UNPOL	X 2	16	16x2 = 32	- For emerging proactive police tasks – advising local police (as security permits)
	Presence in MSR		X1	16	1x16	- MSR – Observe, report on law

						enforcement matters
	UNPOLs Observer Security & Public Order Management	g. FPU's	X 7	7	7X140 each =980	Locations X, Y, Z ...
	Security for police responding to emerging tasks		X2	2	2x140 each = 280	Locations A, B
	Support to quick response to non-military threat		X1	1	1x140 each = 140	Located with the Mil Bat
<b>Shaping</b>						
4.	Ensure liaison capacities with:					
	- National and local civ counterparts	b. Liaison Cells at all levels c. Within Civilian Staff				- For public order management and other security issues
5.	Ensure capacities to monitor and report on violence	a. UNMOs & UNPOLs		Existing units		
	- And deter attacks against vulnerable communities, including SGBV	b. HQs and Units, supported by relevant civilian staff	Existing units			A function of the deployed Units and QRF
6.	Ensure Investigative / forensic capacity	- Within Police and Civilian Staff				- Consider specially recruited experts
7.	National Staff Considerations					- Vetting and monitoring mechanism
8.	Adequate Arabic/ French/ Portuguese speakers and interpreters	- Primarily amongst the IPOs		25 % of HQs (concentrated in Liaison)	25% of UNPOL	- PD recruitment consideration