



**United Nations
Department of Peace Operations
Department of Political and Peacebuilding Affairs
Ref. DPO 2019.29 / DPPA 2019.08**

Policy

Guidance Development

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Effective date: 1 January 2020

Contact: DPO/DPET/PBPS/KMG and DPPA/PMD/GLU

Review date: 1 January 2023

DPO AND DPPA POLICY ON GUIDANCE DEVELOPMENT

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A. PURPOSE AND RATIONALE

1. This policy sets the institutional direction for the development, promulgation, implementation and review of DPO and/or DPPA (policies, standard operating procedures (SOPs) and guidelines¹), as well as those developed and issued jointly with other UN entities within the authority of the Under-Secretaries-General (USGs) for Peace Operations and Political and Peacebuilding Affairs. A clear and coherent DPO and DPPA guidance development system will support a more effective, efficient and accountable implementation of DPO and DPPA mandates. The framework described in this Policy is tailored to the requirements of all DPO and DPPA personnel.

B. SCOPE

2. Compliance with this policy is mandatory for all DPO and/or DPPA personnel at UN Headquarters responsible for or tasked with the development of guidance materials, as well as personnel of UN entities that develop guidance jointly with DPO and/or DPPA. It can also serve as a reference for personnel in field missions, in addition to their guidance materials. All personnel at UN Headquarters and in field missions shall be aware of this policy and its SOP.

C. POLICY

3. The requirement to develop, review or amend guidance materials may arise from various sources. Examples of these situations are detailed in the SOP on Guidance Development.

Hierarchy and categories of guidance

4. DPO and DPPA guidance materials are subordinate to, and at all times shall be consistent with, legislation of the UN governing bodies, UN rules and regulations, system-wide policies of the Secretary-General, administrative issuances including Secretary-General's Bulletins (ST/SGBs)

¹ See Section E. Terms and Definitions

and Administrative Instructions (ST/AIs) and Policy issuances from the Executive Committee or Chief Executives' Board.² Guidance materials shall be classified according to the existing UN classification scheme on information sensitivity, classification and handling. All guidance materials shall be 'unclassified' unless otherwise specified by the drafting office.

5. Guidance materials shall conform to one of three categories: policies, standard operating procedures (SOPs) or guidelines, as defined in Section E of this policy. This guidance system does not govern directives or strategies.
6. DPO and DPPA guidance shall be harmonized with official guidance issued by other Secretariat departments with authority in areas applicable to peacekeeping operations and special political missions, for example: relevant technical guidance issued by the Department of Operational Support (DOS), the Department of Management Strategy, Policy and Compliance (DMSPC), the Department for Safety and Security (DSS) or the Office of the High Commissioner for Human Rights (OHCHR). Guidance issued by UN entities other than DPO and DPPA that is directly applicable or relevant to UN field missions should be consulted through the guidance development process described herein and, if appropriate, jointly issued by DPO and DPPA and the other UN entity/entities. Guidance applicable to field missions may also be formulated through an inter-agency coordination mechanism.
7. Mission-specific guidance may be developed by a field mission, at the discretion of mission leadership, in line with existing related UN Headquarters guidance or to fill guidance gaps where Headquarters-developed guidance does not fully address mission-specific circumstances. The development of these materials is informed by the Guidelines on Development of Mission-specific Guidance.

Applicability of DPO and DPPA guidance

8. DPO and DPPA guidance materials, including those developed jointly with other departments and offices, shall apply to all DPO and/or DPPA personnel at HQ and in field missions, and to personnel of other entities when guidance is issued jointly with those entities. Guidance materials shall specify the terms of compliance in each document. Mandatory elements shall be clearly identified.
9. High-level, strategic and/or cross-cutting guidance that has significant policy or operational implications for additional departments outside of DPO and DPPA may require senior endorsement by those entities. In such cases, the draft guidance shall be consulted with the Knowledge Management and Guidance Team (KMG) and/or the Guidance and Learning Unit (GLU) and agreed to by the OUSGs DPO and DPPA prior to submission to the OUSGs for endorsement. The scope of applicability to personnel of those departments shall also be clearly stated in each guidance document. Likewise, departments outside of DPO and DPPA that are

² In specific cases, policy and guidance issued by a USG in his/her capacity as a designated system-wide thematic focal point and/or technical lead entity is governed by separate procedures and frameworks established by the General Assembly. Policy and guidance issued by a USG in his/her capacity of Focal Point is governed by separate procedures and framework established by the GA. This policy does not supersede and should be read in conjunction with related mandates and UN thematic policies.

The above-mentioned content also applies to the work of the Uniformed Capabilities Support Division (UCSD) in DOS, which is responsible for ensuring that proposed guidance is aligned with the current reimbursement framework as agreed to by the General Assembly, and for developing and promulgating administrative and logistical guidance related to formed units.

developing guidance potentially impacting Peace and Security Pillar operations are encouraged to consult relevant personnel in DPO and/or DPPA.

Implementation and review of DPO and DPPA guidance

10. Guidance materials shall be accompanied by an implementation plan which details steps to be taken to ensure full implementation of the guidance and specifies how resource requirements identified in the guidance would be met.
 11. Monitoring and evaluation plans should be developed for all guidance, drawing upon the implementation plan to gauge successful implementation of the guidance. All guidance materials shall be prepared using standardized templates and feature a reference number issued by KMG or GLU.
 12. Guidance materials shall specify a review date which can be between one and three years after the effective date. Guidance materials may be either reviewed, rolled-over, amended, replaced or rescinded.
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D. ROLES AND RESPONSIBILITIES

13. The USGs for DPO and DPPA are responsible for:
 - Approving Peace and Security pillar guidance materials;
 - Tasking the development, review or rescinding of guidance;
14. The Peace and Security Pillar Guidance Development and Learning Steering Committee (GDLSC)³ is responsible for:
 - Agreeing on and setting priorities for guidance development/revision across the Peace and Security Pillar;
 - Providing recommendations to the USGs for DPO and DPPA on the approval of high-level, strategic or cross-cutting draft guidance presented;
15. DPO and DPPA Management (ASGs and Directors) sponsoring a guidance document is responsible for:
 - Considering and endorsing proposals for guidance development;
 - Confirming that due diligence was exercised in the preparation and consultation of each guidance document;
 - Clearing guidance documents for submission to the DPO and/or DPPA USG(s);
16. DPO and DPPA offices are responsible for:
 - Identifying guidance requirements and priorities in their respective functional areas, including through ongoing dialogue with field missions;
 - Seeking GLU and KMG support and advice regarding the guidance development process and implementation;
 - Designating personnel resources for the development of guidance materials and a Guidance Focal Point (GFP) to carry out the responsibilities in paragraph 19, below;
 - Leading the drafting, consultation and dissemination of guidance materials within their area of responsibility following the SOP on Guidance Development;
 - Developing implementation and monitoring evaluation plans as part of the guidance development process, including identification of any/all required resources;

³ The Terms of Reference of the Peace and Security Pillar Guidance Development and Learning Steering Committee (GDLSC) are in Annex to the Standard Operating Procedure on Guidance Development (DPO 2019.30 / DPPA 2019.09).

- Initiating the review of guidance materials before the review date or as otherwise required by changing circumstances;
17. Field missions are responsible for:
- Identifying gaps in existing official guidance, as identified through needs assessments, evaluations, lessons learned studies, etc. and developing guidance where needed based on identified gaps;
 - Implementing guidance relevant to personnel at the field level;
 - Providing inputs to draft guidance as needed, when consulted by UNHQ offices,
18. The Guidance and Learning Unit (GLU) of the Policy and Mediation Division (PMD) and the Knowledge Management and Guidance Team (KMG) of the Policy and Best Practice Service (PBPS) are responsible for:
- Providing advice and support on guidance development and implementation to drafting offices in DPO, DPPA and the regional and shared structure, including on editing and translation (KMG);
 - Keeping DPO and DPPA senior management informed of guidance development issues;
 - Maintaining a list of the Peace and Security Pillar-developed guidance;
 - Coordinating guidance development in the Peace and Security Pillar through the GDLSC and the GFP group, with a view to ensuring policy coherence and linkages to other existing guidance and supporting adherence to the guidance framework;
 - Providing secretariat services to the GDLSC (GLU) and GFP group (KMG) and for meetings on policy and strategic issues;
 - Publishing approved guidance materials on the *Policy and Practice Database (PPDB)* and advising/assisting drafting offices on other means of dissemination.
19. Peace and Security Pillar Guidance Focal Points (GFPs) are responsible, within their respective units, for:
- Representing their office in the Guidance Focal Point Group (GFPG) meetings;
 - Liaising with GLU and KMG regarding guidance under development;
 - Providing/consolidating inputs from their offices on draft guidance consulted within the GFPG;
 - Providing guidance development advice to personnel in their office.
20. Throughout the guidance development process: Drafting offices and senior managers sponsoring the document must ensure that guidance materials integrate human rights, acknowledge the equal rights of women and men and take into account of their different experiences, needs, aspirations, priorities and contributions, and address the concerns of children affected by armed conflict where relevant.

E. TERMS AND DEFINITIONS

21. For the purposes of this policy, the following terms and definitions shall apply:

Guidance

An explanation of responsibilities, expectations and procedures to personnel. These include policy, standard operating procedures and guidelines.

Policy

An explanation of an institutional position on an issue or activity in the Peace and Security Pillar remit, and the resulting essential expectations of personnel, in terms of objectives and responsibilities. A

policy directive is the basis for consistent institutional behaviour by personnel. Compliance is mandatory.

Standard Operating Procedure (SOP)

A standing instruction that provides DPO and DPPA personnel with guidance on how to implement a specific task, process or activity, or how to achieve a desired result. It provides institutional recognition of best practice methods or steps to be implemented. Compliance is mandatory.

Guidelines

Suggested courses of action, recommendations, principles or considerations that provide guidance direction to personnel on a specific process, activity or issue. Guidelines often helps interpret policies when further clarification is needed. Guidelines may include manuals, handbooks, toolkits or other similar instructions. Compliance is strongly recommended.

F. REFERENCES

Superior references

- *General Assembly Resolution on Special subjects relating to the programme budget for biennium 2018-2019 (A/RES/72/262)*
- Report of the Secretary-General on Revised Estimates Relating to the Programme Budget for the Biennium 2018-2019 under Section 3, Political Affairs, and Section 5, Peacekeeping Operations and the Proposed Budget for the Support Account for Peacekeeping Operations for the Period from 1 July 2018 to 30 June 2019 related to the Peace and Security Reform (A/72/772)
- Secretary-General's Bulletin on Procedures for the promulgation of administrative issuances (ST/SGB/2009/4)
- Secretary-General's Bulletin on the Organization of the Department of Peacekeeping Operations (ST/SGB/2010/1)
- Secretary-General's Bulletin on the Organization of the Department of Political Affairs (ST/SGB/2009/13 /Corr.1)
- Secretary-General's Bulletin on Information sensitivity, classification and handling (ST/SGB/2007/6)
- Manual on Policies and Procedures concerning the Reimbursement and Control of Contingent Owned Equipment of Troop/Police Contributors Participating in Peacekeeping Missions (currently A/72/288)

Related references

- DPO and DPPA SOP on Guidance Development (ref. 2019.30)
- DPKO/DFS Guidelines on Development of Mission-Specific Guidance (2016)
- UN DPPA Women, Peace and Security Policy (June 2019)
- OHCHR/DPKO/DPA/DFS Policy on Human Rights in UN Peace Operations and Political Missions (2011)

G. MONITORING AND COMPLIANCE

22. Implementation of this policy is monitored by KMG/PBPS/DPET and GLU/PMD. Non-compliance with this policy shall result in draft documents being deemed ineligible for approval as official guidance.

H. CONTACT

23. The contacts for this policy are KMG/PBPS/DPET/DPO (peacekeepingbestpractices@un.org) and GLU/PMD/DPPA (dppa-policy@un.org).

I. HISTORY

24. This is the first joint DPO-DPPA Policy on Guidance Development. Prior to the establishment of the Peace and Security Pillar, the DPKO-DFS Policy on Guidance Development and SOP on Guidance Development (ref. 2014.14 and 2014.15), DPA Policy Directive on DPA Guidance Materials (2009) and SOP on Guidance Development (2009.02) governed the procedures for guidance development in the respective departments. This Policy supersedes the previous policies of both departments.

SIGNED:

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DATE OF APPROVAL

23 December 2019

SIGNED:

Tom. Peter Lewis

DATE OF APPROVAL

10.12.19