# Module 6: Introduction to Military Component Planning Process

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Introduction
The Introduction to Military Component Planning Process is designed to facilitate timely planning and complex decision making required by force and sector headquarters elements of peacekeeping operations. It is a comprehensive process that guides military staff officers in their decision making within a UN peacekeeping environment. It is however based on the presumption that, qualified military staff officers would have undergone national staff courses as part of their career progression.

This module is intended to provide guidance to staff officers in the performance of their planning duties at UN field mission force and sector HQs. It is not meant to substitute national training doctrines of Troop Contributing Countries but to complement their peacekeeping training effort.

Staff officers are therefore advised to combine their knowledge and experience, the FC’s style and the peculiarities of the operational area in their planning process.

Aim
The aim of this module is to provide Military Staff Officers with the necessary information to understand the requirements and procedures of Military Component Planning Process in a United Nations Peacekeeping operation.

Learning Outcomes
On completion of this Module, participants will:
- Identify the phases of the Military Component Planning Process
- Describe the basic tenets of Mission Command
- Understand the Staff officers’ contribution to UNPKO Military Component Planning Process
- Understand the UN military component authority, command and control structure and relations
- Understand the how Operational Area is generally organised for effective mandate implementation

Training Sequence
This module could be delivered over three or more training sessions, depending on the learning activities used and the level of participants’ comprehension of the process.

It is highly recommended for this module to be delivered after the modules on Integrated Mission Planning Process and Information Gathering. Also, give the participants a brief explanation on why they should pay special attention to this module. Refer to: Background in the Preparatory Notes to the Instructor
**Duration**

<table>
<thead>
<tr>
<th>Minimum Session Time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>350 Minutes</td>
<td>175 min</td>
<td>35 min.</td>
<td>140 min</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Additional Options</th>
<th>Mission Specific</th>
<th>Optional Film</th>
<th>Optional Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>90 Min for a scenario based learning activity</td>
<td>TBD by Trainer 20 min</td>
<td>TBD by Trainer 40 min</td>
<td>TBD by Trainer 60 min</td>
</tr>
</tbody>
</table>

**Methodology**

The delivery of this module should be based on participatory learning principles in order to keep participants engaged. The facilitation team should use as many of the learning activities as time allows and keep them tailored to the target audience. Participants should be fully involved in the learning process through practical exercises, brainstorming sessions, scenario-based case studies, working in small groups on specific tasks, etc.

It is advisable to distribute all handouts prior to the session, to give participants enough time to prepare for an interactive lesson.

**Structure of the presentation**

**Conceptual Background**

- Principles of Planning
- UN Authority, Command, and Control
- Risk management

**The planning process**

- Analysis of the Operational environment
- Step 1. Guidance
- Step 2. Mission Analysis
- Step 3. Courses of Action Development
- Step 4. Course of Action Analysis and Selection
- Step 5. Develop Concept of Operations and Plan

*Note to Instructor:* Instructors are encouraged to use examples and mission-specific information related to the specific deployment of participants during training delivery.

**Instructor Profile**

This module is best presented by a military Senior Staff Course qualified instructor with peacekeeping experience and good understanding of the United Nations Integrated Mission Planning Process (IMPP).
Instructor Preparations

General Sources
The material contained in this module draws on training manuals, doctrine, concepts, and best practices provided by Member States and their Peacekeeping Training Centres, UN Missions and UN Headquarters.

Required Readings
The material listed below form the basis of the guidance material on which this module is based. Instructors should familiarise themselves with these documents prior to preparing their presentations:

- United Nations Peacekeeping Operations: Principles and Guidelines (Capstone)
- CPTM Module 2: The Establishment and Functioning of UN Peacekeeping Operations
- UN IMPP Guidelines: Role of the Field - Integrated Planning for UN Field Presences, January 2010
- UN IMPP Guidelines: Role of the Headquarters - Integrated Planning for UN Field Presences, May 2009
- UN Strategic Assessment Guidelines, May 2009

General Preparations

Equipment:
1. Computers
2. Projector and Screen
3. Flip Chart

Materials:
- Copies of handouts
- Templates for matrices

Mission Specific
If this module is being presented to prepare participants for a particular UN peacekeeping mission, then gather mission specific information from ITS Community of Practice platform (cop.dfs.un.org), or the specific mission’s website http://www.un.org/Depts/dpko/dpko/index.asp). Additional mission specific information is available at the UN DPKO Policy and Training internet website: http://peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/Home.aspx
Symbols Legend

☞ Note to the Instructor (Some background information for consideration)

💬 Speaking Points (The main points to cover on the topic. Ideally the speaking points are presented in the instructor’s own words versus being read to participants)

📍 Mission Specific (A point where the session will benefit from mission specific information)

مثال (Stories that illustrate a point or key message)

❓ Sample questions (A list of potential questions to pose to participants)

🗂️ Handout (Indicates a handout is provided to participants at this point)

📽️ Film (A film that is recommended as a core part of the training or an option)

🧠 Core Learning Activity (An activity that is strongly recommended for inclusion)

💡 Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group. Guidelines for these activities are provided at the end of the unit, section or part – as indicated in the text)

➡️ Key summary points (Key messages that are worth repeating at the end of the session.)
### Slide 01: Military Component Planning Process

**Aim**

The aim of this module is to provide Military Staff Officers with the fundamental skill of the UN Military Component Planning Process, its requirements and procedures in a United Nations Peacekeeping operation.

### Slide 02: As UN Staff Officer...

**Why should I know this?**

### Slide 03: Learning Outcome

On completion of the module, participants will be able to:

- Identify the phases of the Military Component Planning Process
- Describe the basic tenets of Mission Command
- Understand the Staff officers’ contribution to UNPKO Military Component Planning Process
- Understand the UN military component authority, command and control structure and relations
- Understand the how Operational Area is generally organised for effective mandate implementation

### Slide 04: Session Notes

Given the participants a brief explanation on why they should pay special attention to this module. Highlight the importance of Introduction to the IMPP and the Information Gathering Modules as this module will build on that knowledge. Refer to: Background in the Preparatory Notes to the Instructor.
strategic planning in UNHQ, and provided as guidance through relevant documents like the Security Council Resolution outlining the mandate of the mission, the CONOPS, Integrated Strategic framework (ISF), Mission Concept etc.

Structure of the presentation

**Conceptual Background**
- Principles of Planning
- Risk management
- UN Authority, Command, and Control

**The planning process**
- Analysis of the Operational environment
- Step 1. Guidance
- Step 2. Mission Analysis
- Step 3. Courses of Action Development
- Step 4. Course of Action Analysis and Selection
- Step 5. Develop Concept of Operations and Plan

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CONCEPTUAL BACKGROUND

- Principles of Planning
- UN Authority, Command, and Control
- UN Operational Area Organisation

- The conceptual background provides a basic operational framework to guide the conduct of the MCPP. A good grasp of the conceptual background facilitates the understanding of the planning process by putting it in its appropriate context.

**Principles of Planning**

*Note to instructor:* It is important for all to understand these basic principles of planning and be able to apply them as they are common themes across all aspects of military operations.

A basic principle of good planning is that individual short-term decisions should support strategic long-term goals. This requires comprehensive situational analysis by staff officers and guidance and direction from leadership to manage the process effectively.
Principles of Planning

- Methodical Process leading to Optimal Solutions
- Should be:
  - Comprehensive
  - Efficient
  - Inclusive
  - Informative
  - Integrated (with long term goals)
  - Logical, and
  - Transparent.

Planning Principles. Good planning requires a methodical process that clearly defines the steps that lead to optimal solutions. This process should reflect the following principles:

- Comprehensive – All significant options and impacts on work of other components are considered.
- Efficient – Efficient use available resources.
- Inclusive – All components affected by the plan have opportunities to be involved.
- Informative – Results are understood by stakeholders (people affected by a decision).
- Integrated – Individual, short-term decisions should support strategic, long-term goals.
- Logical – Each step should lead logically to the next.
- Transparent – Everybody involved should not only be aware of the desired end-state but also understand their roles in each step of the process.

Themes of Planning

- Determine the nature of the problem and what is to be achieved
- Gather information
- Generate options to achieve those goals
- Decide on the way ahead and then execute it. Who, What, Where, When, How, Why?
• Determine the nature of the problem and what is to be achieved
• Gather information
• Generate options to achieve those goals
• Decide on the way ahead and then execute it. Who, What, Where, When, How, Why?

Even though planning skills are used in everyday military life, participants should be aware that, in a peacekeeping operation they will be engaging with civilian mission components and many agencies and organizations that may not be familiar with the military planning process, but will possibly have a process of their own. The military staff officer must be flexible enough to combine these processes especially in an integrated mission.

Mission Command

The usual non-linear nature of Peacekeeping Operations imposes many command and control challenges for Peacekeepers. Unit and sub-unit commanders who are remotely deployed or facing rapidly changing situation should be able to take decisions in line with the mission’s overall objective. They would therefore need a clear understanding of their higher commander’s intent and total comprehension of their assigned task/role and its purpose in higher commander’s plan to enable them to make timely and appropriate decision.

Principles of Planning

Tenets of Mission Command

• Decentralised Command
• Commander’s Intent
• Initiative
• Responsibility
• Trust and Mutual Understanding

The mission command concept is based on decentralised command that focuses on subordinates’ understanding of higher commander’s intent, their role in his plan, and a clear responsibility to exercise initiative in line with that intent in order to take timely decision toward achievement of the mission’s mandate. It also calls for trust and mutual understanding between commanders and their subordinates. Missions assigned to subordinates; apart from the “who, what, where and when” aspects, should also include the reason “why” that task should be carried out in order to guide use of initiative by subordinates.
Visualisation of the Operational Area

- Decisive Operations
- Shaping Operations
- Sustainment Operations

This is a complete visualisation of the operational area for the challenges, possibilities, and limitations it offers in deploying military forces. It entails the use of operational concepts to guide both command and staff in seizing and maintaining initiative. Operational Area Organisation helps commanders to control and regulate the tempo of operation and also ensures that the operation is planned and conducted with a higher degree of certainty.

The visualisation of the operational area involves the allocation of resources in the area of operation (AO) by purpose. The purpose could be the conduct of one or a combination of the concepts of shaping, sustainment or decisive operations. The application of these concepts in MCPP is a useful approach to providing a simple but comprehensive guide to the development of creative operational area organisation. These concepts form the basis for the development of the Concept of Operations (describing how shaping operations will facilitate decisive operations), assignment of tasks and allocation of resources to all units in the AO. They entail a functional categorisation of military activities in an operational area in a way that helps in phasing, synchronising, and focusing those activities toward mission success.

**Decisive Operation**

Decisive operations are carried out to directly accomplish the task/mission assigned by the higher headquarters. A Decisive Operation has a direct bearing and conclusively determines the outcome of the Mission’s success. Depending on complexities of the situation, there may be multiple activities conducted concurrently or sequentially as part of one decisive operation.

**Shaping Operations**

Shaping Operations entail all activities conducted to create and preserve conditions for the success of Decisive Operations. These include those activities that limit the operational capabilities and freedom of movement of armed elements, such as cordon and search and check points, long range/air inserted patrols etc. Shaping Operations may also involve hearts and minds operations like Quick Impact Projects (QIP) and other humanitarian activities to gain the confidence, acceptability and support of the local or civil population. Shaping Operations therefore begin before and continue after Decisive Operations and may be conducted throughout the operation.
**Sustainment Operations**

- **Sustainment Operations** generate, maintain and synergise the enabling environment for the conduct of shaping and decisive operations. This includes the timely and adequate provision of appropriate administrative and logistic support, base and rear area security, movement control, terrain management, and infrastructure development to the mission elements. Sustainment Operations are hence influenced by the operational tempo of the AO. It is therefore important for the rhythm of the operation and anticipates the operational requirements to support it. Also, effective Sustainment Operations serves as a force multiplier for the mission.

In UNMIL for example; the success of the Mission hinged on one **Decisive Operation** - a successful conduct of the Liberian Presidential Elections. This ranged from the ensuring a secure environment for pre-voting activities, provision of security to all polling stations during voting, crowd control after announcement of the result and provision of security for the inauguration of the president elect. Some **Shaping Operations** that heralded the **Decisive Operations** included Long Range Patrols, supporting the Disarmament, Demobilisation, and Reintegration (DDR) programmes, extensive cordon and search operations and domination of the AO with a progressive system of checkpoints, observation posts, and day night foot and mobile patrols.

Group Participants into three syndicates and either give them a separate mission mandate or a single mission mandate for them to ascertain and present the decisive, shaping and sustainment operation that may be applicable to that or those mission(s).

The **Military Component Planning Process (MCPP)** is designed to give effect to the DPKO Military Planning Process (MPP) at the Force and Sector HQs in the field. It is designed to increase the awareness of the staff officers about the process. It also provides good grounds for incorporating the IMPP in the Mission’s decision making process.

**Risk Management**

**Risk Management**
The identification and assessment of potential risks in a given Course of Action with the view to minimizing, monitoring, and controlling its probability and possibly exploiting its inherent opportunities.

Risk Management is a six-step process, which identifies operational hazards and takes reasonable measures to reduce risk to personnel, equipment and the mandate. The Mission Concept and the ISF are good sources for inputs into this exercise. The FC and his staff identify some potential hazards based on those documents, and the staff analysis in order to make initial assessment of risk levels in the operational area.
Threats
A condition, event, or circumstance that could lead to or contribute to an unplanned or undesirable situation

- Threats, including Hazards, are sources of danger or risks due to enemy or adversary presence and other conditions not due to enemy or adversary capabilities.

- *The Threat could be basically illustrated as the Capability multiplied by the intent.*

Risk
The combination of the impact and likelihood for harm, loss or damage to the Operation from the exposure to threats.

- Risk is characterized by both the probability and severity of a potential loss that may result from hazards due to the presence of an enemy, an adversary, or some other hazardous condition.

- *The risk could be basically illustrated as the impact multiplied by the likelihood.*

Risk Management Principles
- Transference (to another party)
- Avoidance
- Reduction
- Acceptance
- Exploitation

- The FC decides on the level of acceptable risk that he is willing to take. The objective of risk management is to protect the force and civilians and increase the chance of mandate accomplishment.

- The key principle to consider in conducting risk management include transferring the risk to another party(if that will be advantageous to the UN), avoiding the risk, reducing the negative effect or probability of the risk, accepting some or all of its consequences or even where possible, exploiting any potential opportunity the risk may offer to us.
Risk management is both command and staff responsibility. It behoves on both elements to work together to ensure an effective risk management system is in place in the mission.

First, all Threats to the force’s current and future operations need to be identified. A Threat is any existing or potential condition that can cause injury, harm, or death of personnel; damage to or loss of equipment or property; or degrade operational security.

Each Threat is then assessed to determine the risk of potential loss based on probability and severity of the Threat. The probability and severity levels of a threat are estimated based on the available knowledge on its probability of occurrence and the severity of its consequences. The risk level is determined by the intersection of the probability column and the severity row. The matrix below:

<table>
<thead>
<tr>
<th>RISK ANALYSIS TABLE</th>
<th>IMPACT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Negligible</td>
</tr>
<tr>
<td>Very Likely/Imminent</td>
<td>Low</td>
</tr>
<tr>
<td>Likely</td>
<td>Low</td>
</tr>
<tr>
<td>Moderately Likely</td>
<td>Very Low</td>
</tr>
<tr>
<td>Unlikely</td>
<td>Very Low</td>
</tr>
<tr>
<td>Very Unlikely</td>
<td>Very Low</td>
</tr>
</tbody>
</table>

The end result of this assessment is an initial estimate of risk for each identified threat expressed in terms of Very Low, Low, Medium, High and Very high as determined from the standardized application of the risk assessment matrix.
Risk management here is distinct from the one done by the Department of Safety and Security (DSS). In MCPP, risk management is directed at reducing operational uncertainties while taking advantage of opportunities. This leads to the development of control and risk reduction measures to ensure acceptable levels of risks are not exceeded.

Risk management is a crosscutting exercise in the entire Military Component Planning Process and even more crucial during the execution process.

The presence of many ex-combatants in an AO may be a threat to the peace process but their capacity to mobilise and their ability to access weapons is a risk that has to be constantly managed mostly in collaboration with all stakeholders in the conflict.

**UN Authority, Command, and Control**

Let participants recollect their lesson on Authority, Command and Control in United Nations Peacekeeping covered in CPTM Unit 2 – Part 2: How United Nations Peacekeeping Operations Function. This session makes it more comprehensive to suit the demands of military staff officers.

Before showing the slide below; discuss hierarchy of operations with the participants. Also refer participants to the DPKO-DFS Policy: Authority, Command and Control in United Nations Peacekeeping Operations, 2008.
Levels of Authority, Command and Control in UN Peacekeeping Operations

UN policy directive defines and describes UN peacekeeping Authority, Command and Control as three separate but overlapping levels of Strategic, Operational and Tactical. These levels clarify the seamless links between strategic objectives and tactical actions. Within a mission area, the framework includes a clear chain of command and appropriate succession arrangements.

**Strategic Level:**
- This is the management of a peacekeeping operation at United Nations Headquarters level in New York. The Security Council provides the legal authority, high-level strategic direction, and political guidance for all UN peacekeeping operations, and vests the operational authority for directing these operations in the Secretary-General who also delegates responsibility for the administration and provision of executive direction for, all UN peacekeeping operations to the Under Secretary-General for Peacekeeping Operations (USG DPKO).

**Operational Level:**
- The field-based management of a peacekeeping operation at the Mission Headquarters is considered to be the operational level. The following senior officials hold operational level authority, and command and control responsibilities at the Mission Headquarters level:
  - Head of Mission (HOM);
- Head of Military Component (HOMC);
- Head of Police Component (HOPC);
- Deputy Special Representative(s) of the Secretary-General (DSRSG); and
- Director of Mission Support/Chief of Mission Support (DMSICMS)

In addition, there are several joint, integration and coordination structures that support mission-wide coherence at the operational level. These are not command and control structures but they support the integration effort across the peacekeeping operation under the authority of the Head of Mission.

**Tactical Level:**
- This entails the management of military, police and civilian operations below the level of Mission Headquarters as well as the supervision of individual personnel. It is exercised at various levels by subordinate commanders of respective components and designated civilian heads at levels below the Mission Headquarters. Tactical level includes all subordinate command levels established within the military command frameworks i.e. Brigade, Regional, and Sector Commanders etc.

- Tactical level commanders report directly to their respective operational commanders. This level of command and control generally involves the physical conduct of tasks in order to implement or safeguard the mission's mandate. Where a Division Headquarters is established in the operational chain of command, this headquarters shall be considered to be at the operational level of command and control although reporting to the HOMC at Mission Headquarters.

**Status of UNDPKO Authority, Command and Control Relations**
- The authority, command and control arrangements within military components of United Nations peacekeeping operations as well as their relationship with other uniformed and civilian components is an important tool for effective integration of the mission effort in multidimensional peacekeeping operations. Clear command and control arrangements also support greater cohesiveness amongst all mission elements, leading to efficient and effective implementation of mandates and strengthening the mission's preparedness to handle crisis situations. This allows the higher and lower level commanders and staff at all levels to have a common understanding of the status of the command and control they have issued or received.

- Authority, command and control arrangements also clarify the inherent responsibilities, degree of separate employment or tasking, and caveats associated with the employment or deployment of resources assigned to them.
**Status of UNDPKO Command and Control**

- United Nations Operational Authority (OPA)
- Tasking Authority (TA)
- Command (COMD)
- United Nations Operational Control (OPCON)
- United Nations Tactical Command (TACOM)
- United Nations Tactical Control (TACON)
- Administrative Control (ADCON)

> Note that Troop Contributing Countries (TCCs) retain Full Command of forces assigned to a mission.

**United Nations Operational Authority**

The authority transferred by the member states to the UN to use the operational capabilities of their national military contingents, units, Formed Police Units and/or military and police personnel to undertake mandated missions and tasks. Operational authority over such forces and personnel is vested in the Secretary-General. In the field mission Operational Authority is vested in the SRSG.

**Tasking Authority**

The authority vested in specified senior appointments (Head of Military Component (HOMC), Head of Police Component (HOPC) or Director of Mission Support /Chief of Mission Support (DMS/CMS) to assign tasks to enabling units. This includes the authority to deploy, redeploy and employ all or part of an enabling unit to achieve the mission's mandate. Enabling units comprise aviation, engineering, logistics, medical, signals, transport and Explosive Ordnance Disposal Units. Tasking authority over military or police personnel/units, when exercised by civilians is applicable for their routine, day to day employment.

**Command**

The authority vested in a Military Commander for the direction, coordination and control of military forces. Command denotes functional and knowledgeable exercise of military authority to attain military objectives.

**United Nations Operational Control**

The authority granted to a Military Commander in a United Nations Peacekeeping Operation to direct forces assigned so that the Commander may accomplish specific missions or tasks which are usually limited by function, time, or location (or a combination), to deploy units concerned and/or military personnel, and to retain or assign Tactical Command or Control of those units/personnel. This includes the authority to assign separate tasks to sub units, as the operational necessities require, within the mission area of responsibility, in consultation with the Contingent Commander and as approved by the United Nations Headquarters.
United Nations Tactical Command

The authority delegated to a commander in a United Nations Peacekeeping operation to assign tasks to forces under their command for the accomplishment of the mission assigned by higher authority.

United Nations Tactical Control

The detailed and local direction and control of movement, or manoeuvre, necessary to accomplish missions or tasks assigned. As required by operational necessities the Head of Military Component (HOMC) and Head of Police Component (HOPC) may delegate the Tactical Control of assigned military forces/police personnel to the subordinate sector and/or unit commanders.

Administrative Control

The authority over subordinate or other organizations within national contingents for administrative matters such as personnel management, supply, services and other non-operational missions of the subordinate or other organizations. Administrative Control is a national responsibility given to the National Contingent Commander (NCC) in peacekeeping operations.

Status of UNDPKO Command and Control Matrix

<table>
<thead>
<tr>
<th>Details</th>
<th>OPA</th>
<th>TA (Enabling Units Only)</th>
<th>COMD</th>
<th>OPCON</th>
<th>TACOM</th>
<th>TACON</th>
<th>ADCON</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assign Mission</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Delegate Equal Command and Control</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Separate Employment of Components</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assign Task</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Delegate Lower Command and Control</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Coordinate Local movement</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Service Support Responsibility</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

This matrix should only serve as a guide. Situations in the mission may necessitate adoption of some other local arrangements to complement these ones.
THE PLANNING PROCESS

The planning process
• Analysis of the Operational environment
• Step 1. Guidance
• Step 2. Mission Analysis
• Step 3. Courses of Action Development
• Step 4. Course of Action Analysis and Selection
• Step 5. Develop Concept of Operations and Plan

The Military Component Planning Process has six steps as shown on the slide below. It is here depicted cyclically because of its continuous nature in DPKO led Peacekeeping Operations. Also the Analysis of the Operational Environment (AOE) is centrally located due to the fact that it provides inputs for the development of each step.

Analysis Of the Operational Environment

For the military planning staff of the mission FHQ to have a better understanding of the operational area and the options available to mission elements and conflict parties, the process of AOE needs to be carried out. The AOE is a systematic and continuous process of analyzing the threats and the operational environment in order to produce an appropriate description of how they affect mandate implementation. Hence, this process informs the Force Commander in selecting the appropriate Course of Action (COA) for an effective and efficient implementation of the mandate.

The slide above shows the five cyclical steps for MCPP and highlights (with red ring) the interconnecting role of the AOE. Before showing the slide below; ascertain the participants’ level of comprehension of the Intelligence Preparation of the Battlespace (IPB) which forms the basis for the AOE. Participants should also be referred to related the lesson in Module 5 – Information Gathering.
Analysis of the Operational Environment
(Steps)

- Description of the Operational Environment
  - Describe the environment
  - Analyse the Terrain
  - Describe the effects on operations

- Threat Evaluation
  - Conflict Parties
  - Internal Dynamics
  - External Interest

- Determination of Threat’s Courses of Action
  - Visualise Potential Problems Using Effects
  - Determine Conflict Parties’ Most Dangerous and Most Likely COAs

- Develop Information Collection Plan
- Risk Management

The conduct of AOE at the operational level is a J2 staff responsibility. This will usually involve further gathering of information on the ground and fine-tuning of inputs received from the AOE carried out at the Strategic level (DPKO) to feed the MCPP throughout the lifetime of the mission.

Analysis of the Operational Environment

Description of the Operational Environment (Factors)

<table>
<thead>
<tr>
<th>Climatic</th>
<th>Cultural</th>
<th>Social</th>
</tr>
</thead>
<tbody>
<tr>
<td>Terrain</td>
<td>Religious</td>
<td>Political</td>
</tr>
<tr>
<td>Infrastructural</td>
<td>Historical</td>
<td>Economic etc</td>
</tr>
</tbody>
</table>

This step involves putting together all the features of the operational environment that have the potential to influence the course of the conflict and/or affect the successful implementation of the mandate.

In describing the effects on operations, both elements of UN Presence and conflict parties need to be considered. The J2 staff must identify the opportunities, possibilities, and limitations the environment presents to the potential operations of both UN mission elements and the conflict parties. The effects need to be analysed on a case by case basis and put in context to avoid the tendency for overgeneralization.

For example, in assessing the effect on own and adversary forces, fine weather may appear to be positive for the PKO. However, a more detailed and balanced
analysis may reveal that, because the PKO has more alternate, faster and reliable means of movement, that situation might even be more valuable to a conflict party who relies solely on unpaved road network for movement.

### Analysis of the Operational Environment

#### Threat Evaluation

*When Conflict Parties, Adversaries or spoilers become a Threat/military Threats*

- Composition and organization (to include size, leadership and chain of command)
- Tactical doctrine
- Weapons and equipment
- Sustainment systems
- Sources of motivation
- External and internal support
- Military and political objective, etc

Threat evaluation is a detailed study of the conflict parties, their composition and organization (to include size, leadership and chain of command), tactical doctrine, weapons and equipment, sustainment systems, source of motivation, external and internal support, military and political objective, etc.

#### Threat Evaluation (Cont…)

- **External Interest**
  - Regional organisations
  - Neighbouring countries
  - Position of powerful countries on the conflict
  - Governmental and non-governmental organisations, etc

- **Internal Dynamics**
  (See factors under description of operational environment).

Due to the usual complex nature of current conflicts, there may also be the need to study the external interest and internal dynamics players such as regional organisations, countries, governmental and non-governmental organisations, etc. Threat evaluation determines the threat’s intent, capabilities and limitations and how the threat’s reaction under a given circumstance could in anyway affect mandate implementation.
Determination of Adversary’s Courses of Action

== also known as Threat’s COA, Conflict Parties’ COA or Spoilers’ COA ==

• Prepare a List of Potential Problems Using Effects
• Develop Conflict Parties Most Dangerous and Most Likely COAs
• Prepare Information Collection Plan

Based on the Threat Evaluation, the data gathered need to be analysed and the potential problems visualised and clearly stated or expressed in the form of effect schematics. For example, DEMONSTRATIONS, RIOTING, SEIZE, etc. Then the conflict parties’ most dangerous and most likely COAs would be developed by describing the options available to them.

For example, Conflict Party A might want to DISRUPT the electoral process in order to maintain the on-going political stalemate.

The most dangerous COAs are those that when taken by conflict parties would have serious consequences on the achievement of their objectives and the most likely COAs are those that are feasible and therefore likely for them to take. After coming up with the most likely COAs, a comprehensive Information Collection Plan needs to be developed through the tasking of all available resources to gather and provide pertinent information within a required time limit as part of the information cycle.

Learning Activity 1 (Assessment of the Operational Environment)
Instructor’s Guidelines

In this scenario based exercise, participants are required to be exercised the preparation of staff estimates and conduct of AOE.

Participants should be provided with this learning activity at reasonable time ahead of the lesson to enable them prepare adequately for it.

Learning Activity Time Required:

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 minutes</td>
<td>Activity introduction and instructions</td>
</tr>
<tr>
<td>15 minutes</td>
<td>Syndicate discussions</td>
</tr>
<tr>
<td>10 minutes</td>
<td>Syndicates’ delivery (5 mins per syndicate)</td>
</tr>
<tr>
<td><strong>Total time:</strong></td>
<td><strong>30 minutes</strong></td>
</tr>
</tbody>
</table>
Step 1 GUIDANCE

Step 1. Guidance

- Collect DPKO Guidance Materials
- Study Initial Assessment of Operational Environment
- Prepare/Update Staff Estimates
- Conduct Quick Time Estimate
- Issue Initial Warning Order

It is recommended that the instructor includes a mission specific example that illustrates some of the guidance contained for that mission.

Step 1. Guidance
Collection of DPKO Guidance Materials

- UNHQ Strategic/Operational Estimates
- Technical Assessment Report
- Secretary General’s Report
- Rules of Engagement
- Integrated Strategic Framework
- Mission Concept
- CONOPS
- HOMC Directive
- Troop Contributing Country (TCC) Guidelines
- Input from other Programmes and Agencies

Provide participants with samples ahead of time for them to study. Establish linkages to IMPP.

The instructor could pose questions to participants to get their understanding of the importance of these materials and the AOE and why the need to prepare/ update all Staff Estimates at this stage.

The first step of Guidance is the collection and study of DPKO guidance materials to understand the status of the operation. Other materials like maps, field manuals and UN codes of conduct are also important at this stage.

Initial Staff Estimates

The conduct of Initial Staff Estimate involves the processing of significant facts, assumptions, events, and conclusions based on analyzed data in order to make
recommendations on the best use of available resources. Normally overlooked resources include UN country elements whose input need to be sought especially in the implementation of protection mandate. A comprehensive Staff estimates consider both the tangible and intangible aspects of the entire AO and translate them into operational imperatives like combat capabilities, critical capabilities, critical vulnerabilities, and critical requirements of both friendly and forces and conflict parties. A good and timely staff estimates form the basis for analysing the operational Centres of Gravity (CoG) and a viable COA development.

---

**Step 1. Guidance**

**Initial Estimates and the MCPP Process**

The diagram above outlines how staff estimate is applied in the MCPP. The diagram seeks to clear some confusion over the relationship between Staff Estimates and MCPP. Upon receipt of the assigned mission, both command and staff elements will start conduct of staff estimates usually under the guidance of the Chief of Staff. The arrows indicate where Staff Estimates feeds the planning process. The various stages of the MCPP are connected by dotted lines.
Conducting staff estimates for MCPP is a continuous process. Due to the fluidity and complexity of UN operations, staff estimates need to be prepared and constantly updated to enable the military component to seize and maintain initiative of military operational activities. Apart from the initial estimates at the commencement of the operation, staff estimates are also updated or prepared when new facts are recognized or there are changes to the mandate. Also, due to insufficient information at the beginning of the operation, there are many assumptions made to fill in the ‘information gap’. Staff estimates are therefore updated when assumptions are replaced with facts or when those assumptions become invalid or irrelevant.

**Step 1. Guidance**

**Sample Format for Staff Estimates**

- Mission (Given by higher HQ)
- Higher Commander’s Intent
- Situation
  - Characteristics of area of operation
  - Conflict Parties
  - UN Mission Component (Military, Police, and Civilians)
  - UN Country Team
  - Other NGOs and GOs
  - Assumptions
- Analysis
  - Each COA
  - Troops to Task
- Comparison
- Conclusions
- Recommendations

The assigned mission should be placed in the context of the higher commander’s intent to set the stage for the conduct of the estimate. The **Situation** paragraph considers the **characteristics of the AO** in terms of how the weather, terrain, economic, socio-political, infrastructure etc will impact on the operation. The **conflict parties’** dispositions, composition, strength, capabilities, and COAs as they affect particular staff areas of concern are considered. The **mission military component’s** resources and capabilities to coordinate with or contain those factors and key assumptions are also assessed.

Due to the cyclical nature of the MCPP, after making input to the COAs there is always the need to **re-analyze** those COAs and also do **comparison** (when necessary) in order to come up with **conclusions** and make **recommendations** for the next stage. It is also
essential to conduct quick time to task estimate in order to come up with planning timeline for the conduct of the MCPP.

### Step 1. Guidance

**Sample Time Estimate**

<table>
<thead>
<tr>
<th>Time Now:</th>
<th>030800Z MAY 11 (DTG)</th>
</tr>
</thead>
<tbody>
<tr>
<td>MCPP Completed by:</td>
<td>062100Z MAY 11</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Activity:</th>
<th>Guidance</th>
<th>Mission Analysis</th>
<th>COA Development</th>
<th>COA Analysis and Selection</th>
<th>Development of CONOPS / Orders</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>% of Time Allotted:</td>
<td>5%</td>
<td>10%</td>
<td>20%</td>
<td>35%</td>
<td>20%</td>
<td>10%</td>
</tr>
<tr>
<td>Time in Minutes:</td>
<td>150 mins</td>
<td>300 mins</td>
<td>600 mins</td>
<td>1,050 mins</td>
<td>600 mins</td>
<td>300 mins</td>
</tr>
<tr>
<td>Real Time:</td>
<td>030930Z</td>
<td>031430Z</td>
<td>041230Z</td>
<td>051800Z</td>
<td>061600Z</td>
<td>062100Z</td>
</tr>
</tbody>
</table>

This is a simple and basic sample timeline to serve as a guide. Staff Officers are to consider the exigencies of the situation and the higher commander or supervisors requirements and priorities. It is also necessary to make room for “buffer” or “cushion” time in order to take care of unexpected situations. Also note that this Time Estimate is based on one-third of the total time available.

**One-third/Two-thirds Rule**

It is important to note that, sub units will need adequate time for their planning and preparations. As a general rule, a minimum of two-thirds of the time available is allocated to sub-units. The application of one-third/two-third rule allows subunits to do detailed planning and preparation. Consideration should however be given to the use of information technology for parallel and collaborative planning if available and secure.

**Issue Initial Warning Order**

A warning order is an executive order that initiates preparation among all concerned units and personnel for an impending operation. Warning orders are subject to continuous update during the planning process. They are therefore normally numbered progressively (Warning Order No.1 etc). Formats for warning order normally depend on the amount of details needed to be included, time available, and the available means of communication. For MCPP, warning orders would normally be detailed and would therefore take the form of an operation order in order to cover all the essential details and provide all the necessary information available to subunits and staff elements to proceed with their planning and preparations. The second and the third warning orders are issued after FC’s Approval and Guidance for the Re-stated Mission, and Selection of Course of Action (Steps 2 and 4 respectively).
## Step 1. Guidance
### Sample Warning Order Format

<table>
<thead>
<tr>
<th>Step</th>
<th>Details</th>
</tr>
</thead>
</table>
| 1. SITUATION | a. Conflict Parties  
b. Friendly forces  
c. Attachments and detachments |
| 2. MISSION | |
| 3. EXECUTION | Intent (when available)  
a. Concept of operation (when available)  
b. Tasks  
c. Coordinating instructions  
  (1) Earliest movement time and degree of notice  
  (2) Orders group (attendees, location, and time) (when applicable) |
| 4. SERVICE SUPPORT | a. Ration  
b. Special equipment  
c. Transportation etc. |
| 5. COMMAND AND SIGNAL | |

### ACKNOWLEDGEMENT

The MCPP has five phases with the Analysis of the Operational Environment (AOE), playing an interconnecting role in the entire process.
Step 2 MISSION ANALYSIS

Highlight the importance of Mission Analysis and the pivotal role it plays in the entire planning process.

Step 2. Mission Analysis

Mission Analysis is an important planning tool that guides the MCPP. It helps the command and staff elements to refine their situational awareness and understanding in order to have better visualization of the operational environment.

While the staff may have a role in the mission analysis, its completion is a command responsibility.

<table>
<thead>
<tr>
<th>Process</th>
<th>Output</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Review AOE</td>
<td>1. Re-stated Mission</td>
</tr>
<tr>
<td>2. Analyze Higher HQ Msn/Intent</td>
<td>2. Commander’s Intent</td>
</tr>
<tr>
<td>3. Identify Specified Implied, and Essential Tasks</td>
<td>3. Commander’s Guidance</td>
</tr>
<tr>
<td>4. Determine Constraints and Restrictions</td>
<td>4. Warning Order No.2</td>
</tr>
<tr>
<td>5. Conduct Operational Risk Assessment</td>
<td>5. Risk Assessment Chart</td>
</tr>
<tr>
<td>6. Troops to Task Assessment</td>
<td>6. Updated Staff Estimate</td>
</tr>
<tr>
<td>6. Identify and Analyze Critical Facts and Assumptions</td>
<td>7. Mission Analysis Brief</td>
</tr>
</tbody>
</table>
Review of AOE

The AOE is a continuous and cyclical process and therefore needs to be reviewed at every phase of MCPP. New information or strategic direction will affect the direction of MCPP, so before developing the Mission, AOE must be reviewed to keep the mission development in context.

Analyse Higher HQ Mission/Intent

The commander’s intent provides specific military direction and intentions from the USG to achieve effective mandate implementation. Commander’s Intent is not meant to be too specific; it links the mission to the concept of operations by stating the key task(s). Higher commander’s intent forms the basis for subordinates’ exercise of initiative. Commanders may also use the commander’s intent to explain a broader purpose beyond that of the mission statement. The mission and the commander’s intent must be understood two echelons down.

Step 2. Mission Analysis

Sample Higher Comd’ Intent

Purpose: To Neutralise Conflict Parties’ ability to conduct offensive operations by conducting operational activities to seize all arms ammunition and war-like materials in the AO.

Description: To dominate the AO with a system of Checkpoints Observation Posts, Patrols, then conduct Cordon & Search operations whilsts providing intimate support to the disarmament processes in the AO.

Endstate: A state where Conflict Parties do not have the capacity to threaten the peace process through the use of arms.

- The purpose provides the reason for the force conducting the operation.
- Gives a general description of how the purpose is to be achieved.
- Endstate provides the success criteria.

Identification and Analysis of Tasks

This involves the categorisation of tasks into specified, implied and essential by the staff officers as part of the operational area organisation.

Refer participants to the connection this categorisation has with the concept Operational Area Organisation with specific reference to Decisive, Shaping and Sustainment Operations.
**Step 2. Mission Analysis**

**Categorisation of Tasks**
- Specified Tasks – Stated tasks in DPKO CONOPS
- Implied Tasks – Those tasks that need to be performed to accomplish a specified task, but which are not specifically ordered.
- Essential Tasks – Those specified and/or implied task(s) that must be carried out in order to accomplish the assigned mission.

Specified tasks must be completed because they have been ordered specifically from higher HQ. Detailed analysis of the specified tasks (including any procedural requirements) and other relevant factors in the Area of Operation will result in the identification of implied tasks. Only those implied tasks that require the allocation of resources should be retained. A list of essential tasks could also be prepared to focus the commander during the mission analysis.

**Step 2. Mission Analysis**

**Operational Limitations**
- Constraints – Requirements imposed by superior authority that affect the manner in which the subordinate’s operation can be conducted
- Restraints – Prohibitions imposed by superior authority that affect the manner in which the subordinate’s operation can be conducted
- Caveats – Restrictions attached to the deployment of troops or employment of resources

Operational Limitations are action required or prohibited by higher authority; such as constraints or restraints and caveats that limit the commander’s freedom of action. Constraints take the form of a requirement to do something. For example, maintain a reserve of three squadrons of a Quick Reaction Unit. Restraints are prohibitions that are imposed by a superior authority. Caveats are limits associated with the use of resources as a result of agreements reached between TCCs and the UN. Operational limitations are considered only if they affect the manner in which the commander can conduct the operation.

The difference between constraints and restraints could spark an argument during discussion. Participants should be encouraged to view them from operational context as explained below:
**Constraints** - ‘Must do’ actions (i.e. must include local police in long range patrols or that, the battalion must conduct four or more long range patrols per month).

**Restraints** - ‘Must not do’ actions (i.e. operations must not obstruct legal economic activities or must not conduct operational activities between 0100 and 0500 hrs).

It is important that staff officers consider these operational limitations with the following questions in mind:

- What does it mean to me?
- What does it mean to potential spoilers?
- What do I need to do?

### Step 2. Mission Analysis

**Commander’s Critical Information Requirements**

- **Priority Information Requirements (PIR)** – A list of information requirements which the commander has an anticipated and stated priority. It is the highest priority information requirements and must be approved by the commander. PIRs are normally in the form of questions and with time limits.

- **Essential Elements of Friendly Information (EEFI)** – Prohibitions imposed by superior authority that affect the manner in which the subordinate’s operation can be conduct

- **Friendly Force Information Requirements (FFIR)** – Restrictions attached to the deployment of troops or employment of resources

CCIR usually result in the generation of three types of information requirements: Priority Information Requirements (PIR), Essential Elements of Friendly Information (EEFI), and Friendly Force Information Requirements (FFIR).
Identification and Analysis of Critical Facts and Assumptions

Step 2. Mission Analysis

Critical Facts

Facts are statements of known data or actual or existing circumstances of the operational environment including the Conflict Parties’ and the mission components’ strengths, dispositions, resources etc. Critical facts are therefore those facts that need to be analysed because of their crucial importance in determining the state of affairs in the mission.

Example:

Conflict Party A is on record to have used a Multiple Rocket Launchers during the conflict but has not turned them in for disarmament.

Step 2. Mission Analysis

Assumptions

• Assumptions state essential conditions, which must exist if a specific plan is to succeed; take the place of facts; must be valid and necessary; and regularly validated.

• Example:

The population generally support the implementation of the Peace Agreement and the presence of peacekeeping troops in the area of responsibility (AOR)

Assumptions are appropriate if they meet the tests of validity and necessity. The validity of an assumption has to do with its likelihood to be true. Necessity is whether the assumption is essential for planning or not. Where planning could go on without the assumption, it becomes unnecessary and should be discarded. Assumptions are to be replaced with facts as soon as possible.

Upon analysing critical facts and assumptions, the staff officer will identify some information gaps that need to be answered if the mission should progress successfully. These are known as Information Requirements (IR). The most important IRs are termed Commander’s Critical Information Requirements (CCIR). CCIRs identify information needed by the commander to make critical decisions, especially to determine or validate courses of action. They help the commander filter information available to him by defining what is important to mission accomplishment.
Development of Mission Statement

The final output of mission analysis is the development of a mission statement for the FCs approval during the mission analysis brief. This is a clear and concise statement detailing who will conduct the operation, what is to be done, when it will take place, where it will occur, and why it is being conducted (The order of the elements may vary).

Step 2. Mission Analysis

Five Elements of a Mission Statement

- Who - (The Unit) to execute the action?
- What - type of action (i.e. Protect Civilians) is contemplated?
- When - will the action begin?
- Where – will the action occur?
- Why – (for what purpose) will each Unit conduct its part?

Note to instructor: Invite some participants to give sample missions statements. Also anticipate questions on the “Why” aspect of the mission statement which may be new to some participants. The “Why” gives the unifying purpose that forms the basis for the exercise of initiative by subordinate commanders. It is normally stated as “In order to……” followed by the reason why the tasked commander should carry out the assigned mission.

Commanders Intent

Step 2. Mission Analysis

Commanders Intent

Must be understood two levels down and contain:

- Clear and concise statement of the success criteria and desired end-state
- Key tasks that become the basis for planning

Slide 45

Slide 46
The FC’s intent is stated in a clear, concise statement of the success criteria with respect to the current situation, the terrain and the desired end-state. It will also contain key tasks that are the basis for initiative of subordinates.

For new peacekeeping missions, due to the absence of the HQ staff and in most cases the Head of Military Component, the Intent and the initial CONOPS are in fact developed by the Military Planning Service (MPS), DPKO. However, once the staff officers arrive and the Force HQ starts functioning, the FC may review the plan developed by the DPKO including the Commander’s Intent in line with ground realities.

Mission Analysis Brief

<table>
<thead>
<tr>
<th>Step 2. Mission Analysis</th>
<th>Slide 47</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Mission Analysis Brief - Purpose</strong></td>
<td></td>
</tr>
<tr>
<td>• To integrate the mission analysis</td>
<td></td>
</tr>
<tr>
<td>• Seek approval of the re-stated Mission Statement</td>
<td></td>
</tr>
<tr>
<td>• Obtain additional guidance from the FC</td>
<td></td>
</tr>
</tbody>
</table>

This is a summary of the directives, decisions, initial concerns, and a description of the mission as perceived by the commander. Its purpose is to integrate the mission analysis, seek the FC’s approval of the Re-stated Mission Statement and obtain his additional guidance. After the FC’s guidance, Warning order No2 will be issued.

<table>
<thead>
<tr>
<th>Step 2. Mission Analysis</th>
<th>Slide 47</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Sample Mission Analysis Brief Format</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Briefer</strong></td>
<td><strong>Subject</strong></td>
</tr>
<tr>
<td>Chief of Staff</td>
<td>Purpose and Agenda</td>
</tr>
<tr>
<td>J2</td>
<td>Initial J2 Estimate</td>
</tr>
<tr>
<td>J3</td>
<td>Operations</td>
</tr>
<tr>
<td>J1</td>
<td>Personnel service support</td>
</tr>
<tr>
<td>J4</td>
<td>Sustainment systems</td>
</tr>
<tr>
<td>J5</td>
<td>Initial CIMIC estimate.</td>
</tr>
<tr>
<td>Chief of Staff</td>
<td>Proposed restated mission</td>
</tr>
<tr>
<td>Commander</td>
<td>Guidance</td>
</tr>
</tbody>
</table>
This format should only serve as a guide. The commander’s style and the situations on the ground should determine the schedule.

### MISSION ANALYSIS WORK SHEET

<table>
<thead>
<tr>
<th>MISSION (ASSIGNED)</th>
<th>HIGHER COMMANDERS’ INTENT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1. TWO UP</td>
</tr>
<tr>
<td>MY ROLE (IN ONE UP COMD’S PLAN)</td>
<td>2. ONE UP</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SPECIFIED TASKS</th>
<th>IMPLIED TASKS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>3.</td>
</tr>
<tr>
<td>2.</td>
<td>4.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RESOURCES AVAILABLE</th>
<th>CAVEATS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>1.</td>
</tr>
<tr>
<td>2.</td>
<td>2.</td>
</tr>
<tr>
<td>3.</td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CONSTRAINTS</th>
<th>RESTRAINTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>1.</td>
</tr>
<tr>
<td>2.</td>
<td>2.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CCIR</th>
<th>HVTs</th>
<th>KEY EVENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>PIR</td>
<td>1.</td>
<td>1.</td>
</tr>
<tr>
<td></td>
<td>2.</td>
<td>2.</td>
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<td></td>
<td>3.</td>
<td>3.</td>
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<tr>
<td>EEFI</td>
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<td>4.</td>
</tr>
<tr>
<td>FFIR</td>
<td>HPTs</td>
<td>5.</td>
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<td></td>
<td>1.</td>
<td>6.</td>
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<td>2.</td>
<td>7.</td>
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<td>3.</td>
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<td></td>
<td>4.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>MISSION (RESTATED)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Slide 48)</td>
</tr>
</tbody>
</table>

The Resources Available to the FC should be listed up to battalion (or lower) level including units with caveats in order to provide a snap shot of the resource situation. This helps in developing realistic SOMs for each COA and also facilitates the preparation of Task Organisation after the Plan has been developed.

There is the tendency for questions to arise as to the differences between constraints, restraints and caveats. One explanation is that, while constraints and restraints are imposed by higher command in the mission for operational exigencies,
Caveats are imposed by national authorities before units deploy to the mission. Caveats can be described as the limitations that individual nations place on the use of their forces, when deployed in the mission. In this case, the caveat alters the status of operational command and control. For example: Irish armoured regiment could be deployed on UN OPCON in UNMIL FOR URBAN PATROLS ONLY. This means that, although the FC has Irish armoured regiment under UN OPCON, the unit came with a caveat that it will only be used for urban patrols only. Caveats must be known ahead of the planning process because the may invariably influence the COAs.

Learning Activity 2 (Mission Analysis)
Instructor’s Guidelines

This is a follow up to the earlier exercise on staff estimates and AOE. As much as possible, linkages should be made to that one and participants should be encouraged to refer to the complete Carana Country Study to get the necessary information for the exercise. Good use of ingenuity and initiative should also be welcomed.

Learning Activity Time Required:

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</tr>
<tr>
<td><strong>30 minutes</strong></td>
<td>*total time dependent number of groups</td>
</tr>
</tbody>
</table>

Total time:

*total time dependent number of groups
Step 3. COURSE OF ACTION DEVELOPMENT

Having thoroughly analysed the requirements of the mission, and after receiving command guidance and approval of the proposed mission statement, the staff develops COAs for analysis and comparison. The commander must involve himself in their development. His guidance and intent focus the staff’s creativity to produce a comprehensive but flexible plan within the time constraints. His direct participation helps the staff get quick, accurate answers to questions that occur during the process. COA development is a deliberate attempt to design unpredictable COAs (difficult for the enemy to deduce). They are possible options for accomplishing the mission that are opened to the FC.

The Centre of Gravity Analysis would have been done at DPKO.

COA development begins with a review of the FC’s Planning Guidance, provided in the Mission Analysis Brief. This provides the necessary direction and guidance to the planning staff to continue the estimate process and shape the development of the initial COAs. The Centre of Gravity Analysis would let the exercise go beyond mere Troops to Task Assessment and comparison of individual Conflict Party’s (CP) strength, weapons and equipment as the UN military component would normally have better capabilities.
The focus here should be on how to exploit each Conflict Party’s Critical vulnerabilities and how they are likely to use their Critical Capabilities. Also vital is how we can effectively employ our Critical Capabilities and safeguard our Critical vulnerabilities well as that of the UN Country Presence.

**Step 3. Course of Action Development**

**Centre of Gravity**

A characteristic, capability or locality from which the force derives its freedom of action, strength or will to engage in the operation.

**Elements of Centre of Gravity**

- Critical Capabilities
- Critical Vulnerabilities
- Critical Requirements

A COG will consist of Critical Capabilities (a characteristic or key element of a force that if destroyed or neutralised will significantly undermine operational capability), Critical Requirements (Enablers, essential condition, resource or means that is needed for a critical capability to be fully functional) and Critical Vulnerabilities (an element of a critical requirement that is vulnerable or that can be made vulnerable). While a COG can have several elements, there can be only one COG for each force. Analysing Conflict Parties’ individual Critical Vulnerabilities is what is however important in COA development.

When analysing Critical Capabilities, it is important to remember that it is not only about force ratio. The analysis must also result in identifying critical capabilities of the Conflict Parties that are vulnerable for action while identifying and protecting our own critical capabilities that are vulnerable.
Step 3. Course of Action Development

Criteria

- Suitability (Will it result in Mission accomplishment?)
- Feasibility (Achievable within allocated resources?)
- Acceptability (Accepted doctrine, risk, etc)
- Exclusivity (Different from other COAs?)
- Completeness (Answers the 5W questions?)

Development of (our own) COAs then commences. Options are generated for the FC to consider. The COAs are guided by the Conflict Parties’ COAs developed during the AOE, Staff Estimates, the Restated Mission, and the FC’s Guidance / Intent. Each COA will then be validated by testing against a number of factors such as:

- Suitability – Based on the guidance given from higher authorities
- Feasibility – Force capability in terms of equipment, resources, availability of troops in time, robust ROE, etc.
- Acceptability – In terms of legality, cost, collateral damage, casualties to UN troops and other staff, and resource availability.
- Exclusivity – Each COA is clearly distinct from other COA
- Complete – Each COA should have sufficient details to explain the mission, how the mission goals and objectives will be achieved, and a broad concept of how operations will progress, taking into account possible future tasks.

Step 3. Course of Action Development

Scheme of Manoeuvre

Description of how the FC’s intent is expressed in the deployment of military assets under his command to accomplish the mission.

For each COA, the Scheme of Manoeuvre usually provide an understanding of the manner in which the mission would be accomplished by assigning roles to sub-units and other resources to be employed. Also, the Main Effort, End State, and Success Criteria have to be designated and well defined.
Step 3. Course of Action Development

Sample Course of Action (COA1)

Intent: To restore peace and security in Carana through effective safeguarding of the United Nations demilitarised zone while dominating the Area of Operation to ensure compliance with UN Security Council Resolution.

SOM: To secure the demilitarised zones with a system of Checkpoints, Patrols and Observation Posts while decentralising enabling units to the Sectors with a battlegroup size Force Mobile Reserve at Xalksa

ME: Safeguarding the United Nations demilitarised zones and lies with Sects 2 and 3

End State: Complete cessation of hostilities in Carana with UNAC presence felt in the entire country

Success Criteria: Free movement of UNCT and locals throughout Carana without fear of attack or harassment by conflict parties or criminal gangs.

This COA seeks to decentralise the Force’s enabling units to the various Sectors while maintaining a battlegroup size Force Mobile Reserve at Xalksa to be ready to reinforce any of the sectors. The demilitarised zones will be safeguarded with a system of Checkpoints, Patrols and OPs.
Step 3. Course of Action Development

Sample Course of Action (COA2)

Intent: To restore peace and security in Carana through effective safeguarding of the United Nations demilitarised zone while dominating the Area of Operation to ensure compliance with UN Security Council Resolution.

SOM: To secure the demilitarised zones with a system of Checkpoints, Patrols and Observation Posts while centralising enabling units and a strong Force Mobile Reserve of brigadegroup size at Xalksa.

ME: Safeguarding the United Nations demilitarised zones and lies with Sects 2 and 3

End State: Complete cessation of hostilities in Carana with UNAC presence felt in the entire country

Success Criteria: Free movement of UNCT and locals throughout Carana without fear of attack or harassment by conflict parties or criminal gangs.

This COA seeks to centralise the Force’s enabling units at Xalksa with a strong (brigade group size) Force Mobile Reserve ready to support any of the sectors while maintaining a system of Checkpoints, Patrols and OPs to safeguard the demilitarised zones.
In this scenario based exercise, participants are required to be exercised the preparation and delivery of COA brief.

Participants should be provided with this learning activity at reasonable time ahead of the lesson to enable them prepare adequately for it.

Learning Activity Time Required:

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 min</td>
<td>Activity introduction and instructions</td>
</tr>
<tr>
<td>20 min</td>
<td>Syndicate discussions</td>
</tr>
<tr>
<td>10 min</td>
<td>Syndicates’ delivery (5 mins per syndicate)</td>
</tr>
</tbody>
</table>

Total time: 35 minutes *total time dependent number of groups

COA Analysis identifies the strengths and weaknesses of each COA developed against all the possible threats toward successful accomplishment of the mission. It includes rules and steps that help the FC and staff officers visualize the way each COA is likely to unfold.
### Step 4. Course of Action Analysis and Selection

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Process</th>
<th>Output</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Adversary’s COA</td>
<td>1. Conduct COA Testing (War-gaming)</td>
<td>1. COA Testing Results</td>
<td></td>
</tr>
<tr>
<td>2. COA sketches</td>
<td>2. Conduct COA Evaluation and Comparison</td>
<td>2. Task Organization</td>
<td></td>
</tr>
<tr>
<td>3. Staff Estimates</td>
<td></td>
<td>3. CCIR</td>
<td></td>
</tr>
<tr>
<td>4. List of Assumptions</td>
<td></td>
<td>4. Control Measures</td>
<td></td>
</tr>
<tr>
<td>5. List of Critical Events</td>
<td></td>
<td>5. Decision Brief</td>
<td></td>
</tr>
<tr>
<td>7. ROE</td>
<td></td>
<td>7. Warning Order</td>
<td></td>
</tr>
</tbody>
</table>

COA Testing (War-gaming) is a term used to describe a military boardroom simulation exercise conducted to analyse COAs against realistic threats through an iterative process of action, reaction, and counteraction. It focuses the staff’s attention on each phase of the operation in a logical sequence in order to assess their possibilities and limitations in the operational environment for modifications. COA Testing exposes lapses in the COAs for CCIR and appropriate Control Measures to be generated.

### Step 4. Course of Action Analysis and Selection

**COA Testing Methods**

- Box Method
- Belt Method
- Avenue-in-depth Method

**Note to instructor:** It is advisable to make this a participant led discussion as it entails maximum use of ingenuity and practicality. Participants must also be made to be aware that, depending on the availability of equipment or tools, testing COAs may range from full scale practical exercise to conduct of academic or verbal exchanges.

**Box Method**

The Box Method involves the selection of key events like, Disarmament, Pre-election, Elections, Post-elections problems etc and testing the COAs against them. This method is particularly useful for non-linear and non-contiguous operational environments – normal with PKOs.

Participants should be encouraged to provide mission specific examples for discussion.
Belt Method

The Belt Method is based on possible scenarios that may unfold throughout the life time of the PKO. Such scenarios can be found in the mission’s ISF. This method is also good for operations in which high fluidity of events are anticipated.

The UNOCI ISF for example had these three scenarios:

- Scenario A – Successful elections with outcome accepted by all
- Scenario B – Continued stalemate and violence.
- Scenario C – No elections and no violence.

Avenue-in-Depth Method

The Avenue-in Depth method is based on a situation where only one option is being considered. This is also good for situations where the Decisive Operation takes place at the very beginning of the operation. This is hardly the case when it comes to UNPKOs. The Avenue-in Depth method can however be used in tandem with, or to support any of the other methods especially in more complex situations.

### Step 4. Course of Action Analysis and Selection

**COA Testing Guidelines**

- Remaining objective and impartial
- Continuous verification each COA’s credibility
- Avoiding premature conclusions
- Each COA to be tested against each Conflict Party’s COA

*It is advisable to make this a participant led discussion as it entails maximum use of ingenuity and practical experience.*
The analysis of the COAs leads to the comparison of their individual advantages and disadvantages. From here, the COAs are compared with each other using the same criteria to determine the most appropriate COA. This exercise is called Course of Action Comparison. Although Course of Action Comparison is combined with the Course of Action Analysis, it is classified as a separate step by some military doctrines.

### Course of Action Evaluation

COA Comparison entails the juxtaposing the most feasible COAs against a criterion in order to select the most feasible COA for the operation.
Peacekeeping etc. The chosen criterion is then weighted against the COAs. For DPKO led peacekeeping missions, the use of the Peacekeeping effort Guiding Principles and other factors like Risks for mission personnel and country elements as well as peculiar mission specific factors are recommended.

<table>
<thead>
<tr>
<th>Step 4. Course of Action Analysis and Selection</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>COA Decision Brief</strong></td>
</tr>
<tr>
<td>COA1 (Statement /or Schematic)</td>
</tr>
<tr>
<td>Intent</td>
</tr>
<tr>
<td>SOM</td>
</tr>
<tr>
<td>ME</td>
</tr>
<tr>
<td><strong>ADVANTAGES</strong></td>
</tr>
<tr>
<td>3 Consent</td>
</tr>
<tr>
<td>4 Impartiality</td>
</tr>
<tr>
<td>3 Non Use of Force</td>
</tr>
<tr>
<td>5 Legitimacy</td>
</tr>
<tr>
<td>4 Credibility</td>
</tr>
<tr>
<td>4 Return on Investment</td>
</tr>
<tr>
<td>3 Risk Management</td>
</tr>
<tr>
<td>Summary (of advantages and disadvantages)</td>
</tr>
<tr>
<td><strong>Total Score</strong></td>
</tr>
<tr>
<td>26</td>
</tr>
</tbody>
</table>

Staff Officers would upon completing the COA analysis, prepare a COA Decision Brief for presentation to the FC. The purpose of a Decision Briefing is to obtain the commander’s decision on a recommended COA. Staff Officers will present the COAs where possible using graphics and sketches to justify their recommendations including draft Task Organisations (Task Orgs), the assumptions used and make recommendations. The commander, by his judgement may accept, modify, or even decline the COAs.

**Task organization**

Task organization (Task org) is the process of allocating resources to sub units and defining their command and control relationship including caveats. For a new mission, this process is carried out during the Development of CONOPS at the DPKO. However, for an on-going mission the Task Org may have to be modified to suit the prevailing situation. The commander’s ability to tailor and task organize gives him/her the agility to organize their units to make best use available resources and also the ability to shift rapidly between operations of different levels of intensity.
COA Selection

Upon completion of the Decision Brief, the FC makes his decision on one or two COAs and provides further guidance for the next step of the MCPP – Development of CONOPS and Orders. If the FC selects two, he may indicate which COA has priority over the other. The Chief of Staff will then apportion tasks to the staff for the further development of the selected COA – Synchronisation Matrix.
Step 4. Course of Action Analysis and Selection

Sample Synchronisation Matrix Format

<table>
<thead>
<tr>
<th>SYNONMISATION MATRIX</th>
<th>ORIGINATOR: (HQ)</th>
</tr>
</thead>
<tbody>
<tr>
<td>DTO:</td>
<td>REF:</td>
</tr>
<tr>
<td>TIME</td>
<td></td>
</tr>
<tr>
<td>CONFLICT PARTY 1</td>
<td></td>
</tr>
<tr>
<td>(ACTIONS)</td>
<td></td>
</tr>
<tr>
<td>TIME</td>
<td></td>
</tr>
<tr>
<td>CONFLICT PARTY 2</td>
<td></td>
</tr>
<tr>
<td>(ACTIONS)</td>
<td></td>
</tr>
<tr>
<td>TIME</td>
<td></td>
</tr>
<tr>
<td>POTENTIAL CB</td>
<td></td>
</tr>
<tr>
<td>MANOEUVRE</td>
<td></td>
</tr>
<tr>
<td>SUB UNIT 1</td>
<td></td>
</tr>
<tr>
<td>SUB UNIT 2</td>
<td></td>
</tr>
<tr>
<td>SUB UNIT 3</td>
<td></td>
</tr>
<tr>
<td>MOBILE RES</td>
<td></td>
</tr>
<tr>
<td>RES SUB UNIT</td>
<td></td>
</tr>
<tr>
<td>SP ARM</td>
<td></td>
</tr>
<tr>
<td>OS</td>
<td></td>
</tr>
<tr>
<td>EMH</td>
<td></td>
</tr>
<tr>
<td>COMM ETC</td>
<td></td>
</tr>
<tr>
<td>SPC SP</td>
<td></td>
</tr>
<tr>
<td>LOG</td>
<td></td>
</tr>
<tr>
<td>MED</td>
<td></td>
</tr>
<tr>
<td>ES</td>
<td></td>
</tr>
<tr>
<td>UNCT</td>
<td></td>
</tr>
<tr>
<td>OTHERS</td>
<td></td>
</tr>
<tr>
<td>END STATE</td>
<td></td>
</tr>
</tbody>
</table>

The Synchronisation Matrix provides a linked coordination of planned military components activities with the likely role of other mission components and anticipated Conflict Parties’ actions. This provides the basis for the resourcing of Contingency Plans.
Learning Activity 4 (COA Analysis and Selection)

In this scenario based exercise, participants are required to be exercised the preparation and conduct of Decision Brief.

Participants should be provided with this learning activity at reasonable time ahead of the lesson to enable them prepare adequately for it. Also note that due time constraint, instructors can select one or two requirements to be exercised.

Learning Activity Time Required:

<table>
<thead>
<tr>
<th>Time</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 minutes</td>
<td>Activity introduction and instructions</td>
</tr>
<tr>
<td>20 minutes</td>
<td>Syndicate discussions</td>
</tr>
<tr>
<td>20 minutes</td>
<td>Syndicates’ delivery</td>
</tr>
<tr>
<td>45 minutes</td>
<td>*total time dependent number of groups</td>
</tr>
</tbody>
</table>

Note to instructor: This aspect demands closer guidance from facilitators. Participants should be guided by the Carana Country Study. Use of good initiative and ingenuity should be encouraged to allow realism in the exercise.

<table>
<thead>
<tr>
<th>Learning Activity Time Required:</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 minutes</td>
</tr>
<tr>
<td>20 minutes</td>
</tr>
<tr>
<td>20 minutes</td>
</tr>
<tr>
<td>45 minutes</td>
</tr>
</tbody>
</table>

*total time dependent number of groups
Step 5 DEVELOPMENT OF CONCEPT OF OPERATIONS & PLAN

Discuss the similarities and dissimilarities of CONOPS, Plan, and Order and their interrelationships.

“Nothing succeeds in war except in consequence of a well-prepared plan.” (Napoleon I, 1769-1821)

Once the FC has selected his COA, the CONOPS must be developed and a plan produced.

Step 5 Development of Concept of Operations & Plan

<table>
<thead>
<tr>
<th>Inputs</th>
<th>Process</th>
<th>Output</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Selected COA(s)</td>
<td>1. Develop CONOPS</td>
<td>1. CONOPS</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Produce Plan</td>
<td>2. Plan</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Develop Draft</td>
<td>3. Draft Contingency</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Contingency Plans</td>
<td>Contingency Plans</td>
<td></td>
</tr>
</tbody>
</table>

Elements of Concept of Operations

- Intent
- Scheme of Manoeuvre
- Main Effort
- End State
The selected COA’s CONOPS will be adopted and further developed for the operation. The objective of the CONOPS is to link the mission mandate to the execution of key objectives such as, Operational Intent which provides specific military direction and intentions from the FC. This has vertical nesting with the CONOPS issued from DPKO.

The Scheme of Manoeuvre gives a general description of how the intent is to achieved.

The Main Effort establishes an activity, the successful accomplishment of which is decisive to the achievement of the mission. This is normally resourced to ensure the responsibility for its execution is assigned.

The Endstate defines the success criteria for completion of the mission. The Endstate sets up conditions for benchmarking against which the Adjustment, Drawdown and Withdrawal process for the mission will be drawn.

**The Plan**

The plan development is the definitive aspect of the MCPP. This is where various outputs of the entire process are integrated to produce a comprehensive plan based on which the Operation Order will be crafted.

<table>
<thead>
<tr>
<th>Step 5 Development of Concept of Operations &amp; Plan</th>
<th>Slide 72</th>
</tr>
</thead>
<tbody>
<tr>
<td>Characteristics of the Plan</td>
<td></td>
</tr>
<tr>
<td>• Clear</td>
<td></td>
</tr>
<tr>
<td>• Concise</td>
<td></td>
</tr>
<tr>
<td>• Complete</td>
<td></td>
</tr>
<tr>
<td>• Authoritative</td>
<td></td>
</tr>
</tbody>
</table>

The Plan, when developed should be very clear for its recipient to understand. Technical or and winding sentences should be avoided. It should also be rid of superfluous and unnecessary wording to make it concise without losing the message. It must further contain the complete information and instructions in an authoritative manner to reflect the FC’s determination to succeed.
Step 5 Development of Concept of Operations & Plan

Headings of the Plan

- BACKGROUND
- CURRENT SITUATION
  - Conflict Parties
  - Own Forces
  - Assumptions
  - Limitations and Constraints
- MISSION
- EXECUTION
  - Concept of Operations
  - Tasks
  - Coordinating Instructions
- INTEGRATED SUPPORT SYSTEM (ISS)

Learning Activity 5 (CONOPS Development and Plan)

Instructor's Guidelines

In this scenario based exercise, participants are required to be exercised the preparation and presentation of a Plan.

Participants should be provided with this learning activity at reasonable time ahead of the lesson to enable them prepare adequately for it.

Learning Activity Time Required:

<table>
<thead>
<tr>
<th>Learning Activity 5 (CONOPS Development and Plan)</th>
<th>Slide 74</th>
</tr>
</thead>
<tbody>
<tr>
<td>Learning Activity Time Required:</td>
<td></td>
</tr>
<tr>
<td>5 minutes</td>
<td>Activity introduction and instructions</td>
</tr>
<tr>
<td>15 minutes</td>
<td>Syndicate discussions</td>
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<tr>
<td>10 minutes</td>
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</tr>
<tr>
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<td><strong>30 minutes</strong></td>
</tr>
<tr>
<td>*total time dependent number of groups</td>
<td></td>
</tr>
</tbody>
</table>