



Digital Toolkit

DEPLOYMENT REVIEW



Summary
Sheet

**LESSONS LEARNED
PLANNING CONSIDERATIONS**

This Summary Sheet summarizes the planning considerations related to the functions of the lessons learned process. These functions are the following:

Function	Main Effort
1. Collect	Collect sufficient information about the observed event and the situation in which it occurred in order to put the event into context.
2. Analyse	Determine the root causes of a good or bad experience in order to be able to develop remedial actions to (a) replicate success and (b) avoid repeating mistakes.
3. Record	Ensure information about observations, lessons and remedial actions is continually recorded to support later reference and review. <i>(Discussed alongside function 7, Archive).</i>
4. Share	Share the collected lessons and proposed remedial actions with the relevant stakeholders so that the necessary changes in approach can be implemented and verified.
5. Implement	Implement the proposed remedial actions to ensure that successes are replicated and mistakes avoided in the future. <i>(Discussed alongside function 6: Verify).</i>
6. Verify	Verify whether the change in approach has allowed others to successfully replicate a success or avoid repeating a mistake to finalize the lesson learned or best practice.
7. Archive	Archive lessons learned and best practices for future reference when preparing for new tasks and when facing new challenges.

1. Collect

1.1 Sources of Lessons Learned Information

Opportunities to collect lessons can be divided into three main phases:

1. Planning and Preparation for Deployment
2. Deployments and Rotations
3. In-mission Operations

1.2 Type of Information Collection

There are two main types of Information Collection:

Types	Examples
Routine Information Collection Efforts	<ul style="list-style-type: none">• Incident reports.• Weekly police/military component reports.• End-of-assignment reports.• After-action reports.• Direct observations.• Sitreps (Situation Reports).
Additional Information Collection Efforts	<ul style="list-style-type: none">• In-person interviews.• Surveys, questionnaires and forms.• Lessons learned studies.• Lessons learned meetings.

In the context of a deployment to a UN peace operation, a combination of the two types of Information Collection efforts will likely be used, either in support of lessons learned efforts led by the contingent or by the respective UN Mission. Regardless of the means of Information Collection effort used, the following good practices apply:

1. Ensuring lessons learned information is collected throughout the event on an ongoing basis. At this stage, this includes notes and generic observations, as opposed to detailed reports.
2. Ensuring sufficient lessons learned information is collected to facilitate informed analysis.
3. Ensuring information is collected in a common format throughout the contingent.
4. Ensuring information collection is included as part of the planning process prior to the event or activity.

1.3 TODCR Format (Title, Observation, Discussion, Conclusion, Remedial Action)

The suggested format to be used for observation collection is the TODCR format. This refers to the following information:

Stage	Information to be Included
T - Title	A brief title which indicates what happened during the event.
O - Observation	A short statement that outlines a single issue and how what happened varied from what was expected.
D - Discussion	An explanation of the context of the event and an explanation of why what happened differed from what was expected, as well as its impact.
C - Conclusion	A summary of the lesson to be learned from this experience, namely whether the approach should be repeated or avoided in the future.
R - Remedial Action	A proposal of potential remedial actions to replicate a success or avoid repeating a mistake.

1.4 Additional Administrative Information & Metadata

In addition to the above information, it is suggested that the following additional administrative information and metadata also be collected to support later reference and review.

Administrative Information	
Information	Details
Name of Peacekeeping Operation	The name of the operation the contingent was deployed to when the incident occurred.
Reporting Unit	Which unit or sub-unit is reporting the incident?
Report Drafter	Who is submitting the report?
Date Event Occurred	What date did the event occur?
Date Report Filed	What date was the report filed?
Location	Where exactly did the event occur? (Region/Province/Exact Location).
Key Words	Any key words which may help with administration and later reference and review.
Metadata	
Information	Details
Point of Contact	Who to contact for further information about the lesson if required.
Time	The time of day the event took place.
Deployment Phase	The phase of deployment during which the incident was observed.
Mission Impact	How much of an impact not resolving this issue will have on the contingent's ability to conduct its mandated tasks (based on frequency/impact). This may be standardized, such as: 1 – Low, 2 – Medium, 3 – High).
Area of Focus	The area of focus the lesson falls under.
Line of Capability Development	What capability needs to be developed to respond to the issue.
Classification Level	There may be security implications in the storage/sharing of the lesson, depending on its content.

1.5 A Less Formal Approach to Observation Collection and Lesson Development

While the TODCR format is a widely used method to capture observations and develop lessons and remedial actions, the process does not always need to be so formal. Alternatively, the Simple Lessons Learned Loop may be used, which focuses on:

1. Identifying an issue.
2. Working to understand why the issue occurred.
3. Sharing what we have learned with others.
4. Adopting a more effective approach.

1.6 Coordinating Information Collection: Lessons Learned Focal Points

These focal points would be responsible for the coordination of inputs at the following stages:

Stage	Stakeholder Involved
Planning and Preparation for Deployment	<ul style="list-style-type: none">• National Institutions.• Training Centers and Academies.• Contingent Commanders, Staff Officers and Support Staff.
Deployments and Rotations	<ul style="list-style-type: none">• National Institutions.• Contingent Commanders, Staff Officers and Support Staff.
In-mission Operations	<ul style="list-style-type: none">• Contingent Commanders, Staff Officers and Support Staff.• Individual Peacekeepers.

1.7 Developing a Collection Proposal: Areas of Focus

A Collection Proposal may be command-led, meaning that National Institutions will direct information collection to focus on a specific issue(s) of interest. Alternatively,

a flexible approach that deals with critical issues as and when they arise may be developed. In both cases, the following areas of focus may be of use:

Area of Focus	Description
Technical & Professional Skills & Capabilities	The minimum individual and collective military and police skills required prior to becoming a peacekeeper.
UN Mandatory & Recommended Skills & Capabilities	The responsibilities, tasks and obligations specific to the UN operating environment.
Mission-specific Skills & Capabilities	The various operational awareness and tactical planning skills required to effectively operate in a specific UN peacekeeping operation.
Integration Skills & Capabilities	The ability of the contingent to execute its operations and tasks in an integrated and multidimensional context.

1.8 Developing a Collection Plan: Considerations

Once the Collection Proposal has been developed, a Collection Plan must be developed which clearly outlines when, how and by whom the information will be collected.

Considerations	Overview
Objective	To collect sufficient information about observations related to the selected critical issue(s) or areas of focus.
When will it be collected?	Determining what stage(s) of the deployment process will be the focus for collection efforts.
Assigning Responsibilities	Assigning focal points among the relevant stakeholders to ensure the incorporation of lessons learned considerations.
How will it be done?	Determining what means of information collection will be used (i.e., whether routine or additional means of information collection will be used, or a combination of the two).

2. Analyse

2.1 Subject Matter Experts

Subject matter experts are experienced personnel who can help develop and/or approve proposed remedial actions. They should be appointed by senior personnel members within each stakeholder (such as a division lead or a contingent commander) as per the areas of focus of the collection plan. Appointees should be coordinated to avoid having multiple SMEs with conflicting views.

2.2 Filtering

Due to the number of learning opportunities we are faced with, these opportunities must be filtered before being addressed through the following means:

1. Passing the checklist for inclusion.
2. Determining whether there is sufficient information.
3. Assessing the impact of the issue on the contingent's ability to conduct its mandated tasks.

2.3 Remedial Action Development

Remedial actions are not simply a statement of the effect required, but rather what needs to be done in order to achieve it. Remedial actions are based on a sound understanding of the event and should be proposed in line with the DOTMLPF-I lines of capability development. These are the following:

Line of Capability Development	Description
D - Doctrine	Amending existing doctrine, policies and guidance, or developing new ones.
O - Organization	Changing the structure/organization of the relevant stakeholder.
T - Training	Amending existing training materials and programmes or developing new ones.
M - Materiel	Supplying different equipment or using equipment in new ways.
L - Leadership	Changing the tactics, techniques and procedures of the leadership of the relevant stakeholder.
P - Personnel	Changing the personnel involved or not involved in the situation based on their impact (e.g., the impact of improving female participation).
F - Facilities	Amending existing facilities or deploying new facilities.
I - Interoperability	Changing how the contingent operates in an integrated environment (due to the presence of both UN and Host State civilian/police/military forces).

3. Record & Archive

3.1 Lessons Learned Log

Lessons should be recorded in a Lessons Learned Log to support later review. Digital logs can be developed on Microsoft Word or Microsoft Excel (although Excel is favoured). An Excel template is provided as part of this Toolkit. Where digital recording is not an option, a physical log can be used, but it is recommended that this information is also recorded digitally at the first available opportunity.

3.2 Centralized Recording

It is recommended that the contingent HQ maintains a centralized Lessons Learned Log which contains lessons from the whole contingent. Where IT resources are available, sub-units may be able to add their lessons directly to the centralized log. Where IT resources are not available, sub-units may maintain their own logs and pass these up the chain of command when possible.

3.3 Follow-up Details

In addition to the above-mentioned information (from the TODCR format, as well as administrative information and metadata), it is suggested that the following follow-up details be recorded where possible to show how an individual lesson is progressing through the lessons learned process. Such information includes, but is not limited to:

Information	Details
In-Missions Actions Taken	A list of the actions taken during the deployment to attempt to address the issue.
Actions to be Taken After Deployment	Where full in-mission resolution has not been possible, a list of the actions to be taken after deployment to address the issue.
Action Body	The action body best suited to implement the necessary actions to address the issue.
Issue Resolved?	Whether the issue has been resolved.
Date of Resolution	The date the issue was resolved.
Resolution Details	Further information about how the issue was resolved.

3.4 Security Classifications

An appropriate security classification should be chosen for handling the information contained within the Lessons Learned Log. The United Nations uses the terms “unclassified”, “confidential” and “strictly confidential” to classify its information, as per ST/SGB/2007/06.

3.5 Assigning Responsibilities

As a living document, the Lessons Learned Log will need to be updated as lessons arise and when new information becomes available, and the relevant information will need to be shared within the contingent. If a single, centralized Lessons Learned Log is used, the responsibility of maintaining the Log may be assigned to a single member of personnel. Where multiple logs are maintained throughout contingent sub-units, this may require multiple members of personnel to be maintained, such as the respective lessons learned focal points.

3.6 Information Archiving

The Archive function is an extension of the practical considerations of the Record function (including information and metadata collected and the security classifications). However, it differs from the record function because it is conducted at the end of the lessons learned process to facilitate research and maintain a historical archive to guide responses to future issues. It is recommended that Excel be used for the Archive function because of its built-in filtering/searching/sorting mechanisms. As time passes, we must be careful when using lessons to guide future approaches as older lessons may no longer be relevant due to changes in the operational environment.

4. Share

4.1 Who do we Share Information With?

There are three main channels of information sharing.

Channel	Details
Within the Contingent	Any changes in approach should be widely shared within a military contingent or an FPU by the various sub-units and personnel during the deployment to ensure a coherent response throughout the contingent.
Action Bodies	Lessons learned information should be shared with the appropriate action bodies responsible for both implementing and verifying lessons learned. These include: <ul style="list-style-type: none">• National Institutions.• National Training Centers and Academies.• Future Commanders, Staff Officers and Support Staff.• Future Peacekeepers.
Other Beneficiaries	These are other stakeholders who may benefit from the information contained in the lessons learned, including: <ul style="list-style-type: none">• The UN Secretariat (DPO/DOS).• Police and/or Military Senior Leadership of United Nations Peacekeeping Operation.• Civilian/Uniformed Policy and Best Practice Officers/Focal Points.• Integrated Mission Training Centres.• Mission Support Elements (such as the Support Centre, Air Operations, etc.).

4.2 Means of Information Sharing

Means of information sharing within the contingent include:

- A centralized/consolidated Lessons Learned Log
- Incident reporting
- Verbal debriefings
- Other internal meetings

Means of information sharing with external stakeholders include:

- Update emails
- Bulletins
- Daily/weekly/monthly/quarterly sitreps (Situation Reports)
- After-Action Reviews and Reports (AARs)

- End of Assignment Reviews and Reports (EoARs)
- Deployment Reviews

4.3 Limitations

Various limitations and considerations may impact how information is shared, including:

- Language-related limitations
- Infrastructure- and resource-related limitations
- Personnel limitations
- Information classification considerations

4.4 What Information Should/Should Not be Shared

The following information should be shared:

- Good practices and lessons identified which have passed the checklist for inclusion and which have sufficient information, with a focus on those which have a higher Mission impact.
- Lessons which have been reviewed by an SME.
- Innovative approaches which have been successfully adopted, as well as those which have not, with an explanation as to why they were unsuccessful.

The following information should not be shared:

- Unfiltered observations which have not passed the checklist for inclusion or do not have sufficient information.
- Lessons which have not been reviewed by an SME.
- Outdated lessons which are no longer relevant.

4.5 Assigning Responsibilities

The following responsibilities must be assigned in support of the Share function:

- Action bodies must be designated.
- Writers should be assigned for drafting both incident reports and the final Deployment Report.

5. Implement & Verify

5.1 Remedial Action Implementation

All lessons learned information should be passed up the chain of command. However, remedial actions should be implemented at the lowest level possible or passed up the chain of command where low-level resolution is not feasible. When escalating issues, they should be referred to the appropriate action bodies as per the DOTMLPF-I lines of capability development.

5.2 Implementation Considerations

Considerations regarding implementation include:

1. How **likely** is it that this issue will **reoccur** and how **often** will it do so?
2. What is the **impact** of this issue on the contingent's ability to conduct its **mandated tasks**?
3. What is the **risk** to those involved if this issue is **not resolved**?
4. Is it **worth** spending **time** on resolving this issue?
5. Is it **worth** spending **money** on resolving this issue?

5.3 Lesson Verification

There are two main means of verifying whether an implemented lesson has indeed been 'learned':

1. Verifying whether the same issues are present through the Collect function of future rotations.
2. Using the results of conducted evaluations to verify whether the implemented changes in approach have improved the contingent's performance.

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