



INTEGRATED MISSION PLANNING PROCESS

PREFACE

1. This Integrated Mission Planning Process (IMPP) for peace operations provides a sequential, integrated planning framework for both new missions, and new phases of existing missions.
2. The IMPP clarifies DPKO's role and its relationships with other departments and stakeholders in the planning process. It also establishes the common framework for DPKO's functional elements to integrate and synchronize their activities. The IMPP is intended to integrate with the planning, programming and budgeting processes used within the UN to maintain operational readiness¹ and allocate resources for peace operations.² The two underlying principles of the IMPP are that planning must take note of lessons learned from previous operations at every level of the process and that responsibility for planning must rest with a clearly designated entity (i.e., DPA, DPKO, OSRSG) at different levels of planning.
3. The IMPP is a common, integrated, structured and systematic approach with a number of successive levels that encompass a series of analytical steps. The IMPP is described in linear form, although changing circumstances and new information oblige continuous reassessment, adjustment and updating of plans as necessary in an interactive, cyclical process. Each level produces more detailed analysis and plans that follow from the preceding level. Each planning step starts with an analytical process that should produce a recommended option and ends with a product developed from the recommended option.

LEVEL ONE: PRE-PLANNING

4. Pre-planning consists of regular monitoring and analysis of developments in a geographic area containing the potential for, or an ongoing, conflict. The pre-planning cycle is complete when a recommendation is made to commence planning, to defer planning or that there is no requirement for further UN planning.

¹ Operational Readiness is the ability to mount and sustain field operations, and consists of three general elements: information, capability and intent and is not constant. A detailed discussion of the concept is outside the scope of this paper.

² A detailed discussion of these processes is beyond the scope of this paper. Persons assigned responsibilities for planning peace operations must be familiar with those processes so that the outputs of the IMPP are fully synchronized with them.

5. **Purpose:** The purpose of pre-planning is to identify regions, countries or crises where more structured and detailed analysis is necessary to determine a potential UN role. The pre-planning level will:

- Enable prioritization of planning efforts, resource allocation and, if necessary, adjustments to operational readiness.
- Determine whether to develop a UN Strategy.

6. **Process:**

- Collect and analyze information about geographic areas with conflict potential.³
- Identify constraints and/or limitations on strategy development.
- Assess the general situation and specific early warning indicators, to identify developments that could increase the potential for UN involvement.
- Assess the timeframe and scope of potential UN involvement.

7. **Products:**

- Databases of relevant information about conflicts.
- Early warnings of a potential UN role.
- Conflict assessment.
- Recommendation to start planning and allocate appropriate resources to the planning process.

8. **Responsibilities:** As lead department in the preplanning level, the Department of Political Affairs:

- Develops potential conflict-situation assessments.
- Solicits advice from other departments and agencies with functional expertise.
- DPKO functional elements contribute to pre-planning by providing expert advice in their respective areas.⁴

9. **Decision Point:** When analysis indicates that UN involvement may be appropriate in an area or conflict, the Secretary-General will decide on the nature of that involvement and whether to begin the mission planning process. When the Secretary General, decides to plan for a UN operation, the responsibility for planning will shift to DPKO, which then becomes the lead department.

³ Examples of relevant information include history, culture, geography and climate, demographics, structure of governance, political organizations, military capabilities, transportation infrastructure, economic capacity, and judicial system

⁴ The DPKO functional elements are the Office of the Under Secretary-General (OUSG), Office of Operations (OO), Office of Mission Support (OMS), Military Division (MD), Civilian Police Division (CPD), and the UN Mine Action Service (MAS).

LEVEL TWO: DEVELOPMENT OF UN STRATEGY

10. This stage of planning begins with the decision to plan for further UN involvement, by developing an overarching strategy that should include ways, means and ends. Development of the UN Strategy involves the assessment of scenarios and evaluation of the options for each, to determine the recommended option(s) for the UN in preventing or managing the situation/conflict within the context of relevant UN policies.

11. **Purpose:** To identify the UN Strategy in a certain region, country or conflict.

12. Process:

- Designate and/or establish an entity to develop the UN Strategy.
- Develop an agreed understanding of the current situation.
- Analyze available guidance.
- Determine the international community's strategic/long-term aim(s).
- Identify strategic factors and implications affecting potential UN actions.
- Develop/assess/prioritize (planning) scenarios.⁵
- Determine the essential conditions and key steps (strategic approach) required to achieve the desired aim.
- Develop and assess the options within this approach, outlining, in broad terms, responsibilities, the anticipated roles for the UN and the types of resources required to pursue each option.⁶
- Evaluate, coordinate and integrate all inputs from various partners and stake holders.
- Develop a recommended UN Strategy.

13. **Product:** The product of this planning level is a recommended UN Strategy which consists of:

- The UN role.
- The aim of the UN.
- The necessary conditions for UN involvement.
- The UN's strategic approach.
- The types of resources and time needed to implement the Strategy.
- The most likely roles of other international players.

14. **Responsibilities:** In accordance with the Secretary General's earlier determination to commence planning for a UN peace mission, DPKO will assume planning responsibility from this level onwards and will:

- Establish an integrated planning group to develop a UN strategy.
- Actively seek input from partners with the required technical expertise.
- Coordinate the planning effort with partners outside the UN system, if any.

⁵ A scenario is a coherent picture of how a current situation might look at a fixed point in the future, based on informed predictions of how the situation might (or might not) evolve.

⁶ i.e., a multifunctional mission headquarters, MILOB teams, SPUs, infantry units, etc.

15. **Decision Point:** The step is complete when a recommended strategy is approved by the USG, in consultation with relevant entities. The Secretary-General's endorsement of the UN Strategy is then required, taking into account general guidance from UN legislative bodies. Based on this, the USG will direct that further planning and associated actions are undertaken.

LEVEL THREE: DEVELOPMENT OF FUNCTIONAL STRATEGIES

16. **Purpose:** To define and integrate appropriate functional strategies for each aspect of the UN role, which will provide more detailed guidance and direction to implement the overall UN Strategy.

17. **Process:**

- Designate and empower the senior manager who will guide the integrated planning process.
- Describe the situation related to the anticipated functions.
- Analyze guidance from the UN Strategy and from other stakeholders.
- Identify and assess factors of strategic importance to the functions.
- Identify what resources will be available during the anticipated timeframe.
- Identify the aim or end state for each function.
- Develop options within the functions.
- Assess and prioritize the options to select the preferred one.

18. **Product:** The product on this level is a recommended Integrated Strategic Concept, which consists of:

- A description of the situation.
- Key elements of the UN Strategy.
- Its phases and stages.
- Aims and key tasks of the functional areas.
- Broad estimate of the resources required to implement each functional strategy.
- Measures of coordination and integration.

19. **Responsibilities:** The Under-Secretary-General expands the integrated planning group to include representation from all functional areas of DPKO as well as from other UN departments and agencies as necessary. He is responsible for the overall political strategy on behalf of the Secretary-General. This strategy guides the coordination framework efforts in integrating the functional strategies.

20. **Decision Point:** This step is complete when the Secretary-General endorses the integrated concept and directs the development of a detailed Mission Plan.

LEVEL FOUR: DEVELOPMENT OF A MISSION PLAN

21. The Mission Plan explains comprehensively how the UN's strategic aim will be achieved, in terms of who, what, when, where and how. It also serves as the basis for justifying the resources that will be requested prior to the issue of a mandate by the Security Council and the approval of a budget by the General Assembly. As a matter of principle,

responsibility for planning should rest with the entity responsible for carrying out the proposed mandate. Accordingly, the Mission Plan will be developed by the Head of Mission or, prior to his/her appointment, at Headquarters by a staff member assigned to DPKO for the purpose and who will participate in the start-up (e.g., thru D+90) of the proposed mission as the Chief Planning Officer (or a comparable title).

22. **Purpose:** The Mission Plan is an operational plan that provides the practical details about the UN's aim that will enable all components of the Mission to develop their own implementing plans. It will guide each aspect of the Mission's work. Elements of the plan are synchronised, address, step by step, how the expected mandate of the mission will be completed, and identify tasks and resource requirements that need to be fulfilled by Headquarters.

Note: At this stage, a draft Secretary-General's report is prepared, incorporating the products of the integrated mission planning process and products from external sources. The draft mission plan will also serve as evidence to the Security Council that the proposed mandate is viable and achievable.

23. **Process:** The process used by different components to develop their own plans based on the integrated concept will vary. However, planning processes will need to take into account the requirement to synchronise planning early on when plans are being developed.

24. **Products:**

- Definition of expected tasks or mandated tasks, when a mandate is available.
- Mission Plan including:
 - A detailed outline of the situation as it relates to each component.
 - Assumptions and limitations.
 - Key mission tasks derived from the functional strategies.
 - Immediate, mid- and long-term objectives and tasks.
 - The tasks assigned to each component of the Mission.
 - Analysis of those tasks that should be synchronized with other tasks or components.
 - The structure of each component, the resources required and a plan to generate/obtain those resources.
 - A plan for the movement and deployment of different components and resources, with clear time lines.
 - Requirements for support from Headquarters and other organizations.
 - An agreed coordination framework that can be implemented in the Mission area.
 - Annexes ⁷
- Input for the Secretary General's report.
- Request for resources⁸.

⁷ Examples of integrating annexes may include: mission structure and organization, support plan with financial implications and synchronization matrices.

⁸ This may include Premandate Commitment Authority (PMCA) or support through other funding mechanisms.

25. **Responsibilities:**

- The Head of Mission, if assigned, develops the Mission Plan.
- In the absence of a Head of Mission, the USG/DPKO is responsible for developing the Mission Plan, through a staff member designated for the purpose.

26. **Decision Point:** The Mission Plan, along with other inputs forms the basis of the Secretary-General report to the Security Council. Headquarters will endorse the plan following a Security Council mandate, when the Mission Plan becomes an implementation directive for the Mission.

LEVEL FIVE: DEVELOPMENT OF MANDATE IMPLEMENTATION PLANS

27. **Purpose:** Mandate Implementation Plans describe how the Head of Mission and his/her component leaders will achieve the various mission tasks outlined in the Mission Plan.⁹

28. **Process and Responsibilities:** In the plan implementation phase, responsibility for mandate-related planning is primarily with the mission. Headquarters provides policy guidance and resources, and the Mission assumes the responsibility for defining specific goals, developing plans and quantifying requirements to fulfil the mandate in the context of evolving conditions "on-the-ground". Pursuant to mission establishment and on-the-ground experience, the mission team identifies and designs programmes that describe how the mission will address specific goals derived from the mandate, each component's role and responsibilities in support of each of the programmes, and time frames for program completion where appropriate.

⁹ Programmes should include programme objectives, sequenced activities to achieve the objectives, measures of effectiveness and timelines, and statement of the resources needed to achieve the programme objectives.