



United Nations

Integrated Missions Planning Process (IMPP)

**Guidelines Endorsed by the Secretary-General on XX
2006.**

*Endorsed by the Secretary General's Policy Committee
13 June 2006*

A. Introduction

As part of a broader UN peacebuilding strategy, this paper provides guidelines for a comprehensive and inclusive UN system approach to the planning of integrated peace support operations (“hereafter integrated missions”).¹ The Integrated Mission Planning Process (IMPP) is the authoritative basis for the planning of all new integrated missions, as well as the revision of existing integrated mission plans, for all UN departments, offices, agencies, funds and programmes (hereafter collectively referred to as ‘agencies’).

Prior to a decision by the Secretary General to initiate detailed planning the Peace Building Support Office (PBSO) will help ensure longer term strategies to help countries fully recover from conflict, help bring the UN system together, and also help draw together non-UN actors, including IFIs and regional organizations in support of a common strategy. Once the decision has been taken to begin more detailed planning for a potential peace support operation the process will follow three stages, each requiring specific inputs, outputs and decision points:

- Stage 1: Advance Planning, comprising two ‘levels’ – Level 1 being the Advance Planning to develop strategic options for expanded UN engagement, and Level 2 which provides the Foundation Planning as the basis for development for a concept of operations.
- Stage 2: Operational Planning, again comprising two ‘levels’ - Level 3 which operationalises the draft mission plan and Level 4 which covers transition of responsibility to the field.
- Stage 3: Review and Transition Planning, the final two ‘levels’ – Level 5 which focuses on continuous review and updating of the mission plan where necessary and Level 6 which deals with draw-down of peacekeeping and transition.

The IMPP is guided by specific planning principles and assumptions and requires the full engagement of the key UN actors both at headquarters and the country level, as well as consultations with the national authorities and other relevant external actors. The IMPP should be implemented in a flexible manner, taking into account varying circumstances and timeframes, while ensuring that adequate planning standards, outputs and the key decision points are respected. The IMPP proposes timeframes for each level. The proposed minimum timeframes are based on consultations with planners regarding what is the *minimum floor* necessary to achieve each step; however planning according to the minimum timeframes necessarily involves tradeoffs. Maximum timeframes are provided to reflect a more desirable duration for each stage to ensure quality; these are not

¹ This paper does not aim to define peacebuilding or United Nations peace support operations but acknowledges that in post-conflict settings, the United Nations sometimes mounts multi-disciplinary peace support operations of which a peacekeeping mission is a component. This paper relates to that scenario. Different processes may apply for United Nations peace support operations where no peacekeeping operation is involved.

intended to impede flexibility or to circumscribe planning processes that may have a longer time horizon in the context of Security Council deliberations.

It follows that planning for integrated missions must be inclusive from the outset, that both the process and mission structures must be properly established so as to avoid the ad hoc approach of the past and ensure that system wide strategic objectives are clearly established and supported by the functional planning of the respective mission and UNCT components.

B. Planning Principles and Assumptions

An Integrated Mission is one in which there is a shared vision among all UN actors as to the strategic objective of the UN presence at country level. This strategic objective is the result of a deliberate effort by all elements of the UN system to achieve a shared understanding of the mandates and functions of the various elements of the UN presence at country level and to use this understanding to maximize UN effectiveness, efficiency, and impact in all aspects of its work. An Integrated Mission is one in which structure is derived from an in-depth understanding of the specific country setting; of the evolving security, political, humanitarian, human rights and development imperatives in that particular country; and of the particular mix of assets and capacities available and/or required to achieve the desired impact through mutually supportive action. In other words, form (mission structure) should follow function and be tailored to the specific characteristics of each country setting.

The Integrated Mission Planning Process (IMPP) is designed to facilitate achievement of this common understanding by establishing a planning process that engages the capacities of all parts of the UN System relevant to achieving impact in a given country setting. The IMPP does *not* aim to take over all other planning processes. It aims to ensure that the right people are at the table, that the right issues are being considered, and that the appropriate authorities and accountabilities are in place to motivate flexible, creative, and integrated strategic and operational thinking and planning. A successful IMPP presumes a functioning Integrated Mission Task Force (IMTF) at HQ level, and an integrated and dynamic structure at country level that brings together senior management (PKO Section Chiefs, UNCT Heads of Agency, etc.) and technical and operational staff on a regular basis to promote synergies, monitoring of progress, and adjustments to optimize impact. It also presumes the establishment of an Integrated Mission Planning Team to facilitate these processes at country level.

It follows that the IMPP is based on the following basic principles and assumptions:

- Integration is the guiding principle for the planning, design and implementation of complex UN operations in post-conflict situations, for linking the different dimensions of peace support operations (political, development, humanitarian, human rights, rule of law, social and security), and integrating the imperatives of each dimension into its strategic thinking and design.

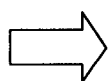
- Integration calls upon all actors to maximize efficiency and effectiveness of the UN presence at country level, including through minimizing duplication and optimizing available logistical, human, and financial resources to meet the combined aims and mandates of the various components of the UN presence, while taking full account of the assets and mechanisms that pre- and post-date the fielding of a peacekeeping operation. An essential element of this process will be to conduct, at HQ and country level, an inventory of the different planning processes, and the planning of substantive and operational capacities early on.
- An integrated mission exemplifies a UN system-wide response encompassing and balancing the various dimensions of the UN's vision, goals and objectives in a given post-conflict country setting. It will incorporate the full range of activities based upon international norms, including human rights, refugee and humanitarian law, and standards and have appropriately funded, mandated and empowered human rights capacities and programmes that are reflected in the activities of the mission.
- The IMPP aims to assist UN actors to achieve a common strategic and operational plan that is responsive to the objectives of the UN system and the Security Council mandate through a shared understanding of the priorities, programme interventions and organizing principles, clear delineation of responsibilities, and an organizational structure that supports these priorities ("form follows function"), based upon agencies' mandates.
- Implementation of the IMPP should serve to ensure a seamless approach between UN interventions preceding, during, and subsequent to, the deployment of a peace support operation, based on the broad strategic vision for UN peacebuilding support.
- The integrated mission planning process will ensure that humanitarian principles (as outlined in GA resolution 46/182) are respected so that they are upheld in the implementation of the Mission's mandate and support the creation of an effective humanitarian operating environment.
- The IMPP will be consistent with and mutually supportive of other relevant planning processes such as the CHAP/CAP, UN workplans, human rights assessments and strategies (e.g., CCA/UNDAF), as well as JAM/PCNA, PRSP, and other national planning processes supported by the UN System at country level. Emphasis will be placed on achieving proper sequencing of planning activities, coherence in identifying needs, objectives and results, and identifying opportunities for linking planning activities.
- The IMPP will be a collectively owned and driven process within the UN system, with consultations with key external partners and stakeholders (including national actors) when appropriate.
- An Integrated Mission Task Force (IMTF) will be established as the formal headquarters-based planning body responsible for implementing the IMPP for a specific country. The IMTF will be composed of department, agency and UNCT participants who should be empowered to represent their respective offices in the planning process (see attached model TOR).

- Once an Integrated Mission has been established following a Security Council resolution, the SRSG will take the lead in the planning process in close cooperation with the IMTF. The SRSG is called upon to ensure an integrated approach that assures full and equal participation of the peace support operation and UNCT participants in the planning, implementation, monitoring and exit planning, and to assure Mission engagement in all critical aspects of UNCT strategic planning with regard to humanitarian, human rights and development activities to maximize synergies and overall impact.
- An Integrated Mission Planning Team will be established as the formal country-based body responsible for driving and supporting joint Mission/UNCT strategic planning in the integrated mission setting, for implementing and monitoring the IMPP over the life of the Mission's mandate, and for facilitating follow-up on Mission/UNCT operational activities related to the integration of programmes, services, geographical presence, etc.

C. The Planning Process

The IMPP may be triggered by a number of different factors, depending on the international, regional and national response to a given crisis, including:

- Deliberations in the UN Security Council on the possibility of a UNSC-mandated peace support operation;
- A recommendation by the Peacebuilding Commission (PBC), or a request by a Member State or regional organization, to the UN Secretary-General to consider possible options, including a peace support operation;
- The development by the PBC or PBSO of an overarching strategy for UN peacebuilding support; and
- The negotiation or signing of a peace agreement with implications for the international community and the UN.



Decision Point: If strategic analysis indicates the desirability of a peace support operation as part of the overall UN peacebuilding strategy for a given country, the Secretary-General will initiate the IMPP

Stage I: Setting the Stage

Level 1.1: Advance Planning

Objective: to develop a strategic assessment of UN peace support objectives and determine the appropriateness and viability of a UN peace support operation.

Responsibility: managed primarily by the IMTF (with designated focal point(s) from the UNCT as member(s) and close partnership with RC/HC)

Key Outputs:

Strategic Assessment

Secretary-General's Strategic Planning Directive

Phase: commences with the SG's decision to initiate the IMPP and ends with SG's Planning Directive.

Timeframe: may vary considerably due to the pace of political and other developments; the strategic assessment should be developed within a minimum period of four weeks, depending on the amount of work undertaken prior to the IMPP being triggered.

1.1.1 Establishment of the IMTF

The first step in the process is to establish an Integrated Mission Task Force (IMTF) under the direction of **[the PBSO or DPA]**. The IMTF is the key mechanism for ensuring coherence and the consistent engagement of the UN system in mission planning (see TOR template in Annex A). The IMTF comprises all relevant UN departments and agencies depending on the context, as well as member(s) of the UNCT/Mission at country level. Its membership may be expanded to reflect the priorities of a particular mission and may change during the course of the mission. However, as a minimum, the IMTF must comprise representation of the political, military, police, security, logistics, humanitarian, development and human rights branches of the UN, whose representation should be consistent throughout the life of the IMTF. The SRSG or RC will designate country-level representation in consultation with the UNCT. The IMTF may also create sub-groups to deal with specific issues, such as the Mission's budget and transition from or to other missions.

1.1.2 Strategic Assessment of UN Peace Support Objectives

During Level 1.1, the IMTF will draw on the strategic analysis of the PBSO and UNCT, where available, so as to prepare a strategic assessment of the post-conflict situation and needs, and possible role for a peace support operation.

The **Strategic Assessment** outlines possible strategic objectives for a UN peace support operation, a range of alternative strategies, options and scenarios for the scope and role of UN efforts, key planning assumptions, and factors and risks that could condition or restrict UN involvement. It must be based on comprehensive information regarding the post-conflict environment and factors that could affect the role and scope of a UN peace support operation. Such information should include a conflict root cause analysis, monitoring of political and security developments and conditions, results of CHAP/CAP, JAM/PCNA processes, human rights assessments, information on existing UN activities, and mapping of other key national, regional and international stakeholders and relevant initiatives.

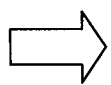
The Strategic Assessment is a short document which:

- provides a general strategic framework for how the UN system will address its political, security, humanitarian, human rights and development dimensions;

- indicates whether a peace support mission is warranted and, if so, makes general recommendations on its role and scope;
- offers potential options and scenarios for achieving peace support objectives (including integration with ongoing UNCT interventions) and possible risk factors;
- indicates how existing UN capacities and resources could optimally contribute toward achieving peacebuilding support objectives, and identifies gaps ;
- addresses the transition from another organisation undertaking peace support operations, if any, to the United Nations integrated mission.

1.1.3 Secretary-General's Strategic Planning Directive

After considering the Strategic Assessment, the Secretary-General will determine if a peace support operation is an option that could be considered by the UN Security Council. If so, the Secretary-General will issue a **Strategic Planning Directive**, stating the broad strategic objectives, as well as the proposed form and scope of a peace support operation. The Strategic Planning Directive reflects interagency support at the strategic level and marks a decision to proceed to the next level of inter-departmental and inter-agency operational planning and formally designates DPKO as the lead for the IMPP process. The draft Strategic Directive will be prepared by the IMTF [in consultation with the PBSO] prior to submission to the Secretary-General.



Decision Point: based on the Strategic Assessment, the Secretary-General decides on the strategic objectives and form of UN involvement. If a peace support operation is deemed a suitable option for UN engagement, DPKO will be designated as the lead for operational planning.

Level 1.2: Foundation Planning

Objective: to develop a comprehensive concept of operations for an integrated mission for submission to the UN Security Council, and initiate detailed results and resource planning.

Responsibility: managed primarily by the IMTF, in close consultation with the RC/HC.

Key Outputs:

USG's Planning Directive

Joint Transition Plan (if needed)

First Draft Mission Plan

Draft Mission Budget

Report of the Secretary General

Phase: commences with the promulgation of the USG's Planning Directive and ends with the submission of the Secretary-General's report to the UN Security Council.

Timeframe: minimum 3 weeks; desirable 6 weeks
--

1.2.1 USG's Planning Directive

The IMTF (now chaired by DPKO) will develop the **USG DPKO's Planning Directive, which provides the basis for detailed operational planning**. This document, based on the strategic objectives articulated in the SG's Strategic Planning Directive, will include:

- a summary of the situation;
- detail on the strategic objectives;
- a statement of priorities;
- key benchmarks accompanied by a definition of what constitutes success in achieving them which then will inform the Results-Based Budgeting (RBB) process;
- a risk assessment and planning constraints (such as Security Council requirements);
- links to other UN activities (including other UN missions in the region) and regional organisations;
- the functions and responsibilities of the IMTF (including distribution of tasks among its members and the UNCT) and support services to be provided by DPKO;
- timing and sequencing of planning activities and outputs; and
- required decision points.

1.2.2 Joint Transition Plan (if needed)

The **Joint Transition Plan** will only be relevant when the UN assumes responsibility from another organisation or coalition, or as part of rehatting. A similar requirement for a joint plan exists whenever the UN shares responsibility for a specific function with another organisation, such as support to elections. It will be mutually agreed and produced jointly by both organisations and will cover the modalities, steps and timeframe for achieving transition and the assumption of UN responsibility. As such its interests are very specific, and separate from the Mission Plan, although it will still be coordinated by the IMTF. The IMTF should establish a special sub-group to develop the Joint Transition Plan, detailing when and how responsibilities will be transferred, the immediate priorities, and the implications for the UNCT and partners, and to ensure consistency of approach and timing with the overall mission planning process. Emphasis should be on security and how to ensure maximum stability at a moment of potential weakness, including as a result of any mismatch in capabilities and tasks.

1.2.3 Technical Survey and Development of Draft Mission Plan

In accordance with the Secretary-General's Strategic and USG's Planning Directives, the IMTF will develop a draft **Mission Plan** for an integrated mission which will act as the basis for the initial phase of detailed planning. The IMTF will then launch a **technical survey** to undertake a short-term country-level assessment (lasting up to 2 weeks). The Technical Survey provides a critical opportunity to deepen engagement with the UNCT and other key national, regional and international stakeholders on key peacebuilding priorities, and reevaluate planning assumptions. The Team will also review existing UN

planning and operational activities and examine how the proposed integrated mission can support and ensure coherence with these other processes. Before leaving the country, the Team will discuss its findings and recommendations with the UNCT. The Technical Survey team will, if possible, be led by the IMTF Chair, and will comprise designated members of the IMTF and UNCT. External actors (e.g. regional or international organizations, Member States) may also be invited to participate as necessary. The IMTF may designate some members of the Team to remain temporarily in-country to support UNCT engagement in the planning process, or conversely, the UNCT may designate a representative(s) to participate temporarily in the IMTF for follow-up at headquarters.

The IMTF will use the results of the Technical Survey to produce a refined draft of the Mission Plan. The Mission Plan will refer to the USG's Planning Directive as the central planning document for the IMPP and will provide an outline of an integrated concept of operations as follows:

- An overview of strategic and thematic objectives and the strategies to achieve them;
- An outline of mission functions, design and structure (including staffing, common services, and structural interface with the UNCT). This identifies optimal organisational configuration to achieve effectiveness and efficiency;
- A preliminary assessment of resource requirements including resource mobilization and fund management structures. (Note: The Mission Plan will also provide the basis for the initial budget for the peacekeeping operation which should be prepared concurrently by DPKO, in consultation with other departments and agencies);
- A proposal for the consultation process with national actors and external partners in the IMPP; and
- An initial set of performance benchmarks that will be used for monitoring and, eventually, triggering the initiation of transition and exit planning.

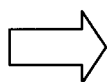
1.2.4 Preparation of Mission Budget

The IMTF will also establish a sub-group to work closely with DPKO/OMS and the UNCT to contribute to the preparation of Pre-Mandate Commitment Authority and ensure that the first **Mission Budget Report** (covering the first year of peacekeeping operations) is aligned with the draft Mission Plan and that what is developed in terms of objectives, functional strategies and mission structure is properly translated into results-based budgeting frameworks (RBB), staffing structures and operational budgets. Preparation of the mission budget may begin following the technical survey but will be finalised during Stage 2, Operational Planning. The budget sub-group will work closely with the UNCT to ensure a full understanding of available resources and gaps, and to optimize synergies between assets of the peacekeeping operation and those of the UNCT.

Along with mission focal points for the budget process, the UNCT is encouraged to identify a focal point at the earliest stages to join IMTF discussions on budget preparation, to join the initial RBB orientation at mission start-up, and to engage in mission RBB work on behalf of the UNCT over the life of the peacekeeping operation.

1.2.5 Secretary-General's Report on Proposed Concept for a Peace Support Operation

Concurrent with the development of the Mission Plan, the IMTF will draft the **Secretary-General's Report** detailing the concept of operations for the proposed integrated mission. [Briefings on the concept for the peace support operation will also be held with the Security Council and other key Member States, potential troop and police contributors, and other interested parties.]



Decision Point: The Secretary-General submits his report containing the proposed mission concept of operations to the UN Security Council.

Stage 2: Operational Planning

Level 2.1: Operational Planning

Objective: to develop the first draft Mission Plan into an integrated and fully-costed draft Mission Plan, and prepare the transfer of planning responsibilities to the Mission when deployment begins.

Responsibility: managed primarily by the IMTF, and Mission planning teams/leadership (as they are deployed).

Key Outputs:

Advanced Draft Mission Plan

Mission Budget Report

Directive to the SRSG

Phase: commences with UN Security Council authorisation of the peace support operation and ends with the Directive to the SRSG.

Timeframe: minimum 3 weeks; desirable 6 weeks (or until the SRSG is deployed).

2.1.1 Authorization of the Peacekeeping Operation by the UN Security Council

Stage 2 converts preparatory work into operational reality as the peacekeeping operation begins deployment. First, the IMTF must review the Mission Plan in light of the mandate provided by the Security Council Resolution, reconcile any mismatch created by addition of new tasks or reduction in resources, and re-establish priorities for subsequent operational planning. The Security Council should be advised of any shortfall in capacities.

2.1.2 Refining of the draft Mission Plan

The advanced draft Mission Plan provides the detailed operational strategy for implementing the UNSC mandate and the framework for achieving integration and

coherence of effort among all UN actors. It forms the basis for decision-making by the SRSG and his/her Deputies. Key features include:

- a description of the strategic approach and underlying principles for achieving mandated objectives and of the modalities for ensuring an integrated approach to overall UN efforts for peacebuilding and strengthening national capacities;
- a comprehensive results framework, indicating key mission objectives (strategic and functional), outputs and activities, key benchmarks and milestones, and required resources;
- a description of the mission structure, including coordination modalities, and mechanisms to ensure an overall integrated approach with the UNCT;
- a definition of management, coordination and decision-making arrangements, including roles and responsibilities of senior mission staff, and relationships to UNCT and other stakeholders;
- an articulation of linkages and coordination mechanisms to ensure consistency (both in terms of planning timeframes and substantive content) with relevant planning processes, including the CHAP/CAP, transitional appeals, UN work plans and strategies, the JAM/PCNA and other national strategies and reconstruction plans;
- a detailed elaboration of thematic and functional strategies and programmatic requirements (e.g. DDR, human rights, rule of law, elections, protection of civilians, displacement and return, etc.), covering roles and responsibilities of the peace support operation and UNCT, financial and other resource requirements, and modalities for joint programming;
- an elaboration of appropriate coordination mechanisms between peacekeeping operation-run support services and UNCT (including humanitarian) common services; and
- a framework for assessing progress against identified benchmarks to form the basis of work during Stage 3 (Review and Transition Planning) and the link with the RBB process.

Every effort should be made to recruit key mission appointments as early as possible and involve them in the work of the IMTF. After the SRSG is nominated and before the Directive to the SRSG is issued, the SRSG should be invited to work with the IMTF and provide appropriate direction.

2.1.3 Preparation of Mission Budget

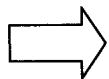
The IMTF budget sub-group will help DPKO/OMS in consultation with the UNCT finalise the first **Mission Budget Report** during this phase.

2.1.4 Directive to the SRSG

In preparation for the peacekeeping operation's assumption of responsibility, the USG DPKO will issue a **Directive to the SRSG**, prepared by the IMTF, outlining his/her roles and responsibilities and conferring authority to guide the activities of the integrated mission in a coordinated and coherent approach. The Directive will draw on the key elements of the USG's Planning Directive and will provide an opportunity to update the strategic direction, emphasise specific issues and clarify any areas of concern that have emerged from the planning process thus far. The directive must be consistent with the Secretary-General's Note of Guidance on Integrated Missions,² as well as UN command and control arrangements for military and police elements. Once the directive to the SRSG has been issued by DPKO, the SRSG is responsible for issuing any further directives outlining how the Mission as a whole will achieve the strategic objectives; while the direction would not focus on any individual mission component it is likely to put significant emphasis on the part to be played by the military and police components in creating the conditions necessary to support other activities, and should specify what is required to enable the respective components to develop their own plans. Such direction should be consistent with direction issued by DPKO aimed at ensuring common standards and norms.

Ideally the Directive should be given to the SRSG as early as possible in the planning process thereby enabling him / her to draw on it as the basis from which to provide detailed direction. In any event the Directive must be issued prior to the transfer of planning responsibility to the mission.

From the outset, the mission headquarters should be co-located to ensure coherence in the planning process.



Decision Point: USG DPKO issues the Directive to the SRSG, initiating the transfer of planning responsibility from the IMTF to the peacekeeping operation.

Level 2.2: Implementation Planning

Objective: to ensure a smooth transfer of responsibility for operational planning from the IMTF to the peacekeeping operation, to finalise the Mission Plan and provide the basis for the RBB.

Responsibility: managed primarily by the joint (peacekeeping operation and UNCT) planning team, working in close coordination with the IMTF.

Key Outputs:

² Note of Guidance on Integrated Missions: clarifying the Role, Responsibility and Authority of the Special Representative and Deputy Special Representative of the Secretary General/Resident Coordinator/ Humanitarian Coordinator, dated 17 January 2006.

Establishment of the Integrated Mission Planning Team
Final Mission Plan

Phase: commences with an exercise at country level to review and validate the Draft Mission Plan, and ends with the adoption of the finalized Mission Plan by the Mission and its endorsement by the UNCT.

Timeframe: minimum 2 weeks; desirable 3 weeks.

2.2.1 Transfer of Operational Planning Responsibility; the Integrated Mission Planning Team

As early as possible in the peacekeeping operation's deployment, the SRSG should establish a **Integrated Mission Planning Team**, comprising peacekeeping operation and UNCT planners and other relevant actors, to assume primary responsibility from the IMTF (see Annex A).

At this early stage it is necessary to ensure some continuity in the use of planning capacities. This can be achieved by deploying some members of the IMTF to the mission area for the critical transition period (although deployment could begin earlier and end later depending on the circumstances).

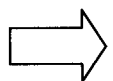
2.2.2 Review and Validation of the Draft Mission Plan

At the start of Level 2.2, the IMTF and the integrated mission will conduct a comprehensive review and **validation exercise** of the Mission Plan at country level. At this stage the Mission Plan should already be a comprehensive and integrated document, that reflects the intent of the USG's Planning Directive, but it may require further refinement to ensure it provides the mission with a clear and structured approach to implementation, and that it reflects country-level priorities, realities and processes. The validation exercise should take the form of a structured series of discussions and map exercises to challenge plans and assumptions, examine known tasks in detail, simulate potential scenarios, and practice the mission's decision-making and crisis management procedures. The validation exercise should include all elements of the mission, together with the UNCT, and relevant national and external actors.

2.2.3 Finalization of the Mission Plan

In addition to adjustments made during the validation exercise, the Integrated Mission Planning Team should ensure that the final Mission Plan contains a detailed implementation schedule, including assignment of responsibilities, activities and outputs, key milestones and benchmarks, and resource requirements, as well as modalities for addressing contingencies. The Mission Plan should also provide clear modalities for integration between the mission and the UNCT in both general and thematic areas, covering planning, joint programming, organizational and financial aspects.

As soon as possible, the final Mission Plan should be formally adopted by the SRSG as the authoritative basis for subsequent decision-making, thereby marking the transfer of planning responsibility.



Decision Point: The SRSG adopts the Mission Plan as the authoritative framework for achieving mission objectives.

Stage 3: Review and Transition Planning

Level 3.1: Continuation Planning

Objective: to ensure the Mission Plan remains flexible in the face of new demands and changing circumstances.

Responsibility: managed primarily by the Integrated Mission Planning Team, working in close consultation with the IMTF, as appropriate.

Key Outputs:

Periodic reviews, monitoring and updates

Phase: commences following the adoption of the Mission Plan and lasts until a decision to reconfigure the mission or develop a mission exit strategy.

Timing: length of the mission.

3.1.1 Periodic Reviews, Monitoring and Updates

Level 3.1 is a process of continuous review throughout the mission's life. It focuses on operational planning activities and requirements to ensure that the Mission Plan remains relevant and up-to-date, harmonized with broader UN objectives, planning and other processes, and that ongoing UN activities remain consistent with the overall strategic objectives contained in the Mission Plan. It must balance the long-term objectives of the Mission Plan against an evolving situation that can put the emphasis on short-term expediency. It must ensure that lessons-learned are fed back into subsequent planning, and that constant monitoring against identified benchmarks is being undertaken.

In situations where violent conflict and/or tensions have reemerged and/or where serious humanitarian needs exist, particular attention should be given to ensure that the implementation of the Mission's mandate respects humanitarian principles and support the creation of an effective humanitarian operating environment.

Reviews should be conducted in close consultation with the Government and other stakeholders. The Integrated Mission Planning Team will be the coordinating mechanism and should keep the IMTF fully informed and engaged as required, particularly when

circumstances change to allow possible draw-down of the peacekeeping operation. As such, the IMTF will assume an operational backstopping role for the mission. [The PBSO should be regularly updated on progress being achieved by the mission.] Reviews will take place at three levels:

- A continuous review process coordinated by the Integrated Mission Planning Team with the results fed back into subsequent planning as part of the mission's normal routine;
- Periodic reviews in which the mission takes stock either to assess its effectiveness³ or as part of the mandate renewal process; these may be conducted jointly between the mission, DPKO, the UNCT and relevant agencies depending on the requirement; and
- Strategic reviews in which a DPKO-led inter-agency team will assess requirements, jointly with the mission, when there are major new demands that will affect either the size or scale of the peacekeeping operation or its mandate. Strategic reviews would also include Missions of Security Council Members.

3.1.2 Significant Revisions to the Mission Plan

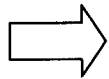
Significant changes at the country level (e.g. following national elections or a changed political, security or humanitarian situation) may result in a change in the UN's strategic objectives and the need to reconfigure the overall role of the UN or capability of the peacekeeping operation. Such a significant revision may also be requested by the UN Security Council and may include a transfer of responsibilities previously undertaken by another organisation from or to a reconfigured UN mission. The SRSG will then be responsible for preparing a revised Mission Plan, in collaboration with the IMTF, as the basis for the SG's report to the UN Security Council. DPKO/IMTF will also revise the USG's Planning Directive accordingly and planning will be undertaken in accordance with Levels Two and Three of the IMPP, with an emphasis on developing an integrated UN response. In the case of a transfer of responsibilities from or to another organisation, an IMTF sub-group will also need to assist with a Joint Transition Plan between that organisation and the UN.

3.1.3 Initiating Transition and Exit Planning

The Mission Plan should contain triggers and benchmarks for initiating transition and exit planning. These will have been developed in close collaboration with the [PBSO], IMTF, UNCT and national authorities, taking account of the long-term strategic goals identified in the SG's Strategic Planning Directive. When the relevant conditions occur, the SRSG will make a recommendation to the SG to initiate transition and exit planning.

³ DPKO has overall responsibility for submitting recommendations in the form of SG Reports but work is conducted jointly with the mission, it also needs to be closely allied to the RBB process and broader UN results framework.

Decision Points:



- **Significant Revisions of the Mission Plan:** In response to a UN SC request or dramatically changed situation on the ground, the Secretary-General decides to undertake a substantial revision of the Mission Plan
- **Transition and exit planning:** Upon the request of the UN SC, the Secretary-General requests the SRSG in close cooperation with the UNCT to initiate the process of transition and exit planning.

Level 3.2: Transition and Exit Planning

Objective: to provide a framework for transition and exit planning.

Responsibility: managed primarily by the Integrated Mission Planning Team, working in close consultation with the IMTF.

Key Outputs:

Revised USG's Planning Directive

Report of the Secretary General

Revised Mission Plan

Revised SRSG Directive

Phase: commences following the Secretary-General's decision to initiate a process of transition and exit planning, and ends with a revised SRSG Directive and Mission Plan.

3.2.1 Revision of the USG's Planning Directive

Level Six ensures there is a formal planning process to cover the transition planning requirements following a Security Council decision to draw down a peace support operation. Planning will depend on the successor arrangements, which could include:

- transfer of residual peace support operation responsibilities to the UNCT;
- establishment of a successor peace support operation;
- establishment of another type of UN mission (such as a political mission); and
- establishment of a peace support operation under the authority of another international or regional organization.

Level 6 of the IMPP focuses only on the transition and exit planning but must have links to planning for the successor arrangements to ensure consistency and continuity. Planning for any new UN peace support operation begins at the appropriate level of the IMPP.

Following the decision to initiate transition and exit planning, DPKO/IMTF, in close collaboration with the SRSG/Integrated Mission Planning Team/UNCT, will revise the USG's Planning Directive to reflect the new operational planning requirements and

establish the planning time-frame, sequence of planning activities, and linkages with longer-term UN planning processes.

3.2.2 Revision of the Mission Plan and SG Report

The IMTF, in close collaboration with the Integrated Mission Planning Team, will launch a technical survey to assess transition/exit requirements, plan disposition of peacekeeping operation assets including those that will be handed over to UNCT and/or successor UN peacekeeping operation and related resource requirements, consider the options, and develop a mission transition and exit strategy, using the modalities outlined in Level II. Special emphasis should be placed on ensuring coherence and linkages with the longer-term (post-peace support operation) UN peace building strategy. Following the technical survey, the IMTF and Integrated Mission Planning Team will revise the Mission Plan accordingly, and ensure consistency with any further Mission Budget Report or resource mobilization efforts. At the same time, the IMTF, in close collaboration with the Integrated Mission Planning Team, will prepare the Secretary-General's Report to the Security Council on the peace-keeping operation transition and draw-down.

3.2.3 Revision of the Directive to the SRSG

Once the Security Council has authorized the mission transition and exit strategy, the Secretary-General will formally endorse the revised Mission Plan, presented by the SRSG. DPKO/IMTF in close collaboration with the Integrated Mission Planning Team will prepare a revised Directive to the SRSG to reflect the amended mission objectives, strategy and time-frame. The mission planning cycle will recommence from Level 5 (continuation planning) for the duration of the transition/exit period.

D. Support to Implementation of the IMPP

The custodian of the IMPP is the Office of Change Management in DPKO. This process will be subject to periodic inter-departmental, inter-agency review, lessons learned and revision.

Annex A: Draft Terms of Reference for the Integrated Mission Task Force (IMTF) and Integrated Mission Planning Team (IMPT)

Central to the Integrated Mission Planning Process (IMPP) is the setting-up of a dedicated planning body – the Integrated Mission Task Force (IMTF) at Headquarters level. The IMPP also requires the establishment of an integrated and dynamic structure at the country level—the Integrated Mission Planning Team (IMPT)—as soon as the Integrated Mission is deployed.

These Terms of Reference will be elaborated in greater detail in each case that a country IMTF/IMPT is mounted, based on the generic principles provided here.

Integrated Mission Task Force

The IMTF is the key mechanism for ensuring coherence and the consistent engagement of the UN system and relevant external partners in mission strategic and operational planning, review, and termination. This coherence is achieved through bringing together senior management and expert planning, technical and operational staff on a regular basis to promote integration of planning efforts, monitoring of progress, and adjustments to optimize impact.

The responsibility of the IMTF is undertake the various planning activities outlined in the IMPP and prepare the key planning and policy documents (outputs) for decision by the Secretary-General, the USGs for Peacekeeping Operations or Political Affairs, and/or the Special Representative of the Secretary-General (SRSG). As required, the IMTF will also prepare documents for the SG's Policy Committee or the Peacebuilding Support Office.

The IMTF is a Headquarters-based body that will be established immediately following the SG's decision to initiate the IMPP for a particular country. Prior to the decision to establish an integrated mission, the IMTF would normally be led by the department of Political Affairs or by another Department as designated by the Secretary-General. Following the decision to establish an Integrated Mission, the IMTF will normally be led by the Department of Peacekeeping Operations or by another Department given the evolving nature of the Mission and if so designated by the Secretary-General.

Membership in the IMTF, at a minimum, must comprise senior representatives (i.e. P-5/D-1) of the political, military, police, security, logistics, humanitarian, development and human rights branches of the UN, as well as representation from the UNCT through the Office of the RC/HC. If a SRSG has been designated (prior to deployment) or is in place (following deployment), s/he should represent and/or designate representation of the Integrated Mission and the UNCT in the IMTF.

IMTF members should be empowered to represent their respective Offices in the planning process, particularly during the initial stages of the IMPP (stages 1 and 2). Throughout the lifespan of the IMTF, its membership and level of participation may

change as required depending upon the Mission's objectives. Once the Integrated Mission is fully operational, the objectives, membership and functions of the IMTF should be reviewed and revised accordingly.

When preparing the key planning documents, the national Government and external partners should be fully consulted by the IMTF on the objectives, structure and implementation modalities of the Integrated Mission. Among the external partners, particular focus should be given to the contributions of other regional organizations, donor states and troops/police contributing countries, and NGOs (national and international).

To facilitate its work, the IMTF may create sub-groups to deal with specific issues, such as the budget and transition from or to other missions. The IMTF may also designate some members of the Team to remain temporarily in-country to support UNCT engagement in the planning process, or conversely, the UNCT may designate a representative(s) to participate temporarily in the IMTF for follow-up at headquarters.

Integrated Mission Planning Team

Following the establishment of the Integrated Mission at the country level, the SRSG should establish an Integrated Mission Planning Team (IMPT) at the country level. As required during the various stages/level of the IMPP, the IMPT will work in close relationship with the IMTF at the headquarters level. The IMPT should equally represent the mission and the UNCT and should report to mission leadership; its actual location and reporting lines will be dependent on the particular country context and existing structures.

The responsibilities of the IMPT entail leading, facilitating and supporting joint Mission/UNCT strategic planning in the integrated mission setting, for implementing and monitoring the IMPP over the life of the Mission's mandate, and for facilitating follow-up on Mission/UNCT operational activities related to the integration of programmes, services, geographical presence, etc.

The IMPT will be led by senior qualified planners drawn from the Mission and the UNCT and will actively seek the input from the various Mission sections and UNCT agencies. The IMPT will also be responsible for organizing close consultations with external partners. As required, the IMPT may establish sub-groups to fulfill specific tasks. The IMPT's actual structure will vary according to the requirements of an individual mission but the minimum to be established is a permanent planner representing the peacekeeping operation and another, at the same level, representing the UNCT; this will be supported by a small number of permanent staff but should be capable of being augmented at the direction of the mission leadership.

Annex B: USG Planning Directive - Template

SITUATION

- Not a long history, it needs to highlight key issues that set the scene for subsequent planning; these would include a summary of the main protagonists, their broad objectives and what constitutes their respective centres of gravity.
- More detailed information would be available as part of the Strategic Analysis undertaken prior to the start of the IMPP and the Strategic Assessment undertaken during Level 1.

STRATEGIC OBJECTIVES

- The starting point will be the objectives that have been stated in the SG's Planning Directive and will reflect the views of the Security Council. They should include:
 - A statement of the strategic end-state,
 - A clear definition of what constitutes success,
 - The key steps, or benchmarks, that have to be achieved to meet that definition, (this is likely to be fairly broad at this stage and should not attempt to be prescriptive, it might include the need to conduct a DDR campaign for example, but not the detail as that will be developed later)
 - A statement of priorities – what is the immediate priority, what are the subsequent priorities, what changes over time?

ASSUMPTIONS

- These will include points such as an assumption that the potential mission has the consent of the parties; therefore, by implication, if it does not it will automatically raise the question of the viability of the mission. In this case it may identify that it has the consent of the majority but there are groups that do not conform and therefore need to be factored into the planning process.
- Regional/National/Governmental responsibilities for security, protection of civilians etc.
- Key assumptions will include the need to synchronise the planning processes – PCNA etc – and to identify what has to be done to achieve an integrated product.

CONSTRAINTS

- The most likely constraints are:
 - Time, or the lack of it, particularly in the event that the Security Council has set a deadline.
 - Resources - what is likely to be needed against what is likely to be available and how long it will take to be in place.
 - Risk assessment

- Linkages to other issues that may limit what is possible within a mission area.

RESPONSIBILITIES

- Of the mission,
- Of the International Community, external stakeholders including regional grouping and bilateral partners
- Of the planning team