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Guidelines

Coordination with the EU during the planning of UN missions and EU civilian missions and military operations

Approved by: USG DPKO
USG DFS
USG DPA

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DPKO/DFS/DPA GUIDELINES ON COORDINATION WITH THE EU DURING THE PLANNING OF UN MISSIONS AND EU CIVILIAN MISSIONS AND MILITARY OPERATIONS

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A. PURPOSE

1. The aim of this document is to define modalities for coordination between the EU and the UN during the assessment and planning phases of their respective missions / operations. It includes principles and practical measures for coordination throughout these phases,¹ as foreseen in the UN's Integrated Assessment and Planning (IAP) Policy and the EU's Crisis Management Procedures (CMP). It also draws on the lessons learned from the After Action Reviews on UN-EU Planning for EUFOR Tchad/RCA (2008) and for EUFOR DRC (2006), and well as from the practical experience of UN-EU cooperation on planning for Mali.

B. SCOPE

2. This document focuses on situations where the UN and the EU are stepping up their activities in a country in a post-crisis context, in particular through the potential deployment of respective missions. It takes account of the fact that such close coordination is relevant in a variety of scenarios, including where:
 - ❖ both UN and EU are setting up a new mission / operation;
 - ❖ a new EU effort is to complement an existing UN mission's effort;
 - ❖ the UN or the EU takes over the engagement from the other;
 - ❖ the EU will provide a bridging mission /operation until the UN takes over;
 - ❖ either party seeks support from the other.

¹ The issue of cooperation and coordination during the conduct of missions and operations will be treated separately.

C. RATIONALE

3. Recent experiences in crisis management have highlighted the need for international actors to cooperate during the assessment and planning phases in order to enhance effectiveness and to achieve synergies with regard to reaching common peace and security objectives. In particular, the UN and the EU have been seeking ways to align their approaches and practical steps in managing crises. To this end, the Plan of Action to enhance EU CSDP support to UN Peacekeeping foresaw the establishment of modalities for coordination between the EU and UN during the planning and conduct of EU autonomous civilian missions and military operations deployed in support of UN peacekeeping (actions C1 and D1).
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D. PROCEDURES

I. Principles for effective coordination

The following key principles should be applied to ensure effective coordination between the UN and the EU during the assessment and planning of their respective missions / operations:

- ❖ **Mutual understanding:** Common knowledge and understanding of each other's organisation and working methods should be created inter alia by mutual participation in relevant courses and trainings, conferences and events, familiarisation and information exchange visits. This is particularly important for newly appointed desk officers, and taking into account a context of frequent staff rotations.
- ❖ **Early engagement:** The UN and the EU should proactively initiate early engagement with each other as soon as a mission/operation is being considered by either side.
- ❖ **Transparency:** The contacts between the UN and the EU during such assessment and planning will be characterised by maximum possible transparency, in order for either side to achieve a clear understanding of the other side's assessment, planning and decision-making, as well as objectives, advantages, constraints and planning milestones in each particular case.
- ❖ **Inclusiveness:** The UN and the EU should ensure that their engagement in planning will include all actors/offices/departments on either side that should be involved in respective processes, in order to develop coherent and comprehensive approaches within and across organisations. While the main purpose of the document is limited to planning related to crisis management missions / operations / peace operations², rather than other aspects of UN or EU engagement in a particular country scenario, such aspects (development, humanitarian etc) should be taken into account, and all relevant actors should be engaged, as appropriate, and in line with the UN's integration and the EU's comprehensive approach policies³. In engaging in this planning, the UN and the EU should also take into account the need for parallel or joint consultations with other external stakeholders, in particular relevant regional

² For the UN, including peacekeeping operations and Special Political Missions.

³ In the development area, the UN and the EU have separate arrangements in place for cooperation during the assessment and planning phase, including the PCNA.

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organisations.

❖ **Comparative advantages:** The UN and the EU will take into account their respective comparative advantages in each particular case, before suggesting/agreeing on which side is best equipped to carry out a particular activity⁴. The feasibility of carrying out UN and EU joint activities should be considered.

❖ **Flexibility to context:** The UN and the EU should ensure that their coordination in assessment and planning takes into account evolving political contexts in crisis and post-crisis situations and allows for adequate flexibility that may be required by either side to adapt to new/unforeseen circumstances.

❖ **National ownership:** Whenever national (peace consolidation) priorities have been articulated (on the basis of broad based consensus) in a particular country context, the UN and the EU will take them into account in their planning in order to design and plan their respective engagement in that country.

II. Description of UN and EU assessment and planning phases and coordination focal points

This section briefly describes the assessment and planning processes and related focal points for coordination in the UN and the EU. For the purposes of this document, the processes in each organisation can be broadly divided in two parts: the Strategic Assessment (and Planning) phase, which takes place before the Security Council and the European Council, respectively, decide to establish a mission / operation; and the Operational Planning phase (which for the UN is part of the overall IAP process)⁵.

i. Strategic Assessment and Planning Phase

For the UN, the Strategic Assessment and Planning phase (in the context of a new crisis) provides for the articulation of a common UN vision and priorities as well as for options for UN engagement in a particular country/crisis situation. A Strategic Assessment, conducted jointly by UN political, security, development, humanitarian, and human rights entities, may recommend to the Secretary-General the establishment of a multidimensional peacekeeping operation or field-based Special Political Mission; strategic assessments are undertaken in contexts when such missions are being considered. If/when the Secretary-General approves of either option, s/he presents it (or several options) to the Security Council for consideration and endorsement.

During this phase, a Headquarters-based **Integrated Task Force** is established, to lead the Strategic Assessment. The ITF is chaired by the lead department, DPKO or DPA. In both DPKO and DPA, **the main focal point** for coordination with the EU on issues related to the possible establishment of a UN operation is the respective geographical desk/division in the lead department.

For the EU, as soon it decides to plan a Common Security and Defence Policy (CSDP) mission / operation, the appropriate Geographical desk produces a Political Framework for Crisis Approach and the Crisis Management Planning Directorate (CMPD) considers the CSDP issues that could lead to an EU mission or operation. Subsequently, and if so decided

⁴ See paragraph 22 of the UN's IAP policy.

⁵ While the EU makes a clear distinction between Strategic and Operational planning and lead entities for each, in the UN the distinction is less clear, especially as the same entities are usually in charge of both; although in some cases, the lead may be transferred from DPA to DPKO if the decision is to plan for a pko.

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by Member States, CMPD will develop the **Crisis Management Concept (CMC)**⁶, which will be submitted to the European Council for approval. A Fact-Finding Mission (FFM) to the crisis area is normally organised by CMPD as part of the CMC production.

The **EU's main focal point** for coordination with the UN during this phase would be the **Integrated Strategic Planning Division in CMPD**.

If the European Council agrees the establishment of an **EU Military Operation**, the EU Military Staff (EUMS) is responsible for the development of the Military Strategic Options (MSOs) that provide an assessment of feasibility and risk, a Command and Control (C2) structure including recommendations regarding an Operations/Mission Commander (OpCdr/MCdr), an OHQ, a Force Commander (FCdr), a Force Headquarters (FHQ), Force capability requirements and an indication of forces that might be made available by contributing states. The EUMS is also responsible for the Initiating Military Directive (IMD), which is the translation of the higher level guidance into military terminology and provides the direction required by the OpCdr/MCdr to enable him to draw up the necessary planning documents (CONOPS, Statement of Requirement (SoR), OPLAN and the Rules of Engagement RoE)).

The **primary focal point** for military issues in the **EUMS is the Branch Chief of the Military Assessment & Planning (MAP) Branch** in the EUMS Operations Directorate who leads a Crisis Planning Team (CPT) from across the EUMS. For contacts at principals' level and procedural issues, the Branch Chief External Relations is the point of entry.

If the EU is considering a military operation that goes beyond training and mentoring, their main counterpart on the UN side would initially be the Office of Military Affairs, and in particular the Office of Military Affairs Liaison Team, notwithstanding later direct contacts between the relevant planning offices of UN and EU.

ii. Operational Planning Phase

UN Peacekeeping Operation

If the Security Council approves the establishment of a **peacekeeping operation**, the principal point of entry for all internal and external stakeholders is an **Integrated Operational Team (IOT)** in DPKO, Office of Operations, in the respective geographical division. The IOT (team leader) will be the main focal point for all planning, including matters of coordination with the EU. The IOT is composed of political affairs experts as well as military, police, and support specialists, and is supported by the "parent" offices in DPKO and by DFS. The model of a multi-dimensional peacekeeping mission contains extensive civilian and military elements, undertaking a full range of political and security tasks. Military and civilian planning is therefore "integrated" through the IOT. But even for more "traditional" missions with a strong military focus (e.g. UNISFA), planning is led by the Office of Operations. In addition, for detailed **expert consultations**, ensuring a comprehensive approach and appropriate UN-EU division of labour on rule of law and military issues, the UN/DPKO "parent" offices on rule of law, **OROLSI** (as part of the Global Focal Point on police, justice and corrections), or on military issues, **OMA**, may be considered as additional points of entry for the EU when it is planning a rule of law (civilian) or military mission, respectively.

⁶ The CMC analyses and proposes political strategic option(s). In this process, CMPD – supported by CPCC and EUMS and others as required – analyses the situation and proposes option(s) and objectives, ensuring coherence with EU's other lines of activity. The CMC will include, whilst describing EU Action(s), the proposed exit strategy, and possible related follow on EU actions.

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At this stage, Technical Assessment Missions (TAMs) may be organised, and three separate sets of CONOPS/operational plans are developed in coordination with the IOT: for the military, by the Office of Military Affairs, for the police, by the Police Division/OROLSI, and for mission support, by DFS. The ITF develops a Directive to the SRSG and the Deputy SRSGs, which will be issued by the Secretary-General.

UN Special Political Mission

If the Security Council approves the establishment of a country-specific, field-based **Special Political Mission**, the country desk in the **Regional Division of DPA** is in charge of planning for the mission (there is no IOT system in DPA). The desk coordinates the planning of the UN system through the ITF, and works closely with the Department of Field Support on all operational aspects. This includes leading a Technical Assessment Mission (TAM), developing the mission concept and undertaking all tasks related to mission planning until sufficient operational capacity is deployed.

UN Support Operation

If the Security Council approves the establishment of a stand-alone **Support operation**, as is the case with UNSOA in Somalia, established to support AMISOM, it is the **Department of Field Support** (DFS) that takes the lead for all operational planning and consultations with external stakeholders, including European Union counterparts. In case planning and preparations are ongoing for the establishment of an SPM (Somalia model), as well the relevant DPA regional desk would also be involved in the discussions with the European Union, to ensure coherence between political/policy and support issues.

EU Civilian Mission

If the European Council approves the establishment of an **EU Civilian Mission**, the **Civilian Planning and Conduct Capability (CPCC), Planning and Methodology Section** within the EEAS leads the operational planning based on the agreed CMC and under the direction of the Civilian Operations Commander (the Head of CPCC). This includes the setting up of a comprehensive planning team that deploys normally in-theatre for hands-on fact finding (Technical Assessment Mission-TAM) that is to inform the production of the Mission CONOPS and mission budget. The local EU Delegation, the EUSR office, where applicable, the CMPD and other relevant EEAS and European Commission stakeholders are closely associated to this work.

EU Military Operation

Through a formal decision, the Council appoints an OpCdr and OHQ or a MCdr who is then responsible for forming a planning team to produce the CONOPs, OPLAN, SoR and RoE. These documents are approved by the Council and the operation is launched, again, by Council Decision.

Branch Chief MAP in EUMS is the point of contact between the EEAS and the new OHQ/MHQ and may deploy a planning team to the HQ to assist the transition of planning responsibility. He remains the military point of contact for UN for this developing operation until Initial Operating Capability is achieved in theatre, at which point it becomes the Branch Chief Current Operations in Operations Directorate. Once appointed, the OpCdr/MCdr assumes responsibility for liaison with any UN bodies in theatre.

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III. Modalities of coordination

The UN and the EU should put in place modalities in order to ensure effective coordination during the assessment and planning phases of their respective missions / operations, in accordance with the following guidelines:

i. Contacts

❖ **UN and EU lead offices** in each phase will be responsible for establishing contacts, ensuring information exchange within their respective organisations and with the other organisation, and engaging in early and sustained coordination through the modalities outlined in this section.

❖ UN-EU contacts will also be facilitated, on the EU side, by the EU Delegation in New York and the CMPD desk on UN-EU relations⁷. On the UN side, they will be facilitated by the UN Liaison Office on Peace and Security in Brussels, the DPET/Partnerships team in DPKO/DFS, and the Europe Division in DPA. The **facilitating offices** may establish lists of focal points and contact information, in general and per sector, as may be necessary in each case, and will be responsible for disseminating these modalities and facilitating their implementation by the lead offices and other stakeholders.

❖ If required, EUMS and CPCC may temporarily deploy **Action Officers** to the EU Delegation to the UN to provide detailed support and or technical assistance to the DPKO/OMA, in the case of military operations, in conjunction with the Military Liaison Officer to the EU Delegation. Furthermore, the EUMS may be in a position to welcome DPKO/OMA military planners to work with the EUMS planning team. This should be based on a detailed arrangement (security, access to facilities etc.) prepared in advance by the EUMS, following an SOP (to be developed).

❖ Depending on the planning conditions in each particular case (types of missions / operations to be established and relationship between them; urgency; political environment), the UN and EU lead offices or other offices engaged in the planning processes may request the establishment of an **ad-hoc UN-EU Coordination Group**, which should include a core group of representatives of lead, supporting and facilitating offices, as may be required in each case and in line with the principle of inclusivity. It may be particularly advisable to establish such a Group when the need for cooperation goes beyond the more informal modalities, for example in order to develop a joint plan for the smooth transition from a UN operation to an EU mission /operation and vice-versa, or for the establishment of an EU bridging operation before a UN deployment. The terms of reference and composition of the Coordination Group will depend on the nature of the potential cooperation or support required.

ii. Communication and information exchange

❖ The lead offices, supported by the facilitating offices, will organise **regular VTCs** (for example, bi-weekly or monthly), with participation of all interested offices on either side. Expert visits to New York and Brussels by either side should be organised in order to strengthen personal/professional relationships and/or resolve difficult issues.

❖ UN-EU VTCs at the senior management level (for example, USG level for the

⁷ CMPD A4 (CSDP Policy, Partnerships and Agreements).

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UN and DSG for the EU/EEAS) should be organised to complement the efforts at the working level and before major milestones or important decision-making are expected. Similarly, the timing and agenda of the **UN-EU Steering Committee** on Crisis Management should reflect the planning needs and be geared towards ensuring optimal results in respective coordination efforts. Shared theatre missions/operations shall also be an agenda item on the twice-yearly Steering Group meetings.

❖ The UN may be invited, as appropriate, to EU Crisis Platform meetings convened by the Crisis Management Board, to reflect the synergies and comparative advantages of UN and EU crisis management tools in the EU's Political Framework for Crisis Approach, which defines whether a CSDP mission may be launched.

❖ Information exchange should take place on a regular basis, by email or other means available, including on key **UN or EU planning documents**. In cases where such information exchange is constrained by security regulations, existing security agreements should be used and/or, where appropriate, information exchange should take place in an informal and expeditious manner. The UN and the EU should also consider consulting each other informally in the drafting of their respective reports to their decision-making bodies, in particular on issues of particular interest to the other side. Security regulations might be reviewed in order to enhance information exchange.

❖ The UN and the EU may organize **joint briefings** and exchanges with EU Member States in Brussels and New York to ensure consistency and coordination in planning. Briefings by UN senior officials to the EU Political and Security Committee (PSC) may also be organized in order to facilitate consensus-building among EU member states and, where applicable, an eventual EU decision to launch a mission / operation.

iii. Areas of coordination

❖ Common Objectives: At the very start of a joint planning process, establishing common strategic planning assumptions and objectives (pending respective Member State approval), on the basis of a regular exchange of information and a shared understanding, as feasible, of the situation on the ground, is essential to the success of the process. Senior management engagement in their elaboration may facilitate the early resolution of divergences and gaps. This is particularly important with regard to political assumptions and engagement with a host government.

❖ Security Council reference to EU mission / operation: In coordination with the EU, the UN may take measures to encourage reference/authorization of an EU mission / operation in a Security Council presidential statement and/or a resolution, in order to facilitate the establishment of the mission / operation in question.

❖ Rule of law and security: In cases where the EU is planning a civilian mission, discussions should focus on division of labor and complementarities/synergies with UN planned activities in the rule of law and security sectors, given the focus of such civilian missions on the latter. Topics would include police, justice, corrections, SSR, DDR, border management etc.

❖ Military: In cases where the EU is planning a military training/assistance operation, discussions should focus on synergies and complementarities with the activities of a potential parallel or subsequent UN peacekeeping force. In cases

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where the EU is planning a military operation with a robust mandate, discussions should focus on bridging/handover/re-hatting or parallel operation arrangements.

❖ Horizontal issues, in particular human rights and gender: For both civilian and military operations coherence should be ensured and areas of cooperation identified in horizontal issues relevant in all crisis situations, such as human rights and gender, where the EU and the UN share common aims.

❖ Support issues: The development of a logistical support framework should be explored in order to outline the general parameters of support by the UN to the EU, or vice versa, in cases of parallel missions / operations. Ideally, based on a previously developed generic framework document, consultations could start at the earliest possible planning phase on areas of potential services to be shared, as well as related costs, so that mission-specific documents can be developed. Such services may include: security; communications; transportation; airfield services; medical; sharing/rental of premises/engineering; supply services. Throughout such planning, the different timelines against which both organizations operate, as well as the different logistical and financial mechanisms (e.g. the UN logistics support system is largely centralized due to the nature of assessed peacekeeping budget funding, while the EU relies on participating member states to provide the bulk of logistics capacities) should be understood, respected, and factored into any agreement that may be reached.

❖ Public information: Throughout the planning process, it is important to liaise on public information issues. Ideally, relevant messages will be coordinated so as to ensure a coordinated position towards various audiences, for example the host government. For the EU, the EU's Strategic Communications Division of the HR/VP's Cabinet will coordinate the information strategy, For UN peacekeeping operations, the DPKO Public Affairs Unit would be the focal point, in coordination with the DPKO lead office. For DPA-led Political Missions, the focal point would be the public information officer in the office of the Office of the Under-Secretary-General, in coordination with the Regional Division.

❖ Coordination on the ground: Planning should foresee the establishment of coordination structures on the ground, in cases where parallel UN-EU deployments are being envisaged. Such coordination structures may include the establishment/exchange of liaison officers from one operation to the other as well as co-location. Joint instructions for coordination at the political level and per substantive sector, as may be required in each case, may be issued by the lead UN and EU offices at Headquarters' level to the respective presences on the ground.

iv. Assessments

❖ Throughout the planning phases, whenever either the UN or the EU considers conducting an assessment/analysis in any of the areas of coordination above, and whether at strategic or technical level, consideration should be given to modalities for consultation with and for incorporating inputs from the other organization⁸. The findings of such assessments/fact-finding missions should be shared to the extent possible with the other organisation.

❖ Whenever possible, the UN and the EU should consider conducting joint or coordinated assessment missions. The latter would entail an invitation by one of the organizations to the other to nominate a representative to participate in the assessment conducted by the former. Joint or coordinated assessment missions

⁸ See paragraph 32 of the UN's IAP policy.

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would help the UN and the EU develop a shared understanding of the situation on the ground as well as joint or complementary recommendations on the way forward. Timely joint or coordinated assessment missions and, as appropriate, joint or coordinated reporting to respective decision making bodies would lead to the preparation of coherent planning documents and reports.

❖ The planning and conduct of joint assessment (missions) could be facilitated by jointly agreed terms of reference (ToRs). Such ToRs should be flexible and informal and should take into account respective planning procedures and developments.

v. Timing and Sequencing of Planning Processes:

❖ The timing and sequencing of the planning steps and milestones expected in the UN and the EU processes could be reflected in a Roadmap on the basis of Annex A which provides a generic template and outline of the UN and EU processes. This Roadmap, which would include target dates, sequence of events, expected decision-making milestones etc, would serve as a planning tool and reference point for each organization in order to decide, inter alia, on the timing for engaging in consultations with the other side, especially at senior management level; on joint assessments; on the conditions for sharing of services/logistical support issues; on the beginning of missions / operations, etc.

IV. Refocusing and transition/termination

For the UN, planning for a transition⁹ on the ground (re-configuration/drawdown of a mission or withdrawal) is a joint planning exercise involving all relevant UN entities under the responsibility of the UN mission leadership and with support from UN headquarters. Such transitions are usually triggered by a decision of the Security Council, and may require the establishment of a dedicated transition planning process and plans, which are usually elaborated on the ground. Other mission reviews may be conducted on a regular basis (every two years) by DPKO/OO for its peacekeeping operations.

For the EU, CMPD, supported by CPCC, EUMS and other services as required, conducts periodic Strategic Reviews of EU missions and operations. These Reviews are conducted when the strategic context of a mission changes, at mid-term of the mission, or when a mandate is nearing its end. The result of the Strategic Review could be to extend the existing mandate, noting that the planning documents of the mission / operation in question may need to be adapted. It could also trigger the Council's decision to revise the CMC. A Strategic Review could suggest also the termination of a mission or an operation, proposing possible ways to ensure sustainability of the CSDP achievements.

During the elaboration of the EU Strategic Reviews that may lead to transition, or of UN reviews or transition plans, the UN and the EU will follow similar practices for coordination as those reflected in the guidelines and principles applicable to planning for a new mission/operation, taking into account the role of either side's presences on the ground (which, in the case of the UN, may be in the lead in transition planning).

V. Joint after Action Reviews

⁹ See Policy on UN Transitions in the context of Mission Drawdown or Withdrawal.

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In addition to the joint assessments, the UN and the EU should endeavour to conduct regular joint After Action Reviews (AARs) of the joint planning processes based on these modalities, in order to improve coordination in future cases and inform any process of review and revision of related guidelines.

E. REFERENCES

UN-EU partnership agreements:

- ❖ Joint declaration on EU-UN cooperation in crisis management - 24 September 2003
- ❖ Joint statement on UN-EU cooperation in crisis management - 7 June 2007

UN policies:

- ❖ Policy on UN Integrated Assessment and Planning (IAP)- 9 April 2013
- ❖ Policy on UN Transitions in the context of Mission Drawdown or Withdrawal- 4 February 2013

Joint UN-EU AARs:

- ❖ After Action Review on the planning of EUFOR DRC - 10 October 2006
- ❖ After Action Review on the planning of EUFOR Tchad/RCA – 18 June 2008

EU documents:

- ❖ EU Crisis management procedures
- ❖ Plan of Action to enhance EU CSDP support to UN peacekeeping, 13 June 2012

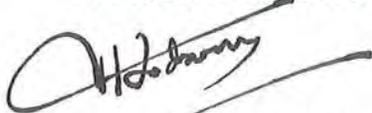
F. CONTACT

4. Partnerships Team, Division of Policy, Evaluation and Training (DPET), DPKO and DFS

G. HISTORY

5. These Guidelines replace the Guidelines for Joint UN-EU planning applicable to existing UN field missions, 13 June 2008.

APPROVAL SIGNATURE:



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