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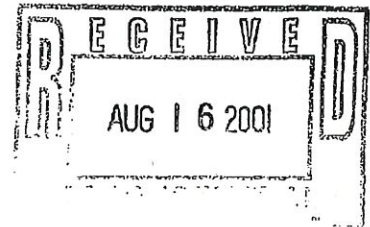
Note to Mr. Riza

Subject: Delineation of Responsibilities between DPA and DPKO

Please find attached revised draft guidelines for the above-mentioned purpose with two amendments indicated in bold type.



Rolf G. Knutsson
2 September 1999



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Draft Guidelines

1. The Department of Peacekeeping Operations (DPKO) was established in early 1992 in order to assume primary responsibility for operational activities undertaken by the United Nations in support of peace. As reflected in general terms in the relevant sections of the Report of the Secretary-General entitled "Renewing the United Nations: A Programme for Reform" (A/51/950 of 14 July 1997) and specified in the "Standard Directives for Special Representatives of the Secretary-General" dated 31 August 1998, DPKO's responsibility as lead department for such operational activities refers not only to traditional peacekeeping operations of an essentially military nature but also to multidimensional second-generation peacekeeping operations, which, in addition to a military and/or civilian police component, include political, humanitarian, social, economic or other components.
2. In conformity with the two documents cited above, all operations in support of peace, including multidimensional operations involving the deployment of uniformed personnel, *i.e.* formed units, military observers and/or civilian police, will come under the operational authority of DPKO unless otherwise decided by the Secretary-General on an ad hoc basis.
3. In order to ensure appropriate coordination among all organisational entities concerned with multidimensional operations, a task force will be established for each such operation, under DPKO's leadership and with representatives, as a minimum, from DPA, OCHA and UNDP. Depending on the requirements of each operation, such task forces will meet at regular intervals, but not less than once a week. As a general rule, the membership should be at the level of Directors who will be assisted by desk officers as appropriate. Besides ensuring coordination, task forces will also be available jointly to brief the Executive Committee on Peace and Security, whenever required.
4. **As a matter of routine, correspondence between DPKO and SRSGs will be shared with the other members of the Executive Committee on Peace and Security as well as the task force concerned. Also, whenever appropriate, the other members of both bodies will be consulted on or participate in the drafting of correspondence addressed by DPKO to SRSGs.**
5. With particular reference to post-conflict peace-building, it is recalled that DPA serves as a focal point within the United Nations. **In this capacity, DPA's principal role is to advise and guide those organisational entities which are entrusted with operational responsibilities in designing and executing their activities in a manner supportive of the overall objective of lasting peace and security.** Each task force will facilitate the exercise by DPA of this role in its different dimensions, as will also the Executive Committee on Peace and Security.

Guidelines for
the Implementation of the Lead Department Concept
Concerning Field Operations

As outlined in the report to the ACABQ of 12 February 1999, the "lead department" concept is employed in order to ensure, on the one hand, that all matters are attended to and, on the other hand, that duplication is minimized. It is the lead department's responsibility to effect the coordination with the other organizational entities concerned. On the other hand, it is the responsibility of the other interested departments to take the initiative in providing advice and sharing information on issues where they have a particular expertise or competence.

The Department of Political Affairs is in the lead for preventive diplomacy, peacemaking and peace building; the Department for Peacekeeping Operations is in the lead for the duration of peacekeeping operations mandated by the Security Council which may include elements of peacemaking and peace building. The following principles should be borne in mind in the application of the "lead department" concept.

Advice to the Secretary-General and Guidance to the Field

- Advice given to the Secretary-General should always reflect the full range of expertise available within the Secretariat and should only be submitted following appropriate consultations with the relevant departments and other UN entities concerned. When there is disagreement among Departments, the Secretary-General should be made aware of dissenting views.
- Guidance to the field is given through the lead department and should incorporate the broad base of expertise that exists in the Secretariat. Consultation mechanisms should ensure that relevant contributions on any particular issue not be excluded from communications between Headquarters and the field. Notes to the Secretary-General should include a footnote listing who has been consulted by the lead department in the preparation of the note and an indication if those consulted agree with the contents of the note.

Consultation Mechanisms

- For the planning, establishment, and conduct of complex operations, it is the responsibility of the lead department to establish and chair a task force consisting of the relevant Secretariat departments and United Nations entities. The purpose of the task force is to effect policy coordination at Headquarters. This is important in the preparation of advice to the Secretary-General, as well as in the formulation of guidance to the field.
- Interdepartmental task forces must take a meaningful and inclusive approach to policy formulation. They should be convened regularly and in addition to dealing with pressing short-term, day-to-day concerns, meetings should be scheduled for exclusively addressing long-term strategic considerations affecting a given field operation. While the lead department has the responsibility to consult and to incorporate the input of the other Secretariat Departments and UN entities, the other task force members have the responsibility to offer the best advice possible in a timely manner.
- Any member of a task force can request a meeting to discuss any relevant issue. It is the responsibility of each participant to contribute to the fullest extent possible, bringing to bear the entire range of their respective expertise. Whenever the task force cannot reach agreement, the dissenting view can request to have the issue raised at a higher level (normally between the ASGs or USGs concerned or in the ECPS). If agreement still cannot be reached, it can be brought to the attention of the Secretary-General for a decision.
- Depending on the nature or complexity of the operation concerned, it may be necessary to consider additional arrangements for consultations or adjustment of established mechanisms and procedures (e.g. convening videoconferences with other UN agencies, International Financial Institutions or regional organizations).
- In this regard, brief, generic terms of reference for interdepartmental task forces ought to be developed. The objective would be to provide flexible guidelines as to the types of concerns subject to task force consideration. (For example, part of a task force's responsibility should be to decide how to ensure that longer-term and strategic issues are addressed. Whether this is done through periodic consideration of such issues,

perhaps at a higher level than the desk officers who normally comprise the task force, or through some other method, would be up to the task force to decide.)

- As the nature of United Nations involvement in a given conflict changes, the responsibility of "lead department" may shift from DPA to DPKO and vice-versa. Whenever a transfer of the lead role from one department to another is anticipated, it is essential that the current lead department at an early stage passes on all relevant information and involves its successor in all negotiations and other issues concerning matters for which the latter will eventually be responsible.
- The monthly meeting of USGs and ASGs of DPA and DPKO could provide a useful forum to address the larger policy and strategic issues relating to specific operations.
- Regular co-ordination meetings should be instituted at Director level on specific issues.
- The ECPS should be more frequently utilized for the purpose of co-ordinating policy for field operations as opposed to just sharing information.

Communications

- All relevant communications must be shared among members of a taskforce. As regards transparency of communications between Headquarters and the field, all staff should be reminded of existing policy. On any policy matter, understandings arrived at between Headquarters and the field by whatever means (phone, fax, e-mail, etc.) must be codified in a code cable. This will facilitate transparency and ensures proper record keeping. The Communications Office has been given standing instructions that code cables between Headquarters and the field are to be routinely distributed to DPA, DPKO and OCHA. All concerned should ensure that any communication with policy relevance, including drafts of important documents or reports that may be transmitted by e-mail from the field, be shared in a timely manner.