



Essential Capabilities for Crisis Management Manual

United Nations Department of Peacekeeping Operations



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Foreword

Recent studies of Peacekeeping Operations have found the need to implement a consistent approach to developing the capacities of missions to carry out certain critical functions in response to a major crisis. This manual presents a compendium of the first iteration of these critical functions, a definition, as well as metrics for evaluating the effective presence of these capabilities in a mission.

In an uncertain world, it may be difficult to predict what form the next crisis may take. Rather than try to plan for specific crises, it is more efficient to plan for the capabilities and common tasks that would need to be accomplished, regardless of crisis type, to ensure the successful implementation of the mission mandate, protection of civilians, and resiliency of the mission's business processes *and* staff. By establishing common terminology and definitions of these Essential Capabilities, as well as common tasks associated with each capability, missions can take a more consistent approach to preparedness planning for future crises.

It is to this end that we are pleased to introduce this guidance manual. We are certain that it will prove invaluable to assisting missions to better focus resources and efforts to improve crisis preparedness and to guide a path toward improved organisational resilience.



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Acronyms and Abbreviations

AAR/IP	After Action Report and Improvement Plan
BCM	Business Continuity Management
CMT	Crisis Management Team
DMS/CMS	Director Mission Support/Chief Mission Support
ECM	Essential Capabilities Manual
IATF	Inter-Agency Task Force
IMTC	Integrated Mission Training Centre
IOT	Integrated Operational Team
ITF	Integrated Task Force
ITS	Integrated Training Service
JMAC	Joint Mission Analysis Centre
JOC	Joint Operations Centre
MLT	Military Leadership Team
MOC	Military Operations Centre
NOTICAS	Notification of Casualty
OCB	Operations Coordination Body
ORMS	Organisational Resilience Management System
PCC	Police Contributing Country
POC	Police Operations Centre
P/CSA	Principal/Chief Security Advisor
SIMEX	Simulation Exercise
SMT	Security Management Team
SOP	Standard Operating Procedure
SRSG	Special Representative to the Secretary General
TCC	Troop Contributing Country
UNCT	United Nations Country Team
UNDFS	United Nations Department of Field Support
UNDPKO	United Nations Department of Peacekeeping Operations
UNDSS	United Nations Department of Safety and Security
UNHQ	United Nations Headquarters
UNOCC	United Nations Operations & Crisis Centre
UNOCHA	United Nations Office for Coordination of Humanitarian Assistance
UNSC	United Nations Security Council
UNSMS	United Nations Security Management System

Introduction to Essential Capabilities Manual

Overview

A key UN mission policy priority must be to prevent conflict or other crises from developing or reduce the potential impacts that may affect the UN's ability to fulfil the terms of its mandate. A crisis is *an incident or situation, whether natural or human-made, that due to its magnitude, complexity or gravity of potential consequence, requires a United Nations-wide coordinated multi-dimensional response.*¹ A crisis marks the point at which events become intensely difficult or dangerous. The term crisis can also be used to indicate a period of extreme instability.

Crisis management is defined as decision-making in support of the identification, prioritisation, coordination and execution of crisis response activities². Effective crisis management in a UN mission comprises: (1) the process of preventing, containing or resolving crises before they develop into armed conflict, or serious breakdown of law and order, or a major loss of moral authority; (2) planning for possible escalation; and (3) addressing the underlying causes.

Crisis response activities in the field should be implemented at the lowest effective level of authority, with Headquarters playing a supporting role. The senior-most UN official in country (SRSG) is responsible and accountable for coordinating UN crisis management efforts in-country. In a UN mission, the military pillar often plays a decisive role in providing or building a secure environment. However, crisis management cannot succeed without cross-mission, integrated cooperation to deal with the plethora of threats. Cross-pillar relationships need more than simply harmonised processes.

In a mission context, an integrated approach requires clear objectives, strong leadership and collaboration across pillars to ensure that efforts are coherently applied. The mission approach to a crisis is likely to be framed within a broader national response (i.e. by the host nation's government) and involve other actors including perhaps, neighbouring countries, the wider UN Country Team (UNCT), NGOs and others. They may have competing aims and agendas - so achieving coherence in this environment is likely to be very challenging.

Shared understanding brings distinct professional, technical and cultural disciplines together, albeit with unique values and perceptions. Understanding helps to meld different capabilities, give extra perspectives and enhance resilience. A shared understanding can only be built between crises through cooperative working practices, preparedness planning, liaison, and rigorous training and exercise.

¹ United Nations Crisis Management Policy, 2018.

² United Nations Crisis Management Policy, 2018.

The purpose of providing metrics is to enable the Crisis Management Focal Points for the missions to establish a more standardized approach to preparedness planning and validating these planning efforts with the intent of implementing a corrective action plan. This document provides the framework for assessing operational readiness planning, priority-setting, and crisis management implementation at all levels within the mission. The overall goal is to improve resilience, possibly save lives and sustain the mission's mandate through improved overall preparedness.

An **Essential Capability** is a distinct critical element necessary in a mission to effectively prepare for, prevent, respond to, contain and recover from a crisis and uphold the mission mandate. Due to the uncertainty of what will be the crisis the field mission may face, it is important to plan to develop and practice the capabilities that are likely to be required, regardless of the type of crisis, in order to better manage whatever a mission may face. Each Essential Capability is comprised of corresponding **Critical Tasks**, which represent key tasks that are commonly required for the successful completion of the Essential Capability. Capabilities-based exercise planning will aid in the creation of effective, realistic, and beneficial simulations for the mission. This list of Essential Capabilities will enable exercise designers and improvement planners to have benchmarks against which the mission can measure its own integrated readiness.



Key Assumption

It is understood that Essential Capabilities will vary between the missions. This manual aims to provide support to missions on adopting a capabilities-based approach to preparedness planning, developing simulation exercises, and continuous improvement planning for both simulations and real crises by 1) identifying a standard set and definition of Essential Capabilities, and 2) establishing a framework for metrics that are achievable.

Mission size and composition vary, so some of the capabilities might not be applicable at all missions. Each mission should review the Essential Capabilities to identify which capabilities would be required by the mission mandate (i.e. Protection of Civilians). Similarly, the associated Critical Tasks might not apply to all missions. As previously stated, this is an attempt to provide support to the adoption of capabilities-based planning for capacity building, so the missions may take some liberty with adjusting the Essential Capabilities and Critical Tasks to meet their specific and unique needs.

Target Audience

The Target Audience for this document will be those Crisis Management Focal Points within the mission who have been charged with improving the overall preparedness of

the mission to manage crisis, including but not limited to the focal points for crisis management, Organisational Resilience Management System (ORMS), and business continuity management. It is important to keep in mind, however, that while the field missions are ultimately responsible for managing crises in their respective areas of responsibilities, capacity building and preparedness planning and exercises will need to include input from UNHQ, particularly the Integrated Operations Teams (IOT).

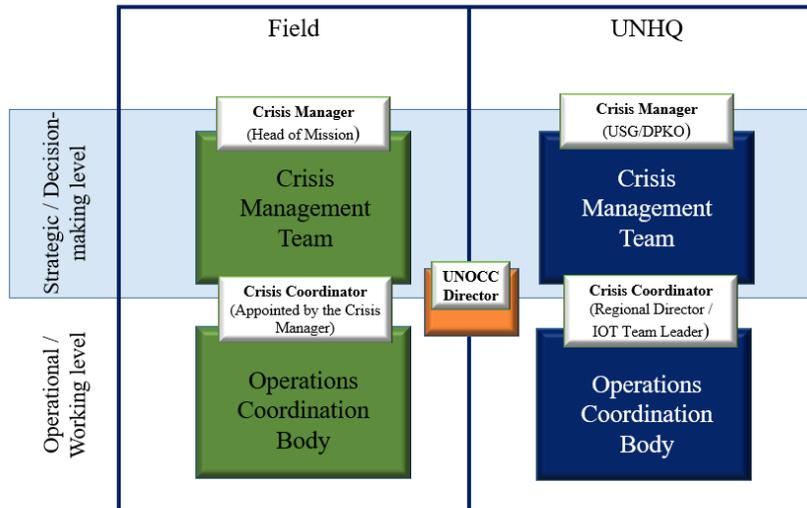
This reference manual is divided into two Annexes. The first annex has the Essential Capabilities and Critical Tasks laid out at the Strategic and Operational Levels. Annex B further breaks down the Essential Capabilities into tactical Critical Tasks and metrics. These represent benchmarks, not requirements, to work towards in order to improve the capability of the mission to manage and recover from future crises.

Crisis Response Mechanism³

When crisis response procedures are activated, DPKO shall establish a centralised crisis coordination mechanism consisting of two bodies:

- Crisis Management Team (CMT) – This leadership-level, cross-pillar decision-making body shall be chaired by a Crisis Manager, who will be the USG/DPKO or designated person at UNHQ, and the Head of Mission or designated person in the mission.
- Operations Coordination Body (OCB) – This working-level, cross pillar body shall be led by a Crisis Coordinator, who is usually the Director of the relevant regional division of the Office of Operations or Integrated Operational Team Leader at UNHQ, and a person designated by the Head of the field presence. This body will support all relevant tasks, such as day-to-day operations of the crisis response, policy recommendations, and common messaging.

³ UNDPKO/DFS SOP for HQ Crisis Response in Support of Peacekeeping Operations (Dec. 22, 2016)



Role of the Integrated Operational Team & Integrated Task Force

- Integrated Operational Teams (IOT) – The IOTs will monitor events in their respective mission areas and notify all concerned in DPKO, including the UNOCC Director, about developments in the political/security environment and any new threats and risks. The IOT will consult with their respective mission on contingency plans, including updated security and evacuation arrangements, and explore options for cooperation with neighbouring missions. IOT staff will provide an invaluable source of knowledge about local dynamics and realistic events in the development of challenging simulation exercises and must be involved in the planning phases.
- Team Leader of Integrated Operational Team – During any serious crisis, UNHQ relies on the IOT Team Leader to direct the crisis response efforts as the Crisis Coordinator providing regular updates to the department’s senior leadership. The Team Leader makes recommendations to the Office of Operations Regional Director on the activation of crisis response mechanisms.
- Integrated Task Force (ITF) – During a crisis in an integrated field operation where a deployed peacekeeping operation and UN Country Team are present, the ITF, comprising representatives of relevant United Nations entities at UNHQ, will remain active engaged throughout the crisis. The IOT leader will chair the ITF, convening meetings on behalf of the United Nations system to address issues of strategic significance or programmatic impact.
- In the event of a rapidly deteriorating situation or sudden onset of a crisis, the IOT, in conjunction with the UNOCC and mission leadership, will make recommendations to the USG/DPKO on the activation of crisis response procedures for accelerated, appropriate decision-making, operational coordination, information flow, and communication spanning the pillars of the

United Nations, including regular updates (as necessary) for the UN Security Council.

As each of the above entities play a significant and coordinated role in crisis management, each body has an interest in the development of essential capabilities to ensure the effective, efficient, and successful implementation of the mission mandate, including the safety of civilians and staff, during a crisis. Each relevant element should be engaged in all the appropriate aspects of preparedness planning, including training and simulation, to ensure proper crisis management is delivered in a real situation.

Strategic Considerations

When managing a crisis, the Crisis Management Team (CMT) must focus on strategic considerations. The crisis manager (most likely the SRSG or his/her deputy) supported by the CMT will focus on the urgent need to continue to implement a mission mandate. The Crisis Manager and the CMT should consider:

1. How will I/we lead the mission through this crisis?
2. What is the political effect of this crisis? Are neighbouring countries affected?
3. What is the most appropriate political approach to the crisis?
4. What is the main effort?
5. How are the military, police, and others supporting our efforts?
6. What are the TCCs/PCCs prepared to do/not prepared to do? What are their limitations?
7. What are my resource limitations? How can they be managed?
8. How will this impact the implementation of the mandate? Will programme resources need to be redirected to manage the crisis?
9. How do we keep staff/personnel informed and give guidance on what they should do?
10. What public statements should be made and by whom? How often? What are our key messages?
11. How might the reputation of the mission be affected? How can this be best be managed?
12. What do I need from UNHQ? What should be managed locally?
13. What is the level of commitment of mission assets to UNCT efforts given limiting circumstances – and what is the moral imperative to assist Aid Organisations and NGOs?

Adaptability for Mission-Specific Use

This document provides the framework for assessing operational readiness planning, priority-setting, and crisis management implementation at all levels within the mission.

As such, the tasks and metrics laid out in the Critical Tasks may at times seem unobtainable or unrealistic to Crisis Management Focal Points for a variety of reasons unique to the specific missions. It is intended that the Crisis Management Focal Points not be discouraged by this, as they can adjust the metric to a more realistic measure for each specific mission. He/she should bear in mind that the overall goal is to improve resilience, possibly save lives and sustain the mission's mandate through improved overall preparedness.

Key Terms

Crisis	An incident or situation, whether natural or man-made, that due to its magnitude, complexity, or gravity of potential consequence, requires a UN-wide coordinated multi-disciplinary and integrated response, and includes two or more of the following: a) presents an exceptional risk to the safety and security of UN personnel, premises, and assets, b) presents an exceptional threat to the effective execution of the UN mandate or other field presence, d) may have a significantly negative humanitarian impact, or e) may give rise to serious violations of international human rights or humanitarian law.
Crisis Management	Decision-making in support of the identification, prioritisation, coordination and execution of crisis response activities.
Crisis Response	The spectrum of activities undertaken to respond to a crisis situation.
Essential Capabilities	These are the distinct critical elements necessary to effectively prepare for, respond to, and recover from a crisis. These enable preparedness and improvement planners, as well as simulation designers to set benchmarks against which the success of a mission can be measured in the event of a crisis.
Critical Task	These are major tasks required to successfully perform an Essential Capability. These are derived from standard operational procedures or other discipline-specific standards. They represent an indicator of how well the system demonstrated the performance of the Capabilities during the exercise.
Indicative Supporting Metric	These metrics represent a <i>recommended</i> measurement for success for specific tasks associated with the Essential Capabilities. These should be adapted to more realistic measurements for the individual mission.
Simulation Exercise	An instrument to train for, assess, practice, and improve the performance of mission policy implementation, procedures, plans, and staff in a no-fault, risk-free environment. Simulation

Exercises (SIMEX) can be used to test and validate policies, plans, procedures, training, equipment, and inter-agency cooperation; clarify and train personnel in roles and responsibilities; improve communication between different elements of a mission; improve individual performance and confidence; identify gaps in planning and resources, and opportunities to improve the overall resilience of a mission.

How to Use this Document in Support of Simulation Exercises

This document can be a companion to the toolkit of resources developed to support consistent and high-quality simulation exercises to improve the overall capability of the UN missions to respond to, manage, and recover from major crises while still carrying out the requirements to fulfil the mandate. The suite of resources in the toolkit consist of:

- **UNDPKO Essential Capabilities Manual**
- **UNDPKO Simulation Exercise Design Manual**
- **UNDPKO Simulation Design Toolkit**



These materials combine to assist in the development, conduct, and evaluation of a mission's Crisis Management Simulation Exercise (SIMEX) with the goal of developing an After Action Report and Improvement Plan to improve the mission's ability to respond to major crises.

This **UNDPKO Simulation Exercise Design Manual** is intended to serve as a roadmap to help create high-quality, and cost-effective simulation exercises. It represents the fundamentals and international best practices identified from the planning, conduct, and evaluation of civilian first responder, military, and business continuity simulations. It will seek to outline the basic steps of simulation design to empower the crisis management focal point within the mission to effectively design, conduct, and evaluate a simulation; then to create an improvement plan to address gaps identified during the exercise.

The **UNDPKO Essential Capabilities Manual** will provide recommended benchmarks and metrics to assist with developing an evaluation and improvement planning component to exercises.

The **UNDPKO Simulation Design Toolkit** will provide templates and other useful information to assist with developing a SIMEX.

Combined, these documents will enable the Crisis Management Focal Points to create effective and beneficial exercises that will aid in the development of an **After Action Report & Improvement Plan** that will contribute to the overall continuous improvement of the mission.

During the development phase of simulation exercises, Crisis Management Focal Points should engage their respective IOTs to ensure the development of realistic and challenging scenarios that stress current operations but that can also drive discussions on contingency plans. IOTs can provide valuable insight on likely occurring challenges, emerging threats and trends, and other key issues that might enhance the realism and benefit of the exercise. Simulation exercises should be developed to examine some of the most likely challenges, such as coordination between sector/mission/and UNHQ, that can be presented, considered, rehearsed, discussed, debriefed and improved upon to mitigate against similar challenges arising in real life.

Assumption for Major Crises

Crises Require a Well-Developed Response

This document is developed under the proven assumption that while no two crises affecting a mission are likely to be the same, all crises require a well-developed and well-rehearsed response. Additionally, through a well-developed and rehearsed response, the mission greatly increases the safety of the staff and civilians it has committed itself protect.

Common Characteristics of Major Crises

- Crises can take many forms, and though most build slowly over time, others may occur with little or no warning.
- Successful early warning requires enhanced exchange of information between internal United Nations and external partners.
- Crises are not always confined to a single geographic area, increasing the need for coordination of response between internal UN and external partners, such as the Host Country or international Non-Governmental Organisations.
- Proper decision-making requires timely and accurate situational awareness.
- Response requirements may quickly exceed the capabilities of the UN mission, requiring coordination of support from the Host Country and other organisations.
- May result in casualties or fatalities to UN staff; or an increase in psychological trauma.

- Often result in civilian casualties and fatalities, displaced persons, property loss, disruption of humanitarian efforts and time critical functions, basic infrastructure, and exacerbation of pre-existing conflict conditions.
- Requires coordination and response at short notice.
- May require a prolonged response, involving sustained operations and demanding requirements for staff, including logistical support such as food, water, and fuel.
- Likely to draw international media attention that will need to be managed.

Correlation between Essential Capabilities, Critical Tasks, Measures, and Metrics

In this document, each of the **Essential Capabilities** are broken down into further **Critical Tasks**. These Critical Tasks represent the key actions commonly needed to prepare for, respond to, and recover from an actual crisis or to be demonstrated during an exercise. It is important for the validation of preparedness initiatives, evaluation of simulations, or review of real world crises to have a measurement or metric to determine whether a task can successfully be accomplished. For each Critical Task, there is an Indicative Supporting Metric beside it, which measures if it was accomplished successfully. Some of these metrics simply are ‘yes or no’ as to whether or not it was done. Other times there may be a time within which the task should be completed.

Note on Time Metrics: Time Metrics are derived from existing UNDPKO Policies and Guidance, international standards (such as casualty care best practices or Incident Command System), and through consultation with subject matter experts within missions. **The times listed in the Indicative Supporting Metric are from the moment of notification (i.e. “30 minutes” suggests the task should be completed within 30 minutes of the start of a no-notice crisis).** While this document aims to provide common metrics, it may be necessary to adjust some of these goals in order to more realistically reflect the policies, procedures and abilities of the individual mission. **The actual metrics outlined in this document are not as important as a mission incorporating the capabilities-based approach and establishing realistic mission-specific benchmarks against which to evaluate its performance against.**

Essential Capability Manual Structure

This document has provided guidance on **16 Essential Capabilities** that are considered essential to the safety of UN staff and civilians, as well as continued fulfilment of the mission’s mandate. Each of these capabilities will be defined in more detail further in the document. These capabilities are:

Leadership	Decision-Making
Crisis Response & Management	Integrated Crisis Planning

Strategic Communications & Public Information	Information & Communication Technology
Protection of Civilians	Safety & Security of UN Personnel
Situational Awareness	Integrated Analysis
Resource Contingency Planning	Mass Casualty Management
Business Continuity Management	Support to Natural Disaster or Humanitarian Crisis
Human Resources Services	Support to Civilian Personnel & Families

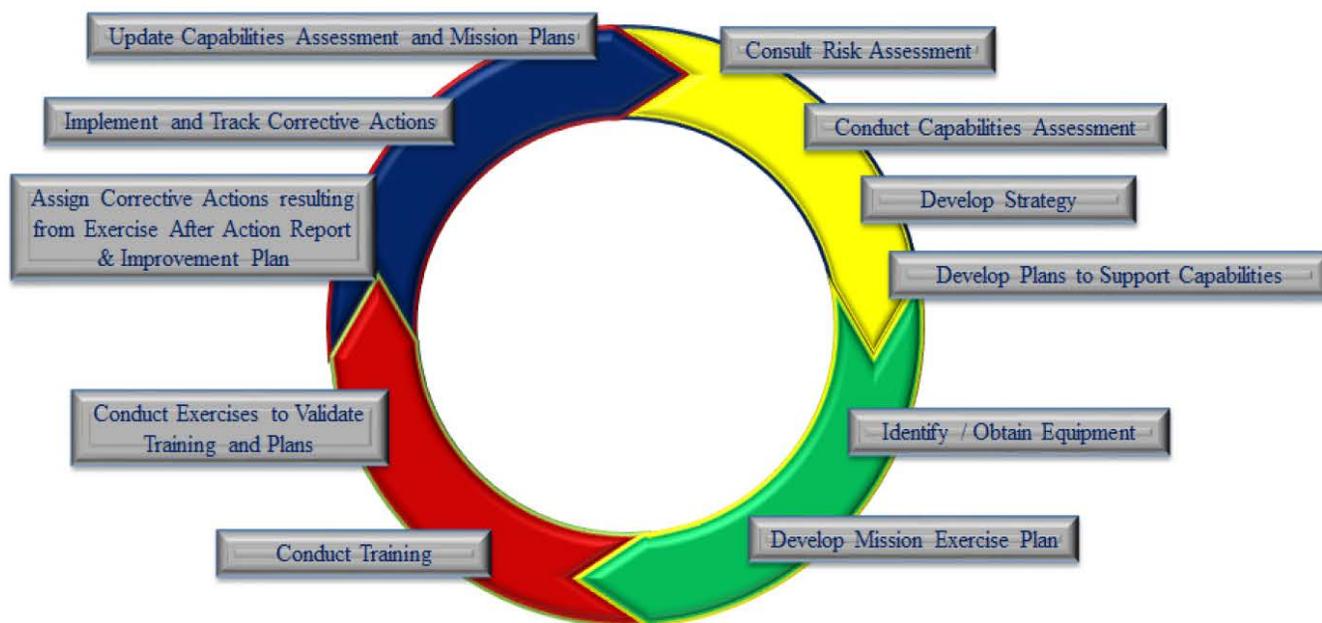
Sample of Essential Capabilities, Critical Tasks, and Metrics

The following is an example of the Critical Tasks and Metrics for the **Mass Casualty Management** Essential Capability.

Critical Tasks	
<ol style="list-style-type: none"> 1. Field units, including police and military, are trained in basic first aid and trauma care to enable the rapid implementation of the “10-1-2”. 2. Protocols are clearly established, understood, and rehearsed regularly for requesting medical evacuation by both aeromedical and ground transport. 3. Mission medical services have the capability to monitor the availability and trauma capability of hospitals throughout the country to ensure care is provided (as necessary) and transport to facilities with the most appropriate level of care. 4. Medical services within the mission have the ability to expand capacity to accommodate a surge of casualties from a mass casualty incident, including to neighbouring countries. 5. Procedures are in place to manage the care, storage, and transportation of the remains of deceased mission staff; including clearly defined medicolegal authorities with Host Country authorities. 6. Arrange for the medical evacuation of casualties out of the country as needed based on the conditions of the current crisis. 	
Supporting Metrics	Indicative Metric
Casualties receive life-saving first aid and emergency medical intervention immediately following traumatic injury.	10 minutes
Casualties receive advanced lifesaving support (ALS) and damage control resuscitation (DCR) is provided. Casualties are transported to a casualty aid station following traumatic injury within 1 hour.	1 hour (The Golden Hour)
Casualties receive damage control surgery (DCS) within 2 hours of the onset of injury/illness	2 hours
Location of all injured staff is tracked and easily referenced.	100% of injured staff

Utilizing Essential Capabilities in Support of the Preparedness Cycle

Aligning preparedness activities within the mission to defined capabilities can strengthen those initiatives by providing focus and supporting metrics to enhance efforts throughout all phases of the preparedness cycle.

Capabilities-Based Crisis Preparedness Cycle ⁴

Consult Risk Assessment. Review all existing risk assessments, metrics, tools, and procedures to identify which Essential Capabilities would likely be needed in the event of a crisis was to occur. Consider the most likely worst-case scenarios for the mission and anticipate which tasks would have to be carried out.

Conduct Capabilities Assessment. Review current plans, procedures, threat assessments, and After Action Reports to identify which capabilities are most in need of practice.

Develop Strategy. In consultation with the mission leadership, develop a strategy to improve the Capability for planning, organisational structure, equipment, training and exercises.

⁴ Adapted from U.S Dept. Homeland Security. Target Capabilities List. p.13. 2007.

Develop Plans to Support Capabilities. Review existing plans, or identify opportunities to create new plans, to improve the system's capacity to meet the Critical Tasks of the selected Essential Capabilities.

Identify/Obtain Equipment. Identify and request the acquisition of necessary equipment to support the Essential Capability.

Develop Mission Exercise Plan. Develop a multi-year Mission Exercise Plan, utilising a Building-Block Approach to progressively increase the complexity of the exercises over a two-year period. The Mission Exercise Plan should be seen as a flexible document subject to change as the mission priorities, mandate, or threats may change throughout that time period.

Conduct Training. Conduct training within the mission to improve staff familiarity with roles, responsibilities and procedures for the selected Essential Capabilities.

Conduct Exercises to Validate Training & Plans. Develop and conduct simulation exercises to validate training, plans and procedures, increase staff awareness and preparedness, and evaluate the overall effectiveness of integrated readiness to strengthen the Essential Capabilities in the mission.

Assign Corrective Actions Resulting from the After Action Report & Improvement Plan. Based on the evaluation of the simulation exercise (or real crisis), identify steps required to improve the ability to deliver the Essential Capabilities. Each recommended corrective action should have a unit responsible for overseeing the implementation of the recommendation.

Implement and Track Corrective Actions. Implement recommended changes that have been agreed upon by the CMT and relevant mission leadership. A unit should be identified by the mission leadership to serve as the focal point for the improvement. The responsible unit should monitor and report on the progress of improvement, including any challenges encountered.

Update Capabilities Assessment and Mission Plans. Once improvements have been implemented, update relevant mission plans and begin the process again to ensure continuous improvement.

Continuous Improvement Actions typically fall into the following categories:

Element	Definition
Planning	Improvements to existing plans, procedures, or policies, or the creation of new ones to address identified gaps in the Capability.
Organisational Structure	Development of specialized teams, working groups, or designated focal points to fill gaps identified in the Capability.
Equipment	Upgrade of existing equipment and systems, or purchase of new equipment, to fill gaps identified in a Capability.
Training	Topics, content, or specific training courses that are identified to have a positive effect on building a Capability.
Exercise	Topics or recommendations for future simulation exercises that will enhance a Capability.

Annex A: Mission Critical Tasks For Essential Capabilities

Leadership

Definition

Leadership is the most important capability for a successful management of a crisis and a mission's senior leadership must address and insist on the right procedures, structures, and processes for effective senior management response; including the SRSG, DSRSG(s), Designated Official, Area Security Coordinator, Force Commander, Police Commissioner, Chief of Staff, DMS/CMS, Chief of Strategic Communications and Public Information, Principal/Chief Security Advisor, Security Management Team, Legal Advisor (or their delegated deputies if they are not present in the mission area at the time), and other members of the CMT. Depending upon the crisis, this may also include the Head of Office, UN Country Team, and representatives of the Host Country. Activities should include, first and foremost, the addressing of a crisis within a mission, as well the coordination and updating the leadership at the UNHQ (and the Security Council), Host Country authorities, Non-governmental Organisations and media.

Critical Tasks

1. Establish and maintain leadership structure to analyse, evaluate and prioritise the needs of the mission in dealing with a potential or actual crisis.
2. Determine the best course of action based on recommendations from Crisis Management Team.
3. Coordinate with UNHQ, UNCT, UNSMT, Host Country Authorities, Non-Governmental Organisations if necessary, media and other external stakeholders to ensure successful crisis response activities.
4. Give firm direction on policy in relation to mandate resolution in a crisis, political, or strategic issues, arising for clarification or resolution.
5. Work with all substantive sections of the mission and with Troop and Police Contributing Countries to resolve issues arising from their responsibility to maintain a secure environment.

Indicative Supporting Metrics

Senior Leadership/Designated Official (DO) is briefed on the crisis.	30 minutes
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Decision-Making

Definition

Decision-Making is the ability of crisis management personnel to assess the current or potential crisis and develop recommendations for Senior Leadership to endorse and for the mission to implement. Decision-Making includes an analysis (or estimate) of the problem(s), the development of crisis management objectives and priorities, recommendations for action, alternative strategies, and identifying potential policy or strategic issues that would require Senior Leadership clarification, resolution, or endorsement.

Critical Tasks

1. All members have shared understanding of the situation.
2. Establish priorities and objectives for the prevention, containment, or resolution of the current crisis.
3. Develop recommendations on actions to be taken to achieve crisis management priorities and objectives.
4. Identify potential strategic and policy issues that would need to be clarified by Senior Leadership.
5. CMT reviews effectiveness of current crisis response and develops alternative strategies to prevent, contain or resolve the crisis.

Indicative Supporting Metrics

No associated metric

No associated metric

Crisis Response & Management

Definition

Crisis Response & Management is the capability by which the crisis response mechanism is implemented. The crisis response mechanism is activated upon the significant deterioration of a situation or in the event of a sudden onset crisis in the field that requires centralized response coordination among multiple pillars of the United Nations for accelerated and streamlined decision-making, operational coordination, information flow, and communications. This mechanism stays active until the situation has abated, has evolved into a more protracted scenario, or additional capacities have been established to replace the dedicated crisis response architecture.⁵

⁵ United Nations Crisis Management Policy, 2015.

Critical Tasks

1. Structures and emergency mechanisms are established to manage the full implementation of a crisis response.
2. Leadership structure should include mechanisms for closing the feedback-loop to ensure continuous evaluation of the implementation of crisis action points.
3. Resources are managed effectively through established authority, command, and control procedures.
4. Effective operational coordination mechanisms are followed across all uniformed and civilian components.
5. Effective internal coordination is established between all departments within the mission.
6. Effectiveness of activities are reassessed on a regular basis in order to ensure successful resolution of the crisis.
7. At first meeting, the CMT determines the coordination mechanism to serve as the cross-pillar operations coordination body during crisis response.
8. Mechanisms are put in place to organise and manage support to crisis response roles (i.e. CMT support staff, communication to all personnel, mass casualty support, fire suppression within field mission compounds, etc.)
9. Plans are developed to identify and request reinforcements to a Mission, including, if necessary, formed units of military and police personnel and individual reinforcements for civilian positions in mission HQs and regional/sector HQs.

Indicative Supporting Metrics

Crisis Manager appoints a Crisis Coordinator to oversee Operation Coordination Body (OCB).	Yes/No
JOC is 100% staffed within 60 minutes of a no-notice crisis.	60 minutes
OCB established or all relevant agencies for the given crisis for no-notice crisis.	60 minutes

Integrated Crisis Planning**Definition**

Integrated Planning is the capability to conduct a systematic process engaging all necessary components within the field mission to deliver effective strategic, operational, and/or tactical level plans to successfully deal with the actual or potential crisis.

Critical Tasks

1. If required, an integrated planning cell within the OCB is established, staffed, and works on a daily basis.
2. All necessary offices and components of the field mission are engaged in the planning process in the lead up to a potential crisis and during crisis response.
3. Clear direction for the scheme and purpose of crisis-related plans are set by SRSG and all available members of the CMT.
4. Plans support achieving the stated crisis management objectives within the authorities of the mission mandate.
5. Plans are integrated to ensure unity of efforts, avoiding isolated and disjointed actions.
6. Early warning is sent to UNHQ if there is likely to be a requirement for additional resources, reinforcements and/or additional finance.

Indicative Supporting Metrics

OCB is established, staffed, and coordinates with all relevant components of the field mission for daily planning activities and products.	Yes/No
Objectives for crisis response/management are established by CMT within 120 minutes of no-notice crisis.	120 minutes
Crisis Management Plan developed and issued within 360 minutes of no-notice crisis	360 minutes

Strategic Communications & Public Information**Definition**

Strategic Communications & Public Information is the capability to develop and deliver the narrative and messaging to support successful implementation of a mission's mandate. Strategic Communications should set out a clear explanation and reinforce the view that a mission is able to manage the crisis, foster support for the mission mandate from local people, manage the reputation of the mission, secure and maintain political and public support for the mission and peacekeeping partnerships, protect the mission by countering inaccurate and negative stories, rumours and media reports, and ensure that information is readily available to those who need it. This also includes the development and dissemination of crisis-related information to the media; including the conduct of press briefings, information and background briefings, responding to press inquiries, scheduling of interviews and preparing spokespersons and senior leaders for interviews, preparing daily media summaries and analyses for key decision-makers and ensures the UN system speaks with a coordinated voice.

Strategic communications and Public information are a political and operational necessity that directly influences the ability of UN peacekeeping operations to carry out their mandates successfully. UN peace operations must foster public support from the earliest stages of deployment. Strategic communications and community engagement are essential to establishing and maintaining the mission's effectiveness.⁶ The Chief of Strategic Communications & Public Information (SCPI) is responsible for planning and managing the overall strategic communications and public information effort of the mission. He/she is responsible for developing a communications strategy, implementation plan and means for evaluating impact. The Chief of SCPI is a key advisor to the senior leaderships' decision-making process and should be a member of both the CMT and the UN Communications Group.

Critical Tasks

1. Strategic Communications group is established, staffed, and operates daily throughout the crisis, in close coordination with mission strategy and plans group.
2. Strategic Communications group has formal channel to work with and feed information into CMT and OCB.
3. Strategic Communications strategy identifies relevant audience, such as staff, Host Country political authorities, local communities, media platforms (including social media), and non-governmental organisations; as well as relevant international partners, UNCT, Troop and Police Contributing Countries, and Members States who will need to be included in communications.
4. Strategic Communications strategy (i) sets clear communications goals that support the mission's objectives (ii) provides an overview narrative, (iii) details audiences to be reached and platforms to be used, (iv) allocated appropriate and available resources, including spokespersons in all areas of a mission; and (v) outlines how the achievement of these goals will be reviewed and evaluated.
5. Outreach and campaigns are implemented to build trust and local support for the way that the UN is managing a crisis, including its support to the host nation government.
6. Strategic Communications is coordinated by the Chief of Strategic Communications and Public Information to ensure consistency in messages, a clear and consistent narrative, and common approach.
7. Mechanisms are in place to monitor incidents of inaccurate or negative media and propaganda that places UN personnel in danger, from physical harm and from reputational damage.

⁶ UN DPI DPKO DFS Strategic Communications and Public Information Policy, 2017

8. Mission media relations personnel have the capability to reach all media and public officials in both traditional and digital platforms (local, regional and international).
9. Crisis-related information is processed into official statements or talking points for mission officials to use when briefing the media.
10. Multimedia or Content Production is of a high standard, multi-lingual content disseminated by the most appropriate platforms including radio, TV, web, social media, photo, print, and outreach events.
11. Links established with the Public Information directors in UNHQ, to ensure that there is a coherent line in all media engagement.

Indicative Supporting Metrics

Strategic communication planning established with UNHQ within 30 minutes of no-notice crisis.	30 Minutes
Strategic communications confirmed with Host Country authorities.	Yes/No
Media lines and communication direction issued to all staff.	240 minutes
Media press briefing conducted within 400 minutes of no-notice crisis.	400 minutes

Information & Communication Technology

Definition

Information & Communication Technology is the capability that ensures required Information & Communication Technology (ICT) needs are met throughout the entirety of the crisis. ICT includes not only business continuity related functions, such as data recovery, but also ensuring that the hardware, software, and policies are in place to enable crisis managers and staff to maintain communication with each other. This includes radio systems, computer networks, applications, telecommunications, and technical support. The end goal of ICT is that all staff, departments, and organisations managing a crisis have the ability to communicate with necessary partners and stakeholders continually throughout the crisis utilizing a variety of a platforms.

Critical Tasks

1. Ensure the capacity of the mission to communicate with both internal and external partners to direct and accomplish crisis management actions utilising both voice and data communications platforms.

2. Evaluate the current crisis management communication needs to anticipate the need to expand current networks or develop alternate methods of communication.
3. Ensure that redundancies are incorporated into crisis management communication plans to maintain communication throughout the entirety of the crisis.
4. Support Business Continuity efforts through the support to establishing uninterrupted communications and data recovery services in crises interrupting Programme Critical functions.
5. Review Information Exchange Requirement (IER) assessment for the mission against the current conditions of the crisis to ensure proper provisions for hardware, power, etc. to support communication needs.

Indicative Supporting Metrics

Information and Communication Technology is maintained throughout the entirety of the crisis.	Yes/No
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Protection of Civilians

In many contexts where peacekeeping missions are deployed, civilians usually account for the vast majority of casualties and are often either direct targets of violence or affected by indiscriminate attacks. Civilians are killed, subjected to sexual and other violence as well as serious human rights violations. Civilians may be particularly vulnerable when they are displaced and there are particular threats to women and children in conflict. As a result, most multi-dimensional United Nations peacekeeping operations are now mandated by the Security Council to protect civilians under imminent threat of physical violence. The protection of civilians mandate should be prioritized within mission resources and planning. It requires concerted and coordinated action among the military, police and civilian components of a United Nations peacekeeping operation and it is an issue that becomes increasingly urgent in a crisis, and often times is at the core of the mission's mandate. United Nations humanitarian agencies and non-governmental organization (NGO) partners also undertake a broad range of activities in support of the protection of civilians. Close coordination with these actors is, therefore, essential bearing in mind their own principles and approaches.⁷ UNOCHA should be the pre-eminent agency in these circumstances.

Definition

Protection of Civilians is defined as taking all necessary means, up to and including the use of lethal force, to prevent or respond to threats of physical violence against civilians, within the capabilities and areas of operations, and without prejudice to the responsibility

⁷ **United Nations Peacekeeping Operations** Principles and Guidelines. 2008

of the host government.⁸ Protection of Civilians is implemented through a three-tiered approach: Tier I – protection through dialogue and engagement; Tier II – provision of physical protection; and Tier III – establishment of a protective environment.

Critical Tasks

1. Functioning protection and early warning/response systems are established, including military, civilian and police components, to share and confirm information and make recommendations for response and prioritisation.
2. Threat and vulnerability assessment and mapping of civilians and civilian infrastructure at risk.
3. Identification and engagement with perpetrators or influential actors who may be able to intervene to prevent or stop ongoing violence or threats of violence.
4. Use of information operations and public information to prevent or mitigate violence or attacks on civilians.
5. Deployment of military and/or police patrols are adjusted, in consultation with civilian components based on the results of Early Warning Indicators and other information suggesting a rising threat to civilians.
6. Deployment of specialized teams, including human rights investigators, joint protection teams, sexual and gender-based violence experts, or community-oriented policing with physical protection if required.
7. Referral and support mechanisms for civilians in need of medical, psychological or legal support are known, in particular for children and support to victims of sexual violence (such as provision of PEP kits) Rules of engagement, including the use of deadly force to protect civilians, are clearly understood for military and police units.
8. Military and police resources contribute to the security of civilians at Protection of Civilian sites, Internally Displaced Persons/Refugee camps, or other areas where civilians are gathering and/or seeking protection from current or potential threats, in coordination with civilian authorities running the sites.
9. Military and police resources have clear guidance and contingency plans in place for managing or supporting the protection of civilians who seek protection within UN premises in coordination with civilian components and UN country team.
10. The field mission or base implements procedures, if necessary, for the temporary protection of civilians seeking security at UN premises; including screening and disarming procedures, temporary shelter and feeding, and safe return of civilians after the crisis.

⁸ Definition is based upon the **United Nations Peacekeeping Operations** *Guidelines for The role of United Nations police in the protection civilians*. 2017. Guidelines are under review and definition may change.

11. Mission resources (military, police, and civilian) are equipped, trained, and empowered to intervene in Tier I protection of civilians through dialogue and engagement.
12. Mission resources (military, police, and civilian) are equipped, trained, and empowered to intervene in Tier II protection of civilians through provision of physical protection to prevent, deter, pre-empt, and respond to situations in which civilians are under threat of physical violence.
13. Mission resources (military, police, and civilian) are trained, and empowered to intervene in Tier III protection of civilians through establishing protective environments.
14. Following threat or violence, military and police units support the return to stability and normalcy in conjunction with UN Country Team.

Indicative Supporting Metrics

Humanitarian working group established within 60 minutes of no-notice crisis.	60 minutes
At-risk populations identified within 90 minutes of no-notice crisis.	90 minutes
Humanitarian relief plan established.	360 minutes

Safety & Security of United Nations Personnel

Definition

Safety and Security of United Nations personnel is defined as the capability to keep UN personnel⁹ in a mission area safe while enabling United Nations Operations. It means coordination with the UN Department of Safety & Security (UNDSS), and the United Nations Security Management System.

The Head of Mission is usually the Designated Official for security and the Principal/Chief Security Adviser is advising him/her on security related decisions, with the support of the Security Management Team (SMT), which comprises representatives of UN agencies, Funds and Programmes in the designated area. Police Commissioners and Force Commanders are mandatory members of the SMT. It is important to understand that the Head of Mission, in his/her capacity as Designated Official is responsible for the safety and security of **all** United Nations personnel (not limited to missions' civilian personnel). Missions' assets maybe required as additional security risk management measures. In times of crisis, the Designated Official may establish a Crisis Management

⁹ The United Nations Security Management System applies to all United Nations personnel holding a direct contractual agreement with a United Nations entity and their dependents, including individual deployed police and military personnel. of the UNSMS does not cover TCCs and FPU, in accordance with the UNSMS *Security Policy Manual*, Chapter III, "Policy on Applicability".

Team (CMT) comprising representatives of UNSMS organisations affected by the crisis or involved in crisis management operations, or relevant experts.

The Security plans provide a set of predetermined and rehearsed responses to various crisis situations that could impact the UNSMS personnel and operations for a relevant designated area.

When possible and to the extent feasible, the UNSMS in the Designated Area may lend assistance in a crisis situation for in extremis support to persons not covered by Chapter III of the Security Policy Manual. Any travel or financial assistance provided to such persons will be on a space-available and reimbursable basis. This includes assistance to non-governmental organizations (NGOs) covered under the Saving Lives Together Framework of cooperation with the United Nations¹⁰. The DO is responsible for authorizing the details of this assistance.

Critical Tasks	
<ol style="list-style-type: none"> 1. The Designated Official makes sure that the provisions and arrangements in the security plans are realistic, tested and reviewed. 2. The Designated Official makes decisions on enhanced security measures for United Nations personnel based on Early Warning Indicators, security threats information and other crisis-related information through the Security Risk Management Process. These decisions are communicated to all United Nations personnel and dependent. Consideration should be made of how crisis may impact different categories of personnel (gender, national/international status) 3. The CMT ensures the implementation of enhanced security measures or procedures at field mission facilities in coordination with the Principle/Chief Security adviser. These measures are contained in security plans; and include, if necessary, full lock down or emergency lodging in UN facilities and compounds in accordance with the Security Plans. 4. The CMT must establish mechanisms for communications of security decisions to all personnel during a crisis. 5. The Designated Official/head of Mission must ensure effective coordination and engagement of uniformed components, who must assist with all personnel staff safety and security, including UN Agencies, Funds and Programmes and their installations (such as food warehouses) and mobilise Host Government security resources to support as necessary. 	
Indicative Supporting Metrics	
UN facilities under the management or protection of the mission receive adequate protection during crisis situations.	100%
Re-tasking of uniformed personnel to support security forces.	120 minutes

¹⁰ Security Policy Manual, Chapter II, Section G: "Saving Lives Together"

Situational Awareness

Definition

Situational Awareness is defined as the knowledge, understanding and anticipation of a situation through monitoring and reporting of current events, and analysis and predictive assessments¹¹. It is the ability to provide decision makers with timely, accurate, and actionable crisis-related information regarding the nature and complexity of the situation, any secondary effects, threats to staff and facilities, and the effectiveness of response and recovery actions. This involves the successful collection of information sufficient to allow decision makers to identify, prevent, mitigate and/or respond to threats and opportunities. Together, JOCs and Joint Mission Analysis Centres (JMACs) support the spectrum of situational awareness – incorporating knowledge, understanding and anticipation, which under pins the effective coordination and monitoring of operations. This capability addresses the JOCs' focus on contributing knowledge and understanding through monitoring and reporting of current events.¹²

A distinction should be noted that Situational Awareness is conducted by structures such as the JOC on a day-to-day basis, looking at what has happened and what is happening. The process of analysing information to develop predictive assessments of what may happen next, typically managed by the JMAC, is addressed in the Integrated Analysis capability.

Integrated situational awareness developed by the JOC and the JMAC, or JOC equivalent in Special Political Missions, plays a critical role in supporting mission crisis management through provision of situational awareness and support to the CMT; as well as provision of routine and special incident reporting during non-crisis periods.

Critical Tasks

1. Establish critical details of crisis-related information that are needed by decision-makers.
2. Develop and maintain mechanisms and protocols for gathering crisis-related information.
3. Ensure that appropriate notifications to internal and external stakeholders are made regarding crisis situation and field mission actions. This includes the UNOCC in UNHQ.
4. Record crisis-related information, progress of crisis-related tasks and activities, and other critical information for review by decision-makers during the crisis and for proper recording for later analysis and post crisis review.

¹¹ para. 3 of CC1006

¹² DPKO/DFS JOC Policy 2014

5. Develop situation reports and other documents (including briefing slides) pertaining to crisis-specific activities and information for regular briefs and emergency meetings.	
Indicative Supporting Metrics	
Establish broadcast connection to all staff within 15 minutes of a no-notice crisis.	15 minutes
Establish JOC liaison and heightened reporting system.	30 minutes
UNOCC is notified of a no-notice crisis within 60 minutes.	60 minutes
Establish enhanced situational reporting by JOC.	Every 120 minutes

Integrated Analysis

Definition

The Integrated Analysis Essential Capability is critical in supporting the decision-making of key mission, military, and police leadership in order to proactively understand the drivers that threaten a mission's mandate, its staff, military and police peacekeepers, and civilians from threats, growing conflict, major crime, or civil unrest. Integrated Analysis is the *analytical process at the strategic, programmatic or operational level which carries implications for multiple UN entities, and which therefore requires participation and/or data to be provided by concerned entities*.¹³ In the case of the JMAC, the Centre shall pull information together in its products from all relevant mission components ensuring a wholistic coverage of political, security, human rights, development, environment and humanitarian concerns as these apply to mandate implementation and in determining any relevant threats to it therein.¹⁴

It encompasses activities pertaining to collection, analysis, and exchange of information between UN, Host Government, and other civilian, law enforcement, and military partners; including recognizing early warning indicators and interpreting any information into a usable format to enable leaders to make timely and well-informed decisions. Integrated Analysis activities are typically carried out within the JMAC. The goal of Integrated Analysis, coupled with Situational Awareness, is to produce a common Situation Understanding to ensure the right people have the right information at the right time to make the right decisions – and at the right level.

Critical Tasks

1. Establish key information requirements that are needed by mission decision-makers, who provide strategic guidance at the start of the process.

¹³ UNDPKO/DFS Joint Mission Analysis Centres Policy (2015).

¹⁴ DPKO DFS Joint Mission Analysis Centres (JMAC) 2015.03

2. Develop and maintain mechanisms and protocols for gathering early warning, and other crisis information pertaining to the true nature of the environment.
3. Analyse information and early warning indicators in a timely manner, developing additional key information requirements as needed to facilitate analysis.
4. Provide information and analysis products to key stakeholders within the mission, utilising defined United Nations protocols for the transmission, storage, and use of sensitive information.
5. Analysis products provide key decision-makers with timely, accurate, and actionable information. Well established analytical tools and models should be considered and utilised, if appropriate. The key is to extract relevant deductions that lead to an outline of operational concept, courses of action, key themes and assumptions, all of which are briefed and approved by senior leadership.
6. Ensure that the analyses remain under continuous review.

Indicative Supporting Metrics

JMAC is adequately staffed throughout the crisis.	Yes/No
Establish key information requirements and submit to JMAC (or JMAC equivalent in Special Political Mission)	120 Minutes

Resource Contingency Planning

Definition

Resource Contingency Planning addresses the procedures and processes to deliver and return critical material resources throughout the entire phase of a crisis. This also includes addressing the existing human resources structures by realigning, complementing or deactivating human resources. Resource Contingency Planning ensures that the mission resources and facilities are appropriately supported to maintain operations and critical services during a crisis which includes, but not limited to, emergency power, transportation, fuel, rations, water, and disposal of waste water and solid waste.

Critical Tasks

1. Protocols are established before a crisis for identifying resource requirements, ordering human and critical material resources, dispatching these resources, tracking their location before and during the crisis, and deactivating and recovering resources after a crisis subsides.
2. Resource requirements are assessed on a daily basis during a crisis by senior leaders, including military commanders and staff. DMS develops recommendations for endorsement by senior management.

3. Resource Contingency Planning is included in Crisis Response Management and Integrated Planning efforts to ensure adequate support is provided for crisis activities.
4. Staging areas for material and personnel are established and well-managed throughout the crisis.
5. On-going support requirements for the mission's crisis-related and non-crisis-related activities are assessed and supplies as needed during the crisis (including fuel, water, rations, ammunition, communications, power, etc.).
6. Resources are employed and managed in the most efficient, safe, environmentally sound, and cost-effect manner possible for the conditions of the immediate crisis.
7. Delivery of resources by land, sea, and air is planned for and implemented throughout the crisis.
8. Distribution and utilization of materials and supplies is tracked and recorded to establish consumption-rates and anticipate reserve needs to ensure adequate levels of and accountability for supplies.
9. Early plans are developed to request emergency support from wider UN sources, including from regional logistic bases, the Logistic Support Division at UNHQ and from local and international contractors, as necessary.
10. Emergency financial planning is conducted, and any additional budget mobilisation is requested from UNHQ.

Indicative Supporting Metrics

Critical resource gaps are identified within 6 hours of establishing the CMT.	6 hours
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Mass Casualty Management

Definition

Mass Casualty Management is the capability that addresses the appropriate emergency medical and trauma care procedures implemented to triage, stabilize, and transport injured or sick from the field to an appropriate medical care facility or facilities. This capability encompasses all points in the chain of survival of a casualty or serious illness, including the management of mass casualties, establishment of casualty treatment areas, arrangement of ground and aviation transport resources, and the care and holding of any human remains.

Critical Tasks	
<ol style="list-style-type: none"> 1. Field units, including police and military, are trained in basic first aid and trauma care to enable the rapid implementation of the guidelines set forth in the “10-1-2” policy for Casualty Evacuation in the Field¹⁵. 2. Protocols are clearly established, understood, and rehearsed regularly for requesting medical evacuation by both aeromedical and ground transport. 3. Mission medical services have the capability to monitor the availability and trauma capability of hospitals throughout the country to ensure care is provided (if appropriate and necessary) and transport is provided to facilities with the most appropriate level of care. 4. Medical services within the mission have the ability to expand capacity to accommodate a surge of casualties from a mass casualty incident, including to neighbouring countries. 5. Procedures are in place to manage the care, storage, and transportation of the remains of deceased mission staff; including clearly defined medicolegal authorities (i.e. post-mortem requirements, certification of death) with Host Country. 6. Arrange for the medical evacuation of casualties out of the country as needed based on the prevailing conditions of the crisis. 	
Indicative Supporting Metrics	
Casualties receive life-saving first aid and emergency medical intervention immediately following traumatic injury.	10 minutes
Casualties receive advanced lifesaving support (ALS) and damage control resuscitation (DCR) is provided. Casualties are transported to a casualty aid station following traumatic injury within 1 hour.	1 hour (The Golden Hour)
Casualties receive damage control surgery (DCS) within 2 hours of the onset of injury/illness	2 hours
Location of all injured staff is tracked and easily referenced.	100% of injured staff

Support to Natural Disasters & Humanitarian Crisis

Definition

In addition to monitoring and observing cease-fires, multi-dimensional United Nations peacekeeping operations are frequently mandated to provide operational support when a disaster or humanitarian crisis strikes. This may be the result of an extreme weather event, an outbreak of a medical pandemic, drought or some other form of natural disaster; or the result of displacement of persons as a result of a conflict outside the borders of the mission. Support could be to national law enforcement agencies in the form of provision security at key government installations, ports and other vital points;

¹⁵ UNDPKO/DFS/DPS/UNDSS Casualty Evacuation in the Field Policy, 2018

establishment of all necessary security for the free flow of people, goods and humanitarian assistance; and provision of humanitarian mine action assistance. By helping to fill the security and public order vacuum that often exists in post-conflict or post-disaster settings, multi-dimensional United Nations peacekeeping operations play a critical role in securing the peace process and ensuring that humanitarian and development partners are able to work in a safe environment. Responsibility for the provision of humanitarian assistance rests primarily with the relevant United Nations specialized Agencies, Funds and Programmes, as well as the range of independent, international and local NGOs who are usually active alongside a United Nations operation.

The primary role of United Nations peacekeeping operations, with regard to the provision of humanitarian assistance, is to provide a secure and stable environment within which humanitarian actors can carry out their activities.¹⁶ The SRSG/HOM is responsible for coordinating the activities of the entire United Nations system in the field and is assisted in this task by the DSRSG/RC/HC, who is expected to serve as the principal interface with the UNCT. The DSRSG/RC/HC is responsible for the coordination of both humanitarian operations and United Nations development operations, and for maintaining links with governments and other parties, donors, and the broader humanitarian and development communities for this purpose. Alternatively, the delivery of humanitarian assistance is conducted by humanitarian agencies, as a parallel activity, under the coordination of the DSRSG/RC/HC.

Critical Tasks

1. Mission establishes coordination mechanisms with the UNCT to support a humanitarian response.
2. Mission leadership prioritises the situation or conditions to address safely and effectively the employment of all mission resources.
3. The mission ensures that humanitarian and development partners are able to work in a safe environment.
4. Mission leadership coordinates with humanitarian assistance organisations, including UNCT and OCHA, to identify areas, skills and resources, in which the mission can offer support.
5. During natural or manmade disasters, the mission leadership coordinates with national disaster management authority of Host Country and OCHA to plan for and provide military or police support to assist with disaster response if the mission mandate allows the deployment of UN personnel and resources in support of the host nation.
6. Head of Mission ensures that all the United Nations components in the country pursue a coordinated and coherent approach.

¹⁶ **United Nations Peacekeeping Operations** Principles and Guidelines. 2008

<ol style="list-style-type: none"> 7. Mission can support the establishment of humanitarian assistance and protection areas. 8. DSRSG/RC/HC and OCHA develop a strategy to mobilize emergency donor funding and attention for humanitarian response. 	
Indicative Supporting Metrics	
DO appoints a humanitarian crisis coordinator	60 minutes
Liaison teams are dispatched from the mission to assist in coordinating support.	12 hours

Human Resource Services

Definition

Human Resource Services is the capability that addresses the civilian personnel needs of the mission in response to a current crisis. This capability focuses on addressing the accountability of staff who are assigned to the mission at the time of the crisis and their dependents, as well as ensuring adequate staffing levels and the right mix of skills in order to facilitate the continuation of crisis response and recovery activities.

Critical Tasks

1. Ensure staff records are up to date (e.g. next of kin contact information and designation of beneficiaries).
2. Plans are made quickly for the mission to work to around the clock with adequate arrangements for feeding, emergency accommodation, ablutions and additional transport and communications.
3. Evaluate the need for and request, if necessary, a multidisciplinary Rapid Response & Surge Capacity Team from UNHQ.
4. Staff accountability is initiated and conducted at regular intervals throughout the crisis.
5. Establish a communication hub to respond to queries and collect all relevant data to track staff members who are unaccounted for.
6. Family of unaccounted staff are contacted via established procedures and call centres at Headquarters.
7. Civilian staff are provided with relevant crisis and safety information at regular intervals throughout the crisis. The same information is transmitted to HQ focal points to ensure consistency of messaging.
8. Human Resources establishes special measures (such as administrative leave or remote/telework) which can enhance the safety or efficiency of the mission during times of crises.

Indicative Supporting Metrics

Staff are accounted for following a major crisis.	80% within 30 minutes
	100% within 12 hours

Support to Civilian Personnel & Families

Definition

Support to Civilian Personnel & Families is the capability that addresses all aspects of the Organization's duty of care which includes the psychosocial needs of the impacted staff and their families as a result of the crisis. This focus on counselling, referral to medical facilities of UN personnel and/or eligible dependants, repatriation of remains, compensation and administration of benefits are key components of duty of care.

Critical Tasks

1. Support plans in place to provide counselling services to staff and/or eligible dependants who have undergone psychological trauma from the crisis, including plans for surge capacity for counsellors where required.
2. Support plans in place to assist injured civilian staff or who have suffered material loss because of the crisis.
3. Support plans in place to assist family members of civilian staff who were killed or injured during the crisis, including the repatriation of remains, referral to administrative services and case management for compensation claims.
4. Assistance provided to eligible staff, when possible, for placement and reassignment based on established policies and procedures.

Indicative Supporting Metrics

Access to counselling services for staff and dependents within 48 hours of an incident	100% in 48 hours
Convene consultations with affected staff within 72 hours	100% in 72 hours
Completion of claim application within 30 days.	100% in 30 days

Business Continuity Management

Definition

Business Continuity Management is the Essential Capability that ensures the mission can continue to fulfil its essential and time-critical programme responsibilities throughout a crisis; and to resume normal business operations as rapidly as possible after the incident. The ability to maintain business continuity throughout a crisis is a benchmark of a successful organisation and will help to ensure the safety of the staff as well as the reputation of the organisation as a whole. This Capability encompasses the associated actions of activating and managing a Business Continuity Management programme that includes accounting for staff stakeholder notifications, continuity measures for essential and time-critical business services, determination of responsible units and the

opportunities to staff in these units to practice their functions, if possible also from an alternate site. The BC programme also defines how business continuity mode is activated as well as the reconstitution of normal business functions after the event.

Critical Tasks	
<ol style="list-style-type: none"> 1. A Business Continuity Plan has been developed and harmonised with plans created by UNCT and UNHQ to ensure continued service of essential and time-critical business services throughout a crisis. 2. Impacts of current crisis on essential and time-critical business services are evaluated by CMT. 3. Crisis leaders decide on activation of the business continuity mode. 4. Continuity of Operations site has been identified to enable crisis management functions or business continuity functions to continue based on major disruptions from the crisis. 5. Redundancies in communication to staff are established to provide minimal interruptions during crisis. 6. Business Continuity Plan provides for the resumption of normal operations following disruption by crisis. 	
Indicative Supporting Metrics	
Programme criticality assessment shared with CMT and DO.	60 minutes
Essential and time-critical business services are maintained or recovered according to the set maximum tolerable period of disruption.	Yes/No
If alternate site is required, it is available and maintained throughout the duration of crisis or period of need.	Yes/No

Annex B:

Tactical Level Critical Tasks for Essential Capabilities

Crisis Management Timeline for Tactical Level Critical Tasks

The purpose of this document is to set forth common tasks that would be required at all levels to manage potential crises. This section provides common tasks at the tactical level to serve as benchmarks against which the missions can evaluate their preparedness planning initiatives. The recommended Indicative Supporting Metrics in this section may be “Yes/No” to denote whether the task is performed or not, percentage-based (i.e. account for 100% of staff) or time-based (i.e. within 30 minutes). These Indicative Supporting Metrics provide flexible milestones for the mission in that some metrics may not be realistic for the missions. In such instances, the missions should identify what a realistic goal should be, and work towards ensuring the mission can accomplish such tasks within that timeframe.

This document is also intended to support the evaluation of simulation exercises at the missions by providing indicative metrics against which to evaluate mission activities. While the focus of simulation exercises at the missions should be on strategic and operational level actions and coordination, some missions may also wish to improve the tactical level response with more detail and action-oriented exercises. This could be used to improve the mission readiness of military and police units or develop interpersonal skills for public information officers or community outreach teams.

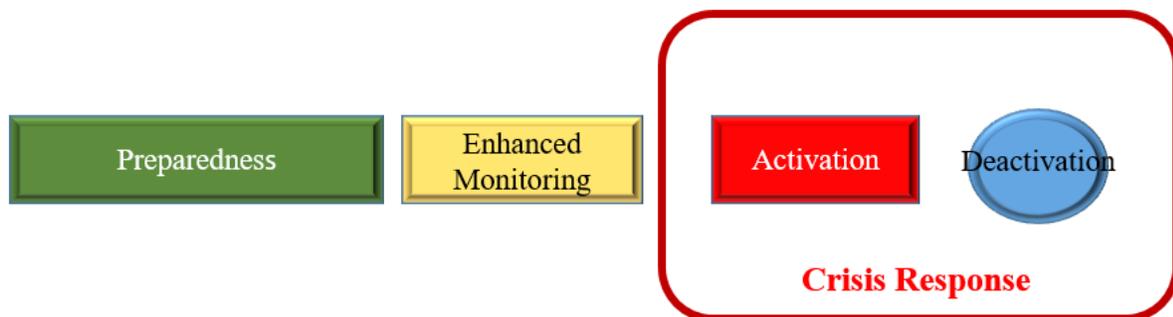
Not all Essential Capabilities have tactical-level critical tasks. However, the following Annex provides some tactical level benchmarks to build field level exercises around should the mission feel that would be beneficial.

The Critical Tasks of the Essential Capabilities at the Tactical level are divided up into Five Time Phases. These time phases represent key areas in the crisis preparedness cycle in which the focus of decision-makers may be on differing priorities, and in which different tasks need to be accomplished to ensure the success of the mission. These do not replace or supersede in anyway the timelines established in the policies, plans or handbooks of the missions. Instead, these provide a contextual basis for the breakdown of the Critical Tasks of the Essential Capabilities, and can aid in developing the timing of discussions or exercise activities for your Simulation Exercises

The divisions of this timeline are representative of a crisis that occurs rapidly with little or no warning. The timing associated with this time is flexible as it is understood that no two crises are the same, and that these timelines may be shortened or elongated depending upon the unique circumstances of the crisis. Whether the crisis exists at the field level or strategic level will also influence how long each of these phases last. These are provided as a starting point to group key tasks for the evaluation of the efforts of the mission to prepare staff for crises and to support the evaluation of simulation exercises.

Note for Tactical Considerations of Localised Events: In most cases crises involving peacekeeping operations evolve due to a breakdown in political process with flags and triggers for actions, providing mission leadership with the opportunity to focus on preparedness activities. Such crises involve a coordinated response across the mission and involve a large geographical area of operation. Such crises (civil unrest, political, humanitarian crisis etc.) are managed through the Crisis Management Team (CMT) and Operations Coordination Body (OCB) architecture. For sudden onset crisis with a very localised response requirement such as attack on UN compound, the initial tactical level response will possibly require an on-scene supervisor to direct tactical actions to address the immediate crisis (called the Incident Commander), operating out of an Incident Command Post, and supported by the OCB under the guidance of the CMT. It is also worth noting that there is often a link between crises at the tactical level and the strategic level. Often localised events can be linked to the broader conflict and political developments and it is important to factor these linkages in to the planning, prevention and response.

Crisis Management Timeline¹⁷



Crisis Management Timeline Phases for Tactical Level Critical Tasks

The following represents major activities and areas of focus during each phase of the Crisis Management Timeline. **Note:** for the purposes of providing recommended timeframes for certain critical actions, the **Activation Phase** has been divided into the three subcategories of “Immediate Considerations”, “Intermediate Considerations”, and

¹⁷ UNDPKO/DFS SOP for HQ Crisis Response in Support of Peacekeeping Operations (Dec. 22, 2016)

“Long Term Response & Recovery Considerations” in order to represent the transition of priorities as the crisis continues. These depict when certain actions *may* be needed following a crisis, particularly no-notice crisis. It is understood that no two crises are alike, so these actions may not all be needed for each crisis.

Phase	Approximate Time Period	Focus and Activities
Preparedness	On-going, when no crisis is present.	Activities are focused on building the preparedness of the mission; including but not limited to: <ul style="list-style-type: none"> • Risk and capability analysis • Training and simulation exercise • Policy development and review • Improvement planning review • Routine monitoring and reporting • Conduct of routine integrated risk assessment • Conduct routine contingency planning • Building networks for information sharing, including civilian populations • Collection and analysis of routine information • Mapping of security and protection actors and critical infrastructure at risk

<p>Enhanced Monitoring</p>	<p>Varied depending upon early warning indicators</p>	<p>Activities are focused on heightened awareness of a potential crisis and deliberate planning towards that crisis. Activities would include but not be limited to:</p> <ul style="list-style-type: none"> • Focused information gathering, analysis, and dissemination • Monitoring of and response to early warning indicators • Update contingency planning based on potential crisis • Conduct crisis-specific exercises • Review of business continuity plans and potential service vulnerabilities • Adjusting TCC/PCC activities based on threat potential • Preventative actions and engagements at political and community levels • Communication to all staff
<p>Activation (Immediate Considerations for first hour of no-notice crisis)</p>	<p>Crisis Onset to 1 Hour</p>	<p>Within the first hour of the onset of a crisis, particularly a surprise or rapidly evolving crisis, the focus will likely be on decisions pertaining to life-saving priorities. This may include:</p> <ul style="list-style-type: none"> • Establish crisis response architecture within mission leadership, including a fully staffed JOC • Gathering situational information • Making required notifications • CMT establishes first response objectives • OCB establishes response plan • Providing life-saving medical aid • Securing mission facilities and assets • Proactive measures to protect civilians
<p>Activation (Intermediate Considerations for the first 1 – 24 hours of crisis)</p>	<p>1 Hour to 24 Hours</p>	<p>Priorities may begin to shift from immediately life-threatening conditions to more life-sustaining</p>

		<p>priorities, or to providing a more deliberate and methodical approach to the crisis. This may include:</p> <ul style="list-style-type: none"> • Transfer of casualties to appropriate facilities • Activation of business continuity plans • Adaptive planning for specific crisis needs • Comprehensive crisis communications • Organising rescue and other emergency services • Political and community engagement with influential actors • Human resources assistance to impacted staff • Liaison with family members of mission civilian staff missing or casualties
<p>Activation (Long-Term Response & Recovery Considerations for beyond the first 24 hours of the crisis)</p>	<p>24 Hours to Deactivation</p>	<p>Priorities in the long-term response may shift from immediate life-saving operations to stabilization of the crisis and moving towards resuming normal operations. This could be hours, days, or weeks depending on the crisis. This could include:</p> <ul style="list-style-type: none"> • Assessing effectiveness of on-going operations • Response to civilian displacement. • Human rights investigations or rapid assessment/evidence gathering • Planning for additional resources • Planning for deactivation and demobilisation of resources • Conduct case management for impacted civilian staff

Deactivation	Deactivation and on-going	Following the crisis, it is important to evaluate the system performance; and identify lessons learned and opportunities to improve the mission. During this phase, activities may include: <ul style="list-style-type: none">• Refitting and resupplying what was used• Conducting debriefings and reviews to build After Action Report• Develop After Action Report & Improvement Plan• Implement continuous improvement measures, including the revision of policies and plans
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Crisis Response & Management

Definition

Crisis Response & Management is the capability by which the crisis response mechanism is implemented. The crisis response mechanism is activated upon the significant deterioration of a situation or in the event of a sudden onset crisis in the field that requires centralized response coordination among multiple pillars of the United Nations for accelerated and streamlined decision-making, operational coordination, information flow, and communications. This mechanism stays active until the situation has abated, has evolved into a more protracted scenario, or additional capacities have been established to replace the dedicated crisis response architecture.

Outcome

Successful fulfilment of the capability results in the establishment and operation of efficient and effective command and control entities to properly manage crisis response resources and coordinate necessary support.

Tactical Exercise Considerations

Exercising the tactical components of Crisis Management & Response might include establishing the Joint Operations Centre for the CMT and OCB to operate out of, evaluate the proficiency of radio usage, demonstrating the ability to resolve information technology or power issues in the JOC, and other more hands-on aspects of command and control.

Critical Tasks

Preparedness Phase	Critical Task		Indicative Supporting Metric
	1.1	Develop procedures and guidelines for implementing Incident Command System at the tactical level to respond to an emergency or crisis.	Yes/No
	1.2	Define SOPs for activating and fully staffing crisis command and coordination entities, such as the JOC, CMT, and OCB; as well as Protection of Civilians coordination structures and early warning response mechanisms, including defined indicators for activation of these entities.	Yes/No
	1.3	Establish procedures for coordination between field supervisors and operational or strategic-level structures, such as CMT and JOC.	Yes/No
	1.4	Define procedures for requesting, tracking, and directing resources, including internal UN and Host Country resources.	Yes/No
	1.5	Establish procedures for tracking on-scene response personnel.	Yes/No

	1.6	Develop procedures and standards for managing coordination entities; including staffing recommendations, roles and responsibilities, and key actions.	Yes/No
	1.7	Design and conduct exercises to test coordination within the UN system. Exercises should also include coordination with Host Country or international response agencies when feasible to improve coordination prior to a crisis.	Annual
	1.8	Train personnel on their individual roles and responsibilities during an activation of the emergency operations centres, such as the CMT and SMT.	Annual

Enhanced Monitoring Phase	Critical Task		Indicative Supporting Metric
	2.1	SRSG determines the need to convene the CMT based upon the known early warning indicators and information for the potential crisis and advice from CMT members.	Yes/No
	2.2	CMT ensures that crisis management related policies, plans, and checklists are current.	Yes/No
	2.3	CMT reviews exiting contingency plans, recommends revisions if needed.	Yes/No
	2.4	CMT makes decisions or recommendations on the implementation of operational preparedness and prevention activities.	Yes/No
	2.5	CMT determines the nature of the crisis and whether to activate the crisis management process.	Yes/No
	2.6	CMT determine the need for additional staffing or reduction of staffing of CMT based upon specifics of the potential crisis.	Yes/No
	2.7	CMT determines whether to identify a Crisis Response Coordinator.	Yes/No
	2.8	Consultations are undertaken between the mission and IOT on possible updated security and evacuation arrangements	Yes/No
	2.9	Special reporting arrangements established between the mission JOC and UNOCC on activation of any crisis response procedures	Yes/No

Activation Phase	Critical Task		Indicative Supporting Metric
	3.1	Crisis Manager convenes the CMT and establishes crisis coordination mechanism	60 minutes for no-notice crisis
	3.2	Crisis response reporting mechanisms activated	Yes/No

	3.3	Situational awareness and analysis established	Yes/No
	3.4	Immediate Crisis Response objectives established	Yes/No
	3.5	Appropriate emergency plans are activated	Yes/No
	3.6	CMT determine the need for additional staffing or reduction of staffing of CMT based upon specifics of the potential crisis.	Yes/No
	3.7	CMT determines whether to identify a Crisis Coordinator and	Yes/No
Activation Phase Immediate Considerations (Field-Level Incident Command for localised event)	Note: "Incident Commander" refers to the person at the tactical level responsible for directing actions to resolve the crisis or elements of the crisis (i.e. overseeing search and rescue or deployment of security forces).		
	Critical Task		Indicative Supporting Metric
	4.1	First arriving personnel or supervisor establishes incident command authority within 5 minutes of arriving or recognizing crisis exists.	5 minutes
	4.2	Incident Commander establishes communication with Security Radio Room within 5 minutes of arriving or recognizing crisis exists.	5 minutes
	4.3	Incident Commander conducts initial assessment to develop full scope of emergency and reports conditions to Radio Room within 10 minutes.	10 minutes
	4.4	Initial Incident Commander determines if the need exists to transfer command to a higher-ranking supervisor or more appropriate agency.	Yes/No
	4.5	Incident Commander establishes priorities and objectives for the specific needs of the crisis within 15 minutes of initial assessment.	15 minutes
	4.6	Incident Commander establishes tactical-level leadership to direct tactical operations at the field-level to manage the needs of the crisis.	Yes/No
	4.7	Incident Commander establishes coordination with and tactical direction of responding resources from within the UN, as well as Host Government emergency responders (i.e. fire service, rescue) when necessary through a unified command approach.	Yes/No
	4.8	Incident Commander requests additional resources as needed to meet the requirements of the crisis.	Yes/No
	4.9	Incident Commander implements strategy of branches, divisions, and groups to divide resources as necessary to maintain manageable span of control.	Yes/No
	4.10	Incident Commander requests or recommend the activation of supporting coordination entities, such as CMT and JOC, to support expanding needs of crisis.	Yes/No
	4.11	Incident Commander establishes procedure for Incident Action Plan development for prolonged operations, lasting longer than one operational period.	Yes/No
4.12	Incident Commander recognizes the need for additional staffing and resources if emergency is expected to last longer than one operational period.	Yes/No	

	4.13	Incident Commander conducts on-going assessment of incident operations to ensure effective use of resources to meet incident objectives.	Yes/No
	4.14	Incident Commander establishes and maintain regular communication with support entities, such as CMT.	Yes/No

	Critical Task		Indicative Supporting Metric
	Activation Phase Immediate Considerations (Mission Crisis Management & Support Structures)	5.1	Notify designated staff to report to designated location within 5 minutes of notification of major crisis.
5.2		Crisis management staff report to designated location and centre is operational within a reasonable amount of time.	Yes/No
5.3		JOC establishes communication with relevant field units within 30 minutes of notification and determine support requirements to resolve crisis.	30 minutes
5.4		JOC notifies UNOCC of activation within 60 minutes.	60 minutes
5.5		All personnel clearly understand their roles and key tasks as members of the operations centre.	Yes/No
5.6		System of collecting crisis related information is established by JOC or OCB and is understood by all.	Yes/No
5.7		CMT clarifies the relationship with other existing crisis response coordination mechanisms that may be active; and makes recommendations to streamline coordination when appropriate.	60 minutes
5.8		Operational tempo is established for the crisis, including deadlines for key product development (i.e. Situation Reports), crisis-related planning meetings and briefings, key stakeholder notification calls, and other milestones. Tempo is published in a schedule for all operations centre personnel.	Yes/No
5.9		Establish coordination with key external partners from Host Country or other nongovernmental organisations.	Yes/No
5.10		CMT and OCB review information products developed by JOC regarding Situational Awareness.	Yes/No
5.11		Establish routine schedule of coordination calls with Incident Command Post or field managers to identify incident priorities, challenges, resource requests, or policy issues that can be addressed or supported from the operations centre.	Yes/No
5.12		Ensure all communications equipment is operational and maintained throughout crisis.	Yes/No
5.13		Ensure all facilities needs for the operations centre are maintained throughout crisis.	Yes/No
5.14		Process for ordering and tracking resources and supplies is established and maintained throughout crisis.	Yes/No
5.15		Provide briefing to SRSG, UNOCC, and other key decision-makers as required during crisis.	Yes/No
5.16		CMT is briefed on the mission's Business Continuity Plan and implications based on crisis conditions.	60 minutes

Activation Phase Intermediate Considerations	Critical Task		Indicative Supporting Metric
	6.1	CMT determines whether an existing coordination mechanism such as an Inter-Agency Task Force (IATF) or Integrated Task Force (ITF) is appropriate to serve as the cross-pillar operations coordination body for the period of the crisis.	120 Minutes
	6.2	CMT determines whether special administrative measures are needed to support response and surge efforts and identify funding courses to support the response.	120 Minutes
	6.3	Re-evaluate crisis priorities and objectives to assess effectiveness of current courses of action.	Every 6 Hours
	6.4	Establish routine schedule of coordination calls with Incident Command Post or field managers to identify incident priorities, challenges, resource requests, or policy issues that can be addressed or supported from the operations centre.	Yes/No
	6.5	Ensure all facilities needs for the operations centre are maintained throughout crisis.	Yes/No
	6.6	Process for ordering and tracking resources and supplies is established and maintained throughout crisis.	Yes/No

Activation Phase	Critical Task		Indicative Supporting Metric
	7.1	Re-evaluate crisis priorities and objectives to assess effectiveness of current courses of action.	Every 6 Hours
	7.2	CMT determines when to deactivate crisis coordination mechanisms based on conditions of crisis; at a minimum of two weeks after activation if not sooner.	Every 2 Weeks
	7.3	CMT determines if IATFs/ITFs should continue to monitor the situation.	Every 2 weeks

Deactivation	Critical Task		Indicative Supporting Metric
	8.1	All key internal and external stakeholders are notified of the deactivation of the CMT.	Yes/No
	8.2	Implement a plan for demobilizing resources committed to managing the crisis.	Yes/No
	8.3	Conduct an After Action Review for the crisis and develop After Action Report and Improvement Plan.	Yes/No

Integrated Crisis Planning

Definition

Integrated Crisis Planning is the capability to conduct a systematic planning process engaging all necessary components within the field mission to develop executable strategic, operational, and/or tactical level plans to successfully meet the objectives of the actual or potential crisis.

Integrated Crisis Planning is the function through which the mission is able to develop, validate, and maintain plans, policies, and procedures detailing how they will prioritise, coordinate, manage, and support personnel and programmes during a major crisis. This capability is inclusive of plans developed during the Preparedness Phase to ensure efficient crisis response in general, contingency plans developed in anticipation of specific actual or potential crises, and adaptive planning initiated in response to an actual crisis. Integrated Planning is conducted at all levels – tactical, operational, and strategic, and must be done in conjunction with all relevant stakeholders in order to be most effective.

Outcome

Successful fulfilment of this capability results in plans that accurately incorporate threat analysis and risk assessment to ensure that mission resources can effectively prepare for, respond to, and recover from a major crisis.

Tactical Exercise Considerations

Tactical exercising of Integrated Planning might include the evaluation of the planning process and the quality of an integrated planning product that is developed for the simulated crisis.

Critical Tasks

Preparedness Phase	Critical Task		Indicative Supporting Metric
	1.1	Conduct annual review of existing crisis plans for the Mission and revise as necessary.	Yes/No
1.2	Establish mechanism for tracking the progress of improvements to Mission plans and procedures.	Yes/No	
1.3	Develop scalable strategic plans, based on Mission response plans, to prepare for, mitigate against, respond to, and recover from a crisis.	Yes/No	
1.4	Conduct gap analysis for most likely and most catastrophic natural and human-made threat hazards; and establish strategy to improve gaps.	Annually	

	1.5	Develop Mission Exercise Plan to map a multi-year strategy for simulation exercises, conducting periodic review of evolving trends and priorities.	Annually
	1.6	Implement a planning and review cycle that encompasses planning, training, exercises, evaluation of exercises and real crises, and the incorporation of lessons learned recommendations for improvement.	Continuous
Enhanced Monitoring	Critical Task		Indicative Supporting Metric
	2.1	Review existing crisis management plans to ensure they are validate against the projected impacts of the actual or potential crisis.	Yes/No
	2.2	Incorporate information products from JMAC and other sources to develop contingency plan(s) for the potential impacts posed by the actual or potential crisis.	Yes/No
	2.3	Conduct validation exercise, preferable simulation exercise (SIMEX) to identify strengths and gaps of current crisis management and contingency plans.	Yes/No

Activation Immediate	Critical Task		Indicative Supporting Metric
	3.1	Ensure that CMT is staffed with personnel capable of accessing existing plans and conducting adaptive planning for needs of the current crisis.	1 hour

Activation Phase Intermediate Considerations	Critical Task		Indicative Supporting Metric
	4.1	Establish Planning Cycle in conjunction with CMT leadership, including Operational Tempo of evaluation, planning, and dissemination.	2 hours
	4.2	CMT identifies priorities and objectives based upon the needs and analysis of the crisis.	5 hours
	4.3	Adaptive planning is conducted to ensure efforts of the Mission are working towards the priorities set forth by the CMT through the creation of an Incident Action Plan.	9 hours
	4.4	Incident Action Plan is approved by CMT and distributed to crisis response supervisors.	15 hours
	4.5	Planning staff develop alternate strategies for CMT, including alternatives that may require the development of contingency plans.	24 hours

Activation Long Term	Critical Task		Indicative Supporting Metric
	5.1	Incident Action Planning process is repeated daily throughout the life of the crisis.	Daily
	5.2	Demobilisation Plan is developed to deactivate resources as the crisis conditions begin to stabilise.	Yes/No

Strategic Communications & Public Information

Definition

Strategic Communications & Public Information is the capability to manage the development and dissemination of crisis-related information to the media; including the conduct of press briefings, information releases, responding to press inquiries, scheduling of interviews, and preparing daily media summaries and analyses for key decision-makers.

Outcome

Successful fulfilment of this capability results in the ability of the mission to provide public, political, and other stakeholders with coordinated, prompt, useful, transparent, and reliable information regarding threats or impacts to their safety, impacts on critical programmes, or actions of the UN in response to a potential or actual crisis. Information is delivered in clear and consistent methods.

Tactical Exercise Considerations

Tactical exercising of Strategic Communications & Public Information might include evaluating press statements, social media and digital publications, and the delivery of simulated press briefings with actors playing the role of reporters.

Critical Tasks

Preparedness Phase	Critical Task		Indicative Supporting Metric
	1.1	Identify all relevant internal and external stakeholders, including anticipated information needs and best systems for sharing information with each.	Yes/No
	1.2	Develop plans, procedures, and policies for coordinating, managing, and sharing public information during a crisis.	Yes/No
	1.3	Develop plans, procedures, and policies for issuing alerts to UN staff members before and during a crisis.	Yes/No
	1.4	Review and adjust communications strategy to ensure it sets clear goals to support mission's objectives.	Yes/No
	1.5	Establish guidance and procedures for the use of various public information systems, including social media.	Yes/No
	1.6	Develop procedures to access public information from a variety of sources.	Yes/No

	1.7	Develop procedures to ensure information provided by all sources is authentic and valid.	Yes/No
	1.8	Establish policies and procedures to identify and rapidly address rumours by correcting information.	Yes/No
	1.9	Implement community-based procedures to ensure information provided to the public is prompt, accurate, and in the dominant language or languages of the community; and that formats are accessible to people with limited language competence, disabilities, cultural or geographic isolation, or other vulnerabilities due to age.	Yes/No
	1.10	Requirements for equipment and supplies have been determined for the mission's public information needs; and appropriate requests are ordered.	Yes/No
	1.11	Incorporate public information and media handling at tactical level into crisis management exercises.	Annual
	Enhanced Monitoring	Critical Task	
2.1		Consult with CMT and other key stakeholders to determine if crisis warning indicators warrant the distribution of public information.	Yes/No
2.2		Public information at the mission level is actively coordinated with local United Nations Communications Group and UNHQ to ensure distribution of "One UN" approach.	Yes/No
2.3		Strategic message is distributed to and understood by all public affairs officers.	Yes/No

Activation Immediate	Critical Task		Indicative Supporting Metric
	3.1	Ensure that CMT has representation for public information.	15 minutes
	3.2	Begin to develop information needs for crisis-related press statements or other external outreach.	1 hour

Activation Phase Intermediate Considerations	Critical Task		Indicative Supporting Metric
	4.1	Establish coordination with public information elements within UNHQ.	1 hour
	4.2	Establish coordination with public information elements within relevant UNCT, Host Country, or other external partners.	1 hour
	4.3	Determine information needs for UN staff within the mission, UNCT, or TCC/PCC.	2 hours
	4.4	Develop press statement as required for crisis.	Yes/No
	4.5	Public information staff are deployed to the crisis as appropriate and safe to collect digital images and information for process and dissemination.	Yes/No

	4.6	Coordination with Host Country counterparts is established as early as possible and maintained throughout the crisis.	Yes/No
	4.7	Public Information at the mission is actively coordinated with local United Nations Communications Group and UNHQ to ensure distribution of “One UN” approach.	Yes/No
	4.8	Develop social media updates for CMT/MLT	24 hours

Activation Long Term	Critical Task		Indicative Supporting Metric
	5.1	Develop crisis related press statement.	Daily
	5.2	Public information at the mission level is actively coordinated with local United Nations Communications Group and UNHQ to ensure distribution of “One UN” approach.	Yes/No
	5.3	Develop social media updates.	Daily

Information & Communication Technology

Definition

Information & Communication Technology is the capability that ensures required Information & Communication Technology (ICT) needs are met throughout the entirety of the crisis. ICT includes not only business continuity related functions, such as data recovery, but also ensuring that the hardware, software, and policies are in place to enable crisis managers and staff to maintain communication with each other. This includes radio systems, computer networks, applications, telecommunications, and technical support. The end goal of ICT is that all staff, departments, and organisations managing a crisis have the ability to communicate with necessary partners and stakeholders continually throughout the crisis utilizing a variety of a platforms.

Outcome

Successful fulfilment of this capability results in the ability to maintain continuous among mission resources, UNCT, UNHQ, Host Country authorities, and other crisis management partners. This capability will also enable notification and flow of communication with UN staff members during crises and interruptions to business continuity.

Tactical Exercise Considerations

Tactical exercises for Information & Communication Technology might include testing radio frequency compatibility among military and police units, with relevant Host Country authorities, nongovernmental organisation partners, and headquarters; as well as testing designated alternate means of communication (i.e. SMS/text messaging, satellite phones, mobile satellite systems, etc.).

Critical Tasks

Preparedness Phase	Critical Task		Indicative Supporting Metric
	1.1	Develop and maintain procedures, systems, and technology to ensure uninterrupted communication by all available technological methods; including telephone, cellular phone, and internet.	Yes/No
	1.2	Redundancy is built into communications systems to ensure efficient application of back-up systems based upon the impacts of potential crisis; including the use of SMS/text messaging, satellite phones, and mobile satellite systems.	Yes/No
	1.3	Radio plan is developed to manage available radio frequencies for both routine mission traffic and expansion of communications needs for crisis situations.	Yes/No
	1.4	Mission field ICT has moved all software applications either to the cloud or GSC and provide access through both the Intranet and Internet for these applications.	Yes/No
	1.5	Host Country authorities which may be required to communicate with elements of the mission at the tactical level, such as fire service and ambulance service, are identified and mechanisms to ensure necessary tactical-level communication are implemented.	Yes/No
	1.6	ICT systems, such as video-teleconference, are established to link mission headquarters with sectoral offices and UNHQ.	Yes/No
	1.7	Routine checks of ICT systems are scheduled to ensure operational status.	Yes/No
	1.8	Maintenance plans are developed to ensure ICT systems are properly supported during crisis (i.e. data recovery, service and repair of antennae, etc.)	Yes/No
	1.9	Staff are trained in the proper use of relevant communications systems, including portable radios and satellite phones.	Yes/No
	1.10	Mission is adequately equipped for communications needs.	Yes/No
	1.11	Conduct at a minimum annual testing of the systems under pressure to attempt to simulate system overload on ICT systems (i.e. increased radio traffic, increased internet demand, etc.)	Annual
1.12	Updates to ICT plans are appropriately reflected in the mission's Business Continuity Management Plan.	Yes/No	

Enhanced Monitoring	Critical Task		Indicative Supporting Metric
	2.1	Potential crisis is evaluated to identify potential impacts to ICT systems.	Yes/No
	2.2	ICT staff work with other mission elements to evaluate the potential need to deploy additional communications systems to the field staff in preparation for a crisis (i.e. satellite phones, radios, etc.).	Yes/No

Activation Immediate	Critical Task		Indicative Supporting Metric
	3.1	Evaluate the current impact on communication systems.	60 minutes

Activation Phase Intermediate	Critical Task		Indicative Supporting Metric
	4.1	ICT staff identify any damages to ICT infrastructure	6 hours
	4.2	ICT staff coordinated with Logistics to ensure proper support to ICT infrastructure during crisis (i.e. fuel for generators supporting radios and cellular infrastructure, emergency repairs or servicing, etc.).	Yes/No
	4.3	Additional ICT infrastructure is installed as required to meet the needs of the crisis.	Yes/No
	4.4	Frequency allocation for radios is assessed and adjusted to meet the needs of current crisis.	Yes/No

Activation Long Term	Critical Task		Indicative Supporting Metric
	5.1	Impact to ICT systems of current crisis are examined daily to identify and address challenged.	Daily

Situational Awareness

Definition

Situational Awareness is the ability to provide decision makers with timely, accurate, and actionable crisis-related information regarding the nature and complexity of the situation, any secondary effects, threats to staff and facilities, and the effectiveness of response and recovery actions. This involves the successful collection of information sufficient to allow decision makers to identify, prevent, mitigate and/r respond to threats and opportunities. Together, JOCs and Joint Mission Analysis Centres (JMACs) support the spectrum of situational awareness – incorporating knowledge, understanding and anticipation, which under pins the effective coordination and monitoring of operations. This capability addresses the JOCs’ focus on contributing knowledge and understanding through monitoring and reporting of current events.¹⁸ Integrated situational awareness developed by the JOC, or JOC equivalent in Special Political Missions, plays a critical role in supporting mission crisis management through provision of situational awareness and support to the CMT; as well as provision of routine and special incident reporting during non-crisis periods. It also includes the actions for enhancing information analysis to reinforce ongoing response and recovery operations to ensure that all stakeholders have a clear and consistent understanding of the current crisis and the actions that are being taken to ameliorate the situation.

Outcome

Successful fulfilment of this capability results in timely, well-informed decisions made that ensure the safety of UN staff, protection of civilians, and continuation of critical services.

Tactical Exercise Considerations

Tactical exercises for Situational Awareness might include establishing situations where critical elements of information are needed and the JOC must seek them out (through a Simulation Cell), testing the notification process for key stakeholders, or evaluating the quality of situational awareness products and reports that are developed for the simulated crisis.

Critical Tasks

Prepared ness	Critical Task		Indicative Supporting Metric
	1.1	Develop and maintain procedures, systems, and technology to process the inflow of gathered information from all sources in a timely fashion.	Yes/No

¹⁸ DPKO/DFS JOC Policy 2014

	1.2	Establish mission-specific guidance on regular exchange of information and interaction with mission components; including the Mission Public Information Officer, MOC, POC, SOC, JMAC, relevant military cells, and UNCT.	Yes/No
	1.3	JOC has active relationship with UNOCC, serving as the main entry point for UNHQ queries on the situation in the mission's area of operations.	Yes/No
	1.4	Establish, in conjunction with mission leadership, critical elements of information to collect and process to inform decision makers.	Yes/No
	1.5	Procedures are in place to ensure information products are safe-guarding in compliance with established UN standards.	Yes/No
	1.6	Establish processes for gathering crisis-related Situational Awareness information for CMT and SMT.	Yes/No
	1.7	JOC information products are developed with geospatial component to facilitate understanding of spatial and temporal relationships, integration in spatially enabled applications, and mapping.	Yes/No
	1.8	Mechanism is established to ensure JOC is staffed appropriately, including provisions for surge staffing during high-demand crises.	Yes/No
	1.9	Conduct at a minimum annual simulation exercise, including information gathering and analysis as a Capability to be tested.	Annual

Enhanced Monitoring	Critical Task		Indicative Supporting Metric
	2.1	Establish critical elements of information of particular interest to decision-makers and identify how that information will be collected.	Yes/No
	2.2	Collect and process information related crisis and provide updates at established times to CMT and other key stakeholders.	Yes/No

Activation Immediate	Critical Task		Indicative Supporting Metric
	3.1	Make initial notification to CMT and OCB of a no-notice crisis.	30 minutes
	3.2	Begin the collection of information necessary to develop Special Incident Report (Flash Report) to UNOCC.	Yes/No

Activation	Critical Task		Indicative Supporting Metric
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	4.1	Ensure mechanisms are functioning to enable collection of information from field units, Host Country partners, media, and other identified sources.	1 hour
	4.2	Issue Special Incident Report (Flash Report) to UNOCC and required stakeholders within 1 st hour as conditions allow.	1 hour
	4.3	Establish schedule for meetings and briefings for CMT and Mission leadership.	1 hour
	4.4	JOC develops and provides situational awareness briefings at the commencement of CMT meetings and secretariat support, including the preparation of decision notes from the meetings.	12 hours
	4.5	Relevant mission unit issues a notification of casualties through the NOTICAS database in the event of staff member death or serious injury/illness in accordance DPKO-DFS SOP on Notification of Casualty (NOTICAS).	12 hours
	4.6	Develop updates to Flash Reports based as additional time-sensitives information on the original incident becomes available.	Yes/No

Activation Long Term	Critical Task		Indicative Supporting Metric
	5.1	Develop updates to Flash Reports based as additional time-sensitives information on the original incident becomes available.	Yes/No
	5.2	Create daily situation report to present to Mission leadership and UNHQ.	Daily
	5.3	JOC Briefing is developed and conducted for Mission leadership, scheduled on regular basis based on needs of growing crisis.	At least Daily

Integrated Analysis

Definition

The Integrated Analysis Essential Capability is critical in supporting the decision-making of key mission, military, and police leadership in order to proactively understand the drivers that threaten a mission's mandate, its staff, military and police peacekeepers, and civilians from threats, growing conflict, major crime, or civil unrest. Integrated Analysis is the analytical process at the strategic, programmatic or operational level which carries implications for multiple UN entities, and which therefore requires participation and/or data to be provided by concerned entities. In the case of the JMAC, the Centre shall pull information together in its products from all relevant mission components ensuring a wholistic coverage of political, security, human rights, development, environment and humanitarian concerns as these apply to mandate implementation and in determining any relevant threats to it therein.¹⁹

It encompasses activities pertaining to collection, analysis, and exchange of information between UN, Host Government, and other civilian, law enforcement, and military partners; including recognizing early warning indicators and interpreting any information into a usable format to enable leaders to make timely and well-informed decisions. Integrated Analysis activities are typically carried out within the JMAC, Military Operations Centre, Police Operations Centre or equivalent in Special Political Missions. The goal of Integrated Analysis, coupled with Situational Awareness, is to produce a common Situation Understanding to ensure the right people have the right information at the right time to make the right decisions – and at the right level.

Outcome

Successful fulfilment of the capability results in early warning indicators or other information shared with decision-makers in an easily understood format in time to prevent or protect against actual or threatened terrorism, conflict, or other adversarial-based violence against the UN staff, Peacekeepers, or civilian population.

Tactical Exercise Considerations

Tactical exercises of Integrated Analysis might include the creation of simulated information from a variety of sources and evaluating the conclusions or strategic analysis products that are developed based on this simulated information.

¹⁹ DPKO DFS Joint Mission Analysis Centres (JMAC) 2015.03

Critical Tasks

Preparedness Phase	Critical Task		Indicative Supporting Metric
	1.1	Develop and maintain procedures, systems, and technology to process the inflow of gathered information from all sources in a timely fashion.	Yes/No
	1.2	Establish capacity to undertake multi-source integrated analysis and predictive assessments.	Yes/No
	1.3	Mission leadership has determined criteria for establishing JMAC, including crisis impacts to operational environment, if such structure is not clearly required as in multi-dimensional integrated peacekeeping missions.	Yes/No
	1.4	Establish key metrics for Early Warning Indicators, including how that information will be gathered.	Yes/No
	1.5	Procedures are in place to ensure information and analysis products are safe-guarding in compliance with established UN standards.	Yes/No
	1.6	Mechanism is established to ensure JMAC is staffed appropriately, including provisions for surge staffing during high-demand crises.	Yes/No
	1.7	Conduct at a minimum annual simulation exercise, including information gathering and analysis as a Capability to be tested.	Annual
	1.8	Mechanisms are established as a minimum for coordination across UN Department of Safety and Security (UNDSS), Military Intelligence Unit (U2), UNPOL, JOC, Protection of Civilians, and mission components.	Yes/No

Enhanced Monitoring Phase	Critical Task		Indicative Supporting Metric
	2.1	JMAC collects and receives information from multiple sources, both internal and external, to support the analytical process.	Yes/No
	2.2	Analysts establish interactive collection process with collectors to enhance level of analysis, including a Collection Plan.	Yes/No
	2.3	Information is collected using standard formats and taxonomies to facilitate collection process.	Yes/No
	2.4	Collection is both targeted and routine, to include daily reporting from all sections of the mission to the JOC and media monitoring.	Yes/No
	2.5	Liaison(s) is designated to facilitate gathering of information from other organizations, such as the UNCT, which gather their own information but are not represented in the JMAC.	Yes/No
	2.6	Information presented to JMAC is vetted and assessed for value, reliability, and relevance utilizing a rigorous and consistent approach to ensure integrity of final product.	Yes/No

	2.7	Information is ordered and stored in secure but accessible formats in accordance with DPKO-DFS Policy and SOP on Access to Information.	Yes/No
	2.8	Analytical resources are organised according to geographical or thematic or mandate related areas.	Yes/No
	2.9	Lead analyst is appointed, and ad hoc teams or task forces are implemented when necessary.	Yes/No
	2.10	Dissemination of JMAC products are discussed between the tasking authority and Chief JMAC, and final distribution list is recorded in the PIR.	Yes/No
	2.11	Dissemination of JMAC products are guided by the Secretary-General's guidance on the handling of sensitive information, primarily based upon "need to know basis".	Yes/No
	2.12	Warning Note is established in response to current or emerging trend employing JMAC template; detailing possible scenarios (including the worst case), timeframe within which the situation could develop, milestones, possible accelerants, and other notable features.	Yes/No
	2.13	Incident of Critical Event Analysis is created for an incident or event employing JMAC template; including elaboration of the wider context and implications for the future.	Yes/No
	2.14	JMAC Briefing is developed and conducted for Mission leadership, scheduled on regular basis based on needs of growing crisis.	As needed
	2.15	Develop Early Warning and Risks Analysis by JMAC to warn of potential crisis that threatens civilian population.	Yes/No

Activation Immediate	Critical Task		Indicative Supporting Metric
	3.1	Assess capability of JMAC to continue on-going operations from primary facility based on the impacts of current crisis.	1 hour
	3.2	Maintain on-going collection and analysis of crisis related information to assess current crisis and monitoring early warning indicators for additional developing crises.	Yes/No
	3.3	Information products are confirmed as meeting the needs of crisis management team	Yes/No

Activation Intermediate	Critical Task		Indicative Supporting Metric
	4.1	Maintain on-going collection and analysis of crisis related information to assess current crisis and monitoring early warning indicators for additional developing crises.	Yes/No
	4.2	JMAC Briefing is developed and conducted for Mission leadership as needed.	24 hours

Activation Long Term	Critical Task		Indicative Supporting Metric
	5.1	Maintain on-going collection and analysis of crisis related information to assess current crisis and monitoring early warning indicators for additional developing crises.	Yes/No
	5.2	JMAC briefing is developed and conducted for Mission leadership, scheduled based on needs of growing crisis.	As needed

Protection of Civilians

Definition

Protection of Civilians is defined as taking all necessary means, up to and including the use of lethal force, to prevent or respond to threats of physical violence against civilians, within the capabilities and areas of operations, and without prejudice to the responsibility of the host government.²⁰ Protection of Civilians is implemented through a three-tiered approach: Tier I – protection through dialogue and engagement; Tier II – provision of physical protection; and Tier III – establishment of a protective environment.

Outcome

Successful fulfilment of the capability results in the coordination of protective actions by military, police, and civilians programmes at the mission-level to protect civilian communities threatened by or directly impacted by crisis situation. It also will include the appropriate human rights investigation activities required following a crisis impacting the protection of civilians.

Tactical Exercise Considerations

Tactical exercises of Protection of Civilians may include the conduct of decision-making tabletop exercises based on early warning indicators, or role-playing games for negotiation practice.

Critical Tasks

Prepared ness	Critical Task		Indicative Supporting Metric
	1.1	Define SOPs for activating Protection of Civilians coordination structures and early warning response mechanisms, including defined indicators for activation of these entities.	Yes/No

²⁰ Definition is based upon the **United Nations Peacekeeping Operations Guidelines for The role of United Nations police in the protection civilians**. 2017. Guidelines are under review and definition may change.

	1.2	Tier I mechanisms for preventing violence through the conduct of dialogue and community engagements are implemented and evaluated for effectiveness.	Yes/No
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Enhanced Monitoring	Critical Task		Indicative Supporting Metric
	2.1	POC coordination structures monitor early warning indicators and develop recommended actions based upon information collected.	Yes/No
2.2	POC coordination structures initiate preventative or mitigating actions at the political or community level to attempt to restore peace and stability; including engaging with influential actors within the government, communities, and armed groups.	Yes/No	
2.3	POC coordination structures evaluate the need for Tier II protective measures, including provision of protective measures to communities at risk.	Yes/No	
2.4	POC activities are harmonised with the efforts of SRSG, CMT, and other relevant organisations to ensure effective prevention strategy.	Yes/No	

Activation Phase Immediate	Critical Task		Indicative Supporting Metric
	3.1	POC coordination structures are alerted to the outbreak of a crisis threatening the civilian populations.	Yes/No
	3.2	POC coordination structures alert CMT and other relevant entities when conditions that actively threaten civilians are present.	Yes/No
	3.3	POC coordination structures apply targeted application of Tier II protection activities towards communities directly affected by confirmed crisis.	Yes/No

Activation Intermediate	Critical Task		Indicative Supporting Metric
	4.1	POC coordination structures evaluate the need for the application of Tier III protective actions, including planning for the establishment of POC sites.	Yes/No
	4.2	Key influential actors at the community and political levels are identified and outreach is begun to restore calm to the situation.	24 hours

Activation Phase Long-Term Response Considerations	Critical Task		Indicative Supporting Metric
	5.1	Impact of crisis is evaluated, including the displacement of civilian populations.	Daily
	5.2	Appropriate courses of action are developed to respond to impacts to civilian displacement and protection needs	Daily
	5.3	POC coordination structures determine if Tier III protective actions are needed based on the current crisis conditions.	Yes/No
	5.4	POC coordination structures implement Tier III protective actions, coordinating support from other mission and UNCT entities as required.	Yes/No
	5.5	Human rights investigations are initiated based on the requirements of the crisis.	Yes/No
	5.6	Rapid assessment and evidence gathering is initiated based on the requirements of the crisis.	Yes/No

Safety & Security of UN Personnel

Definition

Safety and Security of United Nations personnel is defined as the capability to keep UN personnel²¹ in a mission area safe while enabling United Nations operations. It means coordination with the UN Department of Safety & Security (UNDSS), and the United Nations Security Management System.

The Head of Mission is usually the Designated Official for security and the Principal/Chief Security Adviser is advising him/her on security related decisions, with the support of the Security Management Team (SMT), which comprises representatives of UN agencies, Funds and Programmes in the designated area. Police Commissioners and Force Commanders are mandatory members of the SMT. It is important to understand that the Head of Mission, in his/her capacity as Designated Official is responsible for the safety and security of **all** United Nations personnel (not limited to missions' civilian personnel). Missions' assets maybe required as additional security risk management measures. In times of crisis, the Designated Official may establish a Crisis Management Team (CMT) comprising representatives of UNSMS organisations affected by the crisis or involved in crisis management operations, or relevant experts.

The Security plans provide a set of predetermined and rehearsed responses to various crisis situations that could impact the UNSMS personnel and operations for a relevant designated area.

When possible and to the extent feasible, the UNSMS in the Designated Area may lend assistance in a crisis situation for in extremis support to persons not covered by Chapter

²¹ The United Nations Security Management System applies to all United Nations personnel holding a direct contractual agreement with a United Nations entity and their dependents, including individual deployed police and military personnel. of the UNSMS does not cover TCCs and FPU, in accordance with the UNSMS *Security Policy Manual*, Chapter III, "Policy on Applicability".

III of the Security Policy Manual. Any travel or financial assistance provided to such persons will be on a space-available and reimbursable basis. This includes assistance to non-governmental organizations (NGOs) covered under the Saving Lives Together Framework of cooperation with the United Nations²². The DO is responsible for authorizing the details of this assistance.

Outcome

Successful fulfilment of this capability results in the peaceful management of security risks related to crisis, enabling of programme activities and safety and security of United Nations personnel.

Tactical Exercise Considerations

Tactical exercises for Staff Safety & Security may include drills or full-scale exercises to deploy a coordinated security response to secure a mission compound or facility; as well as shelter or evacuation drills.

Critical Tasks

		Critical Task	Indicative Supporting Metric
Preparedness Phase	1.1	Develop and maintain security Risk Management processes and associated risk management measures and pre-determined responses through the Security Plans in relevant designated areas	Yes/No
	1.2	Develop communications procedures to ensure security elements can communicate effectively with internal stakeholders and external resources from Host Country emergency response authorities.	Yes/No
	1.3	Design plans and procedures to credential or approve the access of Host Country emergency response resources to mission compound and facilities.	Yes/No
	1.4	Review and improve, as appropriate, procedures for the coordination of security resources during a crisis.	Yes/No
	1.5	Review and improve, as appropriate, procedures for notification and accounting /check-in of UN personnel (headcount) during a crisis.	Yes/No
	1.6	Establish Security Plans including guidance for sheltering staff in place or evacuating personnel from the mission compound or facilities, including decision-making criteria and defined responsibilities for whom may make such decision.	Yes/No

²² Security Policy Manual, Chapter II, Section G: "Saving Lives Together"

	1.7	Inventory and develop process for requesting resources and specialized equipment (i.e. armoured vehicles) which may be able through UNCT or other partners for use during a crisis.	Yes/No
	1.8	Conduct full scale exercise to test the integration of security response with other components within the mission (i.e. CMT, medical services)	Annual

Enhanced Monitoring	Critical Task		Indicative Supporting Metric
	2.1	In coordination with the SMT, review current Security Risk Management process, and adjust mitigation measures – including relevant contingency plans or SOPs as necessary.	Yes/No
	2.2	Test communications/conduct preparatory communications with UN personnel in readiness of potential crises	Yes/No

Activation Phase Immediate Considerations (For crisis affecting UN mission)	Critical Task		Indicative Supporting Metric
	3.1	Security Radio Room notified of actual or threatened crisis at UN mission compound or facility.	1 minute
	3.2	Security resources are dispatched to respond to security threat.	2 minutes
	3.3	First arriving officer assumes the Incident Commander role, transferring tactical command to more appropriate or qualified supervisor when available.	5 minutes
	3.4	Incident Commander assessed current threat and determines best course of action for securing facility and mitigating threat.	5 minutes
	3.5	Identify and establish security perimeters.	10 minutes
	3.6	Determine the need to remove personnel from area or shelter in place.	15 minutes
	3.7	Designated Official kept informed as to safety and security of UN personnel, including requirement for any decisions required and/or further notification procedures.	Yes/No
	3.8	Initiate accountability procedures for all mission staff, vendors, contractors, or other personnel under the UN Security Management responsibility at the mission.	15 minutes
	3.9	Identify the location of casualties and report locations to Incident Commander.	Yes/No
	3.10	Render casualty care or first aid to identified injuries when appropriate to do so.	Yes/No
	3.11	Evaluate the need for Host Country emergency response authorities and request resources if necessary.	15 minutes

	3.12	Identify and mark location of potential or actual explosive devices as encountered, notifying Incident Commander of discovery.	Yes/No
	3.13	Re-evaluate effectiveness of current security courses of action and adjust as necessary.	1 hour
	3.14	Appropriate personal protective equipment is utilised during security response.	Yes/No
	3.15	Crisis Management Playbooks or other reference materials and contingency plans are utilised appropriately during response.	Yes/No

Activation Phase (UN Mission not directly affected)	Critical Task		Indicative Supporting Metric
	4.1	CMT and P/CSA review current threat and determine if additional risk management measures are needed to secure UN mission compound or facilities. DO makes decisions.	30 minutes
	4.2	CMT and UNDSS evaluate the appropriateness of deploying military or police resources to support UNDSS in protecting UN civilian staff. DO makes decisions	45 minutes
	4.3	Initiate accounting procedures for all mission personnel under the UN Security Management responsibility at the designated area. Initiate the wardens system	45 minutes
	4.4	Crisis Management Playbooks or other reference materials and plans are utilised appropriately during response.	Yes/No

Activation Phase Intermediate Considerations (UN)	Critical Task		Indicative Supporting Metric
	5.1	Obtain full accounting (headcount) of all UN personnel under the UN Security Management responsibility at the mission.	2 hours
	5.2	Cross reference UN travel system or other meeting schedules to attempt to locate any person not responding to the headcount	4 hours
	5.3	Conduct comprehensive search of any missing UN mission personnel.	2 hours
	5.4	Coordinated with area hospitals or medical clinics to review accountability and security of any injured UN staff, including requirement for provision of PEP kits or other specialized response.	4 hours
	5.5	If staff are being sheltered in place, re-evaluate the need to keep them in place or to release them.	4 hours
	5.6	Coordinate with explosive ordinance disposal resources, such as UNMAS, to evacuate appropriate areas around suspected or actual explosive devices within UN compound or facilities.	2 hours

	5.7	Implement actions to render safe suspected or actual explosive devices within UN compound or facilities.	4 hours
	5.8	Establish system for rotating security personnel to ensure efficient coverage to meet the needs of current crisis.	Yes/No
	5.9	Request additional resources from within UN or Host Country to meet the needs of the current crisis.	Yes/No

Activation Phase Intermediate (Compound not activated)	Critical Task		Indicative Supporting Metric
	6.1	Obtain full accountability/check of all UN staff, vendors, contractors, or other personnel under the UN Security Management responsibility at the mission.	2 hours
	6.2	Cross reference UN travel system or other meeting schedules to attempt to locate any person not responding to the accountability.	4 hours
	6.4	Coordinated with area hospitals or medical clinics to review accountability and security of any injured UN staff.	Yes/No
	6.5	If staff are being sheltered in place, re-evaluate the need to keep them in place or to release them.	4 hours
	6.8	Establish system for rotating security personnel to ensure efficient coverage to meet the needs of current crisis.	Yes/No
	6.9	Request additional resources from within UN or Host Country to meet the needs of the current crisis.	Yes/No

Activation Phase Long Term	Critical Task		Indicative Supporting Metric
	7.1	Maintain staff safety and security measures throughout crisis.	Yes/No
	7.2	CMT and P/CSA re-evaluate current security needs to determine appropriate changes in posture.	Daily
	7.3	The DO/SMT ensure Security Risk Management process in-country and relevant security plans and other guidance are updated accordingly.	Yes/No

Resource Contingency Planning

Definition

Resource Contingency Planning addresses the procedures and processes to deliver and return critical material resources throughout the entire phase of a crisis. This also includes addressing the existing human resources structures by realigning, complementing or deactivating human resources. Resource Contingency Planning ensures that the mission resources and facilities are appropriately supported to maintain operations and critical services during a crisis which includes, but not limited to, emergency power, transportation, fuel, rations, water and disposal of waste water and solid waste.

Outcome

Successful fulfilment of the capability results in the continued operation of critical services to maintain Mission operations throughout all phases of a crisis.

Tactical Exercise Considerations

Tactical exercises for Resources Contingency Planning may include requiring players to obtain real world availability of resources and supplies in order to provide decision-makers with proper information, testing the functionality of communications or back-up power systems, and establishing and operating a Staging Area for a period of time.

Critical Tasks

Preparedness Phase	Critical Task		Indicative Supporting Metric
	1.1	Develop plans, procedures, and protocols for identifying, inventorying, requesting, mobilizing, deploying, tracking, and deactivating critical material and human resources.	Yes/No
	1.2	Develop methodology for resource identification, including standardized nomenclature and designations based on performance capabilities (i.e. generator size, passenger capacity of vehicles, etc.)	Yes/No
	1.3	Establish plans and system for acquiring and ordering resources.	Yes/No
	1.4	Establish plans and systems for delivery and tracking resources.	Yes/No
	1.5	Establish plans and systems for return of resources.	Yes/No
	1.6	Inventory critical resources available through UNCT.	Yes/No
	1.7	Develop plans for obtaining critical resources through Host Country that are not immediately available through mission or UNCT.	Yes/No
	1.8	Establish plans and procedures for requisition and acquisition of resources from Service Centres (UNGSC etc.).	Yes/No

	1.9	Inventory list of critical resources, responsible authority, and current point of contact is available to JOC/CMT.	Yes/No
	1.10	Contracts and procedures for emergency acquisition of critical services and supplies, such as fuel, water, food, and repairs are developed and maintained.	Yes/No
	1.11	Implement logistics and distribution training programmes.	Annual or as necessary
	1.12	Validate logistics management plans and training through annual simulation exercise.	Annual

Enhanced Monitorin	Critical Task		Indicative Supporting Metric
	2.1	Review logistics management plans and inventories against the possible impacts of the possible or actual crisis.	Yes/No

Activation Immediate	Critical Task		Indicative Supporting Metric
	3.1	CMT and/or OCB establish communication with field supervisors to identify logistical and resource requirements.	1 hour
	3.2	CMT and/or OCB establishes log for tracking logistical requests.	1 hour

Activation Phase Intermediate Considerations	Critical Task		Indicative Supporting Metric
	4.1	Implement resource tracking system.	2 hours
	4.2	Establish Staging Area for in-coming material and human resources.	8 hours
	4.3	Staging Area is staffed to receive inventory, deliver and return material resources at the end of a crisis	Yes/No
	4.4	CMT identifies critical facilities that need to remain operational during a crisis, and system is established to provide these facilities additional rations, water, fuel, and other material and personnel support.	2 hours
	4.5	Logistics Support Division has the proper human, transportation, and communications support necessary to conduct an on-going resupply of critical facilities.	Yes/No
	4.6	Implement a system for monitoring critical supplies levels in order to anticipate future needs.	Yes/No
	4.7	Resources from UNCT and other partner agencies are pooled into the Staging Area as deemed appropriate in accordance with established agreements and plans.	24 hours

Activation Long-Term	Critical Task		Indicative Supporting Metric
	5.1	Logistics coordinated with operational planners to ensure that logistical needs for on-going UN crisis-related activities are met.	Daily
	5.2	Critical facilities are provided with on-going resupply of fuel, rations, water, and other essential supplies.	Daily
	5.3	Safe, sanitary, and secure accommodation is arranged for additional staff deployed to the Mission in support to address crisis.	Yes/No

Deactivation Phase	Critical Task		Indicative Supporting Metric
	6.1	Existing expendable and non-expendable resources are to be divided and resources required to recover, following the crisis, are to be set aside.	48 hours
	6.2	A waste disposal plan is in place to dispose of potentially hazardous waste in accordance with the UN environmental guidelines and regulation and the Host Country waste disposal regulations (i.e. waste oil, utilized cleaning material, biohazardous waste, etc.).	Yes/No
	6.3	Plan is implemented to provide maintenance to operational equipment in accordance with manufacturer's maintenance and operation guidelines (i.e. generators, automobiles, aircraft, etc.).	Yes/ No
	6.4	Resources that are required to be returned to inventory are recovered within 24 hours once no longer needed.	Yes/No
	6.5	Resources borrowed or pooled from UNCT or other agencies are returned to pre-crisis condition and returned to owner within 48 hours once no longer needed.	Yes/No
	6.6	Staging Area demobilized when no longer needed, including proper clean up and disposal of garbage.	Yes/No
	6.7	Mission Support account for all resource utilized during the crisis and the associated expenditure.	Yes/No

Mass Casualty Management

Definition

Mass Casualty Management is the capability that addresses the appropriate emergency medical and trauma care procedures implemented to triage, stabilize, and transport injuries from the field to an appropriate medical care facility. This capability encompasses all points in the chain of survival of a casualty or serious illness, including the management of mass casualty incidents, establishment of casualty treatment areas, arrangement of ground and aviation transportation resources, and the care and holding of the deceased remains of fatalities.

Outcome

The capability directly results in the improved performance of the mission's medical resources, and ultimately the increased survivability of casualties in the field during a crisis. System performance should enable casualties to be treated according to the "10-1-2" guidance of immediate lifesaving measures of haemorrhage control and airway support within 10 minutes, advanced lifesaving support (ALS) and damage control resuscitation (DCR) within 1 hour, and transportation to an appropriate medical facility to receive damage control surgery (DCS) within 2 hours.

Tactical Exercise Considerations

Tactical exercising of Mass Casualty Management might involve actors playing the roles of casualties and validating the first aid and emergency medical capacities of field units and medical services.

Critical Tasks

Preparedness Phase	Critical Task		Indicative Supporting Metric
	1.1	Inventory all health and medical resources within the mission available from the UN, Host Country, and nongovernmental organisations; to include emergency medical services, trauma centres, acute care hospitals, specialized care centres, medical clinics, and other facilities.	Yes/No
	1.2	Establish procedures for expanding medical capabilities of mission medical services; including thresholds for exceeding internal medical capacities.	Yes/No
	1.3	Create mechanism for monitoring the bed availability at local and regional hospitals.	Yes/No
	1.4	Develop protocols for requesting ground ambulances from Host Country, including credentialing of medical providers and procedures for ambulances accessing security points at the mission.	Yes/No

	1.5	Develop programme for providing critical medical and trauma supplies to at-risk personnel in the mission; including Troops, Police, Mine Action, and Medical.	Yes/No
	1.6	Establish procedure for arranging evacuation of casualties via aeromedical resources from the mission, as well as emergency procedures for coordination of evacuations from the field; including tracking of evacuations and determination of receiving facility.	Yes/No
	1.7	Conduct annual review of MCI plan for the mission to ensure the preparedness of all personnel with a specific task in an MCI.	Annually
	1.8	Develop procedures for identifying, credentialing, and incorporating staff volunteers with first aid or emergency medical training into mass casualty incidents.	Yes/No
	1.9	Create plans, procedures, and guidelines for the humane and culturally appropriate care, transport, and final disposition of fatalities.	Yes/No
	1.10	Develop procedures for expanding storage and processing capabilities of mission medical services for fatality management; including thresholds for exceeding internal morgue capacities.	Yes/No
	1.11	Establish procedures for victim identification and ante-mortem data collection from next-of-kin.	Yes/No
	1.12	Design and conduct exercises to test Mass Casualty Management tasks within the UN mission and jointly with key Host Country partners.	Annual
	1.13	Train personnel on the Mass Casualty Management processes and procedures.	Annual
	1.14	Train at-risk personnel in the use of Individual First Aid Kits or other trauma supplies, and the provision of "buddy care."	Before deployment and refresher training every 2 years

Enhanced Monitoring	Critical Task		Indicative Supporting Metric
	2.1	Review available medical supplies and staffing to ensure operational readiness for potential impacts from threat.	Yes/No

Activation Phase	Critical Task		Indicative Supporting Metric
	3.1	Correctly identify life-threatening conditions with 1 minute of encountering casualty.	1 minute
	3.2	In the event of multiple casualties, perform proper triage of injuries to prioritise the injured into defined categories (Red, Yellow, Green, Black), with no more than 1 minute per casualty.	1 minute each

	3.3	Initiate immediate life-saving interventions, such as basic airway manoeuvres or bleeding control within 10 minutes of assessment.	10 minutes
	3.4	Notify Medical Services and arrange for casualty evacuation, either by ground ambulance or helicopter, within 10 minutes.	10 minutes
	3.5	Casualty receives emergency medical or trauma care from field medical staff or clinical care at mission facilities within 1 hour of injury.	1 hour
	3.6	Arrangements are made to ensure casualty is evacuated to a hospital or appropriate medical facility with 2 hours of injury.	Yes/No
	3.7	Provide emergency medical and psychological support to casualty throughout process until care transferred to more definitive care provider.	Yes/No

Activation Phase Immediate Considerations (Mass Casualty at UN Compound)	Critical Task		Indicative Supporting Metric
	4.1	Receive notification of casualty or mass casualty incident.	Yes/No
	4.2	Initiate notification of medical personnel within 5 minutes of notification of casualty or mass casualty incident.	5 minutes
	4.3	Notify local and regional hospitals of mass casualty incident and obtain census of available beds within 30 minutes of notification.	30 minutes
	4.4	Initiate procedures for establishing and maintaining field triage station for mass casualty incident within 30 minutes of notification.	30 minutes
	4.5	In the event of multiple casualties, perform proper triage of injuries to prioritise the injured into defined categories (Red, Yellow, Green, Black), with no more than 1 minute per casualty.	1 minute each
	4.6	Apply mass casualty triage tag to assist tracking each patient in mass casualty.	Yes/No
	4.7	Establish adequately supplied treatment area, or areas, to support the needs of the mass casualty incident within 30 minutes of notification.	30 minutes
	4.8	Obtain adequate staffing for triage and treatment areas.	Yes/No
	4.9	Arrange for transportation, via ground or aeromedical ambulance, to an appropriate level care facility for more definitive treatment within 1 hour of receiving casualty.	60 minutes
	4.10	Provide emergency medical and psychological support to casualties throughout process until transported to more definitive care provider.	Yes/No
	4.11	Ensure appropriate levels of personal protective equipment is available for all medical resources.	Yes/No
	4.12	Implement tracking system to monitor who has been treated and where they were transported to.	Yes/No
	4.13	Establish medical control for directing medical procedures in treatment areas within 30 minutes of notification.	30 minutes
4.14	Incorporate alternative means of transportation (i.e. taxis, staff cars, shuttles) as needed to support mass casualty transportation.	Yes/No	

Activation Intermediat ^a	Critical Task		Indicative Supporting Metric
	5.1	Casualties are evacuated to an appropriate medical facility within 2 hours of injury.	2 hours

Activation Phase Long-Term Response & Recovery	Critical Task		Indicative Supporting Metric
	6.1	Assess the current staffing and supply needs for mission medical facilities, requesting additional support as needed or recommending deactivation where appropriate.	Daily
	6.2	Conduct accountability of any casualties transported to hospitals within the mission to obtain status, safety, and other needs which the mission may be able to assist with.	Daily
	6.3	Coordinate mortuary affairs procedures for the transport and storage of human remains.	Yes/No
	6.4	Establish medico-legal roles and responsibilities with Host Country for identification and certificates of death.	Yes/No
	6.5	Coordinate with Host Country medical authorities on the release and return of UN fatalities from hospitals.	Yes/No
	6.6	Establish temporary morgue facility within mission to house and process fatalities until repatriation of remains can be arranged.	Yes/No
	6.7	Coordinate with Office of Human Resources Management on the notification of family and repatriation of remains.	Yes/No

Business Continuity Management

Definition

Business Continuity Management is the Essential Capability that ensures the mission can continue to fulfil its essential and time-critical programme responsibilities throughout a crisis; and to resume normal business operations as rapidly as possible after the incident. The ability to maintain business continuity throughout a crisis is a benchmark of a successful organisation and will help to ensure the safety of the staff as well as the reputation of the organisation as a whole. This Capability encompasses the associated actions of activating and managing a Business Continuity Management programme that includes accounting for staff stakeholder notifications, continuity measures for essential and time-critical business services, determination of responsible units and the opportunities to staff in these units to practice their functions, if possible also from an alternate site. The BC programme also defines how business continuity mode is activated as well as the reconstitution of normal business functions after the event.

Outcome

Successful fulfilment of this capability results in limited disruptions in the delivery of time critical programmes and rapid recovery of business processes following the conclusion of the crisis situation.

Tactical Exercise Considerations

Operational and Tactical exercising of Business Continuity might include assessing the activation of the Business Continuity Plan, offer the staff members the opportunity to practice the delivery of the time-critical programmes and their dependencies and operation of Continuity facility, testing redundant communications systems, operate an alternate site, and evaluating transfer of certain responsibilities to UNHQ or other missions as specified in the Business Continuity Plan.

Critical Tasks

Preparedness Phase	Critical Task		Indicative Supporting Metric
	1.1	Develop procedures and guidelines for the activation of the Business Continuity plan during a crisis.	Yes/No
	1.2	Mission Senior Management to define the essential and time critical services - or if a programme criticality assessment was done identify the essential business processes that support Programme Critical 1 and Programme Critical 2 services - that must be maintained during a crisis.	Yes/No
	1.3	Senior Management to define how long these programmes can be interrupted before suffering unacceptable losses.	Yes/No

1.4	Train staff members assuming time-critical functions and their alternates on their individual roles and responsibilities during an activation of the Business Continuity Plan	Yes/No
1.5	Design and conduct exercises to offer staff members assuming time critical functions opportunities to practice Business Continuity, and to test if the business continuity plan provides the required guidance and addresses interdependencies with other sections and harmonisation of other emergency plans of the Organizational Resilience Management System.	Annual
1.6	Establish clear Orders of Succession for key leadership roles to ensure key roles have alternates in the event the primary person is unavailable.	Yes/No
1.7	Potential alternate work spaces are identified for managing critical services, including the CMT and OCB, when feasible.	Yes/No
1.8	Communications processes are developed for owners of essential services.	Yes/No
1.9	Vital records, including copies of plans and contact lists, have been identified and processes for accessing these records during a continuity crisis have been established.	Yes/No
1.10	Procedures have been developed to identify which services can be devolved; as well as procedures for devolving responsibilities for those services to these other offices or Missions during a crisis.	Yes/No
1.11	Plans are developed to resume normal operations following a major crisis.	Yes/No

Enhanced Monitoring Phase	Critical Task		Indicative Supporting Metric
	2.1	Programme Critical processes are reviewed to identify potential vulnerabilities based upon the potential threat.	Yes/No
	2.2	Alternate communications and IT systems are tested to ensure operational readiness in the event the potential threat impacts	Yes/No
	2.3	CMT decides to activate	Yes/No
	2.4	Staff members assuming time-critical functions ensure they have access to all data, systems, applications they would need to continue these functions.	Yes/No
	2.5	Staff members assuming time-critical functions ensure that essential continuity equipment is functional, and they are prepared.	Yes/No
	2.6	Contact lists of all staff assuming time-critical functions are reviewed to ensure they are up-to-date	Yes/No

Activation Immediate	Critical Task		Indicative Supporting Metric
	3.1	Activate the Business Continuity Plan within 10 minutes of a crisis.	30 minutes
	3.2	Initiate the process to account for staff (especially owners of essential and time critical services) and report to CMT on an on-going basis	10 minutes

Activation Phase Intermediate Considerations	Critical Task		Indicative Supporting Metric
	4.1	Inform the CMT about the successes and resource requirements for ongoing continuity efforts	Yes/No
	4.2	Develop solutions for challenges in the implementation of business continuity measures	Yes/No
	4.3	Decision is made about what activities can be performed by staff remotely or from alternate work locations; and decision is communicated to entire staff.	Yes/No
	4.4	All vital records can be accessed during the operation of Continuity Site.	Yes/No
	4.5	Recognize the need for additional staffing and resources if emergency is expected to last longer than 24 hours.	Yes/No
	4.6	Conduct on-going assessment of PC1 and PC2 programmes to ensure effective use of resources to meet programme needs.	Yes/No
	4.7	Establish and maintain regular communication with support entities, such as CMT.	Yes/No

Activation Long-Term	Critical Task		Indicative Supporting Metric
	5.1	Review the current impacts upon business continuity management.	Daily
	5.2	Work with OCB to determine time for resumption of normal business practices.	Weekly
	5.3	Implements organised resumption of normal business operations.	Yes/No

Deactivation	Critical Task		Indicative Supporting Metric
	6.1	Implements organised resumption of normal business operations.	Yes/No