



The Challenges' Concepts and Doctrine Development Project Summary of Work to Date A Short Paper for the New York Challenges' Forum - Nov 2009

I. Genesis

1. In order to contribute to the harmonisation of practice for international and multidimensional peace operations, the Challenges Forum Partnership decided, at their Paris meeting in October 2008, to remain engaged with the UN's doctrine project through "discussion, advocacy and where possible, substantive support." In pursuit of this intent, discussions took place in Autumn 2008 between the Challenges' Coordinators and DPKO as to where the Partnership might best make a contribution to the UN's doctrine work. It was agreed that Challenges should focus on identifying some of the principles and concepts underpinning the three core functions of UN multi-dimensional peacekeeping as articulated in DPKO's "Capstone Doctrine". In this process there would be no attempt to write doctrine for DPKO but, by identifying and discussing the concepts needed to "operationalize" the three strands of core business for contemporary peacekeeping, make a welcome, inclusive and enabling contribution to the debate on these issues amongst the international community. The result of this independent Challenges work was to be presented at the International Forum for the Challenges of Peace Operations in Australia in April 2010.

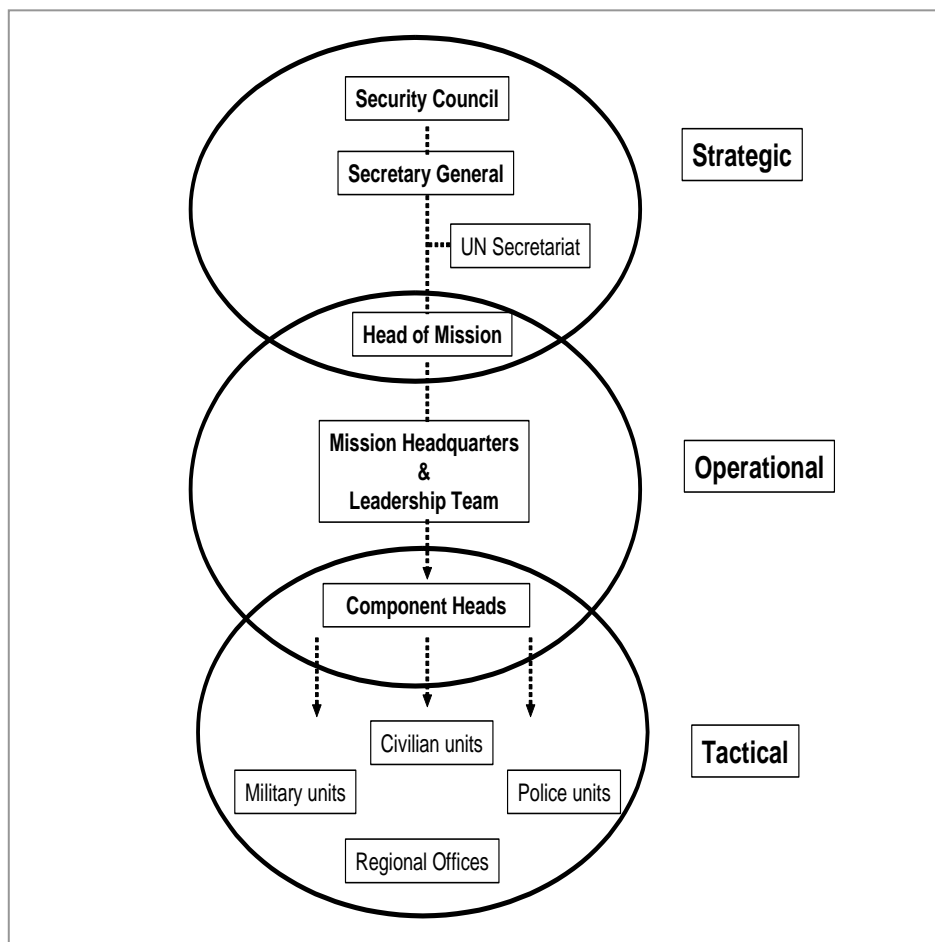
2. In pursuit of this objective, the Challenges Partners met for a two-day workshop in PKSOI Carlisle, Pennsylvania, in January 09. The purpose of this first Workshop was for the Partners to discuss the participation, scope, content and schedule of the work strands as defined by the three core functions of multi-dimensional peacekeeping. The working groups in this process captured thoughts and themes, which were consolidated into a work programme. The purpose and aim of the Partners' work was identified and agreed as *to contribute to conceptual thinking and understanding of the core functions of multi-dimensional peace operations in order to assist the development of operational level guidance material for peace keeping practitioners within DPKO in late 2010*. This still remains extant.

3. The core functions of a UN multi-dimensional peacekeeping operation as set out in Chapter 2.3 of DPKO's Capstone Doctrine are:

- a. To create a secure and stable environment while strengthening the State's ability to provide security with full respect for the rule of law and human rights.
- b. To facilitate the political process by promoting dialogue and supporting the establishment of legitimate and effective institutions of governance.

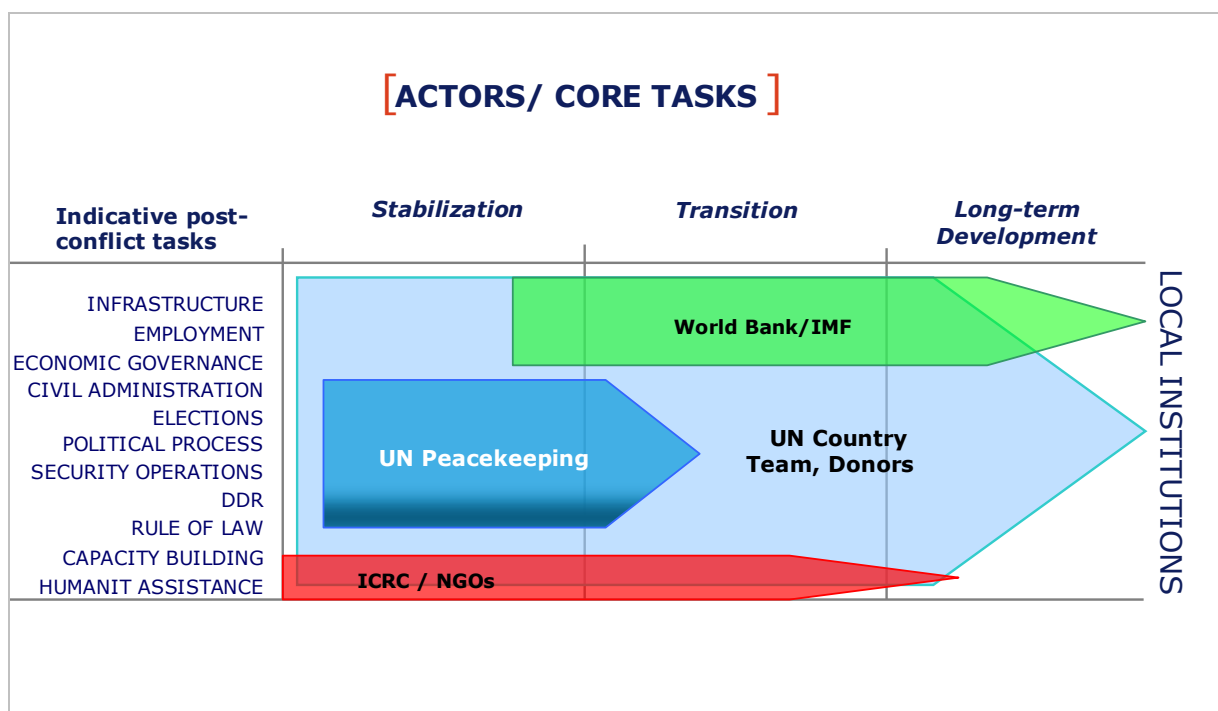
- c. To provide a framework for ensuring that all UN and other international actors pursue their activities at the country level in a coherent and coordinated manner.

4. It was understood and confirmed by Security Council mandate analysis that these core functions all must be performed by a contemporary peacekeeping mission and often simultaneously. There was considerable analysis of their meaning. This led to overlapping themes being identified in the working groups, as well as themes upon which substantive work had already been done within DPKO. In order to focus effort the attached diagram from page 67 of the Capstone Doctrine was discussed.



The Capstone Doctrine gave guidance at the strategic level, although its principles and guidelines have resonance at all levels. It was identified at Carlisle, by DPKO's Best Practice team, that DPKO were working on a hierarchy of guidance material, at the tactical level. The linking bridge was the operational level - the centre circle - where all the complex lines of activity leading to success needed to be knitted together (integrated) into one plan. This was the business of the Senior or Mission Leadership Team (SLT) headed by the Head of Mission (HoM). The working groups, accordingly, were focused on conceptualizing the guidance needed for the HoM and SLT, as they struggle to implement complex SC mandates under the three core functions.

5. The other starting point for Partners’ conceptual work was an understanding of why there had been an articulation of the core functions. There are a multitude of tasks, or lines of activity, needed to support a mandate designed to move an immediate post-conflict environment towards one where there is a prospect of a sustainable peace. Contemporary multi-dimensional peacekeeping missions with their integrated constructs have political “leadership” of this process, but without the necessary authority, budget, expertise or resources to undertake all of the tasks. In order to help peacekeeping missions focus on their core business and avoid unnecessary mission creep, the core functions were articulated from an extrapolation of past mandates. The Capstone Doctrine says to senior mission leadership “this is your core business”, but it was widely recognized that there is then not much guidance on how to implement this business; hence the need for the Challenges’ work. This is illustrated by the diagram at page 23 of the doctrine, copied below.



In the context of the peacekeeping mission being only one (albeit the largest) player in a post conflict environment, the question for the Challenges Partners’ was: how do the HoM and the SLT implement the core functions in this context while keeping all the arrows pointing in the same direction?

II. Refinement

6. Working Groups. In order to share the work, the need for three working groups was identified at Carlisle. Each working group was to focus upon one of the core functions. The working groups took time to stabilize but resolved as the following focuses: Working Group 1, co-chaired by NDU Pakistan and the US PKSOI, upon the concepts in guidance terms which supported the core function of a “Secure and Stable Environment”; Working Group 2, co-chaired by USI India and PPC Canada, upon the second core function, specifically the Rule of Law, Governance and Social and Economic Recovery; and Working Group 3, co-chaired by the Australian Asia-Pacific Civil Military Centre of Excellence and ISS South

Africa, upon the cross-cutting issues encompassed by the core function of “providing a framework for the ensuring that all UN and other international actors pursue their activities at the country level in a coherent and coordinated manner.” Partners were canvassed in the spring and summer of 2009 and volunteered to participate in one or more of these working groups.

7. Normative Framework of Working Groups. This was established as:
 - a. All working groups should try to be as geographically inclusive as possible in their membership. The value of the work to DPKO should come from its broad representation. Furthermore, participation from a mixture of government, defence sector, police, academia and NGOs was highly desirable.
 - b. All groups should develop links into DPKO to have knowledge of and access to relevant guidance material. Duplication of work was to be avoided. All groups should start with an analysis of the respective core function and its implications for the SLT.
 - c. All groups should conduct a mandate analysis of those SC mandates relevant to the core function with a view to making recommendations of what works and what does not.
 - d. All groups should include the need for measurement of success/effectiveness, or benchmarks for use by the SLT in their implementation of the relevant core function.
 - e. All groups should liaise with other group leads to avoid duplication of effort.
 - f. While groups may wish to commission more than one paper to help focus their discussions, their final product should be a single paper. The Coordinators were to give further guidance on the format of this paper.
 - g. All groups should be prepared to present progress at the Challenges Forum in Islamabad in July. (This was later changed to New York in November.)

III. Development

8. At a subsequent Co-Chairs meeting in Stockholm in June 2009, it was agreed that there should be one final document, which should fuse together the products of the three working groups. However, it was also identified that there were many things that needed to be done or overseen by the SLT, within “the core functions”, in order to achieve the strategic goal of a mission, while meeting the various SC mandates. Many of these things were generic. A framework for the conceptual guidance could therefore be developed, which identified these things and then discussed the tasks, activities, resources and issues that accompanied them. From this reasoning, it was decided that a matrix-based approach should be adopted with the final product of the working groups being to:

- a. Identify the various key objectives that needed to be tackled by a Mission’s Senior Leadership Team (SLT). These were to be deduced from existing mandate analysis.
- b. Extract from these key objectives a generic set of operational outputs that needed to be achieved to meet them.
- c. Identify from these outputs a series of activities that needed to be undertaken by the mission in order to achieve the desired outputs.

- d. Associate with these activities the responsibilities, resources, benchmarks, challenges, risks and implications that would ultimately lead to meeting the objectives. All of which needed to be considered by the SLT. The final document should try to capture these generic concepts so that it could then be used to assist the thinking of DPKO in their development of a guidance document to help the mission SLT.

9. This approach was agreed in Stockholm in June 09, as it built upon work to date and upon the Capstone Doctrine. It was also agreed that the end product should be a conceptual document identifying the likely objectives, outputs and activities (the terms could be adjusted to suit the current state of the DPKO IMPP) and discussing the issues associated with them. In this way the core functions could be broken down into activities and analysed, the better to give guidance at the operational level. A matrix highlighting the key ingredients would support this discussion document. The matrix would illustrate clearly but briefly the factors that should be considered by the SLT in order to achieve the tasks identified by the mandate. Additionally, it was noted that to add real value the conceptual analysis needed a discussion on the assumptions, challenges (or risks), and implications inherent in any output or activity. Equally, it was thought necessary to include a discussion on likely success criteria and benchmarking.

10. The Co-Chairs identified that there were dangers in stereotyping missions and their problems, and so agreed that any conceptual guidance should not be a prescriptive check-list of things that must be done (an impossible task anyway) but more of a helpful discussion, under generic headings, of the things that the SLT might like to consider as best practice from most comprehensive peace keeping missions. The importance of the political engagement of the SLT needed to be stressed throughout. Indeed it was identified that SLT engagement was not a mechanistic process but a skilled articulation of refined political judgement. Nevertheless it was recognized that this judgement could be better informed by a knowledge of best practice and some generic guidance.

11. Key Objectives and Working Group Allocation. The work by the Co-Chairs in Stockholm in June was refined in a subsequent meeting of Co-Chairs in Stockholm in September. Key objectives extracted from mandate analysis were tested and agreed as follows:

- a. The creation of a secure and stable environment.
- b. A strengthened rule of law with full respect for human rights.
- c. Strengthened institutions of governance.
- d. The promotion of social and economic recovery and development.

12. Broadly all recent Security Council mandates fit within one of these four key objectives. Clearly not every mission need tackle them all. It was decided that Working Group 1 should deal with Objective 1, the creation of a secure and stable environment, while Working Group 2 should deal with the other three Objectives.

13. Cross-Cutting and Coordination Issues. It was also agreed that Working Group 3, in line with their core function work, should identify and handle all the coordination and crosscutting issues that were identified in this analysis. These were

identified as:

- a. The key principles and challenges of coordination and integration.
- b. The differing levels and relationships of coordination and integration with suggested mechanisms and examples of best practice.
- c. The crosscutting issues faced by the SLT which should include inter alia: cultural awareness and respect for national and local ownership, protection of civilians, conduct and discipline, human rights, gender, children, HIV, sexual violence and exploitation, and communications and the media.

14. Within the framework of issues identified in Carlisle in January, various outputs and activities were brainstormed by the Co-Chairs in June, tabulated and developed for their consideration in September, and further refined to allow more development in anticipation of presentation to Partners in New York in November. All this work was framed by agreed matrix format by the Co-Chairs in September. The matrix format was designed to serve two functions: initially to provide the skeleton or framework for the conceptual guidance discussion, and latterly to provide an example aide memoire for DPKO to help their consideration for a guidance document to mission SLTs.

IV. Production

15. Since the September Co-Chairs meeting the Working Groups have been developing their conceptual guidance within the framework of the agreed matrix format. This work has now been sent to the Coordinators and will be discussed with DPKO in New York prior to the Partners' Meeting. It is worth re-emphasizing that the Challenges Partners are not trying to write DPKO's guidance for them. Rather they are responding to DPKO's original request to brainstorm and develop, in an inclusive way, the concepts needed to assist the preparation of guidance by DPKO. This guidance is likely to be a rewrite and modernisation of the Handbook for Multi-Dimensional Peacekeeping. Meanwhile, the work to date will be presented to Partners at their November meeting in New York. The intent remains to produce a single conceptual document for Partners' consideration at the Australia Challenges Forum in April 2010. The nature of this document was discussed by the Co-Chairs and will need further refinement once DPKO's requirement is clarified. Irrespective, between New York and Queanbeyan (the site of the Australian Forum) there will be a need for a close engagement by Partners wishing to contribute to this important work. To assist this, there will be a meeting of attending Partners in Sydney in late November, during the IAPTC, and a meeting of Co-Chairs and active Partners in Pretoria in February.

Robert Gordon
5 November 2009