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**Основы деятельности полиции ООН
при проведении миротворческих операций**

**Basics of UN police activities
in peacekeeping operations**

*Учебно-методическое пособие
на английском языке*

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С79 Основы деятельности полиции ООН при проведении миротворческих операций = Basics of UN police activities in peacekeeping operations : учебно-методическое пособие на английском языке / В. В. Степаненко, Е. В. Баева, Ю. И. Гаврилина. - Домодедово : ВИПК МВД России, 2021. - 214 с.

В учебно-методическом пособии рассматриваются фундаментальные принципы организации и функционирования процесса полицейского миротворчества и особенности различных мандатов миротворческих миссий ООН, представлен теоретический материал и методические рекомендации по его освоению согласно требованиям СРТМ 2017. Проводится анализ применения различных нормативных правовых актов, обеспечивающих миротворческий процесс, организацию сотрудничества полицейских миротворцев и их ключевых партнеров.

Пособие предназначено для сотрудников органов внутренних дел Российской Федерации и правоохранительных органов африканских государств – кандидатов для участия в миротворческих миссиях.

ББК 81.2 Анг

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INTRODUCTION

This training manual represents the essential knowledge required by all peacekeeping personnel – military, police and civilians – to function effectively in a UN peacekeeping operation. The materials of this book should be used as the core resource for any UN pre-deployment training course. The training manual is intended to provide all military, police and civilian peacekeeping personnel with a shared understanding of the basic principles, guidelines and policies of UN peacekeeping to ensure that UN peacekeeping operations can function effectively in a coherent manner. The principles, guidelines and policies of UN peacekeeping set standards for UN peacekeeping personnel. These standards guide peacekeeping personnel as they carry out critical tasks which assist countries in the transition from conflict to peace.

As the first entry point in pre-deployment training for UN peacekeeping, this training manual gives a snapshot of the:

- Context in a conflict or post-conflict situation;
- Expectations and responsibilities for peacekeeping personnel in assisting the host country;
- Range of tasks to be carried out;
- Collaboration required with a number of actors in the mission itself, as well as within the wider country and region.

The snapshot consists of three chapters:

chapter 1: Introduction to United Nations Peacekeeping

chapter 2: Mandated UN Peacekeeping Tasks

chapter 3: The Individual Peacekeeper

Chapter 1 focuses on «An Overview of United Nations Peacekeeping Operations» to answer the questions: What is the UN? What is UN peacekeeping? Who are we as peacekeeping personnel? Why are we deployed to a country? Who else do we work with? It gives a snapshot of UN peacekeeping as a tool to address violent conflict.

Chapter 2 focuses on «Mandated Tasks of United Nations Peacekeeping Operations» to answer the questions: What are the important tasks that peacekeeping personnel work together on? How do we work with other partners? How do we coordinate actions within and outside the mission? What is expected in our day-to-day work?

Cross-cutting themes and priorities are covered, including human rights, the protection of civilians, gender mainstreaming, conflict-related sexual violence and child protection.

Chapter 3 focuses on ‘Individual Peacekeeping Personnel’ to answer the questions: What does it mean to represent the UN? What individual actions and behaviours contribute to a positive UN image? How does conduct in my private and public life affect the image of the UN? How do I protect my health and safety? Individual responsibilities are covered, such as obligations to UN standards of conduct, zero tolerance of sexual exploitation and abuse, environmental protection, health, safety and security.

Each chapter content is organized into **paragraphs**. There are **22 paragraphs**.

CHAPTER 1 AN OVERVIEW OF UNITED NATIONS PEACEKEEPING OPERATIONS

§ 1.1. Introduction to United Nations Peacekeeping

Aim: To introduce the United Nations (UN) and UN peacekeeping.

Learning Outcomes

Learners will:

- Explain the UN and its purpose
- Identify the UN Charter as the guiding document for the UN
- List the principal organs of the UN involved in UN peacekeeping
- List the departments at UN Headquarters active in UN peacekeeping
- Describe the three levels of authority for decision-making in UN peacekeeping strategic, operational and tactical.



Violent conflict can occur between countries (interstate conflict) or within a country (intrastate conflict). It has negative impact:

- Casualties and loss of human life, including civilians as indirect and direct targets
- Damage to and destruction of property, land and buildings
- Human suffering and displacement of people
- Humanitarian crises, including lack of food, shelter and medical care
- The collapse or decline of state institutions and services, breakdown of law and public order, and a political and security vacuum
- Disruption of ordinary life and the social fabric of the community
- Violent, tense and insecure daily realities
- Human rights violations, including trafficking and sexual violence
- Illegal exploitation and trade of natural resources such as minerals
- Serious long-term security, political and socio-economic issues.

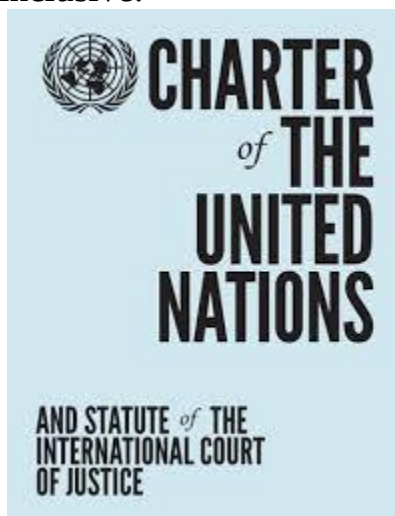
Violent conflict affects the present generation and generations to come.

The UN is an impartial and universal organization made up of 193 countries called Member States. One reason for creating the UN was to save later generations from violent conflict.

Those who founded it in 1945 after the Second World War had lived through two terrible world wars.

The UN brings together, or unites, many different nations or states. The members of the UN are these individual countries, known as “**Member States**”. Fifty-one (51) original Member States formed the UN in 1945. As of today there are 193 Member States, which constitutes the vast majority of the recognized sovereign states.

The UN is a unique international organization. All Member States come together to discuss common problems and decide on major issues by voting. The UN is **impartial**, which means it does not take sides. Also, the UN is **universal**. Members are almost all the countries on the planet. To be universal means to be inclusive.



Signed in 1945, the UN Charter is the founding document which defines the main purposes and principles of the UN. One main purpose of the UN is to maintain international peace and security.

- The first article of the Charter of the UN sets out four main purposes:
 - To maintain international peace and security
 - To develop friendly relations among nations
 - To cooperate in solving international problems and to promote and encourage respect for human rights and fundamental freedoms for all
 - To harmonize nations' actions in reaching

these common ends.



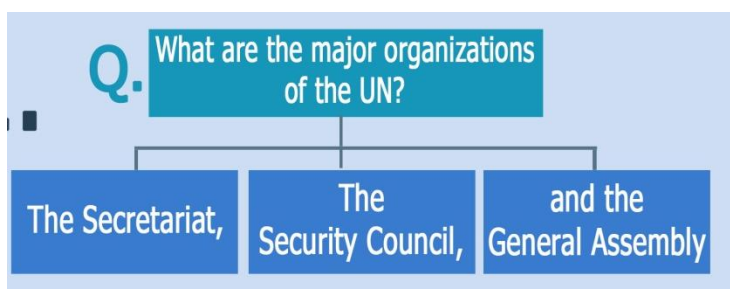
The six main organs of the UN created under the UN Charter are: the General Assembly, the Security Council, the Economic and Social Council, the Trusteeship Council, the International Court of Justice and the Secretariat.

The General Assembly is where all Member States meet and vote on decisions. The principle of equality means each Member State has one vote. The Security Council has lead responsibility under the UN Charter to maintain international peace and security. The Council has 15 members, including 5 permanent members who helped set up the UN: China, France, the Russian Federation, the United Kingdom and the United States. The General Assembly elects the other 10 rotating members for two-year terms, ensuring geographical representation.

The Economic and Social Council (ECOSOC) is the central body coordinating the economic and social work of the UN. The Trusteeship Council supervised Trust Territories, which were former colonies or dependent territories, as they made progress towards self-governance or independence.

The Trusteeship Council suspended operation in 1994, with the independence of the last trust territory.

The International Court of Justice (ICJ) is in The Hague, Netherlands. The Court settles legal disputes only between nations and not between individuals, following international law. The Secretariat refers to the departments and offices with international staff to carry out the day-to-day work of the Organization. These are in UN Headquarters in New York as well as in Geneva, Vienna, Nairobi and other locations.



The three principal organs active in UN peacekeeping are the General Assembly, the Security Council and the Secretariat.

Member States contribute personnel, equipment and funds to peacekeeping operations. The General Assembly (GA) is the main forum for Member States to make decisions, with representatives of all the Member States of the UN.

The GA works through Committees. One relevant committee for peacekeeping is the Special Committee on Peacekeeping Operations (C-34). C-34 reviews and recommends actions on peacekeeping and reports to the GA through the Fourth Committee. C-34 has some representatives from outside the UN, for example the International Committee of the Red Cross (ICRC) and the International Criminal Police Organization (Interpol). Regional intergovernmental organizations such as the African Union (AU) and the European Union (EU) are also in the C-34.

The Security Council has the lead responsibility for maintaining international peace and security. The Security Council may investigate and recommend measures to resolve disputes within and between states, including peacekeeping.

UN resolutions are formal expressions of positions of UN principal organs. Any peacekeeping operation must have a Security Council resolution. Security Council resolutions contain mandates for peacekeeping operations. A mandate is an authorization and directive to take specific action. The peacekeeping mandate in a Security Council resolution is the legal basis for all actions or tasks of the peacekeeping operation, including the use of force.

The Secretariat carries out the day-to-day work of the organization. The Secretariat has a wide variety of departments and offices that deal with UN work, including peacekeeping.

The Secretariat is the administrative arm of the UN. The Secretary-General is the «Chief Administrative Officer» of the UN overall. As head of the Secretariat, the Secretary-General is responsible for UN departments, offices and activities. The Secretary-General brings to the attention of the Security Council anything that may threaten international peace and security. The Security Council decides on what is a significant threat.

The three departments directly involved in UN peacekeeping are DPKO Department of Peacekeeping Operations.

DPKO is responsible for the executive direction of peacekeeping operations.

Through DPKO in New York, the USG DPKO does the following:

- Advises the Secretary-General on planning, establishment and conduct of all UN peacekeeping operations
- Directs and controls UN peacekeeping operations
- Develops policies and guidelines based on Security Council resolutions, including those with mission mandates
- Prepares reports with observations and recommendations from the Secretary-General to the Security Council on each peacekeeping operation
- Ensures DPKO-led field missions meet security management requirements
- Serves as a focal point of contact between the Secretariat and Member States who seek information on UN peacekeeping operations.

The **Department of Field Support (DFS)** was a department of the UN dedicated to the support of peacekeeping field missions and political field missions. Following the UN Secretary-general's management reform, it ceased to exist in 31 December 2018. On January 2019, the new Department of Operational Support was created.

- The Department of Field Support has four main divisions:
- Field Personnel Division
- Field Budget and Finance Division
- Logistics Support Division
- Information & Communications Technology Division

It also runs bases in UN Global Service Center (UNGSC) in Brindisi (UNLB) and Valencia (UNSBV), as well as Regional Service Center in Entebbe (RSCE).

Founded in 2010, the UN Global Service Center's mandate is to "ensure efficient and effective peace operations through the core logistics, geospatial, information and telecommunications technology services it provides."

Founded in 2010 as part of the *Global Field Support Strategy (GFSS)* in UNGA Resolution 64/269, the Regional Service Center in Entebbe's mandate is to "transform service delivery to field missions through a fundamental shift in the existing division of labor and a relocation of functions to improve responsiveness and address the needs of the field missions."

The Department of Political and Peacebuilding Affairs (DPPA) plays a central role in UN efforts to prevent and resolve deadly conflict around the world. DPPA is also a partner for peacekeeping operations.

DPPA is the lead UN department for peacemaking and preventive diplomacy. DPPA mainly provides direction to SPMs. SPMs may be political field offices, special envoys, panels or experts to monitor sanctions. They are often active in conflict prevention, peacemaking and peacebuilding.

DPPA gives analysis and advice to the Secretary-General. DPPA also supports the Secretary General's independent political role in providing "good offices". Good offices use the position of the UN to resolve disputes in and between States.

As a key partner for peacekeeping operations, DPPA collaborates on elections in postconflict countries. The **Electoral Assistance Division** supports needs assessments, policy guidance and specialized personnel. Also, DPPA's regional divisions may carry out political analysis or lead in mediation and good offices efforts.

There are three levels of authority for decision-making in UN peacekeeping – strategic, operational and tactical. These levels are also known as levels of authority, command and control.

According to the *UN Peacekeeping Operations: Principles and Guidelines* – also known as the "Capstone Doctrine":

- The **strategic level** refers to the high-level political decision-making and management of a UN peacekeeping operation at UN Headquarters.
- The **operational level** is field-based management of a UN peacekeeping operation at mission headquarters.
- The **tactical level** refers to management of military, police and civilian operations below the level of mission headquarters and supervision of individual personnel.

The General Assembly, Security Council and Secretariat have the "power" or "authority" to make high-level political decisions and manage a UN peacekeeping operation.

Questions to check how well you possess the information about UN peacekeeping

1. Name the four main purposes of the UN.
2. The UN Charter set up six main parts or "organs". Name all six and identify the three most involved in peacekeeping.
3. Name the three Departments in the UN Secretariat active in day-to-day peacekeeping and their common acronyms.
4. Name and explain the three levels of decision-making (or authority, command and control) in UN peacekeeping.

§ 1.2. Spectrum of Peace and Security Activities

Aim: To show the range of peace and security activities undertaken by the UN.

Learning Outcomes

Learners will:

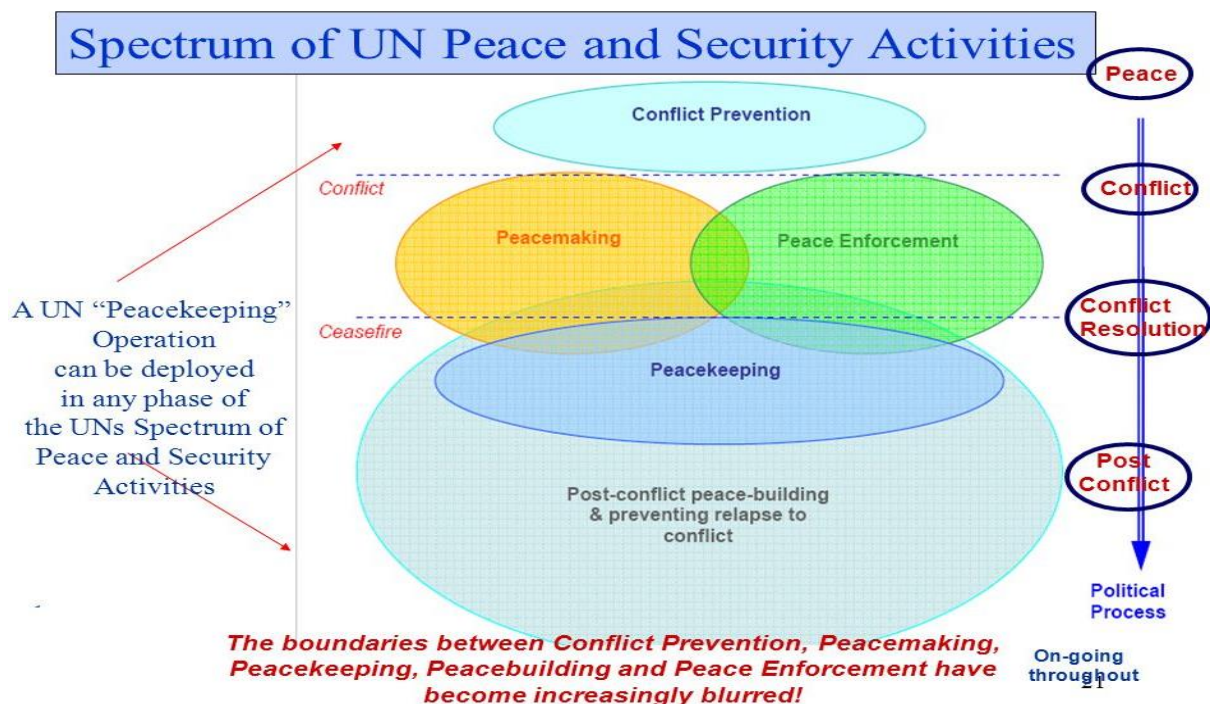
- Describe the five types of peace and security activities used by the Security Council and key differences between them
- Explain the difference between “robust peacekeeping” and “peace enforcement”
- Explain the main differences between traditional and multidimensional peacekeeping operations
- Identify the Security Council as the authorizing body for all peace and security activities.

Peacekeeping personnel need to be able to place their own work in the wider frame of the UN’s work in order to do it well.

Whilst UN peacekeeping plays **a unique and important role** in making a lasting peace, it is **one activity** out of many carried out by the UN to address violent conflict.

UN peacekeeping operations may exist before, after and alongside **other peace and security activities**. They are linked to these other activities, and is also connected to the UN’s other **security, development, humanitarian and human rights work**.

This lesson explains how UN peace and security activities link to the work of peacekeeping personnel. You must understand what is meant by “UN peacekeeping”, and how it is part of a broader strategy to resolve conflict.



The UN responds before, during and after conflict. It takes appropriate peace and security actions to:

- Prevent disputes from escalating into violent conflict
- Help restore peace when conflict does break out
- Prevent a relapse to conflict
- Build a lasting or sustainable peace in societies emerging from conflict.

The UN Charter outlines measures the Security Council can authorize, in response to threats to the peace, breaches of the peace and acts of aggression. Peacekeeping is one of those measures – although the Charter does not use the word “peacekeeping”.

- **The full range or spectrum of peace and security activities includes:**
- **Conflict prevention**
- **Peacemaking**
- **Peace enforcement**
- **Peacekeeping**
- **Peacebuilding.**

They are used by the Security Council before, during and after violent conflict.

These peace and security activities involve **peaceful measures** and **coercive measures**.

“Coercive measures” involve the use of authority or force to make an individual or group do something, or stop doing something. Examples are sanctions, blockades, and the use of **armed force** as a last resort. Out of the five types of peace and security activities, only two may involve use of force - peacekeeping and peace enforcement. Coercive measures are authorized by the Security Council when other peaceful measures have failed.

The Security Council authorizes peace and security activities, including peacekeeping, through its resolutions. Security Council resolutions authorizing the deployment of a UN peacekeeping operation contain the mandate – the legal basis for all activities that the peacekeeping operation undertakes, including the use of force.



disagreement and confidence-building.

Conflict prevention happens before a conflict starts, or when there is a risk of relapse into conflict. It involves diplomatic measures and other tools to prevent disagreements and tensions within and between states from turning into violent conflict.

Conflict prevention measures are peaceful. They adapt to the particular source of the dispute or tension. Conflict prevention may include negotiation, dialogue, mediation, enquiries into sources of

One common conflict prevention measure is preventive diplomacy. It is diplomatic action taken at the earliest possible stage *“to prevent disputes from arising between parties, to prevent existing disputes from escalating into conflicts and to limit the spread of the latter when they occur.”* The use of the UN Secretary-General’s “good offices” to engage in dialogue with the different parties is an example of preventive diplomacy. The aim of dialogue may be to decrease tension, mediate a disagreement or help resolve a dispute.

Different parts of the UN and the international community (including regional intergovernmental organizations) may take different conflict prevention measures in a situation.

Peacemaking involves measures to deal with existing conflicts. It usually involves diplomatic action aimed at bringing hostile parties to a negotiated peace agreement.

The UN may assist in negotiating a peace agreement. It may also help regional negotiators, providing neutral facilities or chairing negotiations.

The Security Council may ask the Secretary-General or regional organizations to take action. The Secretary-General and regional organizations also have the power to initiate peacemaking. An example is through good offices to assist in resolving a disagreement.

Peacemakers may also be envoys, governments or groups of states. Unofficial or nongovernmental groups may undertake peacemaking efforts. So may prominent people working independently.

Examples of peacemaking initiatives:

- In 1948, the UN appointed the Swedish diplomat Count Folke Bernadotte as the UN Mediator in Palestine to use *“his good offices to promote a peaceful adjustment of the future situation in Palestine”* (General Assembly Resolution 186 of 14 May 1948).

- In 2006, the UN Secretary-General appointed Joaquim Chissano – former President of Mozambique – as Special Envoy of the Secretary-General for the areas in Uganda affected by the rebel Lord’s Resistance Army (LRA).

- In 2008, the Secretary-General of the UN and the Chairperson of the African Union (AU) appointed Djibril Yipènè Bassolé – who had been Foreign Minister of Burkina Faso – as the Joint UN-AU Chief Mediator for Darfur.

Peace enforcement involves measures to deal with existing conflicts. Peace enforcement may involve coercive measures, such as sanctions or blockades. The Security Council may authorize use of armed force as



Regional organizations or coalitions have carried out an increasing number of peace enforcement operations. The North Atlantic Treaty Organization (NATO), the European Union (EU) and the African Union (AU) are three examples. Such partnerships mean the international community responds more quickly and efficiently to violent conflict

The Security Council authorizes peace enforcement by a regional organization before or with the deployment of a UN operation. last resort.

The use force or “coercive measures” are only taken with the authorization of the Security Council in a resolution. This authorization is usually only given when other measures have failed.



The Security Council may authorize peace enforcement action without the consent of the parties to the conflict. It may consider taking this step for humanitarian purposes, to protect civilians or if the conflict represents a threat to international peace and security.

Peace enforcement differs from peacekeeping because there may be no peace process in place or consent from

the warring parties. Chapter VII of the UN Charter provides the legal basis for such action.

The UN does not usually engage in peace enforcement itself. The Security Council may use regional organizations for peace enforcement action, under Chapter VIII of the UN Charter. Regional organizations only undertake peace enforcement when authorized by the Security Council.

Regional organizations or coalitions have carried out an increasing number of peaceenforcement operations. The North Atlantic Treaty Organization (NATO), the European Union (EU) and the African Union (AU) are three examples. Such partnerships mean the international community responds more quickly and efficiently to violent conflict.

The Security Council authorizes peace enforcement by a regional organization before or with the deployment of a UN operation.

Examples of peace enforcement by regional organizations and coalitions as UN partners:

- The Security Council passed Resolution 1244 in 1999. It authorized KFOR, the NATO-led Kosovo Force, to establish security in Kosovo. The Council also set up a UN peacekeeping operation. The job of the United Nations Interim Administration Mission in Kosovo (UNMIK) had three parts: administer the territory, ensure law and order and create democratic institutions of self-government.

- The Security Council authorized an international coalition in 2001 in Afghanistan. The International Security Assistance Force (ISAF) maintained a military presence. The UN also set up the United Nations Assistance Mission in Afghanistan (UNAMA). UNAMA’s role was to support the transitional government.

- In 2007 the Security Council authorized the EU to deploy a military force with the United Nations Mission in the Central African Republic (CAR)

and Chad (MINURCAT) for one year. The EU military force transitioned to a UN military force under MINURCAT's authority in 2009.

- In Somalia the African Union Mission to Somalia (AMISOM) has been deployed since 2007 as a peace enforcement mission under the authorization of the AU and the UN. AMISOM is deployed with the UN special political mission (SPM), the UN *Assistance Mission in Somalia* (UNSOM), led by DPA, and the UN field support operation, the UN Support Office for AMISOM (UNSOA), led by DFS. UNSOA was renamed the UN Support Office in Somalia (UNSOS) in 2015.

- Security Council Resolution 1973 in 2011 established a no-fly zone in Libya's airspace. It authorized Member States to take all necessary measures to protect civilians under threat of attack. They can act nationally or through regional organizations or arrangements.

- In CAR, the Economic Community of Central African States (ECCAS) and France deployed forces before authorization of a UN peacekeeping mission. The AU's African-led International Support Mission in the Central African Republic (MISCA) took over from the Mission of ECCAS for the Consolidation of Peace in the Central African Republic (MICOPAX). In September 2014, MISCA was re-hatted as the UN Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA).

Peacekeeping usually takes place where conflict has ended. Peacekeeping is an approach designed to preserve the peace and to help implement peace agreements. To deploy peacekeeping operations:

1. The main parties to a conflict must have committed to a ceasefire agreement or peace process.
2. They also must agree or "consent" to work with the UN to lay foundations for sustainable peace.

Peacekeeping has evolved from a traditional to a multidimensional approach. The **traditional model** is mainly military. It involves observing ceasefires and the separation of forces after wars between countries (inter-state conflict). The **multidimensional model** has a mix of military, civilian and police capabilities. It supports the implementation of a comprehensive peace agreement after conflict has taken place within a country (intrastate conflict).

More recently, peacekeeping missions have been deployed in conflicts where a peace agreement is not in place. In these cases, peacekeeping missions work to bring a degree of stability to a country, while supporting a process that will lead to a peace agreement and/or peace process.

UN peacekeeping operations also support countries emerging from conflict to build a sustainable, durable peace in the longer term. Civilian and police functions help a country build its capacity to provide security to its people under the rule of law, to govern effectively and to build a cohesive, peaceful society. In this way, peacekeeping operations contribute to early peacebuilding.

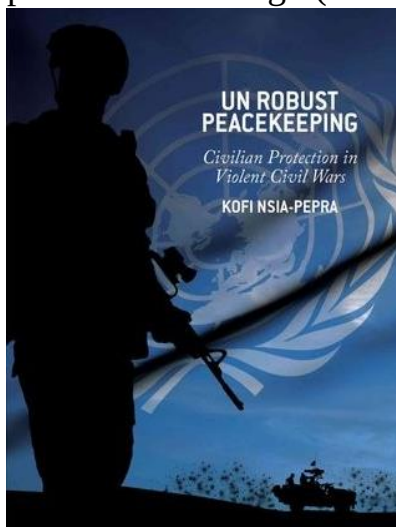
Existing peacekeeping operations include both types: traditional observer missions and multidimensional missions. Chapters VI and VII of the UN Charter provide the legal basis for all peacekeeping operations.

Examples of traditional UN peacekeeping missions that involve cease-fire observation and the separation of forces:

- United Nations Military Observer Group in India and Pakistan (UNMOGIP)
- United Nations Peacekeeping Force in Cyprus (UNFICYP)
- United Nations Mission for the Referendum in Western Sahara (MINURSO)
- United Nations Disengagement Observer Force (UNDOF)
- The United Nations Truce Supervision Organization (UNTSO)
- The United Nations Supervision Mission in Syria (UNSMIS).

Examples of multi-dimensional peacekeeping missions which involve military, police and civilian functions working together with host nations:

- United Nations Stabilization Mission in Haiti (MINUSTAH)
- Hybrid United Nations-African Union Peacekeeping Mission in Darfur (UNAMID)
- United Nations Operation in Cote d'Ivoire (UNOCI)
- United Nations Mission in Liberia (UNMIL)
- United Nations Organization Stabilization Mission the Democratic Republic of the Congo (MONUSCO)



- United Nations Mission in the Republic of South Sudan (UNMISS)
- United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA).

Robust peacekeeping

UN peacekeeping operations may use force as part of their mandate. This is at the field level. In such cases, the UN engages in “robust peacekeeping”.

“Robust” means strong, powerful and able to withstand challenge. For UN peacekeeping operations, robust means “use of all available means”.

In robust peacekeeping, a UN peacekeeping operation is deployed:

- With consent of the host authorities or main parties to the conflict
- With a strong mandate to use force.

The use of force may be necessary to deter spoilers and to ensure proper implementation of the peace agreement. The Security Council must authorize the use of force.

- The Security Council has authorized robust mandates:
- To deter forceful attempts to disrupt the political process
- To protect civilians under imminent threat of physical attack
- To assist national authorities in maintaining law and order.

By proactively using force in defence of their mandates, UN peacekeeping operations have improved security and created positive conditions for longer-term peacebuilding.

Examples of UN peacekeeping operations with robust mandates:

- **MONUSCO and the “Force Intervention Brigade” (FIB):** The Security Council approved the creation of an “offensive” combat force, intended to carry out targeted operations to “neutralize and disarm” the notorious 23 March Movement (M23), as well as other Congolese rebels and foreign armed groups in eastern Democratic Republic of the Congo (DRC). It tasked the new brigade with carrying out offensive operations, either unilaterally or jointly with the Congolese armed forces, “in robust, highly mobile and versatile manner” to disrupt the activities of those groups.

- **MINUSMA:** The Security Council approved robust rules of engagement with a mandate to use all necessary means to address threats to the implementation of MINUSMA’s mandate, which would include protection of civilians under imminent threat of physical violence and protection of UN personnel from residual threats, within MINUSMA’s capabilities and its areas of deployment. This includes the conduct of operations on its own or in cooperation with the Malian defense and security forces.

“Peace enforcement” and “robust peacekeeping” may both involve the use of force, but they are different. Peace enforcement and robust peacekeeping apply force at different levels, have different requirements for consent, and use of force differently.

The lines between robust peacekeeping and peace enforcement may be blurred, but important **differences exist**.

- Peace enforcement involves the use of force at the international level (applied internationally – inside and outside of the host country - by different countries, regional organizations or the international community in general), and **without the consent** of the parties to a conflict. “Force” may include sanctions, blockades or armed force, as a last resort.

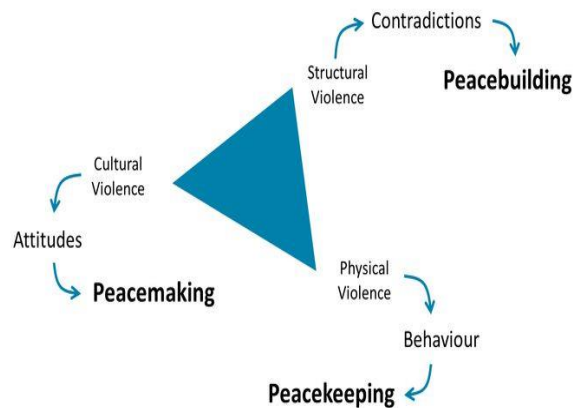
- Robust peacekeeping involves the use of force at the field level **ONLY** (applied in the host country by the UN peacekeeping operation), and requires the **consent** of the host country and/or main parties to the conflict. “Force” refers to/means armed force.

The use of armed force or any other “coercive measure” is only taken with the authorization of the Security Council.

Peacebuilding occurs in the aftermath of conflict. Peacebuilding is a complex, long-term process of creating the necessary conditions for lasting peace by working on the root causes of violent conflict.

Peacebuilding involves measures that reduce the risk of lapsing or relapsing into conflict.

Peacebuilding addresses core issues that affect how a society and state function. It aims to improve the state's ability to govern effectively, by strengthening at all levels the national capacity to manage conflict and build a foundation for sustainable peace and development.



Examples of peacebuilding activities include:

- Supporting security sector reform (SSR)
- Assisting in rebuilding of justice and corrections systems
- Supporting national human rights institutions.

Peacebuilding draws on the expertise of different UN bodies. It requires active partnership with the UN's agencies, funds and programmes, which take a longer-term development view.

Special political missions (SPMs), led by DPA, carry out comprehensive peacebuilding strategies. These help unite the entire UN presence in a country in a coherent effort to institutionalize peace. This includes the UN Country Team (UNCT), which is made up of all the UN agencies, funds and programmes present in a country.

The UN Peacebuilding Commission (PBC) helps to bring together resources. It advises on integrated strategies for peacebuilding and recovery in a particular country. It also brings together relevant actors in support of these strategies, including national and international actors, international financial institutions, donors, UN agencies and civil society organizations. At the heart of peacebuilding are national actors.

The Peacebuilding Support Office (PBSO) assists and supports PBC with strategic advice and policy guidance. PBSO also manages the Peacebuilding Fund (PBF) and coordinates UN agencies in their peacebuilding efforts.

The creation of the UN peacebuilding architecture reflects a growing recognition within the international community of the linkages between UN peacemaking, peacekeeping and peacebuilding.

Examples of SPMs past and present involved in peacebuilding include:

- BNUB, United Nations Office in Burundi
- BINUCA, United Nations Integrated Peacebuilding Office in the Central African Republic
- UNIOGBIS, United Nations Integrated Peacebuilding Office in Guinea-Bissau
- UNIPSIL, United Nations Integrated Peacebuilding Office in Sierra Leone.

No clear sequence or order exists for peace and security activities. The Security Council often uses different tools at the same time. Peacekeeping is one tool linked to the others.

Conflict prevention, peacemaking, peace enforcement and peacebuilding connect to peacekeeping. All are part of the Security Council's broader strategy to resolve conflict.

Conflict prevention, peacemaking and peace enforcement, if used, usually come before peacekeeping – when there is “no peace to keep”.

UN peacekeeping operations are deployed to support the implementation of a ceasefire or peace agreement. **Peacekeeping operations may also play an active role in peacemaking efforts and early peacebuilding.**

The World Bank in its 2011 report showed that 90 per cent of civil wars in the past decade took place in countries that had already experienced a civil war in the previous 30 years.

Peacekeeping operations can play an important role in early warning of potential conflict by picking up vibrations of crisis or instability.

Peacekeeping operations can also play a key role in conflict prevention. They can advance the political objectives of a peace process. **They can lay the foundation for longer-term institution building and prevent relapse into conflict.** Three examples of peacekeeping work in longer-term institution building and conflict prevention are:

- Electoral assistance
- Support to security and justice reform
- Disarmament, demobilization and reintegration (DDR).

Peacekeeping operations can also play a role in peace enforcement. In some cases, they have been mandated to cooperate with the Expert Panels which monitor Security Council sanctions, or tasked with the monitoring of sanctions measures, such as arms embargoes.

To respond to the different types of conflicts and changing political environments, three main types of peacekeeping operations exist:

- Traditional peacekeeping
- Multidimensional peacekeeping
- Transitional authority.

Each type has different tasks outlined in the Security Council mandate.

Another type of **field mission**, SPMs, may be active in conflict prevention, peacemaking or peacebuilding.

“Traditional” and “multidimensional” peacekeeping operations have different mandated tasks, variety of personnel, and roles in political efforts for lasting peace.

Traditional peacekeeping operations.

Traditional peacekeeping is a temporary measure to help manage a conflict. It creates safer conditions for others to work on peacemaking.

“Traditional peacekeeping” is the original form of UN peacekeeping. The traditional model is mainly a military one, observing cease-fires and separating forces. It was first deployed during the Cold War.

Traditional UN peacekeeping operations are military in character. Tasks may include:

- Observation, monitoring and reporting, using static posts, patrols, over-flight or other technical means (with the agreement of the parties)
- Supervision of a cease-fire and support to verification mechanisms
- Interposition or placement as a buffer and confidence-building measures.

Traditional peacekeeping operations do not typically play a direct role in political efforts to resolve a conflict. They are deployed as an interim measure to:

- Help manage a conflict
- Create conditions for negotiation of a lasting settlement.

Others work on longer-term political solutions, for example, diplomats, regional organizations or special UN envoys. Their success allows the peacekeeping operation to withdraw. However, lasting political solutions may take decades, requiring traditional peacekeeping operations to remain in place.

Traditional peacekeeping operations do not carry out state functions. Neither do they engage in governance or capacity-building activities.

- **Traditional peacekeeping has the following characteristics:**
- **Originally designed for inter-state conflicts**
- **Involves a lightly armed international presence**
- **Creates a buffer between parties**
- **Has mainly military tasks.**

Traditional peacekeeping missions may be led by military personnel because there are mainly military personnel.

Examples of traditional peacekeeping:

- United Nations Military Observer Group in India and Pakistan (UNMOGIP)
- United Nations Peacekeeping Force in Cyprus (UNFICYP)
- United Nations Mission for the Referendum in Western Sahara (MINURSO)
- United Nations Disengagement Observer Force (UNDOF) on the Golan Heights, Syria
- United Nations Truce Supervision Organization (UNTSO)
- United Nations Supervision Mission in Syria (UNSMIS).

Multidimensional peacekeeping operations.

Multidimensional peacekeeping operations are typically deployed in the dangerous, unstable aftermath of an internal violent or intra-state conflict. A peace agreement must be in place, however fragile. The multidimensional peacekeeping operation works on two main priorities:

1. Creating a secure and stable environment, while

2. Helping national authorities and parties implement the peace agreement.

Since the end of the Cold War in the early 1990s, multidimensional peacekeeping operations have become more common.

- Tasks may include:
- Implementation of comprehensive peace agreements
- Disarmament, demobilization and reintegration (DDR) of ex-combatants
- Electoral assistance
- Rule of law
- Human rights monitoring
- SSR.

Multidimensional UN peacekeeping operations usually play a direct role in political efforts to resolve the conflict. This is different from traditional peacekeeping operations.

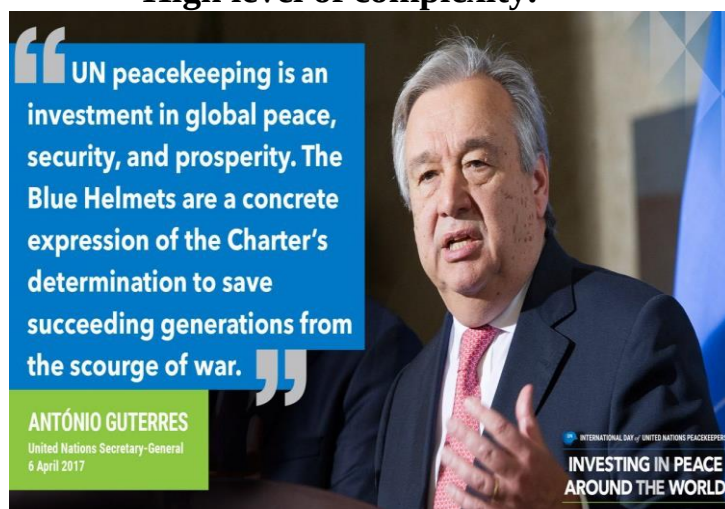
Multidimensional peacekeeping operations are often more involved in *peacemaking* than traditional *peacekeeping*. The Security Council often mandates multidimensional operations to provide “good offices” or promote national political dialogue and reconciliation.

Multidimensional peacekeeping operations play an important role in early *peacebuilding* efforts. Multidimensional peacekeeping operations draw on a mix of military, police and civilian personnel or “components”. All contribute to implementation of a comprehensive peace agreement through support to:

- Development of legitimate and effective state institutions for governance and rule of law, including on elections
- State ability to provide security, with full respect for human rights, through SSR.

Such operations provide a framework for coordination for the UN and other international actors’ work around the national priorities of the host country.

- **Multidimensional peacekeeping has the following characteristics:**
- **Diverse mandated tasks**
- **Mix of military, police and civilian components**
- **High level of complexity.**



Civilian personnel head multidimensional peacekeeping operations.

Examples of multidimensional peacekeeping:

- United Nations Stabilization Mission in Haiti (MINUSTAH)
- Hybrid United Nations-African Union Peacekeeping Mission in Darfur (UNAMID)

- United Nations Operation in Côte d'Ivoire (UNOCI)
- United Nations Mission in Liberia (UNMIL)
- United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO)
- United Nations Mission in the Republic of South Sudan (UNMISS)
- United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA).

Transitional Authority mission is also a type of multidimensional peacekeeping operation that temporarily conducts state functions.

In very rare circumstances, the Security Council has authorized multidimensional UN peacekeeping operations to **temporarily take responsibility for the legislative and administrative functions of the state**.

When required, this measure is taken to resolve questions of sovereignty or state authority. It may include:

- Support to the transfer of authority from one sovereign entity to another
- Establishment of a transitional administration until sovereignty questions are fully resolved.

A transitional authority may also be put in place to help the state establish administrative structures that did not exist previously.

Examples:

- United Nations Transition Assistance Group in Namibia (UNTAG) established in 1989 to 1990
- United Nations Transitional Authority in Cambodia (UNTAC) from March 1992 to September 1993
- United Nations Transitional Authority in East Timor (UNTAET) from October 1999 to May 2002
- United Nations Interim Administration mission in Kosovo (UNMIK) established in June 1999.

The UN may also deploy a Special Political Mission (SPM), led by DPA. SPMs are not peacekeeping operations. They are active in conflict prevention, peacemaking, peacebuilding and even peace enforcement.

SPM field missions differ a lot in variety, mandate and duration.

These types of SPMs exist:

- Political field missions
- Special envoys
- Expert panels to monitor Security Council sanctions
- Few or no uniformed personnel are in SPM field missions.

Since SPMS are active in conflict prevention, peacemaking, peacebuilding and peace enforcement, they may be deployed before, at the same time as, or after peacekeeping operations.

Examples of past and current SPMs

Field Missions

- UNSOM, United Nations Assistance Mission in Somalia
- UNAMA, United Nations Assistance Mission in Afghanistan
- UNAMI, United Nations Assistance Mission for Iraq

- BNUB, United Nations Office in Burundi
- BINUCA, United Nations Integrated Peacebuilding Office in the Central African Republic
- UNIOGBIS, United Nations Integrated Peacebuilding Office in Guinea-Bissau
- UNIPSIL, United Nations Integrated Peacebuilding Office in Sierra Leone
- UNOCA, United Nations Regional Office for Central Africa
- UNOWA, United Nations Office for West Africa
- UNSMIL, United Nations Support Mission in Libya.

Special Envoys

- Personal Envoy of the Secretary-General for Western Sahara
- Special Envoy of the Secretary-General for the Sahel
- Special Envoy of the Secretary-General to the Great Lakes Region.

Expert Panels

Expert Panels monitor Security Council sanctions through periodic reports. They may recommend a sanction, such as a travel ban or asset freeze. The experts also report on violations of existing sanctions.

Examples of SPMs together with other peace operations

- The Special Envoy of the Secretary-General on the future of Kosovo was deployed to the country at the same time as the peacekeeping operation (transitional authority).
- In Burundi and Sierra Leone, SPM field missions involved in peacebuilding took over from UN peacekeeping operations.
- In CAR, the SPM field mission, the UN Integrated Peacebuilding Office in CAR (BINUCA) became part of the peacekeeping operation, the UN Multidimensional Integrated Stabilization Mission in CAR (MINUSCA), which was established due to developments on the ground.
- The United Nations Assistance Mission in Somalia (UNSOM), the United Nations Assistance Mission in Iraq (UNAMI) and the United Nations Assistance Mission in Afghanistan (UNAMA) are three examples of SPM field missions where the military and police functions are carried out by regional alliances, authorized by the Security Council under Chapter VIII.
- Peacekeeping operations and field-based SPMs have often been mandated to cooperate with Expert Panels. Peacekeeping missions such as UNMIL, UNOCI and MONUSCO have also been tasked with the monitoring of sanctions measures, such as arms embargoes.

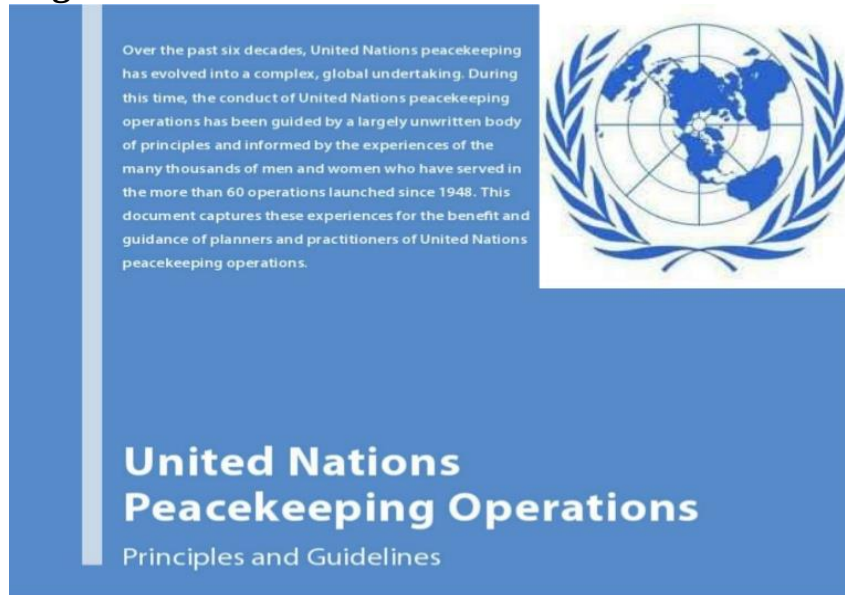
Questions to check how well you possess the information about UN peacekeeping

1. Of the five main types of peace and security measures available to the Security Council, which one(s) may involve use of force?
2. What kind of peacekeeping operation temporarily takes over legislative and administrative State functions?
3. What are three main differences between traditional and multidimensional peacekeeping operations?
4. When does peacekeeping take place?

§ 1.3. Principles of United Nations Peacekeeping

Aim: To introduce the Basic Principles and success factors of UN peacekeeping, and explain how to put them into practice.

Learning Outcomes



Learners will:

- List basic principles and key success factors of UN peacekeeping
- Explain the “legitimacy” and “credibility” of UN peacekeeping
- Describe how peacekeeping personnel support legitimacy and credibility
- Explain what “national and local ownership” means and why it is essential to peacekeeping success.

The Basic Principles of UN peacekeeping **guide** UN peacekeeping personnel. They provide you with a navigational aid – a compass – to help you do your work.

The Basic Principles and other factors are keys to successful UN peacekeeping. They are linked to one another, and strengthen each other. Everyone involved in UN peacekeeping – in the field and at Headquarters – must **know, understand and apply** them.

This lesson explains what is meant by each principle and success factor, and how to apply them to your work. The Basic Principles and success factors are outlined in the Principles and Guidelines on UN Peacekeeping Operations (also known as the Capstone Doctrine), which is the doctrine for UN peacekeeping.

The three basic principles of UN peacekeeping are:

- Consent
- Impartiality
- Non-use of force, except in self-defence and defence of the mandate

Without consent a UN peacekeeping operation risks becoming a party to the conflict.

A withdrawal of consent leads to changes in the international community's strategy. A withdrawal of consent by any of the parties challenges the reason for a peacekeeping operation. It may mean the Security Council withdraws the operation.

Consent can be uncertain or unreliable. Parties to a conflict may block aspects of the peacekeeping mission's mandate because of a lack of trust.

Weak command and control systems within parties to the conflict may mean differences of opinion exist between central and local levels of command. "Spoilers" may be active. Spoilers have an interest in spoiling a return to peace and security. They may be outside the control of main parties to a conflict.

Consent means more than signing an agreement of intent. It means helping to implement.

Example – Withdrawal of Consent

In the following example, a formal consent on paper was contradicted by a withdrawal of consent in reality:

The United Nations Mission in Ethiopia and Eritrea (UNMEE) was established by the Security Council in July 2000. Its mandate was to monitor the cessation of hostilities, agreed to by the two countries. In July 2008, the Security Council terminated the mandate of UNMEE. This was in response to:

- An effective refusal of consent
- Crippling restrictions imposed by Eritrea on UNMEE
- The cutting off of fuel supplies.

The operation could not carry out its mandated tasks. The safety and security of UN personnel was at risk.

Peacekeeping personnel must watch for and be ready to prevent any loss of consent at the local or central level.

Consent by main parties to a conflict for deployment of a peacekeeping operation does not mean consent exists at local levels. The main parties may be internally divided or have weak command and control structures.

Important work for all UN peacekeeping personnel is to **continuously scan and analyse the peacekeeping environment for:**

- **Signs or indications of loss of consent**
- **Ways support and consent can be strengthened.**

By sharing observations with the units in the mission that exist to manage intelligence, peacekeeping personnel help the mission prevent any loss of consent at local, subregional and central levels.

How can peacekeeping personnel interpret local signals and watch for key indicators of consent? One way is by understanding the history, customs and culture in the mission area. When they know where they will be deployed, peacekeeping personnel are encouraged to study the host country, communities and customs.

What are peacekeeping personnel to do with observations of change in consent and support? Keeping their eyes open is a first step. Peacekeeping personnel must also **assess and report on the changing interests and motivation of parties, their supporters and community members.**

Peacekeeping personnel who work directly with members of local populations need to **build mutual respect and trust**, a contribution to sustainable peace.

Impartiality makes the UN a trusted government partner that can help coordinate with donors.



Impartiality means not taking sides. UN peacekeeping operations mandates are implemented with no favour or prejudice to any parties to the conflict.

Impartiality is crucial to maintaining consent and cooperation of the main parties. The principle of impartiality supports the principle of consent. This shows how basic principles reinforce each other.

Impartiality does not mean doing nothing. Impartiality is different from inactivity or from neutrality.

Impartiality means even-handed and unbiased contact with all parties to a conflict by a UN peacekeeping operation. UN actions are to reflect fair implementation of mandate. UN peacekeeping operations must be impartial in dealings with parties to a conflict, but not neutral in execution of their mandate.

A peacekeeping operation is similar to a good referee in a sports game, one who is impartial but also able to penalize infractions.

A peacekeeping operation cannot condone any actions that violate:

- The peace process, agreements
- International norms and principles upheld by a UN peacekeeping operation.

Impartiality is not equal treatment of all parties at all times. This would be appeasement. In some cases, local parties are obvious aggressors and/or victims. Their actions may contradict agreements and Charter principles, as well as mission standards.

Peacekeeping personnel will have contact with humanitarian workers. Humanitarian work involves aid and action designed to save lives. **Humanitarian work is guided by principles that use the same terms, impartiality and neutrality. The meaning is different.**

For the humanitarian actors, such as the International Movement of the Red Cross and Red Crescent (which includes the International Committee of the Red Cross – or ICRC), **impartiality** means being guided solely by needs, providing humanitarian assistance without discrimination. No discrimination is

made on the basis of nationality, race, gender, class or religious or political beliefs.

Neutrality for humanitarian actors means to take no sides in hostilities, or engage in controversies of a political, racial, religious or ideological nature.

Differences in definition and use of terms may seem minor. They are important because they define identity and determine actions in the field.

A peacekeeping operation must be seen to be fair, open and transparent. This maintains the principle of impartiality.

This means the mission has to:

- Build and keep good relations with the parties to the conflict
- Avoid all activities that might compromise the image of the mission as impartial.

A mission may decide to take action if a peacekeeping process is being undermined. The rationale for action must be well established and communicated. The mission needs to communicate to everyone the reasons as well as evidence on which the decision to act is based. The goal of clear, open communication is to lessen possible backlash against the mission. The role of the Public Information Office (PIO) in the mission is critical at such times.

“Force” refers to the use of “arms” or “weapons” by armed personnel (military, and where applicable, police). Use of force only in self-defence has evolved to include the use of force in order to defend the mandate.

“Self-defence” is understood to be defence of UN personnel and property. One aspect of changing peacekeeping conditions in the last decades is the targeting of the UN.

The initial principle was that UN peacekeeping operations would only use force in selfdefence. **Use of force is accepted now in defence of the mandate.**

Even with a robust mandate authorizing the use of force, a UN peacekeeping operation **only uses force in a gradual manner.**

The peacekeeping operation must:

- Exercise restraint in the use of force
- Ensure its use is precise, proportional and appropriate for the local context
- Be mindful of the need for early de-escalation of violence and return to nonviolent means of persuasion.

Knowing the wider environment and being able to interpret and respond to signs and information is part of personal survival as well as mission success.

Many **factors influence a decision** about use of force:

- Political implications
- Mission capability
- Public perceptions (local and international)
- Humanitarian impact
- Force protection
- Safety and security of personnel

- Effect on national and local consent for the mission.

The aim of the use of force is to influence and deter spoilers working against the peace process or seeking to harm civilians or the UN personnel and property. The aim is not military defeat.

Minimum use of force is to be applied to achieve the desired tactical result, still sustaining consent for the mission and its mandate. This illustrates how the three basic principles inter-link: impartiality, consent and non-use of force except in self-defence and defence of the mandate.

Specific documents outline the use of force. All peacekeeping personnel must know:



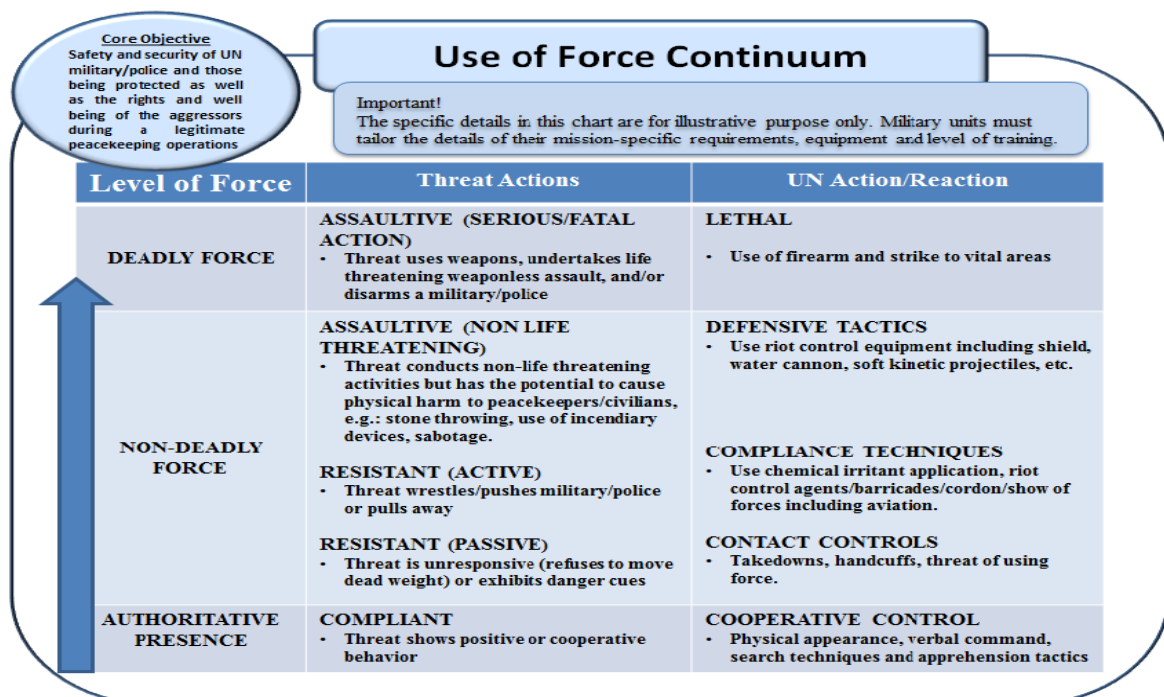
RULES OF ENGAGEMENT

- The mission-wide **Rules of Engagement (ROE) for the military**

- The **Directive on the Use of Force (DUF)** for police components.

These two documents clarify:

- Different levels of force for different circumstances
- How each level of force is to be used



- The required authorizations.

Other factors are critical for success of peacekeeping operations. Three reinforce and support each other:

- Legitimacy
- Credibility
- Promotion of National and Local Ownership.

To be **legitimate** means to be lawful, permitted or valid. A UN peacekeeping operation has international legitimacy because:

- It is based on the UN Charter and international law
- It is popularly accepted by Member States.

UN peacekeeping operations have international legitimacy, based on several facts:

- The UN, Security Council and the Secretary-General are committed to the principles and purposes of the UN Charter, as well as international law
- The Security Council has lead responsibility for global peace and security
- The Security Council issues a specific mandate for any peacekeeping operation
- Member States consent to deployment and contribute personnel, equipment and funding
- The Secretary-General directs peacekeeping operations – a recognized, impartial, well-respected international figure.

Conduct of an operation influences how those on the ground perceive its legitimacy. Depending on the firmness and fairness a mission applies in achieving its mandate, perceptions of legitimacy can change.

The quality and conduct of military, police and civilians can directly affect perceived legitimacy.

The UN expects all peacekeeping personnel to act and behave to the highest standards. Behaviour is to be consistent with the important responsibilities entrusted to a UN peacekeeping operation.

High standards include professionalism, competence and integrity.

Specific examples of behaviour or conduct contributing to the perceived legitimacy of a peacekeeping operation include:

- High standards in implementing the mandate
- How the peacekeeping operation uses force
- Zero tolerance for any kind of sexual exploitation and abuse, and other forms of serious misconduct
- The discipline imposed on personnel
- The respect shown to local customs, cultural artefacts, institutions, laws, and the environment, and
- The decency with which local people are treated.

All peacekeeping personnel are to know the high standards of conduct expected of them. The UN has **zero tolerance for any sexual exploitation and abuse or other serious misconduct**.

To be **credible** means to be believable, worthy of confidence and trust. The credibility of a UN peacekeeping operation depends on the belief that the mission can achieve its mandate. Credibility is affected by how capable and effective the mission is at managing and meeting the expectations of the international and local communities.

UN peacekeeping occurs in **volatile, highly tense and difficult environments**. Lawlessness and insecurity may be prevalent at local levels. Those who want to exploit the political and security vacuum will find opportunities. The UN peacekeeping operation may threaten some interests. **The mission is likely to be tested for weakness and division.**

To **achieve and maintain its credibility**, the mission requires:

- **A clear mandate that can be achieved**
- **Resources and capabilities to match the mandate**
- A sound mission plan
- Clear communications about the plan
- Impartial and effective implementation at all levels.

Local people have high expectations for the UN peacekeeping operation. They believe it will address their most pressing needs. The ability to **manage these expectations** through the life of a peacekeeping operation affects mission credibility.

Credibility, once lost, is hard to regain. A mission with low credibility becomes marginalized (or “insignificant”) and ineffective. Consent may erode. Legitimacy may be seen as weak or frayed. Critics, opponents and spoilers may exploit points of weakness.

Loss of credibility may directly affect the morale of personnel, further eroding mission effectiveness. Mission success requires that credibility is maintained.

The mission and all personnel must work to implement the mandate, and must always maintain a confident, capable and unified posture. The mission must be able to manage the expectations of the local population.

Mission mandates may be influenced by politics in the Security Council. Deployment of personnel or equipment can take longer than expected. This increases **the importance of all peacekeeping personnel working together**, supporting each other’s work.

“Managing expectations” means that every peacekeeping personnel must be careful to avoid making false promises to local communities. Good intentions can backfire. A perceived failure to meet expectations, even unrealistic ones, may lead to dissatisfaction or active opposition.

“National and local ownership” refers to inclusive and consultative processes based on the perspectives, priorities and vision of the local stakeholders in the host country. It is grounded in the belief that building sustainable peace requires active engagement of local actors at all levels.

A UN peacekeeping mission cannot want stability and peace more than local people and national partners. Building sustainable peace cannot be solely an outside activity with international actors as primary actors.

The UN is committed to national and local ownership. National and local ownership is essential to peacekeeping success. This is because:

- It reinforces the perceived legitimacy of the mission

- It is critical to successful implementation of a peace process or peace agreement, which the mission mandate supports
- It helps ensure the sustainability of peacebuilding after the mission has withdrawn.

Promoting national and local ownership involves:

- **Including local and national perspectives on needs and best solutions**
- **Nurturing national capacity to re-emerge quickly from conflict to lead critical political and development processes.**

National and local ownership must be representative of all members of the society. This requires reaching out to all parts of a country and community, not just engaging with those in power or who have guns. Engaging people in marginal or vulnerable groups may require a targeted effort. Examples include women as a group of people who are typically excluded in a society, as well as children, a particular ethnic or religious group, the elderly and people with disabilities.

A multidimensional UN peacekeeping operation may have to perform important state functions in the short-term. Examples include the provision of security and maintenance of public order by the military and police. These functions are to be done in a consultative way, building or reinforcing national and local capacity for military, police and civilian functions. Local people will take over the work when the peacekeeping operation withdraws.

Peacekeeping personnel are to make all effort to promote national and local ownership. Every stage of planning and mission activity presents opportunities.

Peacekeeping missions must **be aware of and respect national sovereignty.**

All peacekeeping personnel must **be sensitive to local needs and perspectives.** A real understanding of the hopes of the entire local population involves recognizing all opinions and views, as well as a strong understanding of the political and wider socioeconomic context.

Peacekeeping personnel must **be aware of existing national capacity** and work to **support and build national capacity.** A mission is to avoid displacing local or national capacity wherever possible. To “displace” means to move something from its position or place. As legitimate and capable government structures emerge, the role of international actors diminishes quickly. The mission must allow national capacity to lead critical processes and state functions, such as military and police functions for security and public order.

All peacekeeping personnel must make every effort to **build trust and cooperation with local and national actors.** This inclusive and collaborative approach is critical to mission success. Peacekeeping operations are better able to pass on a mission’s tasks to local people and institutions when they have built strong relationships through working together closely.

Peacekeeping personnel can also consider the following actions:

- Talk to people in all parts of society. Consult with them on their needs and how the mission's work can improve lives. Relay that information back through mission communication channels.

- Do not ignore marginal and vulnerable people. Make special efforts to hear their views.

- Be in touch with local officials, non-governmental organizations, different political parties, women's associations, youth and student groups and groups for minorities and the elderly. All opinions and views need to be heard and understood in an open, transparent process. Make sure no group feels left out or discriminated against.

- Steadily build knowledge of local history, cultures and values – a critical tool in support of national and local ownership. When people feel their culture is recognized and valued, their self-respect and confidence increases.

- Informally ask for feedback and support surveys of client satisfaction with the peacekeeping mission and its work, keeping open communication lines with partners.

Questions to check how well you possess the information about UN peacekeeping

1. What are the three basic principles of UN peacekeeping which have remained the same since 1945?

2. Why is consent critical for peacekeeping missions?

3. What does impartiality mean in UN peacekeeping?

4. What affects the credibility of the mission?

5. The quality and conduct of personnel can directly affect the perceived legitimacy of a peacekeeping operation. Give specific examples of behaviour or conduct contributing to the perceived legitimacy of a peacekeeping operation.

6. What does "managing expectations" mean, in a peacekeeping operation?

7. Why is promoting national and local ownership so essential to peacekeeping success?

8. Explain where international legitimacy comes from for UN peacekeeping operations.

9. What actions can peacekeeping personnel take to promote national and local ownership? Name at least three that you see as high priorities.

§ 1.4. Legal Framework for United Nations Peacekeeping

Aim: To explain the legal framework for UN peacekeeping operations and emphasize parts of international law important to peacekeeping personnel.

Learning Outcomes

Learners will:

- List key documents included in the legal framework for UN peacekeeping operations
- Explain human rights and list examples in International Human Rights Law (IHRL)
- Identify who is protected by International Humanitarian Law (IHL)
- Explain why all armed UN peacekeeping personnel must know the rules of engagement (ROE) or directive on use of force (DUF).

As peacekeeping personnel, you are an **“ambassador” of the UN** and your country in everything you do. You are also a **role model**.

As a UN ambassador you are deployed to represent the UN and carry out its important responsibilities. As a role model you must be a good example for others to copy or imitate.

As an ambassador and a role model, it is important for you to **know what you “should” and “should not” do**. The legal framework provides such knowledge. This lesson focuses on international law as an important part of the legal framework.

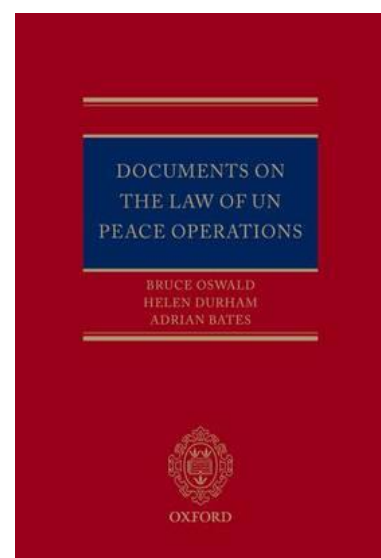
You must not violate international human rights law or international humanitarian law. Under no circumstances should you be involved in sexual violence or the exploitation of women, children or the local population.

Legal Framework for UN Peacekeeping Operations

The legal framework is the set of rules or laws that influence the actions, tasks and conduct of the peacekeeping operation and its personnel.

The legal framework is important because:

- **It gives legitimacy.** The UN does not undertake any peacekeeping operation without clear authority to do so – in other words, without the “power” or “right”
- **It directs the actions or tasks of the peacekeeping operation.** UN peacekeeping operations are directed to promote and protect human rights and other international law. Respect for human rights has positive effects on peace. Peacekeeping personnel have a responsibility to ensure special protection of certain groups who are vulnerable or who suffer discrimination, such as women, minorities, children, refugees and internally displaced persons (IDPs)



- **It guides peacekeeping personnel in their official functions and personal conduct.** The UN expects the same high standards in the private behaviour of peacekeeping personnel as in professional life. Authorities deal with cases of misconduct firmly, fairly and quickly. This includes cases of serious misconduct such as sexual exploitation and abuse.



The legal framework for UN peacekeeping operations includes:

- International Law, including the UN Charter, International Human Rights Law, International Humanitarian Law, International Refugee Law and International Criminal Law

- Security Council mandate
- National law of the host country
- Memorandum of Understanding (MOU) between the UN and the Troop/Police Contributing Countries (TCCs/PCCs)

- Status of Mission Agreement (SOMA) or Status of Force Agreement (SOFA)
- Convention on the Privileges and Immunities of the United Nations of 1946
- UN Internal Rules, Regulations and Guidance
- Rules of Engagement (ROE) and Directive on the Use of Force (DUF).

The UN Charter is a source of authority and legitimacy for UN peacekeeping. It does not use the word “peacekeeping”. Some articles and chapters link to it. The legal basis for UN peacekeeping is in chapters VI and VII.

The UN Charter chapters linked to UN peacekeeping include Chapters I, V, VI, VII and VIII.

Chapter I is “Purposes and Principles” of the UN. Article 1 says that **one purpose of the UN is “to maintain international peace and security”**.

Chapter V covers “The Security Council”. The **Security Council has “...primary responsibility for the maintenance of international peace and security**. “...The specific powers granted to the Security Council for the discharge of these duties are laid down in Chapters VI, VII, VIII...”.

Chapter VI deals with “Pacific Settlement of Disputes”. This chapter outlines **peaceful measures** available to the UN for settling disputes and dealing with armed conflict.

Chapter VII provides for “Action with Respect to Threats to the Peace, Breaches of the Peace and Acts of Aggression.” “...The Security Council ... **may take such action by air, sea or land forces as may be necessary** to maintain or restore international peace and security...”. This chapter outlines **coercive measures**.

Chapter VIII deals with “Regional Arrangements”. It provides for involving **regional partners** in maintaining international peace and security, consistent with the Charter’s principles and purposes.

Chapters VI and VII of the UN Charter

Traditional peacekeeping operations have been called “Chapter VI” missions. Multidimensional operations, which are oriented towards the use of force, have been called “Chapter VII” missions. These references to chapters are inaccurate and misleading. The UN discourages their use.

When the Security Council authorizes a peacekeeping operation, it does not have to refer to a specific chapter of the UN Charter.

The Security Council has begun to refer to Chapter VII of the UN Charter when authorizing robust peacekeeping operations in volatile post-conflict settings. This shows the political commitment of the Security Council. It also reminds UN Member States and parties to a conflict of their obligation to Security Council resolutions.

A peacekeeping operation’s authority to use force is not linked primarily to an explicit reference to Chapter VII of the UN Charter in the Security Council mandate. No matter which Chapter is referenced, an appropriately worded Security Council mandate provides the true basis for the legitimate use of force by personnel serving in a UN peacekeeping operation.

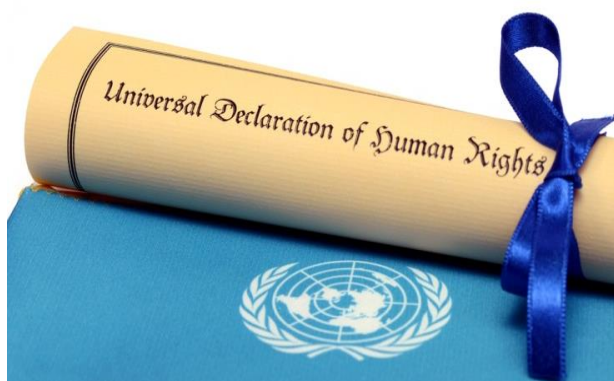
The authority to **use force** in certain situations is also guided by:

- **The Mission’s Concept of Operations (CONOPs)**
- **The Rules of Engagement (ROE)**
- **The Directive on the Use of Force (DUF).**

Referring to a UN peacekeeping operation as a “Chapter VI” or “Chapter VII” operation is inaccurate. It is also misleading. Peacekeeping personnel should avoid these references to prevent misunderstanding.

International Human Rights Law

UN peacekeeping seeks to promote and protect human rights. **Human rights are universal.**



“Human rights” are rights inherent to all human beings, whatever our nationality, residence, sex, sexual orientation and gender identity, national or ethnic origin, colour, religion, language or any other status. We are all equally entitled to our human rights without discrimination.

These **rights are universal**, which means that every person holds them, and they are **indivisible**, which means that different rights support each other and cannot be separated. No one can take away a person’s human rights.

Examples of human rights include civil and political rights, economic, social and cultural rights.

International Human Rights Law (IHRL) is international law that protects the fundamental human rights of every individual, always, including in armed conflict. It applies to all human beings in war and peace.

IHRL protects certain types of human rights and groups of people who may need special protection because they are vulnerable or suffer discrimination. Women and children are two groups with special protection measures.

Vulnerable groups include:

- **Refugees**
- **Internally displaced persons** – people who have fled from their homes because of armed conflict, persecution, human rights violations or natural disasters
- **Minorities** - groups with common ethnicity, religion or language different from the majority population
- **Detainees** - persons in detention, awaiting trial or serving a judicial sentence
- **Persons with disabilities** - people injured or maimed, or with physical or mental disabilities
- **Migrant workers**
- **Women, children and the elderly.**

IHRL is in the UN Charter and other international treaties and conventions.

The International Bill of Human Rights is the cornerstone document for human rights. It is made up of:

- 1. The Universal Declaration of Human Rights (UDHR) - adopted in 1948**
- 2. The Covenant on Economic, Social and Cultural Rights**
- 3. The Covenant on Civil and Political Rights.**

The UN Charter and the International Bill of Human Rights, together, underscore that human rights and fundamental freedoms are universal, guaranteed to everybody. All human beings are:

- Born free and equal
- Endowed with reason and conscience
- To act towards one another in a spirit of brotherhood.

The Charter commits all Member States to promote, respect and follow human rights and fundamental freedoms for all, without distinction by race, sex, language or religion (Articles 1 and 55).

Other human rights treaties supplement the International Bill of Human Rights. These focus on specialized areas, for example the prevention of genocide and torture and protection of vulnerable groups.

Examples of human rights instruments that address specific issues are:

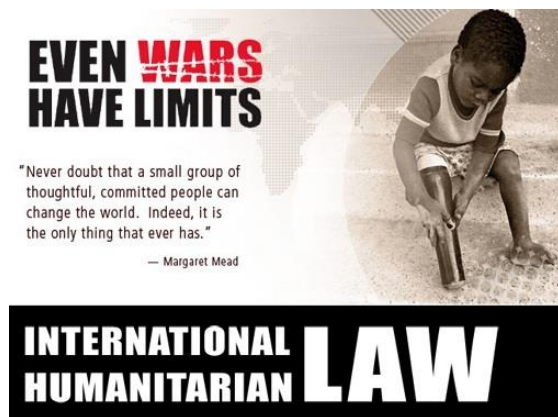
- International Convention on the Elimination of All Forms of Racial Discrimination (1965)

- Convention on the Elimination of All Forms of Discrimination against Women (1979)
- Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (1984)
- Convention on the Rights of the Child (1989)
- International Convention on the Protection of the Rights of All Migrant Workers and Members of their Families (1990).

International Humanitarian Law

International Humanitarian Law (IHL) is known as the “law of war” or the “law of armed conflict”. The goal is to limit the negative impact of armed conflict and to lessen suffering during war. It applies in times of armed conflict.

“Armed conflict” refers to **both international and non-international armed conflicts**. **International armed** conflict involves two or more opposing states. **Non-international** or **internal armed conflict** involves one or more states against organized non-state armed groups, or conflict between such groups.



IHL protects those who do not engage in hostilities, or who are no longer doing so. This includes civilians, the wounded, prisoners, medical personnel and humanitarian workers. It **upholds fundamental rights** of civilians, victims and non-combatants in an armed conflict.

IHL also restricts the means and methods of warfare. IHL does not allow use of certain weapons because they cause undue suffering. An example is incendiary weapons – weapons that cause fire. IHL outlaws certain methods of warfare, such as pretending to be a Red Cross or Red Crescent humanitarian worker to trick enemies.

Rules of IHL bind all parties to a conflict. IHL applies only in armed conflict. It does not cover internal tensions or disturbances such as isolated acts of violence. The law applies when a conflict starts, and then equally to all sides, regardless of who started fighting.

The main rules of IHL are in the Geneva Conventions of 1949 and two Additional Protocols of 1977, as well as in rules regulating means and methods of combat.

The Geneva Conventions lay out points of agreement about how states and people will behave in times of war and conflict.

IHL also contains conventions and treaties on protection of cultural property and the environment during armed conflict.

IHL is complex. Principles and rules that apply to UN peacekeeping personnel are collected in one document. This is *The Secretary-General's Bulletin*

on the Observance by United Nations Forces of International Humanitarian Law of 6 August 1999 (ST/SGB/1999/13).

Essential Rules of IHL.

1. Civilian targets cannot be attacked. Attack only against military objectives.



ICRC

2. Civilians and anyone no longer taking part in hostilities must be respected and treated humanely.

3. Anyone who surrenders or stops fighting cannot be killed.

4. Torture is prohibited at all times and in all circumstances.

5. Captured combatants and civilians must be respected and protected.

6. It's forbidden to use weapons or methods of warfare that are likely to cause excessive injury or unnecessary suffering.

7. Wounded and sick must be collected and cared for.

8. Medical personnel and medical establishments, transports and equipment must be respected and protected.

9. The Red Cross and Red Crescent emblems are signs of protection and must be respected.

Rules of Engagement and Directive on the Use of Force

The Rules of Engagement (ROE) and Directive on the Use of Force (DUF) guide the use of force according to the UN Charter and the Security Council mandate.

They also comply with IHL and IHRL. They are legally binding documents internal to the UN.

The ROE is for the military component and the DUF is for the police component, where Formed Police Units (FPUs) are authorized to carry arms.

The ROE and DUF:

- Apply specifically to military and police personnel
- Detail how and when to use force – details include constraints and latitudes (scope) in using force and the right of self-defence
- Clarify different levels of force to use in different circumstances
- Provide practical guidance to commanders, including on needed authorizations
- Are mission-specific documents that apply to a particular mission and mandate

ROE:

- Outlines the authority of armed UN military personnel to use force in mandate implementation
- States when force may not be used by armed UN military personnel

- Applies to all armed military personnel and units in the mission.

DUF:

- Indicates whether UN police are armed
- States when they have legal authority to use force
- Applies to all armed police personnel and units (such as FPU) in the mission.

Armed UN military and police must be very clear on the rules for use of force. They need to know the ROE and DUF. The use of force may differ from national legal restrictions.

It is important to **clearly understand** the ROE and DUF because:

- The **use of force is specific to the mission and its mandate**, and armed military and police personnel **must be aware of how such force should be applied in the field**.

• Contemporary peacekeeping operations are often deployed to **volatile and potentially dangerous environments**. The ROE and DUF will be robust enough for a UN peacekeeping operation to a) retain credibility and b) have freedom of action to implement the mandate.

• Troop and Police contributing countries (TCCs/PCCs) may have **national legal restrictions on the use of force**. They must inform DPKO and the military/police commander of restrictions to avoid problems.

Mission leadership ensures that all relevant personnel in a mission know the ROE and DUF and apply them uniformly. UN military and police commanders are responsible for all personnel under their command knowing the ROE or DUF.

DPKO briefs TCCs/PCCs. It provides key documents (the Concept of Operations (CONOPS), ROE, DUF) through Permanent Missions in New York. Permanent Missions are diplomatic representatives of a country to the UN.

Additional legal documents include:

• Additional International Law – International Refugee Law, Guiding Principles on Internal Displacement and International Criminal Law

• Security Council mandate

• National law of the host country

• Memorandum of Understanding (MOU) between the UN and the TCC/PCC

• Status of Mission Agreement (SOMA) or Status of Force Agreement (SOFA)

• The Convention on the Privileges and Immunities of the UN of 1946

• UN Internal Rules, Regulations and Guidance – including conduct and discipline.

International Refugee Law: International Refugee Law defines a “refugee” as a person who has:

- Fled his or her country

- Crossed an international border
- Lives in a different country and
- Cannot return home because of probable persecution – based on race, religion, nationality, political opinion or membership in a particular group.

International Refugee Law guarantees the human rights of refugees and spells out states' obligations to protect refugees living in their territory.

The Guiding Principles on Internal Displacement: “Internally displaced persons” (IDPs) have also fled their homes and cannot return, but they have not crossed an international boundary. The Guiding Principles of Internally Displaced Persons identify rights and guarantees for protection of IDPs.

International Criminal Law: International Criminal Law governs prosecution of individuals for international crimes. The Rome Statute of the International Criminal Court (ICC) came into force on 1 July 2002, and defines the most serious crimes of international concern – genocide, crimes against humanity, war crimes and the crime of aggression.

- “War crimes” are serious violations of IHL, committed as part of a plan or policy on a large scale. These occur in international and non-international armed conflict. War crimes include:

- Murder
- Torture or inhumane treatment
- Taking of hostages
- Intentionally directing attacks against the civilian population
- Intentionally directing attacks against buildings dedicated to religion, education, art, science or charitable purposes, historical monuments or hospitals
- Pillaging – in other words, robbery using violence
- Rape, sexual slavery, forced pregnancy or any other form of sexual violence
- Conscripting or enlisting children under the age of 15 years into armed forces or armed groups to participate in hostilities.

- “Crimes against humanity” are serious crimes committed as part of a widespread or systematic attack against civilians where the perpetrator has knowledge of the attack. Crimes against humanity occur in and out of armed conflict. Crimes against humanity include:

- Murder
- Torture
- Rape or other sexual violence
- Enforced disappearances
- Extermination
- Slavery
- Forced transfer of populations.

- “Genocide” refers to any of the following acts committed with the intent to destroy, in whole or in part, a national, ethnic, racial or religious group:
 - Killing members of the group
 - Causing serious bodily or mental harm to members of the group
 - Deliberately inflicting on the group conditions of life calculated to bring about its physical destruction in whole or in part
 - Imposing measures intended to prevent births within the group
 - Forcibly transferring children of the group to another group.

The Rome Statute also set up the ICC. The ICC is a permanent, treaty-based, international criminal court. It complements the state’s obligation to prosecute individuals for international crimes of genocide, crimes against humanity and war crimes. It has the mandate to prosecute perpetrators of these most serious crimes if they occurred after 1 July 2002. The ICC is a court of last resort.

Security Council Mandate:

- A Security Council mandate gives international legitimacy to the presence of a peacekeeping operation in a country
- The mandate is the legal basis for all actions or tasks the operation undertakes, including use of force
- The mandate sets out the tasks of a UN peacekeeping operation and the total number of personnel for completing the tasks
- Mandated tasks link with international law and peace agreements.

National law of the host country: It is important that peacekeeping personnel respect and follow the national laws of the host country, as well as local customs and culture.

MOU between the UN and the TCC/PCC: The MOU is a legal agreement. It details:

- How the UN will reimburse governments for troops, FPU’s or equipment loaned to a peacekeeping operation
- The obligations of contributing governments to ensure appropriate quality personnel and equipment
- Obligations of TCCs/PCCs, commanders, troops and police for prevention of sexual exploitation and abuse in UN peacekeeping operations (since 2007).

Status of Mission Agreement (SOMA) or Status of Force Agreement (SOFA):

- In peacekeeping operations with armed personnel, the UN has a SOFA with the host country. SOFA applies to all military, civilian and police
- For UN peacekeeping operations (or SPMs) with only unarmed personnel, the UN has a SOMA, which also applies to all mission personnel
- These legal agreements give “functional immunity” to all peacekeeping personnel on the basis of the *Convention on the Privileges and Immunities of the*

UN. They cover military and police who are not technically known as “UN staff”.

- The agreements define the legal status and arrangements for:
 - The UN’s use of facilities, transportation and other equipment and communications
 - Freedom of movement in the country.
- They include a mechanism to resolve disagreements on these issues between the host country and the UN.

The Convention on the Privileges and Immunities of the UN of 1946:

- The *Convention on the Privileges and Immunities of the UN of 1946* gives legal status to the UN and subsidiary bodies. It provides certain privileges and immunities to the UN and its officials to fulfil the Organization’s purpose and allow personnel to do their jobs without interference.
- The Convention covers immunity from the legal process for words spoken or written and actions taken in an official capacity. It also covers immunity from personal arrest or detention.
- Privileges and Immunities are granted in the interests of the UN, not for personal benefit of individuals.
- The Secretary-General has the right and the duty to waive the immunity of any official or expert in any case where, in her or his opinion, the immunity would impede the course of justice and could be waived without prejudice to the interests of the UN. There are serious consequences to all involved when it comes to misconduct.

UN Internal Rules, Regulations and Guidance:

- More detailed guidance to peacekeeping personnel is in UN and mission directives and rules. These include UN rules and regulations on conduct and discipline of peacekeeping personnel.

Questions to check how well you possess the information about UN peacekeeping:

1. Why is having a legal framework for UN peacekeeping important?
2. Who does international human rights law protect?
3. Name as many examples of human rights as you can.
4. Describe the International Bill of Human Rights.
5. Name at least three of five kinds of international law that apply to UN peacekeeping operations.
6. What main parts of the UN Charter give the legal basis for UN peacekeeping? Explain provisions.
7. What are the two reasons the Security Council refers to Chapter VII of the UN Charter in some resolutions for peacekeeping operations?
8. What are the main legal sources of international human rights law?
9. Who does international humanitarian law (IHL) mainly protect?

10. What ten essential rules are identified in International Humanitarian Law?
11. What legal document covers internally displaced persons?
12. Explain the difference between a refugee and an internally displaced person.
13. What is covered by the Memorandum of Understanding (MOU) between the UN and Troop Contributing Countries?
14. Explain the difference between SOMA and SOFA and the purpose of these agreements.
15. What mission-specific documents guide use of force in a UN peacekeeping operation?
16. What's the difference between ROE and DUF?
17. Who in a peacekeeping mission needs to know ROE and DUF?

§ 1.5. Security Council Mandates in Practice

Aim: To explain how Security Council mandates are set up and used to direct a UN peacekeeping mission.

Learning Outcomes

Learners will:

- Explain why peacekeeping personnel must know the mandate of their peacekeeping operation



- List at least three key planning documents that operationalize Security Council mandates

- Describe how the Security Council monitors mandate implementation.

As peacekeeping personnel, you **need to know, follow and**

“carry out” or “implement” the Security Council mandate.

The Security Council mandate contains details of the specific tasks for peacekeeping personnel.

Security Council mandates can be vague or open to interpretation. The UN Secretariat and mission leadership also prepare clear, **detailed plans, which together are called the “operational framework”.**

This lesson explains the importance of the mandate and how it is put into action through the operational framework. You should be familiar with the mandate and documents in the operational framework which outline your responsibilities.

Why should Peacekeeping Personnel be Familiar with the Security Council Mandate?

A mandate is an official order, directive or authorization to take specific action. Peacekeeping personnel are deployed to carry out or “implement” the tasks set in the mandate. This is why peacekeeping personnel must know the mandate of their peacekeeping mission.

The Security Council gives the mandate for a UN peacekeeping operation. Security Council mandates set tasks, which are specific to each peacekeeping mission.

The range of **mandated tasks** differs between peacekeeping missions based on the nature of the conflict, the challenges it presents and the current situation. The type and content of peace agreements reached by parties to a conflict influence **specific tasks** set in Security Council mandates.

Security Council mandates also set **cross-cutting thematic tasks** which are applied to all peacekeeping missions. Under “themes”, these tasks respond to all acts of violence or abuses committed against civilians in situations of armed conflict. The tasks are “crosscutting” because they are everyone’s work and everyone’s responsibility.

Cross-cutting thematic tasks are assigned to UN peacekeeping missions on the basis of landmark Security Council resolutions. These resolutions are **based on international law**.

Cross-cutting thematic tasks are set in the areas of:

- **Women, peace and security and ending conflict related sexual violence** Security Council Resolutions 1325 in 2000, 1820 in 2008, 1888 and 1889 in 2009, 1960 in 2010, 2106 and 2122 in 2013, 2242 in 2015)

- **Children and armed conflict** (Security Council Resolutions 1612 in 2005 and later resolutions 2068 in 2012 and 2143 in 2014)

- **Protection of civilians in armed conflict** (Security Council Resolutions 1674 and 1738 in 2006, 1894 in 2009 and 1998 in 2011).

In particular, the resolutions strongly condemn:

- Violence against all civilians
- Torture
- Gender-based and sexual violence
- Violence against children
- The recruitment and use of child soldiers
- The trafficking of human beings
- The intentional denial of humanitarian assistance.

Thorough knowledge of the mandate is essential. The mandate not only lists **tasks of the peacekeeping mission**, but may also give conditions or “benchmarks” for withdrawal of a mission.

Mission efforts focus on carrying out these tasks. The Security Council monitors how the Secretariat and mission implement the mandate. When a peacekeeping mission closes, partners take over remaining tasks.

The Security Council may change a mandate in a new resolution. Peacekeeping personnel need to know the current mandate. UN peacekeeping personnel must be able to explain why the peacekeeping mission is in a country.

Establishing the Mandate for a Peacekeeping Mission

The Security Council decides on deployment of a UN peacekeeping operation (UNPKO). The process leading to that decision includes an analysis of the conflict situation in consultation with key partners.

Security Council considers a UNPKO as a suitable response to a conflict situation:

- When a crisis or dispute happens (between or within countries), the Secretary-General, the General Assembly and any Member State can ask the Security Council to consider and debate the situation
- The Security Council addresses each crisis case-by-case to find the most suitable response. Responses are peaceful and coercive measures in the UN Charter.
- The Security Council assesses risk to international peace and security. If a situation poses a risk, the Council may ask the Secretary-General to start UN conflict prevention or peace-making measures. It may also choose to monitor measures that regional powers are already undertaking
- As a situation evolves, the Security Council may consider a UN peacekeeping operation.

Strategic Assessment of the conflict situation to identify UN system engagement:

- The Strategic Assessment (SA) is a UN system-wide analysis of the situation. It brings together UN political, security, development, humanitarian and human rights entities to:
 - Develop a shared understanding of the conflict or post-conflict situation
 - Identify the role of stakeholders and core peace consolidation priorities
 - Define the best framework for UN engagement.
- DPKO and DFS consult the wider UN system. This includes UN Secretariat departments and offices and UN specialized agencies, funds and programmes.

UN actors present in the country of focus are important sources. Consultation is through the UN Country Team (UNCT) – which is made up of the UN agencies, funds and programmes present in the country.

- DPKO and DFS also consult other relevant partners:
 - The host government, national authorities
 - Civil society and other local representatives
 - Regional and sub-regional organizations

- International financial institutions (for example, World Bank, International Monetary Fund)
- Key Member States (including potential Troop and Police contributing countries and donor countries).

Technical Assessment Mission to the country to analyse the situation on the ground:

- A Technical Assessment Mission (TAM) goes to the country or territory recommended for a peacekeeping operation as soon as security allows. The role of the TAM is to:
 - Analyze and assesses circumstances on the ground - overall security, political, humanitarian, human rights and military situation
 - Consider implications of a possible UN peacekeeping operation.
- The TAM may consist of representatives from the UN system. It should also involve the UNCT.

Security Council decides to deploy a UNPKO – adopts resolution with mandate:

- Based on the findings and recommendations of the TAM, the Secretary-General normally issues a report to the Security Council. The report from Secretary-General may recommend a peacekeeping operation
- If the Security Council decides to deploy a peacekeeping operation, it issues a resolution with a decision and a mandate
- The Security Council mandate authorizes the mission, sets the size (total number of personnel), and tasks.

Translating the Mandate into an Operational Framework

The mission mandate is the basis of all the tasks of the mission. However, the mandate does not give details or specific instructions. DPKO and DFS use the mandate to develop detailed plans or an “operational framework” for a mission – to put the mandate into action.

Security Council mandates give high-level strategic direction.

Additional detailed plans put into action or “operationalize” a Security Council mandate.

Key planning documents guide how a mission implements a Security Council mandate (listed below). The documents clarify how to interpret the mandate and the roles and responsibilities of military, civilian and police personnel. These planning documents make up the “**operational framework**” of a peacekeeping mission.

- Key planning documents are:
 - Integrated Strategic Framework (ISF)
 - Mission Concept
 - Missions’ Results-Based Budget (RBB)
 - Concept of Operations (CONOPs).

The ISF is a planning document applied to all UN entities present in a country – a UN-wide plan.

The Mission Concept and the mission's RBB are planning documents applied across the UN peacekeeping mission – mission-wide plans. CONOPs are planning documents applied to the different peacekeeping personnel or “components” (military, police, civilians) – component-level plans.

The ISF is a strategic plan for the UN peacekeeping mission and other UN actors in the host country.

Armed conflicts are increasingly complex. Interventions must integrate political, security, humanitarian and development sides of UN work. The principle of integration maximizes the individual and collective impact of the UN actors in conflict and post-conflict situations. “Integrated Assessment and Planning” ensures one common UN vision and strategy. Where both a UNCT and a multidimensional peacekeeping operation are in a country, an ISF is required.

The ISF considers the combined mandates and resources of the mission and the UNCT. It creates a single framework of agreed priorities for peace consolidation. It outlines agreed results, responsibilities and timelines. The UN ISF connects to the host country's national strategies and plans. The ISF also connects to other UN plans. Two relevant ones are the UN Development Assistance Framework (UNDAF) and the UN Common Humanitarian Action Plan (CHAP).

The ISF planning document is usually initiated by the Mission Strategic Planning Unit and finalized by the senior management group of the mission in collaboration with UN Headquarters in New York.

The Mission Concept applies to the UN peacekeeping mission. It translates the political intent of the mandate into strategy, plans and guidance for all components.

The “Mission Concept” is developed from the mandate.

The Mission Concept:

- **Contains the vision and focus of the mission**
- **Gives a roadmap for organizing mission work.**

The Mission Concept brings clarity, coherence and synergy, including in the use of mission resources. It is a management tool for senior mission leadership.

The Mission Concept **informs “component-level” planning** – for military, civilian and police components.

Traditional peacekeeping operations do not operate in integrated settings and do not use the ISF to plan. They need a Mission Concept to fill the planning gap. For missions that do use an ISF or similar plan, the Mission Concept provides mission-specific priorities not included in the ISF.

New missions at start-up must develop a Mission Concept. Any change in conditions may require development or revision of a Mission Concept. Examples include change in the mission mandate, reconfiguration of the mission or UN presence, and key milestones in the mission's lifecycle.

The mission's Results-Based Budget (RBB) is a mission planning tool which aims to achieve results. The mission achieves results through the management of resources.

Resources need to match the Security Council mandate for the peacekeeping mission to succeed. The mission asks for and gets funding from the UN General Assembly to carry out tasks in the mandate. Funds cover activities, personnel, equipment, supplies and facilities.

Each UN peacekeeping mission has its own RBB. It is a budget which outlines the expected results of the mission, identifies the activities to achieve the results and the resources required for activities. It is used to measure the performance of the mission.

All needs must be covered in the annual RBB. No funds will be available otherwise.

The Concept of Operations (CONOPS) is prepared from the Mission Concept. The CONOPS outlines 1) key security objectives, 2) requirements and 3) tasks for military and police components. Military and police have their own CONOPS.

The CONOPS links the mission mandate to key objectives:

- Strategic intent
- Organization and deployment (including timelines)
- Security/force protection
- Rules of engagement (ROE) and the directive on the use of force (DUF)
- Administration and logistics
- Command and control.

The CONOPS drives lower level plans for military and police components. There is a "Military Strategic Concept of Operation" and a "Police Concept of Operation".

Military CONOPS:

- The Military CONOPS is an internal UN document, prepared by the Military Planning Service of DPKO

- The Head of the Military Component (HOMC) may issue a Military Operations Plan or "Operation Order". This directly supports the CONOPS. It is the HOMC's formal written direction to the military component.

Police CONOPS:

- The Police Division of DPKO prepares the standard Police CONOPS. It includes:

- The latest update on the situation
- The requirements of the Police component
- Strategic directives from the UN Police Adviser
- Programmes for delivery
- Expected outcomes of police operations and activities in the mission.

- The Police CONOPS covers 1) the mandated strength of the police component and 2) broad guidelines on command, coordination, administration and logistics.

Monitoring the Mandate

The Security Council monitors the implementation of the mandate through regular reports on a country's situation. The Security Council requires regular reports from the Secretary-General on a country's situation. Peacekeeping operations provide daily, weekly and monthly reports to Headquarters. The Under-Secretary-General (USG) of DPKO prepares summary reports.

The Security Council can adjust or change the mandate of the peacekeeping operation based on reports. Each change in the mandate requires a new Security Council resolution.

The Security Council uses the reports to:

- Assess when an operation has completed its mandate
- Decide when an operation should transition or withdraw.

The Secretary-General's reports and Security Council discussions and decisions are public documents, available on the Security Council website. The UN encourages all peacekeeping personnel to stay informed of developments and changes in the mandate while they are deployed.

Completion of the Mandate

Benchmarks or indicators for success define when a peacekeeping operation has successfully completed its mandate.

The Security Council decides on the withdrawal or transition of UN peacekeeping operations. This decision is based on the Secretary-General's reports. The reports contain advice and recommendations from the Secretariat.

No standard "checklist" exists of benchmarks or indicators for success. Appropriate benchmarks are adapted to each situation. The choice depends on the underlying causes of conflict and dynamics. Benchmarks may change as a situation evolves.

For traditional peacekeeping missions the indicator for success of a mission is clear. A traditional peacekeeping mission has successfully completed its

mandate when the states or parties to a conflict agree to a peaceful resolution. Defining success in completing a mandate is harder for complex, multi-dimensional peacekeeping missions. The UN uses the Secretary-General's reports and Security Council resolutions to try and set **benchmarks or indicators for success** for individual peacekeeping operations. Complex realities make this difficult.



Examples of key benchmarks:

- Absence of violent conflict and large-scale abuses of human rights
- Respect for rights of women and minorities
- Ability of national armed forces and national police to provide security and maintain public order, with civilian oversight and respect for human rights
 - Women and men having equal rights to vote and seek political office
 - Free and fair elections
 - Legitimate political institutions are set up and functioning (for example, a legislature).

As part of knowing the mandate, all UN peacekeeping personnel are to know the conditions or benchmarks for the withdrawal of their mission.

Example 1 of Benchmarks for Withdrawal: UNMIL in Liberia

Not every UN peacekeeping operation has clearly defined conditions or benchmarks for withdrawal. The Security Council used detailed benchmarks to measure progress and assess success for the United Nations Mission in Liberia (UNMIL).

On the advice of the Secretary-General, benchmarks monitored by the Security Council included:

- Progress on security
- Reintegration of ex-combatants
- Economic revitalization of the country
- Re-establishment of state authority over natural resources
- Progress on governance and rule of law
- Establishment of infrastructure and basic services, including renovation of 39 schools and construction of 41 new schools.

The Liberian Government showed progress on security by:

- Developing a national security strategy
 - Having functioning national armed forces and police units across the country
- Progress on governance and rule of law included justice sector reform, promotion and protection of human rights and establishment of an Anti-Corruption Commission.

Example 2 of Benchmarks for Withdrawal: UNAMSIL in Sierra Leone:

The United Nations Assistance Mission in Sierra Leone (UNAMSIL) completed its mandate in 2005. The Security Council followed the advice of the Secretary-General. It set the following benchmarks to monitor the withdrawal of UNAMSIL:

- Building the capacity of the army and police
- Reintegrating ex-combatants
- Restoring Government control over diamond mining
- Consolidating state authority throughout the country
- Ensuring progress to end the conflict in neighbouring Liberia.

Questions to check how well you possess the information about UN peacekeeping

1. Why must peacekeeping personnel know the mandate of their peacekeeping operation?
2. List the key partners DPKO and DFS consult with in a strategic assessment of a crisis situation.
3. What relationship exists between the Mission Concept and the Concept of Operations (CONOPs)?
4. What are reasons for the UN to revise the Mission Concept?
5. What is the main purpose of a CONOPS?
6. What are regular reports from the Secretariat (Under-Secretary General of DPKO) and Secretary-General to the Security Council used for?
7. When has a peacekeeping mission successfully completed its mandate?

§ 1.6. How Peacekeeping Operations Work

Aim: To explain authority, structures and the components in UN peacekeeping missions.

Learning Outcomes

Learners will:

- Explain “operational authority” as it applies to UN peacekeeping
- List four main positions of authority in a UN peacekeeping mission
- Describe the support and substantive components and how they relate to mandate beneficiaries
- Describe the work of integrated and joint structures in UN peacekeeping operations.

All peacekeeping personnel must understand the way a UN peacekeeping mission works so that they can **work together well**. Working well with others in the mission is key to implementing the mandate.

UN peacekeeping missions are **unique in nature**. They are not the same as military or other organizations. They can be **complex. Distinct management systems and command and control structures** direct and guide the work of peacekeeping personnel, and help the different parts of the mission to work together well as one.

This lesson explains key parts of a UN peacekeeping mission structure. Knowing “how things work” is the responsibility of each peacekeeping personnel. You must know who is in authority, and follow management systems and command and control structures.

The three levels of authority in UN peacekeeping operations are strategic, operational and tactical. These reflect authority, command and control.

The strategic level has the highest authority. It involves authority and responsibilities of the Security Council, Secretary-General and Secretariat. The strategic level includes the Head of Mission.

The operational level is mainly mission level. It overlaps with strategic and tactical levels.

The UN has “operational authority” over ALL military, police and civilians in UN peacekeeping – including ALL tactical plans, decisions and operations.

The UN has “operational authority” over everyone in a UN peacekeeping operation. This includes all military and police.

For military and police personnel participating in UN peacekeeping operations, “operational authority” is: *“The authority transferred by Member States to the United Nations 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 is vested in the Secretary-General, under the authority of the Security Council”*.

“Operational authority” as used here is a broad term. Military forces may use the same term in different ways. For the UN it means:

- **Member States still hold national responsibilities for their military and police, such as pay, allowances and promotions.**

- **Governments or national military and police authorities of Member States must not change or influence tactical plans, decisions or operations. This prevents confusion.** Tactical plans, decisions and operations are supervised by the UN Heads of the Military and Police Components in the mission area. Member States raise tactical operational matters with DPKO at Headquarters in New York.

- **National rules and regulations govern conduct and discipline of military and police units in peacekeeping operations. UN rules and regulations also apply.** Disciplinary matters remain a national responsibility. The UN may take administrative steps for misconduct. These include repatriation of military contingent members and staff officers. Guidance is in the revised model Memorandum of Understanding (A/61/19 part III). The UN may also take disciplinary action for military or police “Experts on Mission”.

Guidance is the *UN Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers*.

Overview of a Generic UN Peacekeeping Mission Structure

No standard structure exists of a UN peacekeeping operation. “Components” are parts.

A typical UN peacekeeping mission structure includes:

- Main positions of authority
 - Substantive components
 - Support components
 - Integrated or joint structures
- Main positions of authority include the Head of Mission and heads of the military, civilian and police personnel.

Support components provide logistics and administrative support to substantive components.

Substantive components implement mandated tasks. These tasks benefit national partners and local people. The name given to those receiving mission services is “mandate beneficiaries”

Mandate beneficiaries are people or groups the peacekeeping mission assists, as directed by the mandate.

Each mission has a different structure. Mission structures suit the mandates authorized by the Security Council. These differ because mandates respond to particular conflicts.

All missions have support and substantive components. The two work together for mandate beneficiaries.

A variety of units and offices may be in both support and substantive components.

Not all missions have all units. Different units will exist in a mission because of the mandate.

Example:

Landmines were not a problem in Timor-Leste. The peacekeeping operation, the UN Integrated Mission in Timor-Leste (UNMIT), had no demining mandate and no Mine Action unit. Most multidimensional missions have a Mine Action unit. UNMIT was mandated to give the Government electoral support so it had an Electoral Affairs unit.

Main Positions of Authority

These are the main positions of authority in UN peacekeeping missions. They include:

- Special Representative of the Secretary-General/ Head of Mission (SRSG/HOM)
- Deputy SRSG
- Chief of Staff (COS)
- Director/Chief of Mission Support (DMS/CMS)
- Head of Military Component (HOMC)
- Head of Police Component (HOPC).

The Secretary-General appoints the Head of Mission (HOM). The HOM has “operational authority” over the whole peacekeeping mission.

“Operational authority” involves **ultimate authority at field level to direct all mission components**. The HOM directs how the capabilities of mission components are used to carry out the mandate. This authority has been given to the HOM by the Secretary-General and USGs DPKO and DFS.

In multidimensional peacekeeping missions, the HOM is always civilian. He or she is named Special Representative of the Secretary-General (SRSG). **The SRSG is the highest UN official in the country of deployment.**

The HOM in traditional peacekeeping missions is often a senior military officer, but not always. He or she has dual responsibilities as HOM and ‘Head of the Military Component’ (HOMC)

Examples:

- HOM in UNMOGIP (Chief Military Observer), UNTSO (Chief of Staff), UNDOF and UNIFIL ('Force Commanders') have all been senior military officers who also serve as 'Heads of the Military Component' (HOMC)

- HOM in MINURSO, a traditional mission, is a civilian SRSG. The HOM is assisted by a HOMC, known as the 'Force Commander'.

As a direct representative of the Secretary-General, **the SRSG/HOM has two main areas of responsibility:**

- **The peacekeeping mission** – provides strategic vision, guidance, management and has authority over all mission components

- **Political dialogue and “good offices”** – to keep the peace process alive, lessen tensions, manage potential relapse to violent conflict.

RSGs usually have Deputies to manage the scope and breadth of responsibility. Deputy Special Representatives of the Secretary-General (DSRSGs) are civilians.

Most multidimensional peacekeeping missions have two DSRSGs.

- One Deputy is often termed the **Principal DSRSG**, responsible for **political, operational and rule of law aspects of the mission**. The Principal DSRSG is the second in command and becomes Officer-in-Charge (OIC) of the mission when the HOM/SRSG travels. HOM/SRSG delegates **management of mission operations to this DSRSG**.

- The second DSRSG often serves as **Resident Coordinator (RC)**. The RC **leads the UN Country Team (UNCT)**. In that role, the RC represents and coordinates UN development work of the UN agencies, funds and programmes. The RC is the main point of contact for UNCT with heads of state and government.

Some integrated mission contexts may have a humanitarian emergency.

The second DSRSG may also be appointed UN Humanitarian Coordinator (DSRSG/RC/HC). A DSRSG serving as RC and HC is “triple-hatted”.

The HC heads the Humanitarian Country Team (HCT). The HCT has representatives from:

- UNCT
- International and local non-governmental organizations (NGOs)
- International Red Cross and Red Crescent Movement – which includes the International Committee of the Red Cross (ICRC)
- International financial institutions (IFIs) – for example, World Bank and International Monetary Fund (IMF).

The HC coordinates emergency and humanitarian response and operations. The DSRSG/RC/HC is OIC when the two other senior leaders are away from a mission (SRSG and Principal DSRSG).

Most peacekeeping operations have senior support in the role of Chief of Staff (COS). The COS is civilian. The COS performs a senior level staff and advisory function for the HOM and mission senior management.

The COS works closely with the SRSG/HOM. The COS has the responsibility for:

- Effective and integrated management of all the mission's activities
- Implementation of the SRSG/HOM's strategic vision and guidance across all mission components
- Coordination of the mission's policy and planning activities among the various components of the mission
- Basic managerial tasks **on behalf** of the SRSG/HOM Heads of Military and Police Components (HOMC and HOPC) may have internal COS with similar responsibilities.

The SRSG/HOM and DSRSGs are active in the substantive work of peacekeeping. The Director or Chief of Mission Support (DMS/CMS) is responsible for the support work. DMS/CMS makes sure logistical and administrative support is provided to the mission. The DMS/CMS is a civilian.

The DMS/CMS is the **most senior UN official in the mission authorized to spend UN funds from mission budget**. The function is critical in all peacekeeping missions.

Two civilian subordinate officials may support the DMS/CMS. These are

- 1) Chief Administrative Services (CAS) and
- 2) Chief Integrated Support Services (CISS).

The titles of DMS/CMS have replaced terms in previous use, such as Director of Administration (DOA) or Chief Administrative Officer (CAO).

The SRSG/HOM has operational authority over the mission. However, the UN recognizes the need to maintain integrity of military and police chains of command.

The SRSG/HOM only exercises authority over military and police personnel through the Heads of the Military and Police Components.

Head of the Military Component (HOMC):

- Reports to the HOM
- Has 'UN Operational Control' over all military personnel and units assigned to the mission. This covers formed military units or contingents, military experts on mission and staff officers. This delegated authority lets the HOMC deploy and direct forces for specific tasks. Specific tasks involve those limited by time, function and location
- May also delegate military personnel and units under 'UN Tactical Control' of a subordinate military commander. This allows local direction of personnel, assisting tactical missions and tasks
- Is the principal adviser to the HOM on military issues.

Head of the Police Component (HOPC):

- Reports to the HOM
- HOPC has 'UN Operational Control' over all UN Police (UNPOL) in a peacekeeping operation. This covers UN Individual Police Officers (IPOs), Spe-

cialised Police Teams (SPTs), Formed Police Units (FPUs) – and when deployed to the mission, members of the Standing Police Capacity (SPC)

- May assign separate tasks within the mission area to individual officers FPU. The HOPC may delegate this authority to subordinate police officers for specific purposes

- Is the principal adviser to the HOM on police issues.

Reporting Links to UN Headquarters – HOM and HOPC

- The HOMC and HOPC each have a technical reporting link to UN Headquarters. HOMC reports to the UN Military Adviser and HOPC to the UN Police Adviser.

- This reporting link ensures technical aspects of military and police field operations follow UN policies and standards.

The reporting link also helps UN Headquarters in its official contact with Member States about military and police peacekeeping work.

Different management structures exist to help the SRSG/HOM manage mission work. Two key management structures are the “Mission Leadership Team” and “Senior Management Group”.

The source for these terms is the 2008 Policy on Authority, Command and Control. These structures exist at mission headquarters level. In larger missions, regional management structures may also coordinate the work of different parts of the peacekeeping operation in that region.

Mission Leadership Team

- The Mission Leadership Team (MLT) is the mission’s **executive decision-making forum. It brings together senior decision-makers from components of a peacekeeping operation.** The MLT supports integrated decision-making among components. In “integrated missions” – with a “triple-hatted” DSRSG serving as RC and HC for the UNCT – the MLT also supports integrated planning and decisionmaking with the UNCT.

- The MLT **sets and shares the strategic vision** for achieving the mandate.

- The MLT membership is:

- HOM

- HOMC

- HOPC

- DSRSGs – at least one to represent civilian components, and in integrated missions, the UNCT

- COS

- DMS/CMS.

Senior Management Group

- Most peacekeeping operations have a Senior Management Group (SMG). The SMG is a **wider forum for management, planning and coordination.**

- The SMG in multidimensional missions usually **includes members of the MLT and the various heads of civilian components**, such as political af-

airs, human rights and public information. An SMG in a traditional peacekeeping operation is smaller because it has fewer civilian components.

Substantive Components

UN military, police and civilian components are substantive components in UN peacekeeping operations. They implement mandated tasks. “Substantive” has different meanings. For UN peacekeeping, “substantive” refers to “essential work”. Essential work is carried out by UN military, police and civilian components. Essential work refers to the tasks set by the mission mandate. Substantive components directly assist local and national partners. **By working together on mandated tasks, military, police and civilians help strengthen the foundation for sustainable peace.**

Components and units need to work together on different tasks to support the same mandate. This challenges all peacekeeping operations.

Support Component

The support component is responsible for necessary mission logistics and administrative support.

This combines civilian and military services. The UN contracts civilian services. It secures military support capabilities through “lease” arrangements with contributing Member States.

Logistics and administrative support for UN operations is complex. Other logistical support models may be simpler. The complexity addresses different requirements. The needs vary for military contingents, civilian staff, police and military observers. For example, contingents deploy with varying levels of self-sufficiency.



A successful peacekeeping operation needs:

- Good logistics planning
- Strong communication
- Adequate resourcing
- Close integration of uniformed and civilian support.

Joint and Integrated Structures Joint and integrated structures ensure good coordination and use of resources.

They exist for support work and substantive work. For support work, all missions have Integrated Support Services (ISS) and a Mission Support Centre (MSC).

For substantive work, missions have a Joint Operations Centre (JOC) and a Joint Mission Analysis Centre (JMAC).

All missions have Integrated Support Services (ISS) and a Joint Operations Centre (JOC). The Integrated Mission Training Centre (IMTC) is responsible for providing training services to the mission's peacekeeping personnel (civilian, police and military) and the UNCT, where applicable. Joint centres are all headed by civilians. They bring together civilian, military and police specialists. The purpose is to ensure effective coordination of resources, information and action across missions.

ISS gives logistics support to all mission components, including those in regions or sectors. ISS controls all logistical resources in a mission. This includes UN-owned, commercially contracted and military logistics or enabling units. Examples are construction and maintenance engineering, medical, movement control, supply and transport. The ISS Chief has "tasking authority" over the ISS. This authority applies to all ISS resources and personnel, including uniformed personnel.

ISS DOES COVER: enabling units, transportation and movement units, such as military transport helicopters.

ISS DOES NOT COVER: combat units, such as combat aviation units or combat/field engineers. The HOMC has authority to task these.

The Mission Support Centre (MSC) is a single point of coordination for all logistics support in a mission area. A single point of coordination is necessary for all mission components and other UN and non-UN entities involved in logistics support.

The MSC was previously known as the Joint Logistics Operation Centre (JLOC).

Some UN peacekeeping units use military logistics units. When such "enabling units" are used, the MSC is part of the ISS.

To implement its mandate, a peacekeeping mission needs to have good understanding of events, trends and patterns of incidents. The Joint Operations Centre (JOC) and the Joint Mission Analysis Centre (JMAC) integrate information from different sources into clear reports.

Everyone in a peacekeeping mission has a role in gathering information and feeding it into the mission's structures for reporting, analysis and response.

The JOC and the JMAC are integrated structures. They have civilian, military and police personnel.

The work of the JOC and JMAC support each other but they have distinct roles in managing information and reports. The shared role is to:

- Gather information from mission, UNCT and other sources
- Manage and respond to this information
- Support crisis management responses.

These two distinct services complement each another. The JOC has central importance because JMAC success builds on JOC success. **Wherever possible, JOCs and JMACs collocate.**

All multidimensional integrated missions have JOCs and JMACs. Both enjoy close links to and the support of mission leadership **Joint Operations Centre (JOC)**

- The JOC is the mission's information hub.
- The JOC **consolidates information about developments**. Information comes from components across the mission and the UNCT.
- The JOC **consolidates information daily. Information is used to a) update mission leadership, b) update the mission and c) report to UN Headquarters.**
- The JOC keeps the HOM up-to-date on the operational situation. Information covers all parts of a mission area. The JOC produces regular and timely integrated reports on all mission operations.
- The JOC has a separate and distinct intelligence role and an operations coordination and crisis management role.
- During times of crisis, some JOCs facilitate coordinated responses among mission components. During a crisis event, the JOC becomes the HOM's crisis management centre.
- "Operational coordination" by the JOC involves close collaboration with the MSC.
- A civilian usually heads the JOC. **Joint Mission Analysis Centre (JMAC).**
- The JMAC **analyzes and anticipates threats, risks and patterns of incidents to inform medium- and long-term decision-making by mission leadership.**
- The JMAC contextualizes information. Its contribution is deeper understanding to inform decision-making by senior leadership.
- The JMAC assists the HOM to produce medium- and long-term analysis using information from different sources. Focus is on threats to mandate implementation.
- JMACs do more than **threat analysis**. JMACs also provide mission leadership with **opportunity analysis**.
- In a crisis, the JMAC has a role to:
 - Anticipate potential and emerging crises
 - Identify possible outcomes and implications.
- The JMAC contributes to a mission's early warning efforts through **predictive analysis**.

Questions to check how well you possess the information about UN peacekeeping

1. How does the UN define "operational authority"?
2. Name six main positions of authority in UN peacekeeping operations.
3. Describe the responsibilities of the Head of Mission/ Special Representative of the Secretary General (HOM/SRSG)?

4. Explain the “triple-hatted” Deputy Special Representative of the Secretary-General (DSRSG).
5. Who is the most senior UN official in a peacekeeping mission authorized to spend UN funds from mission budget?
6. Joint and integrated structures exist for support and substantive components. Name two for each.
7. What is the main role of the Mission Support Centre (MSC)?
8. How are the Joint Operations Centre (JOC) and the Joint Mission Analysis Centre (JMAC) the same? How are they different?
9. What structure in a mission analyzes and anticipates threats, risks and patterns of incidents?
10. What structure in a mission consolidates information about developments?

§ 1.7. Working As One in the Mission

Aim: To introduce the roles and tasks of the military, police and civilian components in UN peacekeeping operations and stress the importance of working together on the mission mandate.

Learning Outcomes

Learners will:

- Explain the importance of working together to achieve the mandate
- Explain the differences in “institutional culture” between military, police and civilian components
- Explain the main role of the military, police and civilian components in UN peacekeeping operations.

Peacekeeping personnel work with hundreds, even thousands, of people in an operation. Peacekeeping personnel come from diverse national and professional backgrounds.

As peacekeeping personnel, you may be working together with different individuals for the first time. To achieve the mandate, it is important that all UN peacekeeping personnel within the mission work together.

This lesson explains the **work of different substantive components** and how the work of each component **connects**. Understanding one’s **own work** is essential. Each peacekeeping personnel makes an **important contribution**. Personnel work toward a **common goal**. This unity of purpose makes peacekeeping work more efficient and coherent.

The Importance of Different Mission Components Working Together

Working together is important in order to achieve the mandate. This is because:

- Everyone contributes to achieving the mandate
- The work of each component affects the tasks of other components
- UN peacekeeping operations have complex mandates and operate in difficult environments.

Peacekeeping personnel must know how to help each other. This requires a basic understanding of what each component contributes.

Cooperating Across Differences in Institutional Culture

Cultural differences can make working together challenging. These include national, institutional and professional differences. Institutional culture is how people in an organization or institution act and behave, based on shared assumptions and values. It is what is “normal” for a particular group.

UN peacekeeping brings together people from different institutional cultures. Differences challenge smooth cooperation. Differences exist within the military, police and civilian components, as well as between them.

The military has a system of hierarchy. There are clear lines of authority.

Civilian organizations and government departments tolerate more ambiguity and uncertainty than military ones. They usually also have more flexible management models. Individuals may be used to autonomy and independence, not used to following authority.

The police have similar lines of authority to the military. This means that the lines of authority of the police and military are understood by each other. They are not the same. The military and police often minimize ambiguity by making informed assumptions within **a strong planning culture.**

Police officers come from different countries with different legal systems and police structures. Such **diversity of policing cultures** means that each police culture needs to adjust to others.

Peacekeeping personnel must work to bridge the different “institutional cultures”. Diversity is a strength for the UN. “Respect for diversity” is a UN core value.

Bridging differences to work together does not mean stifling **cultural and institutional diversity. The UN mission culture is unique because of its diversity.** Functioning well in the UN mission culture requires an adjustment by all peacekeeping personnel because it replaces familiar arrangements. Learning to cooperate across small and large cultural differences takes “on-the-job” learning. All peacekeeping personnel need to learn enough about the institutional culture of other mission components to work well across differences.

The Military Component

The primary function of the military component in UN missions is to provide a secure environment as a precondition for moving ahead on other elements of the peace process or implementation of peace agreements. This military function allows other peace agreement measures to be implemented, such as human rights monitoring, national reconciliation and humanitarian assistance.

The military component goes beyond this function. This is more so the case in multidimensional missions than in traditional ones. Multidimensional

peacekeeping is complex. Political, military and humanitarian work happens simultaneously. Different mission components work with the military component:

UN police officers, electoral observers, human rights monitors and other civilians. They collaborate on tasks which:

- Protect civilians
- Facilitate delivery of humanitarian assistance
- Help former opponents carry out complicated peace agreements.

The military component may support or directly work on mandated tasks. Military component tasks in the mandate may include:

- Provide a secure environment to accomplish mandated tasks
- Protect UN personnel and assets Protect civilians against all forms of violence (including child protection and conflict related sexual violence)
- Observe, monitor and report – using static posts, patrols, overflights or other technical means, with agreement of the parties
- Supervise cease-fire and peace agreements and support verification mechanisms
- Interpose as a buffer and confidence-building measure
- Deploy to prevent the outbreak of conflict or the spill-over of conflict across borders
- Stabilize conflict after a ceasefire to create an environment for the parties to reach a lasting peace
- Support humanitarian agencies
- Assist with implementation of comprehensive peace agreements.

Three main categories of military personnel in UN peacekeeping operations are:

- Formed military units or contingents
- Military experts on mission
- Staff officers.

The military component comprises of active duty personnel contributed by Member States.

Formed Military Units or Contingents

- The largest number of UN military personnel deploy as “formed military units”, or contingents
- These are fully functioning units of armed soldiers with their own command structure, corresponding to traditional military formations:
 - Companies: 120-150 soldiers
 - Battalions: 500-1,000 soldiers
 - Brigades: 4,000-10,000 soldiers

Military Experts on Mission

- Both traditional and multidimensional peacekeeping operations also have some form of “Military Experts on Mission”.

- Military experts on mission are unarmed military personnel. They carry out specific observer or advisory functions outlined in the mandate.

- Titles vary according to mission mandate:
 - United Nations Military Observers (UNMO)
 - Military Liaison Officers (MLO)
 - Military Advisers (MilAd)
 - Arms Monitors (AM)

Staff Officers

- All peacekeeping operations also have staff officers. These military officers deploy as individuals. They perform specialized functions at the mission's force headquarters or in joint mission structures.

Reporting Line

- The military component reports to the Head of the Military Component (HOMC).

- In large peacekeeping missions with armed military units, the HOMC is a serving military officer. Appointments are usually as 'Force Commander' (FC) at either the 'two star' or 'three star' General officer rank ('Major-General' or 'LieutenantGeneral' equivalent).

- In smaller missions with only unarmed military personnel, the HOMC title may be Chief Military Observer (CMO) or Chief Military Liaison Officer (CMLO). This is at a 'Colonel' equivalent rank, also up to 'two star' General officer rank (MajorGeneral).

Examples of Military Component Collaboration with Other Mission Components

Collaboration between the military and other mission components is critical for success.

Example 1: MONUC in the Democratic Republic of Congo

In 2006, the UN mission in the Democratic Republic of Congo (DRC) was MONUC – the UN Organization Mission in DRC. During the 2006 elections, civilian electoral personnel from the UN and national authorities distributed and collected electoral materials to 12,000 voter centres.

The MONUC military component provided escorts. Also in MONUC, UNMOs were seconded to the Disarmament, Demobilization and Reintegration (DDR) unit. The UNMOs were excellent liaison between the DDR unit and the rest of the UN military component. In 2008, the DDR unit took advantage of the security provided by the military and accessed areas and local armed groups otherwise inaccessible.

Example 2: MINUSTAH in Haiti

Between 2004 and 2006 in Haiti, armed groups controlled areas of the capital city Port-au-Prince, including the area known as Cite Soleil. No authorities were able to safely enter and assist residents.

In late 2006, the military contingents of MINUSTAH used urban combat operations to overcome the armed groups. Resistance was organized and aggressive. UN Police supported by providing a standby force capacity and used non-lethal means to arrest gangsters.

The UN military component secured neighbourhoods. UN Police worked with the Haitian National Police to re-establish law and order. UN civilian personnel worked with local authorities and community groups to re-establish public services. Civilians included Civil Affairs officers from the mission, other UN partners and NGO humanitarian and development agencies.

Example 3: MONUSCO in the Democratic Republic of Congo: Good Practice Transferred to UNMISS in the Republic of South Sudan.

Joint Protection Teams (JPTs) bring together a mission's full range of expertise for the protection of civilians. JPTs encourage local people to share information. This particularly helps military contingents deployed to remote locations.

JPTs include:

- Staff from the Human Rights unit
- Staff from the Civil Affairs unit
- UN military
- UN police
- Relevant staff from DDR, Political Affairs, Joint Mission Analysis Centre (JMAC) and Gender units.

They deploy to high-risk areas for 3-5 days and may visit several locations. Local people are encouraged to invite local government, civil society organizations and local partners to join them. The UN military provides escorts, security and accommodation in remote locations. JPTs have been used in other missions, for example UNMISS.

The Police Component

United Nations Police (UNPOL) has two core functions:

- Operational support or interim executive policing and other law enforcement
- Support for reform, restructuring and rebuilding of host state police.

Operational support or interim executive policing and other law enforcement:

Operational support for:

- Effective prevention, detection and investigation of crime
- Protection of life and property
- Maintenance of public order UNPOL take an interim policing role when national rule of law institutions do not work or are absent. They are responsible for the full spectrum of policing and law enforcement.

Support for the reform, restructuring and rebuilding of host state police:

- Building capacity of national police is central to UNPOL work. Support is to develop representative, responsive and accountable police service with high professional standards.

UNPOL **must work closely with the host state police** who are responsible for public safety and crime prevention.

UNPOL may contribute support to related mandated tasks, for example:

- Protecting and promoting human rights, especially those of vulnerable groups

- Promoting the rule of law
- Fostering good governance, transparency and accountability
- Protecting civilians (especially women and children) UNPOL collaborate closely with the military component and civilian components on related mandated tasks. The civilian components include human rights, judicial affairs, civil affairs and corrections.

The police component tasks in the mandate may include:

- Interim executive policing and law enforcement
- Establish basic building blocks for public safety
- Manage public order
- Protect civilians
- Protect UN personnel and facilities
- Provide technical and operational support to host state police

Support provision of security to electoral processes

- Support action against serious and organized crime
- Build and develop capacity
- Train
- Provide material support for a police service:
- Appropriate information and communications systems
- Office equipment
- Facilities and other equipment
- Monitor, advise and mentor
- Develop organizational infrastructure and management systems in host state police

- Strengthen governance, accountability and integrity

Three categories of UN Police are:

- Individually deployed police officers – or individual police officers (IPOs)
- Specialised police teams (SPTs)
- Formed Police Units (FPUs).

UN Police are usually police officers and other law enforcement personnel on active duty in their home countries, temporarily seconded to a peacekeeping operation. Member States also contribute FPUs.

Individual Police Officers (IPOs)

- IPOs are police or other law enforcement personnel assigned to serve with the UN on secondment by governments of Member States at the request of the Secretary-General.

Specialised Police Teams (SPTs)

- A SPT is a group of experts in a particular police area of expertise. Experts from one or more Member States are assigned to serve with the UN at the request of the Secretary-General. They are also on secondment.

- SPTs work on specialized areas including sexual and gender-based violence, child protection and forensic services.

Formed Police Units (FPUs)

- A FPU is a stand-alone unit of police officers deployed from the same country. FPUs are cohesive mobile police units. FPUs are about 140 officers.

- FPUs support UN peacekeeping operations and ensure the safety and security of UN personnel and missions. Their main task is public order management.

Reporting Line

- All categories of UN Police report to the Head of the Police Component (HOPC). The HOPC is a serving senior police officer. He or she is normally appointed as the mission 'Police Commissioner'.

- Each Police Commissioner is chosen based on experience and skills that match the mission mandate. Examples of needed skills include:

- Build and develop capacity of national police
- Mentor and monitor national police
- Exercise executive policing authority during transition from international supervision to installation of a new national government.

Examples of UNPOL Collaboration with Other Mission Components:

Examples from experience show how UNPOL facilitates the work of other mission components.

Example 1: ONUB in Burundi

The UN Operation in Burundi (ONUB) existed from 2004 to 2006. UNPOL supported DDR and Security Sector Reform (SSR) unit to get funding for the Burundian National Police (PNB). Donors paid for 34 vehicles (4X4 HI-LUX) and 35 trucks, communication equipment and housing blocks for training centres. The ONUB Police helped with use of the equipment. This further contributed to the DDR/SSR unit objective and mission mandate. In 2006, the UN Integrated Office in Burundi (BINUB) replaced ONUB.

Example 2: UNMIT in Timor-Leste

During the first round of Presidential elections in Timor-Leste in 2007, UNPOL played a lead role in ensuring security during the elections. With the

UN Integrated Mission in Timor-Leste (UNMIT) civilian Electoral Assistance unit, they escorted national authorities transporting ballot papers to districts. They also provided a visible presence at all polling centres. During the presidential campaign, 131 campaign events took place. Minor security incidents were recorded in only 18 of those events. Twelve involved alleged intimidation. After investigation, none were considered to have influenced voters. The visible role of the UNPOL was a key factor.

The police component is diverse. Personnel need to adjust to other policing cultures and to UN mission culture. **Police officers come from different countries and different police structures.** Police contributing countries (PCCs) have different legal systems such as common law, civil law, Islamic law (or Shari'a law), customary law or a mix of those systems. These different approaches **can lead to misunderstandings over the local legal systems.**

UNPOL and those who work with them need to quickly develop basic understanding of local laws, especially on arrest, detention, search, seizure and constitutional rights.

A common source of misunderstanding relates to role of the police. Police can be part of the judiciary while in other jurisdictions, police can be part of the executive branch of the state. In some countries police are more militarized. In other countries police are more civilian. These differences cause challenges in police-police relations, between people with different experiences and traditions. Also, police do not share a common training or international standard for policing.

The Civilian Component

The civilian component brings technical expertise for substantive and support work. UN peacekeeping operations need to recruit international and national civilian experts in relevant technical areas of expertise.

Civilian component tasks may be in these areas:

- **Political Affairs:** carries out early assessments of a mission's political environment, has a critical role supporting the SRSG/HOM and senior leadership.
- **Public Information:** communicates to priority audiences for the mission; manages media relations and crisis communications; prepares and manages a communications strategy.
- **Civil Affairs:** works at local (sub-national) political levels to implement peacekeeping mandates and strengthen conditions and structures for sustainable peace.
- **Electoral Assistance:** assists the national electoral authority.
- **Human Rights:** protects human rights; empowers people in the host country to assert and claim their human rights; enables state institutions to fulfill human rights responsibilities.
- **Justice:** assists national authorities with judicial and legal systems (re-establishing, strengthening and reforming them).

- **Corrections:** transfers knowledge and skills to support national staff to develop and manage a prison system with international standards (safe and secure, gender sensitive, humane, free of human rights violations).

- **Security Sector Reform (SSR):** assesses security sector needs; facilitates a locally owned vision; provides policy advice for all security provision and governance.

- **Mine Action:** provides immediate capacity to deal with Explosive Remnants of War (ERW); gathers information on threats of ERW, likely impact and mitigation.

- **Disarmament, Demobilization and Reintegration (DDR)** of ex-combatants: supports national partners as they implement DDR programmes.

- **Child Protection:** mainstreams child protection in mandate implementation.

- **Gender:** promotes and supports gender-sensitive approaches to mandate implementation.

- **HIV/AIDS:** mainstreams HIV awareness as a cross-cutting issue into mission mandates.

- **Mission Support:** manages aviation, supply, engineering, transport, communications and information technology, property management, movement control and Geographic Information Systems (GIS). The civilian component is made up of units which lead on specific tasks. There is a wide variety of units. The civilian component collaborates with military and police components.

The civilian component has two parts:

- Substantive civilian component
- Support civilian component.

Substantive Civilian Component

For each mission the **types of substantive civilian component units present depends on the mandate.**

- Traditional peacekeeping operations:
 - Mainly military operations
 - Limited substantive civilian component units
- Multidimensional peacekeeping operations:
 - Complex operations
 - Many civilian substantive component units.

More complex missions need more specialized personnel to support a peace agreement.

The Secretary-General has noted the particular importance of drawing international civilian expertise from countries with relevant experience in post-conflict peacebuilding and democratic transition. Their experience is vital to the success of long-term peacebuilding goals.

Most multidimensional peacekeeping operations have these units:

- Political affairs

- Civil affairs
- Human rights
- Gender
- Public information

Reporting Line

• The substantive civilian component reports to the Head of Mission (HOM). No uniform or collective reporting lines exist.

Support Civilian Component

The support component covers **necessary mission logistics and administrative support**.

Civilian staff members handle crucial tasks of:

- Administration, including payment of mission personnel
- Health and safety
- IT and telecommunications services
- Air and ground transport
- Logistics provision, including rations, fuel and accommodation Units responsible for logistical support are headed by civilians. Integrated or joint structures provide the services. The Integrated Support Services (ISS) or the Mission Support Centre (MSC) combines military, police and civilians.

Reporting Line

• The support civilian component reports to the Director or Chief of Mission Support (DMS/CMS)

• The DMS/CMS is a civilian responsible for ensuring provision of necessary mission logistics and administrative support

• The integrated structures also report to the DMS/CMS

Most multidimensional peacekeeping operations have these units:

- Political affairs
- Civil affairs
- Human rights
- Gender
- Public information

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Reporting Line

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 - The DMS/CMS is a civilian responsible for ensuring provision of necessary mission logistics and administrative support
 - The integrated structures also report to the DMS/CMS
 - The UN Police Reform and Restructuring Unit set up a user-friendly database for South Sudan police services. It held all relevant data on national police personnel, their training, vetting, recruitment and military service. The mission's Communication and Information Technology Section (CITS) helped UNPOL improve the original database that then registered more than 21,000 national police. The digitized information was used for vetting and certification.

Questions to check how well you possess the information about UN peacekeeping

1. Why does it matter if different components of peacekeeping missions work together?
2. What significant differences exist between military, civilian and police cultures?
3. Name the three main categories of military personnel in UN peacekeeping and give at least one example of each
4. Name the three main categories of police personnel in UN peacekeeping and describe each.
5. Name civilian units typically found in multidimensional peacekeeping operations.
6. What is “institutional culture”? How does it affect peacekeeping?
7. What is military's primary function in UN peacekeeping?

§ 1.8. Mission Partners

Aim: To explain how success in implementing a UN peacekeeping mandate requires working with different partners.

Learning Outcomes

Learners will:

- List types of mission partners and give examples
- Explain why national partners are key partners for UN peacekeeping operations
 - Explain why the UNCT is important to a UN peacekeeping operation
 - Describe the “integrated approach” and the benefit.

There are others who are working to bring a lasting peace in the country you are deployed to. As “partners” it is important for all of you to work together to achieve this common goal. Your cooperation with others working in the country is also necessary to achieve your mission’s mandate.

The host country has the most interest in the success of the mandate. As a result, the most important partners to work with are those who belong to the country – the “**national partners**”. As **key stakeholders**, they will be impacted by the mandate, and also have an impact on achieving the mandate.

There are other parts of the UN system active in a country. Together, they make up the **UN Country Team (UNCT)**. The UN expects you all to work together as one whole in the host country. This is called the “integrated approach”. Partners who are foreign to the host country – or “**external partners**” – include development and humanitarian actors. This lesson explains what it means to have effective working relationships with different partners. You need to understand their work and how you will work together.

The Importance of Mission Partners Working Together

Different actors play different roles helping a host country emerge from conflict and transition to sustainable peace.

UN peacekeeping operations are one part of a broader international effort.

This effort has several **phases**. Different actors active in each phase may have separate but overlapping mandates and areas of expertise. As “partners” it is important for all to work together to achieve the common goal of building a lasting peace within the host country.

Mission Partners

Mission partners include:

- National partners
- UN partners
- External partners.

At the heart of peacebuilding are national partners. Host government, ministries, military, police and civil society are examples. Different partners work on humanitarian assistance and development. The UN, international, regional and foreign national partners are examples. Peacekeeping personnel need to work closely with these partners. Peacekeeping success depends on effective working relationships with all partners in a country.

National Partners

National partners include:

- State actors, such as the host government, ministries, military and police
- Non-state actors, such as civil society, non-governmental organizations and the private sector Partners who work towards a lasting peace and belong to the host country are called “**national partners**”. They are the most important partners to work with.

National partners are key partners because they will be impacted by the mandate, and also have an impact on achieving the mandate. Local people and the host government have the most at stake. Local people and the host government are “mission mandate beneficiaries”, or UN “clients”. The host country has the most interest in the success of the mandate. **Efforts aim to ensure that the host government can meet its people’s needs on national and local levels.**

UN peacekeeping personnel share responsibility to promote local and national ownership. The promotion of national and local ownership is a success factor in UN peacekeeping. It requires building partnerships with “state” and “non-state” actors at both national and local levels.

The host government is by far the most important non-UN partner for a peacekeeping mission.

Interactions between a UN peacekeeping mission and the host government occur on many levels, simultaneously:

- High-level political discussions between the SRSG/HOM and the President and/or Prime Minister
- Frequent contact between mission personnel and national counterparts to get UN offices or facilitate logistics
- Working meetings on substantive themes between substantive personnel and national governmental authorities, for example to:
 - Organize elections
 - De-mine
 - Develop programmes for DDR

Partnerships with other state actors include state security, such as national military and police.

Close partnership with a host government is consistent with the UN peacekeeping principle of consent. It also reinforces **national and local ownership, which recognizes national capacity building as important for sustainability.**

Peacekeeping missions pay close attention to all levels of the host government, not only the central national or state authority. Local authorities may be central to sustained peace and transition to development. Different interests and social groups in a country have different political views and positions. Peacekeeping needs to consider the full range of opinions and views. This ensures that ownership and participation are widespread, not limited to small elite groups. Consultation and consideration of a range of views helps build and sustain consent and support for the peacekeeping mission.

Interaction of a UN mission with a host population is not solely through the national government. Contact is with both “state” and “non-state” actors. Non-state actors include “civil society”. This phrase refers to a community of citizens linked by common interests and activities.

“Civil society organizations” (CSOs) include:

- **Political parties**

- **National non-governmental organizations (NGOs)**
- **Other associations, communities or groups of citizens**

The UN builds relationships with civil society to make sure it understands what citizens want and care about. As people express priorities, the UN matches these to mission purpose and activities. For example, consulting with local communities helps to gather and understand information on protection threats and security needs for better responses to violence. Being inclusive means ensuring no citizen is left out. Being inclusive helps the UN maintain impartiality and build national ownership.

Peacekeeping missions maintain regular dialogue with civil society. This means reaching all in a country, not just the powerful or well organized. Engaging all parts of a society is central to rebuilding a country. UN contact is with religious leaders, women and student associations, academics and professional organizations. Direct and constant contact is often essential with political parties and even faction leaders. Partnerships must consider: impartiality, wide representation, inclusiveness and equality between men and women. Reaching marginal and vulnerable people may require targeted efforts. Diversity must be considered.

National NGOs are also important. NGOs are more formal organizations of civil society, not set up by a government. People with common interests organize an NGO at local, national or international levels to address issues in support of the public good.

Different types of NGOs exist. Some provide humanitarian assistance. Others work on peacebuilding. Another type is active in development programmes. NGOs:

- Bring public concerns to governments
- Monitor policy and programme implementation
- Encourage civil society at community level to participate in public processes
- Often have an advocacy and communication role.

Peacekeeping missions may work directly with NGOs in support of activities and programmes. Humanitarian crises are a special case.

- Peacekeeping missions provide a secure and stable environment for humanitarian actors to help people
- They do not directly provide humanitarian assistance.

The private sector is a crucial engine of economic development and employment. It has a critical role in sustaining peace. The UN builds positive relationships with private businesses that share UN values and principles.

UN Partners

UN partners are all the UN agencies, funds and programmes in a country. They make up the UN Country Team (UNCT). UN engagement in countries emerging from conflict rarely begins with deployment of a peacekeeping mis-

sion. UN partners on the ground already have relationships and programmes in the country. They will continue their work after the mission leaves. The UNCT may include among others:

- **OCHA:** the Office for Coordination of Humanitarian Affairs. OCHA is active during humanitarian emergencies.

- **WFP:** the World Food Programme. It mainly provides emergency food aid in humanitarian crises. WFP has a larger presence during the stabilization phase of a peacekeeping operation.

- **FAO:** the Food and Agriculture Organization. FAO is involved in long-term development assistance. It may only appear when a peacekeeping mission is ready to transition or withdraw.

- **UNDP:** the United Nations Development Programme.

- **UNICEF:** the United Nations Children's Fund.

- **UNFPA:** the United Nations Fund for Population.

- **UNOPS:** the United Nations Office for Project Services.

UNDP, UNICEF and UNFPA are active in conflict prevention and recovery immediately after a conflict, and development. Their presence in a country is usually continuous (before, during and after a peacekeeping operation). UNDP, UNICEF and UNFPA adjust their programmes as a situation evolves. They are important sources of knowledge for a mission and critical partners for a peacekeeping operation's exit strategy.

International financial institutions (IFIs) like the **World Bank** and the **International Monetary Fund (IMF)** are not strictly UN agencies, but they are part of the wider UN family.

The World Bank and IMF may be full members of the UNCT (for example in Liberia). Sometimes they operate more independently of the UNCT and the peacekeeping mission. IFIs play critical roles in the development and economic recovery of post-conflict countries. The mission coordinates closely with them in work with national partners.

The UNCT is a UN peacekeeping mission's most important internal partner. The UNCT is important because it **provides a valuable resource** to any mission. The UNCT:

- Knows the host country and the conflict situation, especially agencies present before the peacekeeping mission

- Can help identify and build relationships with key national partners, national and local authorities as well as civil society groups

- Provides continuity, so peacekeeping activities started are carried forward when the peacekeeping operation withdraws

- Has financial resources and expertise in programming, which peacekeeping operations often do not

Conflicts may occur because of failure to attend to human needs and lack of respect for human rights. These **root causes can**

only be addressed by national partners and the peacekeeping operation, **with the support of the UNCT.**

UN peacekeeping operations often have significant overall budgets. However, budgets do not include money for major capacity building or reconstruction projects.

Peacekeeping missions do not budget for humanitarian assistance or socio-economic recovery and development. They do not have the technical expertise either. Other UNCT partners are responsible for this work. **The UNCT has more funds for longer-term humanitarian assistance and development co-operation.**

Peacekeeping operation budgets may include money for Quick Impact Projects (QIPs). These are short-term projects with immediate impact, such as rebuilding schools or roads.

QIPs create support for a mission and build confidence in the peace process. **Longerterm initiatives are the responsibility of the wider UN system,** not peacekeeping personnel.

“Integrated Presence” and “Integrated Mission”

An **“integrated presence”** means that the UN presence in a particular country **consists of a multidimensional peacekeeping or field-based special political mission (SPM)** deployed to respond to a crisis or deterioration of the security or political situation, **and the UN agencies, funds and programmes** (the UNCT) providing humanitarian and/or development assistance programmes. There may also be regional UN offices outside the capital where mission and UNCT personnel share the same facilities.

An **“integrated mission”** is a particular form of a UN integrated presence in which that the mission **leadership is structurally integrated**, with a **Deputy Special Representative of the Secretary-General (DSRSG) acting as the Resident Coordinator (RC) and/or Humanitarian Coordinator (HC) for the UNCT.**

The **“integrated approach”** involves the UN peacekeeping mission and the UNCT **working together to realize a common strategic vision for the host country.** The benefit of the “integrated approach” is that mutual efforts are better coordinated and hence improves impact.

The UN takes an “integrated approach” for better results. A host country’s peace consolidation needs are better met when the mission and UNCT work on agreed priorities.

Coordination and cooperation increases and sustains impact. This is the **benefit** of the “integrated approach”. A peacekeeping operation is a short-term measure. It has strong links with long-term mandates, objectives and programmes of the UNCT. Peacekeeping operations have a “peace and security” mandate. They connect to the “humanitarian” and “development” mandates of different UN partners.

A UN peacekeeping operation is **more effective** when deployed as part of a UN systemwide response. A **UN system-wide response** ensures:

- **Clear shared understanding of priorities**
- **Contributions to common objectives**

For multidimensional peacekeeping operations, the UN takes an “integrated approach”. This is for all parts of the UN system that are active in that country.

Main Obstacles to Integration Benefits of integration are convincing. The approach seems clear. Reality is more complex. **Various UN partners are involved in conflict and post-conflict settings.** Obstacles to integration include:

- Different mandates
- Separate governance and accountability mechanisms
- Different funding systems, mechanisms and budget cycles
- Distinct planning and programming cycles
- Different timelines and timeframes
- Different institutional or organizational cultures, management styles and reporting lines.

UN partner agencies can have distinctly different roles and perspectives. Sometimes the peacekeeping mission and UN partner agencies seem to work with opposing purposes. It may seem as if UN partners are competing as they follow their own mandates and principles. Disagreements can result.

Examples of Obstacles to Integration – Differences between UN Partners

The Security Council mandates peacekeeping and field-based SPMs. Funds are approved by the General Assembly, based on annual assessed contributions from Member States.

UN agencies, funds and programmes have varying mandates, report to different governing bodies and rely mostly on voluntary contributions from donor countries.

The planning and budget cycles of missions and UNCT members are not aligned. Peacekeeping missions have a 1 July to 30 June budget cycle. Time frames for operations are different. Humanitarian actors focus on the immediate term. Peacekeeping personnel operate on a political timetable. Development agencies focus on the long-term and sustainability of activities. The UNCT consists of purely civilian agencies and programmes. Peacekeeping operations have military, police and civilian components. One result is differences in institutional cultures and management styles.

Effective Strategic Partnerships

The UN exists to improve lives of people in the host country. Each UN partner contributes to this objective. This shared objective must guide partnerships. Such a partnership needs to be **based on a shared vision** of UN strategic objectives at the country level. A shared vision assumes a shared understanding of the country context

Integrated Assessment and Planning (IAP) and the Integrated Strategic Framework (ISF) **support shared vision** and the integrated approach. The SRSG leads an **effective strategic partnership** between peacekeeping and the UNCT. This is **supported by the role of the second DSRSG** as Resident Coordinator (RC), leading the UNCT. The DSRSG may be “triple-hatted” serving as both RC and Humanitarian Coordinator (HC) for the UNCT. The RC is usually also the RR, Resident Representative for UNDP. The goal is coherence and mutual support. An integrated approach does not mean the peacekeeping operation and UNCT must physically work together or be in the same building.

Individual activities and tasks do not always need to be done in an integrated way. Decisions are made on a case-by-case basis. Considerations are the situation, mandate, resources and capabilities of a mission and UNCT. The UN pushes for integration where it adds value and improves impact.

All peacekeeping personnel need to share information with UNCT partners and coordinate activities. This practice is important regardless of the degree of formal integration.

Examples of Integrated Approaches

Example 1: Support to Elections

UN support to elections is an important step in consolidating peace. Peacekeeping operations and UNCTs support elections in an integrated manner, regardless of whether or not the mission is formally integrated.

In Afghanistan and Timor Leste, the UN created “integrated electoral teams”. Mission personnel from electoral affairs, logistics and other units worked in the same team as staff from UN partner agencies such as UNDP. Integrated teams present a united front to national stakeholders and donors. They avoid perceptions of a divided UN in competition with itself.

Example 2: Disarmament, Demobilization and Reintegration (DDR)

DDR is another task area in which the UN commonly uses an integrated approach.

In the UN Mission in the Sudan (UNMIS), the first integrated DDR unit was created. It combined mission personnel, UNDP and UNICEF staff. They shared an office.

The UN Mission in Nepal (UNMIN) was an SPM not formally considered integrated. UNDP began registering combatants for the DDR process in start-up because mission personnel were not deployed. As mission personnel deployed, UNDP handed over those tasks to the UNMIN arms monitors. However, UNMIN and the UNCT continued to cooperate closely. This cooperation ensured complementary efforts and one UN voice in Nepal.

Example 3: Support to Local Authorities

The UN Mission in Liberia (UNMIL) is an integrated mission. It illustrates some best practices of integration.

UN Security Council Resolution 1509 mandated UNMIL to help the Government reestablish national authority throughout the country. This included a

functioning administration at national and local levels. Country Support Teams (CSTs) were established in 15 counties. They maximized the impact of the peacekeeping operation and the UNCT. Members include all UN partners in the country. The CST has project funds directly attached to it, managed by UNDP.

The goal of the CST mechanism is capacity building of local government to assume increasing responsibility at county level. At the national level, the work of all CSTs is managed by a Joint Steering Committee. The Minister for Internal Affairs and the DSRSG/RC/HC co-chair it. The CSTs coordinate and share information with county authorities and all UN partners.

The project covers:

- Rehabilitating or constructing county administrative buildings
- Providing vehicles and office and communications equipment
- Developing the capacity of county officials through training, including training jointly organized with the Liberian Institute of Public Administration (LIPA)
- Strengthening information management capacity in the counties, through County Information Packs and Information Management Offices

External Partners

External partners include international, regional and foreign national actors.

International organizations:

- International financial institutions (IFIs)
- International donors
- International NGOs, such as humanitarian NGOs
- **ICRC:** International Committee of the Red Cross

Individual Member States – as foreign national actors:

- The diplomatic community
- Non UN-led military forces deployed nationally
- Bilateral donors
- Contractors working for donors.

Inter-governmental organizations:

- Regional and sub-regional organizations
- Non UN-led military forces deployed under a regional organization or as part of a coalition

Coordination and cooperation are important. There are many different external partners active in post-conflict environments.

Mandates and expertise of different external partners may overlap with the UN peacekeeping operation. The UN has to **coordinate with external partners**. However, these actors normally **pursue independent agendas**. **Strategic priorities of the peacekeeping operation may not follow those agendas.**

External partners may work under widely differing mandates, timelines and work methods. Their periodic engagement in the country may restrict coop-

eration. **Even with limited cooperation, the peacekeeping operation must be proactive to:**

- Meet regularly and share information with all partners
 - Seek input of other partners into mission planning
 - Respond actively and substantively to requests for cooperation
 - Harmonize activities, to the extent possible
- International organizations include NGOs with an international presence.

As with national NGOs, different types of international NGOs exist. Some provide humanitarian assistance. Others undertake peacebuilding activities. Another type supports development programmes. **OXFAM, Save the Children, Concern and Medecins sans Frontiers (Doctors Without Borders)** are examples among many.

These international NGOs work alongside UN peacekeeping operations. International NGOs **can provide humanitarian assistance**. Examples of services are water and sanitation, food, health services and education supplies. Humanitarians are careful to distinguish themselves from political-military structures because of access and safety in conflict zones. Peacekeeping personnel do not provide humanitarian assistance. They facilitate its delivery.

Peacekeeping missions sometimes work directly with many NGOs as partners for QIPs. QIPs can be short-term employment activities or small projects to rehabilitate infrastructure. Peacekeeping missions also provide transport for NGO workers in many countries.

Many NGOs have long experience in a country. They know the people and the place. It is important for peacekeeping personnel to:

- Solicit and use NGOs' local knowledge
 - Practice humility to avoid friction
- OCHA and/or UNDP offices will have information about NGO work in a country (for example, projects and locations).

In the humanitarian community, one important actor is the ICRC. Its mandate is to protect and assist victims of armed conflict.

The ICRC mandate is:

- **Specified in international humanitarian law**
- **Recognized by all states**

The ICRC is part of the International Red Cross and Red Crescent Movement. Other members are National Red Cross and Red Crescent Societies and the Federation of Red Cross and Red Crescent Societies. ICRC is a neutral, independent, impartial humanitarian actor. ICRC is not part of the UN and it is not an NGO. Its status is unique.

While ICRC is not an international or intergovernmental organization, it is recognized as having an **“international legal personality” or international legal status of its own**. It enjoys working facilities (privileges and immunities) comparable to those of the UN, its agencies and other intergovernmental organizations.

Individual foreign Member States have different representatives in a host country:

- The diplomatic community
- Bilateral donors
- Contractors working for donors

Non UN-led military forces deployed nationally Individual Member States that provide the UN mission with its mandate, troops, police, finances and political support are likely to **have Embassies or Missions in the country**.

Senior UN mission and UN partner personnel work with the diplomatic community to retain confidence and support. Many of these countries also **provide technical and financial assistance directly to the national authorities**. They do this either **through their embassies or national development agencies**. This interaction is “bilateral”. The name refers to “two sides”. One-on-one interaction between an individual Member State and the host country is “bilateral” because it involves these two parties. It contrasts with “multilateral” which means many sides. The UN is a multilateral organization – it involves many parties.

Examples of National Development Agencies as Bilateral Donors:

- Britain: Department for International Development (DFID)
- Japan: International Cooperation Agency (JICA)
- United States: Agency for International Development (USAID)
- Canada: Canadian International Development Agency (CIDA)
- Sweden: Swedish International Development Agency (SIDA)
- Germany: German Society for international cooperation (GIZ)
- Norway: Norwegian Agency for Development Cooperation (NORAD)

Bilateral organizations such as DFID, JICA and USAID receive funding from the government in their home countries and use the funding to aid developing countries.

Close coordination with the peacekeeping mission is essential to prevent duplication of effort and misunderstanding.

Peace operations are also carried out by individual Member States. Non UN-led military forces have deployed alongside peacekeeping operations. Examples include France’s deployment of *forces* in 2013 – *Operation Serval* in Mali and *Operation Sangaris* in the Central African Republic.

Intergovernmental organizations are also partners of the UN. They can be regional or sub-regional. They play different roles in relation to the UN. Some intergovernmental organizations even conduct their own peace enforcement operations.

Examples include:

- The African Union (AU)
- Organization of American States (OAS)
- The North Atlantic Treaty Organization (NATO)
- The European Union (EU)

- The Economic Community of West African States (ECOWAS)

These regional and sub-regional organizations may be active in the host country with **differing roles and relationships with the UN**.

The UN Security Council has authorized a growing number of **peace enforcement operations by regional organizations or coalitions**. NATO, the EU and the AU are examples. Authorization is under Chapter VIII of the Charter. UN partnerships with these international, regional and sub-regional organizations enable the international community to respond more quickly and efficiently to violent conflict.

Example of a Non UN-Led Military Force Deployed Regionally:

The Intergovernmental Authority on Development (IGAD) is a sub-regional organization in East Africa. In 2014, the IGAD Protection and Deterrence Force (PDF) was deployed in South Sudan alongside the UN peacekeeping operation, UNMISS. Its purpose was to bolster force capacity following violent outbreaks at the end of 2013. The regional force was made up of troops from Ethiopia, Kenya, Rwanda and Burundi.

Military components of UN peacekeeping operations increasingly have to work with other military forces. These may be regional organizations, international military coalitions, individual foreign national military forces and host state military units.

Examples of Partnerships with External Partners:

Example: Haiti. Partnership Between the UN and National and International Partners

The UN collaborated with the Haitian and Canadian governments on restoring Haiti's police infrastructure in the Southern Province. The project refurbished fourteen police stations and delivered 24 cars and 22 motorcycles. It distributed work equipment among 21 police stations: computers, chairs, printers, radios and investigation kits. The initiative substantially increased the capacity of the national police to carry out their police functions.

The project was financed by the Canadian Government through the Stabilization and Reconstruction Task Force (START). It was carried out through a partnership between:

- Haitian Police Force
- UNDP
- United Nations Mission for the Stabilization in Haiti (MINUSTAH)
- UNOPS

UNDP and UNOPS provided expertise in project management, fundraising and donor fund management. Since MINUSTAH has UN Police working directly with the Haitian National Police in their stations, they could provide technical advice on how best to spend donor funds to have maximum impact.

Questions to check how well you possess the information about UN peacekeeping

1. Who are the mission's UN partners?
2. What does an "integrated approach" mean for the UN in a country?
3. What benefits does an integrated approach bring?
4. What relationships exist in peacekeeping contexts between the UN and NGOs?

CHAPTER 2 MANDATED TASKS OF UNITED NATIONS PEACEKEEPING OPERATIONS

§ 2.1. An Overview of Mandated Tasks

Aim: To show the range of tasks which are mandated to UN peacekeeping operations (UNPKOs) by the Security Council.

Learning Outcomes

Learners will:

- Identify the four categories of mandated tasks
- List examples of mandated tasks which are the core business of UNPKOs
- Describe two critical areas where UNPKOs play a limited “support” role
- List the four humanitarian principles.

The range of tasks assigned to UNPKOs has expanded significantly in response to shifting patterns of conflict, and to best address emerging threats to international peace and security.

Each UNPKO is different. The range of tasks mandated by the Security Council can be categorized in the following way:

- Core business
- Support roles
- Peacebuilding activities
- Cross-cutting thematic tasks.

The Security Council gives UNPKOs core functions to carry out. These core functions are also known as ‘core business’.

Tasks which are core business include:

- Supervision or monitoring of the ceasefire agreement
- Provision of a secure and stable environment
- Facilitating the political process.

A catalyst speeds up a chemical reaction. The Security Council often directs UNPKOs to be catalytic in critical peacebuilding activities.

Different partners help a host country after conflict. The UN draws together and coordinates support to the host State in key peacebuilding areas.

Early peacebuilding activities are mandated to UNPKOs as priorities.

They prevent more conflict and support lasting peace:

- Mine action – including demining
- Disarmament, demobilization and reintegration (DDR) of ex-combatants
- Security sector reform (SSR)
- Rule of Law (ROL) related activities – including judicial and corrections or prisons work
- Electoral assistance

- Support to restoration and extension of state authority

There are two critical areas where UNPKOs play a more limited support role:

- Humanitarian assistance
- Socio-economic recovery and development

UNPKOs are limited in these areas because of their mandate, capacity and resources. They help UN and non-UN partners instead. These partners have specific «humanitarian» and «development» mandates.

Peacekeeping personnel indirectly help deliver humanitarian aid by providing safe passage and a secure environment for humanitarian partners. Peacekeeping personnel do not provide humanitarian aid directly.

Cross-cutting thematic tasks are:

Human rights – protection and promotion

Women, Peace and Security – gender equality

Protection of Civilians

Conflict Related Sexual Violence – prevention and response

Child Protection

A ceasefire agreement is a type of peace agreement that refers to a temporary stoppage of war or any armed conflict for an agreed time or within a limited area.

Each party agrees to suspend aggressive actions without making concessions. These are military agreements, designed to stop warring parties from continuing military actions while political negotiations find a more lasting solution.

Ceasefire agreements are short-lived and fragile. Further agreements must quickly follow if the ceasefire is to hold.

Monitoring peace agreements involves actions by a third party to gather information on obeying or “compliance” with an agreement. Monitoring has two steps:

- **Observation:** passive watching and inspection of the actions of the monitored

- parties.

- **Verification:** judging compliance to peace agreement terms. Verification goes beyond observing to judging compliance and reporting violations.

Monitoring ceasefire agreements is crucial to the peace process. Parties to a conflict can only make more formal peace agreements through cooperation. Low levels of communication and trust can sabotage a peace agreement.

Monitoring ceasefire and other peace agreements helps build trust and communication at a time when communication and trust are scarce. This strengthens conditions for lasting peace.

Roles

Monitoring ceasefire agreements is the primary purpose of traditional UN peacekeeping. The same monitoring and verification tasks may be required in multidimensional UN peacekeeping.

UNPKOs:

- Monitor and report on the parties' compliance to commitments for a ceasefire or demilitarized zone

- Investigate complaints of violations

They reassure parties to a conflict that others will not exploit a ceasefire for military advantage.

The military component leads in the supervision or monitoring of a ceasefire agreement.

Military: The military component's main peacekeeping task may be to monitor and supervise, observe and report on a military arrangement, such as a truce or ceasefire agreement, as well as a demilitarized or buffer zone.

The military tasks involve:

- **Observation, monitoring and reporting:** using static observation posts, regular patrols, overflights, inspections and investigations of suspected violations – with the agreement of the parties to the conflict

- **Supervision of the ceasefire and support to verification**

- **Interposition as a buffer and confidence-building measure**

Interposition places a UN military presence between the warring parties to prevent hostilities. It may lead to the creation of buffer or separation zones, in which only UN personnel are allowed. Buffer and separation zones force parties to pull back. In some situations, parties may agree to weapons-free areas on either side of the buffer zone.

This further contributes to reduced tension and increased confidence.

- **Civilians:** Civilian components may collaborate with the military in these core tasks. Examples include political affairs officers, and gender advisers.

- **UNPOL:** The police component sometimes assists with observer functions. For example,

- monitoring the buffer zone as part of the UN Peacekeeping Force in Cyprus (UNFICYP).

Provision of a Secure and Stable Environment

Public security refers to the physical safety of people from the threat of violence. Public security protects people, property and state institutions against threats of physical aggression. The result is a secure and stable environment.

Providing security and maintaining public order is the role of the host state. Police, law enforcement and intelligence services lead. The military also has a significant role.

The aftermath of violent conflict – especially an internal conflict – is a very challenging environment. State capacity to provide security to people and keep public order is often weak. Violence may be continuing in parts of the host country. Ethnic, religious and regional lines may divide the society. Grave human rights abuses may have been committed during the conflict. These developments complicate national reconciliation.

Security is generally a precondition for other key elements of peace agreements:

- Safe return of refugees and internally displaced persons
- Disarmament and demobilization of ex-combatants
- The free flow of people and goods
- Delivery of humanitarian assistance

Roles

Traditional and multidimensional UNPKOs are required to provide a secure and stable environment. Following an intra-state conflict, **a security and public order vacuum often exists** in a country. Sometimes a multidimensional UNPKO has to **help fill the vacuum** for a short time when a state is unable to fulfil this role, and only until state authority is restored.

UNPKOs:

- Support national law enforcement agencies
- Provide security at key government installations, ports and other vital infrastructure
- Establish security conditions necessary for free flow of people, goods and humanitarian aid

- Provide mine action assistance

By providing a secure and stable environment, UNPKOs:

- Help secure the peace processes
- Allow a mission to carry out other parts of its mandate
- Ensure partners can work in a safe environment – UN, national, humanitarian and development partners

The military component leads in providing a secure and stable environment.

Military: This task is the primary function of the military component in a mission. The military component ensures a safe and secure environment for the UN and other partners to do their work. The task is particularly important for the:

- Safety and security of the mission and its personnel
- Protection of civilians including internally displaced persons (IDPs), refugees, and humanitarians

Military and UNPOL: Formed Police Units (FPUs) may work with the military component to secure a safe environment. Tasks:

- Provide a visible deterrent presence
- Control movement and access through checkpoints
- Provide armed escorts for safety and to facilitate access
- Conduct cordon and search operations
- Control crowds
- Confiscate weapons

Military and police components take on the state's role to **provide security and maintain public order when there is a vacuum**. At the same time, the

military and police components strengthen the host state's ability to provide security by building the capacity of national military and police services.

Civilians: Strengthening the state's ability to provide security must be carried out with full respect for the rule of law and human rights. The civilian units contribute to the building of the national military, police and government structures. Examples of civilian units are:

- Security sector reform (SSR)
- Rule of law (ROL)
- Human rights

As legitimate and capable national military, police and government structures emerge, they increasingly take over from the mission to lead in security and public order.

A **political settlement** or 'political solution' is an agreement on how to end conflict or maintain peace. A political settlement can also be a shared understanding of how political power will be organized into state structures. In this latter case, political settlement links to state-building.

The **political process** is the series of steps to achieve a political settlement. It involves peace negotiations and peace agreements.

Facilitate means to make easier.

It is important to support the political process for lasting settlements and longer-term political solutions to violent conflict.

Roles

Traditional UNPKOs **DO NOT** normally play a direct role in political efforts to resolve conflict. Multidimensional UNPKOs **DO** usually play a direct role.

UNPKOs **facilitate the political process** by:

- Promoting dialogue and reconciliation
- Supporting the establishment of legitimate and effective institutions of governance

The goal for UN peacekeeping is not just to keep the peace, but to ensure asustainable peace.

The civilian component mainly leads on facilitating the political process.

Efforts by a UNPKO can include:

- Providing good offices to the parties to a peace agreement
- Facilitating a political process through mediation
- Liaising with the host government, the parties to the peace process, their respective command chains and the international community
- Promoting national political dialogue
- Supporting inclusive political processes
- Facilitating consultation with local people and civil society to increase their

- contributions to national processes and discussions
- Supporting reconciliation
- Supporting establishment of legitimate institutions of governance

The responsibilities of senior mission leadership include political engagement and advocacy with the parties in support of the political process.

Political Affairs: The Political Affairs unit leads in:

- Understanding the dynamics of armed conflict that created the need for a UNPKO

- Following the evolution of those dynamics
- Developing strategies to help parties in conflict resolve disputes through peaceful means

The Political Affairs unit sets up and maintains a mission's primary contacts with the parties to a conflict. It gathers information, resolves disputes and responds to queries.

The Political Affairs unit develops relationships with parties to the conflict and other key partners – for example, the wider UN, diplomats, international and regional organizations, civil society groups and leaders.

Civil Affairs: Civil Affairs officers liaise with local communities and authorities. They represent the mission in this role and are active in support of social and civic conditions for peace. They promote engagement and confidence of local people in a peace process. Civil Affairs officers convene meetings between interest groups, reach out to different parts of society and work with civil society groups.

Military: Military expertise is essential to the successful conduct of peacemaking and peace negotiations in situations of armed conflict. Military officers can provide technical support to political mediators in traditional and multidimensional UNPKOs.

They provide advice on:

- Practical arrangements for monitoring ceasefire agreements
- Establishing the possibility of proposals for use of military capability
- Determining suitability of military arrangements for:
 - ✓ Weapons-free and demilitarized zones
 - ✓ Zones of separation
 - ✓ Requirements for effective disarmament and demobilization of ex-combatants

Military and UNPOL: By providing a secure environment, military and police components make the peace process possible.

A **humanitarian disaster** means lost lives, displaced populations, communities unable to care for themselves and great suffering. Humanitarian disasters can occur anywhere, anytime. The cause can be a natural disaster (such as a flood, drought, earthquake), or violent conflict.

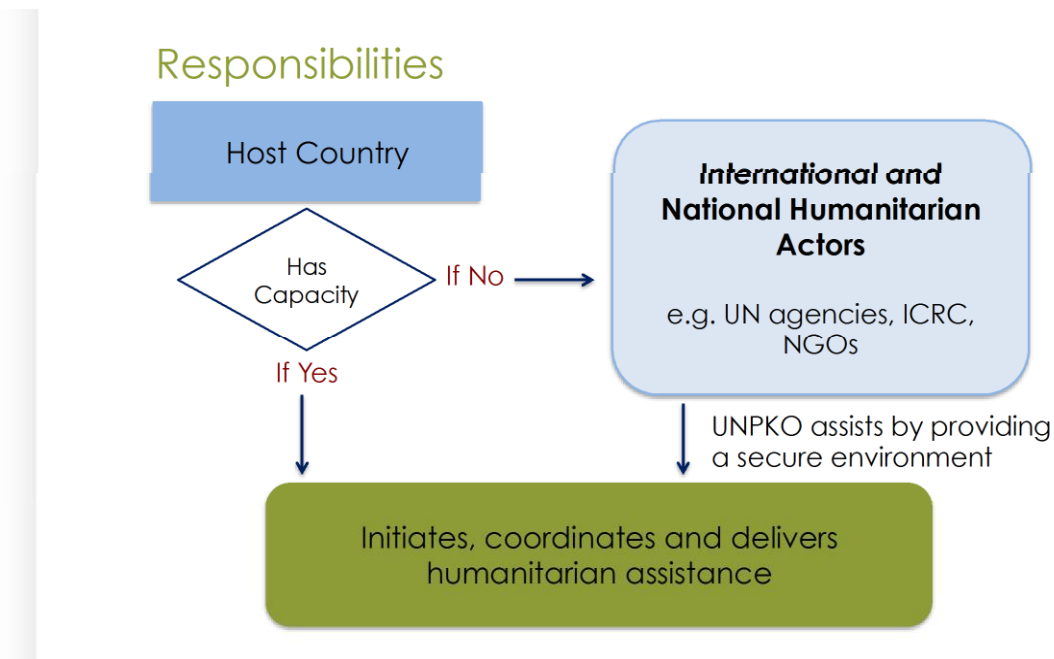
During and after natural disasters and conflicts, the international community provides humanitarian assistance to help with recovery and rehabilitation.

Humanitarian assistance includes:

- **Basic supplies - drinking water and food**

- **Basic shelter**
- **Medical care**
- **Protection and assistance to refugees and internally displaced persons (IDPs)**

Humanitarian work also tries to prevent disasters and strengthen preparedness.



Supporting Poverty Reduction and Economic Development

No international consensus exists for measuring poverty. In pure economic terms, **income poverty** is when a family's income fails to meet a national threshold, which is different across countries. The international standard of **extreme poverty** is possession of **less than \$1.90 a day** according to the World Bank.

Economic development is a process that influences economic growth and the restructuring of an economy **to enhance the economic well-being** of individuals and communities. Typically, it is the creation of jobs and wealth, and the improvement of quality of life.

Policies which **seek to stimulate economic growth and raise incomes** contribute to lasting poverty reduction. Examples of such policies:

- Promoting trade, investment, industrial development and infrastructure
- Providing an 'enabling environment' for economic growth, for example through regulation and access to finance

However, poverty is not only economic. Poverty is also social, political and cultural. It undermines human rights:

- **Economic rights:** to work and have enough income
- **Social rights:** access to health care and education
- **Political rights:** freedom of thought, expression and association

- **Cultural rights:** to maintain one's cultural identity and be part of a community's cultural life

The Millennium Development Goals (MDGs) were global targets for reducing poverty, set by world leaders at the UN Millennium Summit in September 2000. The post-2015 **Sustainable Development Goals (SDGs)** build on the foundation laid by the MDGs – they seek to complete the unfinished business of the MDGs, and respond to new challenges. Such goals focus on getting rid of poverty in all its forms and dimensions.

The goals are an integral part of the United Nations Development Agenda.

Roles

Development partners lead on promoting socio-economic recovery and development.

UNPKOs cooperate and coordinate with national partners, the UNCT and external partners to support poverty reduction and economic development.

Host country: The host country takes full responsibility for its own development. The host country is responsible for plans to promote economic growth and reduce poverty through implementation of specific economic and social policies. The host government sets national anti-poverty targets, guided by the global SDGs and considering national circumstances.

Bilateral and multilateral donors and International financial institutions (IFIs), including the World Bank and IMF: Post-conflict countries depend on IFIs such as the World Bank and the International Monetary Fund (IMF) for support in socio-economic recovery and development. Poverty Reduction Strategy Papers (PRSPs) guide economic and financial support. A host country prepares PRSPs, through a participatory process that involves national stakeholders and international development partners.

UNDP: UNDP promotes inclusive and sustainable human development and works to reduce poverty in all dimensions.

UN specialized agencies, funds and programmes: UNCT members and key external partners have the resources and expertise for long-term initiatives to build institutions and strengthen capacity.

The UNCT coordinates within itself and with the World Bank and IMF through parallel poverty reduction initiatives.

Multidimensional UNPKOs may be mandated to cooperate with and coordinate the UNCT and key external partners, as part of support to the host state government.

Multidimensional UNPKOs are rarely mandated to directly promote socio-economic recovery and development. They do not have ready access to requisite expertise and funding.

UNPKOs assist the work of development partners by:

- Using their influence with national authorities to encourage key reforms
- Using good offices of SRSG/HOM and DSRSG/RC/HC to help mobilize donor funds and attention to key development priorities

UN Resident Coordinator (RC): The triple-hatted DSRSG/RC/HC in integrated UN peacekeeping missions is the UN Resident Coordinator (RC). The RC coordinates in-country UN development operations – leading the UNCT and connecting it to the mission. The RC also maintains relationships with the host government, donors, and other humanitarian and development partners. The United Nations Development Assistance Framework (UNDAF) brings together the comparative advantages of the UNCT within one planning document.

Civilians: The civilian component of the mission and the UNCT lead on this mandated task.

Military and UNPOL: Military and police components of the mission provide security and ensure all development partners can work in a safe environment.

§ 2.2. Peacebuilding Activities

Overview of Peacebuilding Activities

Peacebuilding activities mandated by the Security Council to multidimensional UN PKOs include:

- Mine action – including demining
- Disarmament, demobilization and reintegration (DDR) of ex-combatants
- Security sector reform (SSR)
- Rule of law (ROL) related activities – including judicial and corrections or prisons
- work
- Electoral assistance
- Support to restoration and extension of state authority

Specific mission units and components lead on certain mandated tasks. All mission components – military, civilians and police – contribute towards all mandated tasks.

Mine Action

Landmines and other explosive hazards are designed to destroy or damage. Mine action is necessary to recreate a safe environment which encourages normal life and development. The Security Council often mandates multidimensional UNPKOs to play a role in “mine action”. It is a critical peacebuilding activity and an early confidence building measure.

Landmines are explosives placed under, on or near the ground or other surface area. They are designed to be detonated or exploded by the presence, proximity or contact of a person or vehicle.

Explosive remnants of war (ERW) are explosive devices left after a conflict which have not detonated. ERW includes cluster munitions, mortars, hand grenades, shells and bullets.

Improvised explosive devices (IEDs) are explosive devices assembled by a user, and not made in a commercial factory. IEDs include time bombs, booby traps, and explosive devices carried by a suicide bomber.

Landmines and these other explosive hazards have a wide, negative impact. They:

- Kill or injure people – including civilians
- Destroy or damage vehicles and other property
- Close roads
- Block safe deployment of peacekeeping personnel
- Interfere with safe delivery of humanitarian assistance
- Prevent civilians from returning home and back to normal life – such as children
 - going to school, farmers working the land
 - Rob people of their livelihoods
 - Hinder reconstruction after war
 - Hamper economic and social development

The goal of mine action is to reduce and eliminate the impact of landmines, explosive remnants of war (ERW) and other explosive hazards.

Mine action also deals with abandoned and poorly secured state-owned weapons and ammunition stockpiles and facilities. These are threats because of the risk of accidental explosions, and looting which can divert weapons or explosive material.

The five “pillars” of mine action are:

- Clearance
- Stockpile destruction
- Risk education
- Victim assistance
- Advocacy

In peacekeeping contexts, landmine and ERW **clearance** are key activities. They enable:

- Freedom of movement, including the deployment of mission personnel
- Implementation of mission mandated tasks and priorities, including the protection of civilians and support to political processes

Clearance work includes:

- Surveys

- Mapping and marking (or fencing off) areas contaminated with landmines and ERW
- Removal of landmines and ERW from the ground
- ERW destruction

- United Nations Mine Action Service (UNMAS)
- **UNPKO** integrates mine action, UNMAS leads



The United Nations Mine Action Service (UNMAS) is the UN focal point for mine action. It ensures effective, proactive and coordinated UN response. DPKO integrates mine action into UNPKOs. UNMAS provides direct support and assistance.

UNMAS: UNMAS is a service of DPKO, responsible for UN mine action in peacekeeping operations and special political missions (SPMs). UNMAS leads, coordinates and carries out efforts to reduce threats from many different explosive hazards. UNMAS may be mandated by the Security Council, requested by the Secretary-General or requested by an affected country.

UN peacekeeping operations: The Security Council mandates UN peacekeeping missions with mine action tasks to:

- Remove and destroy landmines and ERW which are a threat to civilians and the safe movement of people, including IDPs and refugees
- Give technical advice to national authorities and train on mine action, IED mitigation, weapons and ammunition management
- Provide for rapid response in mine action
- Support stabilization and protection of civilians efforts

UNMAS is an integrated part of peacekeeping missions. It supports mandatementation by:

- Providing risk reduction education to local populations and mission staff

- Conducting surveys and clearing routes for mission movements and increased freedom of movement

- Advising national authorities as part of capacity development
- Training relevant peacekeeping personnel in technical response

On request, UNMAS deploys experts and specialized equipment, through its Rapid Response and Technical Support Capacity (RRTSC), to:

- Reduce the threat posed by explosive hazards to civilians and mission personnel

- Coordinate emergency humanitarian responses

Military: “Operational demining”, “military demining” or “breaching” are terms for mine and explosives **clearance for operational needs**. Mine clearance for operational needs allows the mission to:

- Move and deploy troops and other personnel
- Maintain supply lines to deployment sites
- Increase access to all parts of a mission area

This is different from “humanitarian mine clearance”. **Humanitarian mine clearance clears land so civilians can return to their homes and routines.**

Sometimes specialized military contingents of the mission work in humanitarian mine action operations, supported by UNMAS. Specialized military contingents conduct mine action operations following International Mine Action Standards (IMAS).

UNPOL: UNPOL help implement projects on weapons and ammunition management. They cooperate with UNMAS and comply with the International Ammunition Technical Guidelines (IATGs).

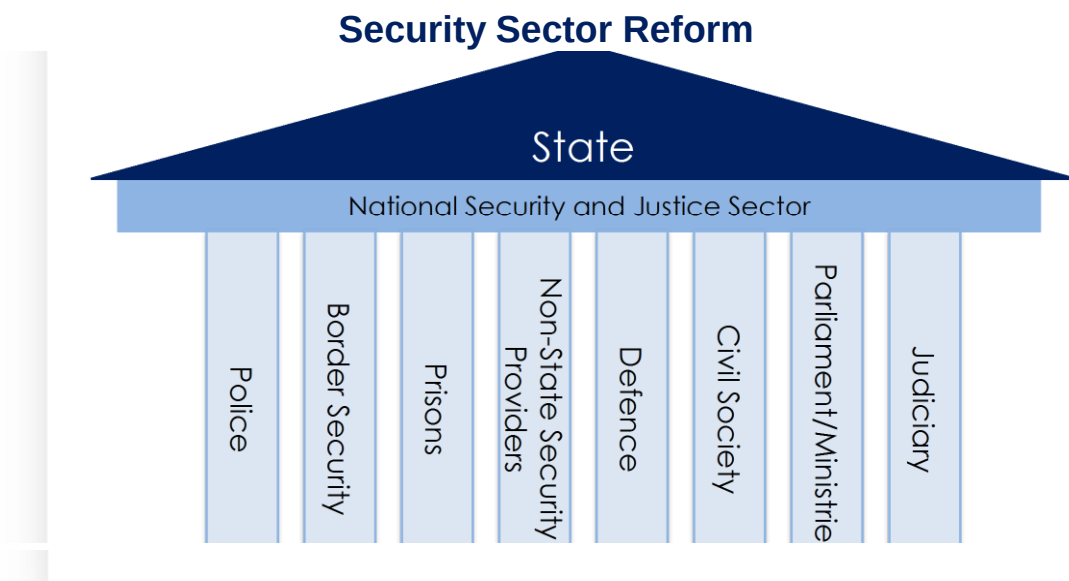
Partners

Host country: UN mine action support is undertaken in cooperation with the national authorities of the host state. When asked, the UN also provides national authorities with technical advice, training and other capacity development support.

UN departments, agencies, funds and programmes: UN departments, agencies, programmes and funds support mine action. Examples are UNHCR, OCHA, UNDP, UNICEF and WFP. The Inter-Agency Coordination Group on Mine Action (IACG-MA) holds monthly meetings at UN Headquarters. UNMAS is the focal point and coordinator.

International and regional organizations: These organizations are becoming more active in mine action efforts. Examples include the African Union (AU), which adopted the AU Mine Action and ERW Strategic Framework 2014-2017. UNMAS works closely with them on strategies, training and capacity development.

Member States and individuals: These contribute funds to the UN Voluntary Trust Fund for Assistance in Mine Action. This is managed by UNMAS for lifesaving mine action programming around the world.



National security is the ability of a state to provide protection and defence for citizens.

The **security sector** is a broad term for structures, institutions and personnel that manage, provide and oversee a country's security. It includes:

- **Defence**
- **Law enforcement**
- **Corrections or prisons**
- **Intelligence services**
- **Institutions responsible for border management, customs and civil emergencies**

The security sector may also include:

- **Parts of the judicial sector** – such as those responsible for the adjudication of cases of alleged criminal conduct and misuse of force
- **Ministries, legislative bodies and civil society groups** – their role is to manage and oversee the design and implementation of national security

Non-state actors – such as customary or informal authorities, and private security services

The **goal of SSR** is a more effective and accountable security sector for the state and its people. This is without discrimination, and with full respect of human rights and the rule of law. People are safer through enhanced effectiveness and accountability of the security sector, under civilian control (A/67/970 - S/2013/480).

National authorities of the host state lead SSR. Steps include the:

- **Review and evaluation of the security sector**

- Implementation of reforms
- Monitoring of reforms

This strengthens oversight, governance and management of the security sector (2008 report of the Secretary-General on *Securing peace and development: the role of the United Nations in supporting security sector reform* (A/62/659)).

SSR also includes restructuring the national judiciary, police and military. DDR connects to broader SSR.

UN peacekeeping operations: The Security Council mandates multidimensional UNPKOs to help national security sector reform programmes. Tasks include:

- Strategic assistance in the development of security sector frameworks
- Capacity building of military, police and other law enforcement institutions in key areas

SSR unit: The SSR unit is part of the mission's civilian component. It is the focal point and technical resource capacity on SSR. In this role, the SSR unit serves the UN, national and international partners in the host country. The SSR unit helps national and regional SSR efforts, mainly at the sector-wide level.

The SSR unit supports national authorities to:

- Facilitate national SSR dialogues
- Develop national security policies, strategies and plans
- Strengthen oversight, management and coordination capacities
- Prepare legislation on the security sector
- Mobilize resources for SSR projects
- Harmonize international support to SSR
- Provide education, training and institution building
- Monitor and evaluate programmes and results
- Undertake defence sector reform

Military and UNPOL: Military and police components first stabilize the security situation.

In providing this basic security, military and police components partner with national authorities. They transfer skills and expertise to host country officials and experts as quickly as possible. Police and military components of the mission train national police and armed forces. They may also give technical advice.

Partners

Host country: It is the primary responsibility of the host country to determine the national approach and priorities of SSR. National authorities set priorities for SSR.

Non-governmental organizations (NGOs) and civil society: Local NGOs are essential in SSR. They have a key role in building a legitimate, ac-

countable and sustainable security sector that is responsive to people's security and justice needs. SSR needs to be inclusive of all segments of society, including civil society. Civil society plays a role in national dialogue and reconciliation efforts, and serves as an oversight body of the security sector.

UN system, including departments, agencies, funds and programmes: The UN's Peacebuilding Commission (PBC) and Peacebuilding Fund (PBF) play important roles in supporting SSR. Other UN entities contribute to SSR efforts:

- Department of Political Affairs (DPA)
- Office of UN High Commissioner for Human Rights (OHCHR)
- UN Peacebuilding Support Office (PBSO)
- UN Development Programme (UNDP)
- UN Entity for Gender Equality and the Empowerment of Women (UN Women)
- UN Office on Drugs and Crime (UNODC)
- UN Office for Disarmament Affairs (UNODA)
- UN Children's Fund (UNICEF)
- UN Population Fund (UNFPA)

DPKO and UNDP chair the Inter-Agency SSR Task Force. This Task Force coordinates effective UN support to national governments on SSR.

Member States: Member States volunteer support to SSR as bilateral donors. Support is based on the priorities set by national authorities.

International and regional organizations: Regional and sub-regional arrangements and organizations also support SSR. Examples are the European Union (EU) and the African Union (AU).

Rule of Law

Rule of Law (ROL) is the legal and political framework that holds all people and institutions accountable, including the state.

Laws need to be:

- Publicly promulgated – in other words, “put into effect”
- Equally enforced – in other words, “applied”
- Independently adjudicated – in other words, “judged”
- Consistent with international human rights norms and standards

A national ROL framework includes:

- A constitution or equivalent – the highest law of the land
- A clear, consistent legal framework and its implementation
- Strong institutions of justice, governance, security and human rights – “strong” means well structured, financed, trained and equipped
- Transitional justice processes and mechanisms – they help countries emerging from conflict address large-scale or systematic human rights violations

- A public and civil society that contributes to rule of law – they hold officials and institutions accountable

The three ROL institutions are the police, judiciary and corrections (or prisons).

*"For the United Nations, **the rule of law** refers to a principle of governance in which all persons, institutions and entities, public and private, including the state itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards.*

It requires, as well, measures to ensure adherence to the principles of supremacy of law, equality before the law, accountability to the law, fairness in the application of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency".

(Report of the Secretary-General on the *Rule of Law and Transitional Justice in Conflict and Post-Conflict Societies* (S/2004/616)).

UN peacekeeping operations: The Security Council mandates multidimensional UNPKOs to carry out ROL-related activities.

As part of the overall rebuilding of ROL institutions, UNPKOs work with national and external partners to:

- Develop comprehensive plans that include building or rebuilding new police stations, court houses and prisons
- Develop local capacity and human resources needed to ensure ROL institutions can function
- Oversee rehabilitation of training centres and universities, and ensure they are able to train required personnel

DPKO supports ROL with the deployment of its own **police, judicial and corrections officers** to UNPKOs.

UNPOL: UNPOL has a central role in strengthening ROL. UNPOL:

- **Reforms, restructures and trains national police services:** This is to help ensure they become respected, sustainable, well-structured law enforcement institutions.
- **Builds national police capacity:** This is built comprehensively with a community-oriented approach. This further supports strong governance, oversight and accountability within functional systems of justice and corrections.

Rule of Law (ROL)/Justice unit: Judicial Affairs officers of the mission are international advisers who perform critical functions in the justice system. They may work as judges and prosecutors. In sensitive and controversial cases, they may expedite and help with judicial proceedings in the host country. As advisers they ensure these proceedings are independent, impartial and meet international standards.

Corrections: Administration of prisons or correctional services has important implications for the protection of human rights and state security. UN Corrections officers active in ROL provide a range of assistance:

- Operational upgrading and short-term management of prison administration
- Monitoring
- Providing expert advice
- Training in correctional services
- Addressing prison challenges that add to insecurity, for example overcrowding

Human Rights: The mission's Human Rights component is a key partner in building effective ROL structures and procedures. For example, the Human Rights component can provide information on human rights conditions in the host country, and historical information on the record of state institutions. They can also provide valuable content on human rights principles and standards for police training curricula.

Military: The military component of the mission may have a limited support role in ROL-related activities.

Partners

Host country: The host country is responsible for the national ROL framework.

Non-governmental organizations (NGOs): NGOs play an essential role in national ROL reform. NGOs are active locally, nationally, regionally and internationally. Their contributions include:

- Research and analysis in ROL
- Producing reports with policy recommendations
- Advocacy
- Early warning
- Monitoring and implementation of international agreements
- Exchange of knowledge and good practices
- Support to ROL assistance
- Direct ROL assistance – for example, advice on law-making, technical assistance, funding and management of ROL projects

UN system, including departments, agencies, funds and programmes: Many UN entities and specialized agencies undertake ROL-related activities of some kind at the national and/or international level. Examples:

- Judicial mechanisms, such as the International Court of Justice and ad hoc criminal tribunals
- Non-judicial mechanisms, such as cross-border commissions and commissions of inquiry

DPKO and UNDP join together as the Global Focal Point (GFP) on Police, Justice and Corrections in the rule of law in post-conflict and other crisis situations. The GFP connects all relevant UN entities to coordinate support.

Member States give development assistance directly to countries as bilateral donors.

Areas include:

- Legal and judicial development
- Security system management and reform
- Human rights
- Post-conflict peacebuilding

International and regional organizations: The UN cooperates on ROL issues with a wide range of intergovernmental organizations. These have diverse rule of law functions, such as the development of:

- Norms and standards
- Good practices and knowledge

Many contribute to strengthening ROL, nationally and regionally, as multilateral assistance providers.

Electoral Assistance

Democracy is based on the freely expressed will of the people. Democracy, or democratic governance in particular, allows people to live with their dignity, human rights, and fundamental freedoms respected, promoted and fulfilled.

Elections are the means through which people have a say in decisions that affect their lives.

Through elections people voice their preferences and choose their representatives in government.

Electoral processes include:

- **National elections:** Periodic national elections that are free, fair and transparent are at the heart of democracy.

- **Sub-national elections:** These refer to state, province, city or rural council

elections. These electoral processes are important for interactions between citizens and government. This is because the local government in many countries manages the delivery of most services to people.

Electoral assistance is the legal, technical and logistic support to electoral laws, processes and institutions.

The UN gives three types of electoral assistance:

- **Technical assistance:** Short- and long-term expertise provided to national authorities who administer elections. Areas of technical assistance include:

- ✓ Electoral administration and planning
- ✓ Review of electoral laws and regulations
- ✓ Electoral dispute resolution

- ✓ Boundary delimitation
- ✓ Voter registration
- ✓ Election budgeting
- ✓ Logistics
- ✓ Procurement of election materials
- ✓ Use of technologies
- ✓ Training of election officials
- ✓ Voter and civic education
- ✓ Voting and counting operations
- ✓ Election security
- ✓ Coordination of international donor assistance

Support to Restoration and Extension of State Authority

A “**sovereign state**” is completely and independently controlled by its own government.

The state must be able to exert control over its national territory, in order to generate revenue and provide basic services to the population.

A key part of **restoring state authority** involves rebuilding its legitimacy and people’s confidence in state institutions. People need to believe the government makes decisions that meet their needs and interests, within the wider needs and interests of the collective.

Good governance and inclusive political processes give legitimacy to the state’s institutions, and enjoy the confidence of its citizens. This helps the state to be resilient to conflict.

UN peacekeeping operations: UNPKOs support restoration and extension of state authority by:

- ✓ Creating an enabling security environment
- ✓ Providing political leadership
- ✓ Coordinating the efforts of other international partners

These activities involve the military, police and civilian components. The military and police components create an enabling security environment.

Specific support by UNPKOs may include:

- Efforts to develop political participation
- Operational support to the immediate activities of state institutions
- Small-scale capacity building
- Assistance to constitutional or institutional restructuring

In exceptional circumstances, the Security Council has authorized missions to provide a transitional administration – temporarily taking on state functions.

Civil Affairs: Civil Affairs officers are often the primary contact between the mission and local people. Support to restoration and extension of state authority is a key role of Civil Affairs officers.

Typical activities undertaken by Civil Affairs officers include:

- Support in developing mechanisms for accountability and transparency

- Preliminary assessments of capacity-building and support needs
- Monitoring delivery of public services, including efficiency and effectiveness
- Local civic education and sensitization on the structure of government, voter rights and principles of good governance
- Logistical and administrative support to help local governments maintain a presence in their districts
- Small-scale capacity-building support to local people
- Support to policy, planning and decision-making
- Mobilization of donor interest to support local needs, which may otherwise be neglected in national budgets and international aid

The Civil Affairs unit coordinates with other mission units and components which also support the restoration of the state's presence and administrative functions. Examples are the ROL/Justice unit and UNPOL.

Partners

Host country: National partners in the host country include central government, local government, civil service and civil society.

UN agencies, funds and programmes: Civil Affairs officers work with other mission components, UNCT partners and the World Bank. Specialized technical experts in public administration or democratic governance can be found in other UN entities such as UNDP and the World Bank.

Bilateral donors and International non-governmental organizations (NGOs): Bilateral donors and international NGOs may also promote good governance and support state institutions. Specialized technical experts are provided within the governance programmes of bilateral donors.

§ 2.3. Human Rights

Aim: To explain the duties of UN peacekeeping personnel in promoting and protecting human rights.

Learning Outcomes

Learners will:

- Identify human rights violations/abuses
- Explain UN policies on human rights relevant to peacekeeping
- Identify human rights-related roles in a mission
- List actions to take when human rights abuses and violations are observed

Human rights apply to every person. Human rights protection results when people are able to fully exercise them. Who protects those rights? States are supposed to.

International human rights laws define the state's responsibilities to its citizens. States have a duty to uphold people's human rights. Anyone in an official state capacity is a "duty-bearer" – police officers, soldiers, judges, local officials, government representatives.

When duty bearers ignore or act in ways that undermine people's human rights, they fail as duty-bearers. They violate human rights, or commit human rights violations.

So, the term "human rights violation" is a failure by the state – through action or no action – to perform its legally binding obligations to respect, protect and fulfil human rights.

Deliberate actions that result in human rights violations:

- Arrest or detention by a police officer without a warrant or reasonable cause
- Torture of a detainee in police or military custody
- Rape of women and girls by soldiers
- Opening fire on peaceful demonstrators without cause, by police or military

Lack of action that results in human rights violations:

- A government not providing basic services to a group of Internally Displaced
- Persons (IDPs), for example food, water, adequate shelter
- A local Ministry of Education representative not taking measures so that girls can attend school
- The state fails to ensure that in cases of rape by government agents:
 - ✓ Cases are effectively investigated
 - ✓ Where there is sufficient evidence for prosecution, perpetrators are prosecuted and punished in accordance with the gravity of the offence

Abuses

The term "human rights abuse" is broader than "human rights violation". Human rights abuses are acts by non-state actors which prevent the enjoyment of human rights. Nonstate actors include: rebel groups, militias, corporations or individuals.

Importance of Human Rights Protection

The UN has a collective responsibility to promote, protect and encourage respect for human rights. The UN Charter commits the UN to promoting universal respect for human rights.

Human rights cut across all areas of UN work. They apply to peace and security, economic and social affairs, development cooperation and humanitarian assistance work. They are also a part of the Security Council's five peace and security activities: conflict prevention, peacemaking, peacekeeping, peace enforcement and peacebuilding.

Abuse and violation of human rights link to conflict, as both a cause and a result. Respect for human rights is a foundation for lasting peace and security.

The UN protects and promotes human rights to:

- Prevent conflicts
- Achieve and keep peace
- Help a country and people recover after conflict with peacebuilding

Development, security and human rights depend on each other.

Human rights are a key part of promoting justice and reconciliation. The UN will not approve, support or recognize amnesties for war crimes, crimes against humanity or grave violations of international human rights or humanitarian law.

Such amnesties may be in a peace agreement negotiated between a government and rebel groups.

The success of UN peacekeeping depends on attention to human rights. The performance of UN peace operations is largely and ultimately measured by how they contribute to protect human rights, including in situations of imminent threat of physical violence, and prevent the occurrence of further violations.

The Security Council mandates most multidimensional UN peacekeeping operations (UNPKOs) to promote and protect human rights. Tasks help ensure respect for human rights, and accountability for violations and abuses. Tasks include:

- Monitoring, investigating and reporting on human rights violations and abuses
- Empowering the population to assert and claim their human rights
- Developing the capacity of the state and national actors and institutions to:
 - ✓ Implement their human rights obligations
 - ✓ Uphold rule of law

The Security Council includes “cross-cutting thematic tasks” in most mandates for UN peacekeeping operations on:

- Protection of civilians (POC)
- Addressing conflict-related sexual violence (CRSV)
- Protection of children
- Protection of women’s rights through the Women, Peace and Security (WPS) agenda

All link to human rights.

All peacekeeping personnel share responsibility to protect and promote human rights through their work.

Legal Framework

- UN Charter
- International Human Rights Law
- Security Council resolutions



The legal framework for promotion and protection of human rights in UNPKOs includes:

- UN Charter
- International Human Rights Law (IHRL)
- International Humanitarian Law (IHL)
- Security Council resolutions

The Security Council has increasingly mandated peace operations and special political missions (SPMs) **to protect and promote human rights (before, during and after conflict), and to protect civilians in armed conflict under imminent threat of physical violence.**

For example, Security Council resolution 1894 (2009) on protection of civilians in armed conflict stresses that “the deliberate targeting of civilians and the commission of systematic, flagrant and widespread violations of applicable international humanitarian and human rights law in situations of armed conflict may constitute a threat to international peace and security”.

Security Council resolution 1894 (2009) on protection of civilians (POC) in armed conflict:

- Affirms the priority of mandated protection activities
- Emphasizes the importance of comprehensive protection strategies which include accountability for human rights violations and abuses

Effective implementation of a POC mandate requires timely and well-resourced human rights monitoring, advocacy and reporting.

UN Partners Leading in Human Rights

- Office of the High Commissioner for Human Rights (OHCHR)



The Office of the UN High Commissioner for Human Rights (OHCHR) has lead responsibility in the UN system to promote and protect human rights. Its mandate comes from the UN General Assembly.

OHCHR leads global human rights efforts, working in close collaboration with governments, UN entities and other inter-governmental organizations as well as civil society. OHCHR has offices and centres in many countries and regions.

OHCHR conducts **human rights monitoring** — the active collection, verification and use of information to address human rights concerns. OHCHR monitoring can serve as an early warning tool to assist national authorities and other relevant actors in taking steps to prevent or reduce human rights violations. The head of OHCHR is the High Commissioner for Human Rights. The High Commissioner regularly comments on human rights in the world. S/he has authority to investigate cases and issue reports.

Different parts of the UN monitor how states comply with international human rights treaties. OHCHR supports that work.

OHCHR also supports Human Rights components of UN peacekeeping missions in several countries.

Another important part of the UN's human rights mechanism is the **Human Rights Council**. The Council periodically reviews the human rights record of all countries through the Universal Periodic Review. It also discusses and takes action on human rights concerns in any part of the world. The Council is an inter-governmental body, with 47 UN Member States elected by the UN General Assembly. It meets at UN offices in Geneva.

Human Rights in UN Peacekeeping

- Integrate into every day work
- Support national capacity



Protecting and promoting human rights is everyone's responsibility. This requires:

- Integrating human rights into everyday work
- Supporting lasting human rights capacity

Leaders, managers and commanders are responsible for knowing UN policies on human rights in UN peacekeeping. It is their job to make sure all peacekeeping personnel:

- Recognize human rights violations and abuses
- Respond correctly – at a minimum, report

The conduct of peacekeeping personnel must follow human rights standards.

Human Rights Unit

- Monitor and investigate human rights violations/abuses
- Produce internal and public reports
- Advocacy and intervention
- Strengthen national/local capacity
- Coordination and mainstreaming in PKO, UNCT and Humanitarian Country Team

Goal

Protection
Empowerment

OHCHR has integrated human rights components in UN peace operations and political missions. This is instead of establishing separate OHCHR field offices in countries where the Security Council deploys such operations.

The Head of the Human Rights component represents the High Commissioner for Human Rights (the Head of OHCHR) in the mission area. S/he advises the SRSG/HOM.

S/he has a dual reporting line to the SRSG/HOM and the High Commissioner. S/he receives support, technical advice and guidance from OHCHR.

Core tasks of the Human Rights component are to:

- Monitor and investigate human rights violations and abuses
- Produce internal and public reports on human rights issues and activities:
 - ✓ Internal reports: for distribution and use only by the Human Rights component, the peacekeeping operation or OHCHR
 - ✓ Public reports: shared with the public – host society, international partners and the media

Advocate and intervene on human rights issues – from quiet diplomacy to public condemnation

Strengthen the capacity of the host government, civil society and national human rights institutions to protect human rights Coordinate human rights work and help integrate it into the core identity of the UN peacekeeping operation, UN Country Team (UNCT) and Humanitarian Country Team (HCT)

Human Rights officers carry out the mission's human rights mandate. They work with others to mainstream human rights.

Human rights teams on the ground work closely with other civilian and uniformed components. Priority partnerships are on:

- Protection of civilians (POC)
- Conflict-related sexual violence (CRSV)
- Violations against children, or child protection
- Legal and judicial reform
- Security sector reform (SSR)
- Prison system reform

Other Units

Rule of Law/Justice

Corrections

Gender Adviser

Women Protection Adviser

Child Protection

Protection of Civilians

SSR

Civil Affairs

Electoral

DDR

Political Affairs

DSRSG/RC/HC

SRSG's Office

Gender Adviser:

- The Gender unit supports laws, policies, institutions and practices that safeguard equal rights of women and girls with men and boys.
- They work with national partners to implement human rights treaties, fight discrimination and strengthen women's participation in society.

Women Protection Adviser (WPA):

The WPA is the dedicated capacity in missions to address conflict related sexual violence (CRSV). In doing so, WPAs are guided by international human rights standards.

Child Protection Adviser (CPA):

- The CPA identifies protection needs of children. It focuses on human rights violations and abuses of children affected by armed conflict, including sexual abuse, abduction, trafficking and child labour.
- The CPA monitors and reports on the Convention on the Rights of the Child, an international human rights instrument.
- There is partnership, coordination and regular exchange of information with the Human Rights component on human rights violations against children.

Protection of Civilians (POC) Adviser:

- The POC office supports efforts to integrate POC across the work of the mission and national counterparts.
 - The Human Rights component contributes to POC through:
 - ✓ Monitoring and reporting on human rights violations and abuses
 - ✓ Analysis and sharing of relevant information with other components
- This leads to interventions which prevent and respond to such violations and abuses.

Other units that contribute to human rights protection in peacekeeping:

Security Sector Reform (SSR):

- Mission components which support SSR ensure that reforms reflect human rights standards.
- Human rights are to be part of core training for new military forces and police services.
- Human rights are also part of SSR strategies that vet new forces and make security institutions accountable.
- SSR must be conducted in line with the Human Rights Due Diligence Policy on UN
- Support to non-UN Security Forces (2013).

Civil Affairs:

- Civil Affairs officers work with civilian officials and public administrators of the host state.
- All advising and training of civilian officials must cover human rights principles and how these apply to running a state.
- Civil Affairs officers play a useful role in:

- ✓ Gathering human rights-related information
- ✓ Informing civil society actors and the population at large of their rights
- ✓ Referring to the Human Rights component: victims of human rights violations/abuses, and situations requiring intervention

Electoral Assistance:

✓ “The right to vote and to be elected” is one of the basic political rights.

✓ Electoral Assistance units ensure that electoral legislation and processes are fair and participatory. They ensure that people understand the electoral process and can register and vote without interference or discrimination. Special measures may help illiterate people claim electoral rights.

✓ During an electoral period, the Human Rights component intensifies its monitoring, advocacy and reporting work.

Disarmament, Demobilization and Reintegration (DDR):

- The DDR unit is required to provide advice and support to national authorities to ensure that the design and implementation of DDR programmes are based on international human rights law.

- The DDR unit ensures that children and women get special protection during demobilization of military forces and armed groups.

Children and women associated with armed forces and groups, and female excombatants, get specific support in DDR programmes.

Political Affairs:

- Political Affairs officers watch political developments in a country and advise mission leadership.

- Political Affairs officers work with human rights partners to prevent violations, using the information they gather on potential disputes and conflicts.

- Political Affairs officers negotiate peace agreements between parties in conflict.

- In that critical role, they support inclusion of human rights.

- International human rights standards are applied in all interactions with the host government and parties to a conflict. This includes:

- ✓ Representation and participation of minority groups in legislative and executive bodies

- ✓ Non-acceptance of blanket amnesties for human rights violators in peace agreements

The SRSG/HOM:

- The SRSG’s/HOM’s responsibilities include:

- ✓ Upholding human rights in mandate implementation

- ✓ Giving prominence to human rights in discussions and policy

- ✓ Being a role model on human rights

- ✓ Consistently showing the UN’s and the mission’s commitment to human rights

- ✓ Promoting human rights, protecting people from violations/abuses, and ensuring a timely mission response when they occur

The DSRSG/RC/HC:

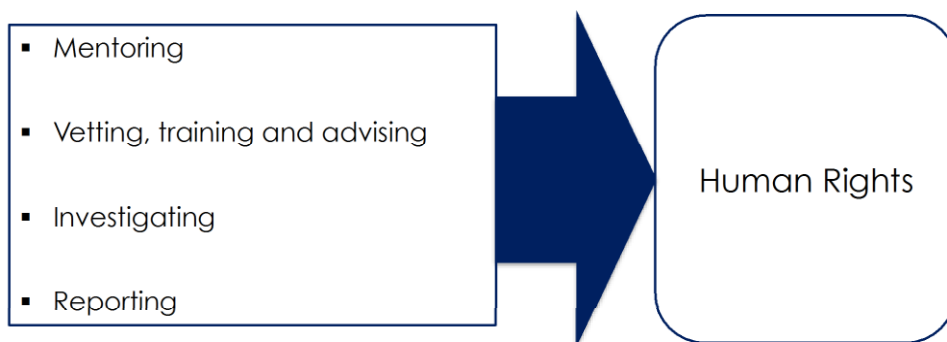
- A DSRSG may be “triple-hatted”. This means that the UN Resident Coordinator (RC) and Humanitarian Coordinator (HC) roles are added to the DSRSG role (DSRSG/RC/HC).

- The HC is responsible for managing UN humanitarian operations in a country.

- Humanitarian work is carried out in coordination with the Human Rights component. Human rights must be integrated into humanitarian activities and programmes. This includes:

- ✓ The development of humanitarian needs assessments
- ✓ Information-gathering processes
- ✓ Existing protection and early recovery strategies

Special Roles of Police



The mandate of UN Police (UNPOL) is different for each mission.

- In some missions, UNPOL mentors the host country police services
- In more complex missions, mandates for UN Police cover training, advising and helping to establish and enhance national police services

- Rarely, UN Police are responsible for law enforcement and policing

Across all areas of work, in all aspects of their work, the police must ensure compliance with international human rights standards:

- **Mentoring:** The Security Council often mandates UNPOL to mentor national police. In their daily contact, UNPOL strengthens capacity to:

- ✓ Arrest and detain: make sure arrests are legal, rights of arrested people are respected and detainees are registered and treated humanely

- ✓ Ensure conditions of detention in police holding cells comply with UN minimum standards

- ✓ Investigate and interrogate following legitimate purposes and respecting standard procedures

- **Vetting, training and advising:** This important role is part of SSR. UNPOL may help with vetting, training and advising a new or restructured local police service.

These are perfect opportunities to make sure core training covers human rights, and all members of a new police force understand and can apply human rights principles. Human Rights officers often work with UNPOL to train local police services on human rights and advise on vetting procedures.

Investigating: The Human Rights component may call on UNPOL expertise when investigating serious human rights violations. In some missions, UNPOL officers have been seconded to staff investigative teams in the Human Rights component. UNPOL officers with specific skills, such as forensic expertise, have been seconded to support human rights investigations.

Reporting: UNPOL usually works beside national police throughout the host country. The UN expects them and military peacekeeping personnel to be the mission's "eyes and ears" on human rights. Peacekeeping personnel need to document all suspected human rights violations. Then they need to report to the Human Rights component and other relevant units (such as Child Protection and Gender units) for analysis and follow-up.

Intervention: When confronted with a violation, UN Police must also be prepared to intervene.

§ 2.4. Women, Peace and Security

Aim: To explain the duties of UN peacekeeping personnel in supporting the Women, Peace and Security (WPS) agenda of the Security Council.

Learning Outcomes

Learners will:

- Explain the different impact that conflict has on women and girls, men and boys
- Explain how women are both victims of conflict and key partners for peace in the activities of UN peacekeeping operations (UNPKOs)
- Explain "gender equality", "gender mainstreaming", and their importance to effective mandate implementation
- List actions to take to protect women and girls, and support gender equality

Definitions

The sex of a person is:	The gender of a person:
▪ Biologically defined ▪ Usually determined by birth ▪ Universal	▪ Is socially constructed ▪ Differs and varies across cultures and time ▪ Results in different roles, responsibilities, opportunities, needs and constraints for women, men, girls and boys

Sex refers to biological differences between women and men. Examples are chromosomes, anatomy and hormones. “Men’s voices break at puberty, women’s do not” is a statement about the sexual differences between women and men.

A person’s sex is:

- Biologically defined
- Usually determined by birth
- Universal

Gender refers to what a society considers proper, or fitting for women and men – behavior, actions, expectations and roles. “In Ancient Egypt, men stayed at home and wove cloth. Women handled family business. Women inherited property and men did not.” These are statements about gender differences.

Gender is:

- Social meaning and value given to being a woman or a man
- Social characteristics – not biological differences – used to define a woman or a man

What gender does is:

- Define boundaries of what society expects women and men to do and be in their culture
- Shape expectations, behaviour and roles for people, including entitlements of women and men
- Set rules, norms, customs and practices through which biological differences may become social differences

Sex describes the biological differences between men and women which are universal.

Societies define and shape gender in different ways so it is:

- **Context specific** to a particular society, culture and point in history
- **Not fixed.** In other words, gender is fluid and changes even over a lifetime in response to wider social changes and challenges by individuals
- **Diverse.** In other words, gender roles and relations vary between and within societies, influenced by a person’s class, race, ethnicity, caste, sexual orientation, age, social group and life experience

Gender equality means that women and men, boys and girls have equal rights, equal responsibilities and equal opportunities. It means no discrimination because of sex or gender. Women and men, boys and girls can equally fulfil their potential in all private and public areas of society – social, economic, political, religious. Equal treatment means the interests, needs and priorities of women and men get the same consideration and weight.

Gender equality is important as:

- A human rights issue
- A precondition for and indicator of sustainable development

Equality does not mean women and men become the same. Women's and men's rights, responsibilities and opportunities do not depend on whether they are born male or female.

Gender equality is not a women's issue. It is a social issue that concerns and engages men as well as women.

Gender perspective:	▪ Looks at the impact of gender on people's opportunities, social roles, interactions
Gender mainstreaming:	▪ Process of assessing implications of planned action for women and men ▪ Ultimate goal is gender equality
Gender balance:	▪ Equal representation of women and men at all levels of employment ▪ Ultimate goal is gender equality
Empowerment of women:	▪ Women gaining power and control in their lives

A **gender perspective** is a way of looking at things. It always considers the impact of gender on people's opportunities, social roles and relationships. A "gender lens" is another name for a gender perspective.

Mainstreaming a gender perspective or **gender mainstreaming** means to consistently consider gender and integrate gender considerations into decisions and actions. It involves assessing the implications of any planned action – legislation, policies, programmes and decisions – for women and men, girls and boys.

Gender mainstreaming leads to:

- A good understanding of the different needs, priorities and potentials of women and men, girls and boys in a country – including an understanding of how conflict has affected the lives of women compared to men, and girls compared to boys
- Better-informed decisions about possible actions (legislation, policies, programmes and decisions) to take.
 - ✓ Actions that do not make matters worse for the local population or reinforce past discrimination.
 - ✓ Actions that redress social inequalities in a host country. Examples are girls' limited access to education and lack of representation of women in decision-making processes.

The goal of mainstreaming a gender perspective is gender equality. “Mainstreaming a gender perspective” integrates concerns and experiences of women and men into all work, so:

- Women and men benefit equally
- Inequality is not perpetuated

Gender mainstreaming is one approach to achieving gender equality.

Gender mainstreaming is the responsibility of both men and women.

Gender balance refers to the equal representation of women and men at all levels of employment. The General Assembly has set the goal of achieving a 50-50 representation of women and men in all professional posts, especially decision-making and senior positions.

Gender balance, having equal numbers of men and women, is another approach to achieving gender equality. To achieve full equality, people must also mainstream a gender perspective through all policies, programmes and activities.

Empowerment of women describes women gaining power and control over their own lives. Some societies raise girls to be confident and aware of their rights. In other societies, empowerment is a life journey. It may involve awareness-raising, building self-confidence, expansion of choices and increased access to and control over resources.

Empowerment of women is not only about individual lives. It needs collective action to transform parts of society that reinforce gender discrimination and maintain inequality.

Only women can empower themselves, but both men and women have to address institutionalized inequality and discrimination. The empowerment of women also supports gender equality.

Women and girls, men and boys experience conflict in the same way and in different ways.

During armed conflict civilians may die, be forcibly displaced, injured by landmines or other weapons and lose their livelihoods. Women and girls, men and boys **share these experiences**.

However, there are **important differences** in experiences of women and girls, men and boys. Women and girls are highly disadvantaged and at heightened risk of violence in times of conflict.

During the Conflict

- Women must work harder to get food, fuel and water; they may be at risk doing these daily tasks

- Men find it harder to support their families
- Men may take up arms
- Women may have more people to take care of, including injured people
- Combatants may abduct and rape women and girls, use them as sexual slaves and bush wives

- Combatants may forcefully conscript boys into combat and use them as sexual slaves

After the Conflict

- Men may be unable to work or provide for others
- Women struggle with breaks in food and water supplies
- Men may become disillusioned, frustrated and resort to violence; women may too
- Family and community may reject abducted women and girls; finding partners may be difficult, especially if children resulted from rape
- Women may resort to prostitution to survive
- Post-conflict programs for re-entry to society may target only male combatants, ignoring women and girls

Young **men and boys** typically have the **role of “protectors”** of their communities. Their high risks are:

- Militia groups and armies recruiting them
- Injury and death through combat

Women and girls typically have the **role of “providers”** of everyday household needs, which can take them to remote locations in search of water and firewood. As a result, the main threat to the security of women and girls in conflict zones may be rape and sexual assault when carrying out household tasks rather than injury and death through combat.

Women and girls may also join armed groups out of poverty, by force or willingly. Usually, they provide support services to combatants such as domestic services, but sometimes combatants use them as sexual slaves.

During conflict, women and girls must typically take on more responsibilities to meet daily household subsistence needs. Necessary resources and social support may not be available. Women and children are more vulnerable economically. This places them at greater risk of exploitation by organized criminal groups active in prostitution rackets or drugs and human trafficking.

The UN has documented use of sexual violence against women and girls as a strategy and tactic of war. Sexual violence is also directed against men and boys.

These violent acts are symbolic as well as real. They have political significance and may be endorsed by militia or army leadership.

Achieving Gender Equality

- Important goal in itself – an issue of human rights and social justice



Gender equality benefits society as a whole.

Peace and security can only be achieved and sustained if all members of a society have equal access to:

- Opportunities
- Protection
- Resources and services
- Decision-making
- All basic rights

Peace and security efforts that neglect women do not achieve goals and can have negative impacts.

Wrongs done to women in conflict often are not considered as serious as violations and abuses against men. Ignoring human rights violations and abuses committed against women may:

- Slow national reconciliation and healing
- Negatively affect a peace process

Both men and women contribute to ending discrimination: challenging attitudes, changing behaviours and transforming social roles.

- UN peacekeeping operations (UNPKOs) also contribute by:
 - Providing women with equal opportunities to express their needs and priorities
- Increasing women's full participation in peace processes and their implementation

UN Partners Leading in WPS

All UN entities are to implement the WPS agenda in their work. The *United Nations Entity for Gender Equality and the Empowerment of Women (UN Women)* leads on gender equality and women's empowerment.

WPS resolutions and mandates have wide scope. Different entities lead on different parts:

- Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict (SRSG-SVC)
- United Nations Development Programme (UNDP)
- United Nations Population Fund (UNFPA)
- Office of the United Nations High Commissioner for Human Rights (OHCHR)

National and external partners also lead in specific areas. The UNPKO and its UN partners advocate for gender equality, women's rights, women's empowerment and the WPS agenda, along with:

- Governments
- National defence and police institutions
- Non-governmental and community based organizations
- Women's groups
- Local communities

- Faith based associations
- Member States

The DPKO and DFS policy states:

- Women and men are equal
- All peacekeeping personnel must promote equality between men and

women

The following principles underlie DPKO-DFS work for gender equality:

- **Inclusiveness:** Peacekeeping personnel are to consult equally with women and men in post-conflict countries on all decisions that affect them. The goal is to consider perspectives of all community members and integrate these into policies.

- **Non-discrimination:** Peacekeeping personnel are to uphold equal rights of women and girls in policies and decisions and protect women from sexual and genderbased violence (SGBV) and harmful traditional practices.

- **Gender balance:** Staffing profiles at Headquarters and in missions are to reflect commitments to equal representation of men and women at all post levels.

- **Efficiency:** To build and sustain peace, efforts have to harness all human resources capacity in post-conflict societies - women, men, boys and girls.

The policy applies to all UN peacekeeping personnel:

- Military, police and civilian
- In the field and at Headquarters
- In official duties and personal life

The policy requires a gender perspective to be mainstreamed in all plans, policies, activities, analyses and reports.

Mainstreaming a gender perspective involves five (5) measures:

1. **Gender analysis.** Gain an understanding of the social position and relationships

between men and women. This includes:

- ✓ Access to resources
- ✓ Activities and work – constraints women and men face in areas of work and fields of expertise

Gender analysis always uses data broken down or “disaggregated” by sex and age. This is important for peacekeeping personnel to make a comparison. All reports need to present this same information.

2. **Programme planning and design.** Ensure consultation with gender experts:

- ✓ Gender unit of the UN peacekeeping mission
- ✓ Specialist UN entities working on gender issues, for example UN Women, UN Children’s Fund (UNICEF), UNFPA
- ✓ National and local women’s organizations

3. **Monitoring.** Regularly review plans and progress on gender mainstreaming, in consultation with gender experts.

4. **Implementation.** Integrate gender considerations into all activities, including in training and reporting.

5. **Coordination and networking.** Coordinate on gender issues with UN entities, external and national partners, including women's organizations.

- ✓ Gender equality in peacekeeping missions means:

- ✓ Getting more women in key mission components to address under-representation and lead by example

- ✓ Addressing policy and practice that may result in or reinforce inequality

- ✓ Advising the SRSG/HOM and component heads on the women-specific impacts and implications of actions by the mission or partners

- ✓ Working with national partners to strengthen capacity to effectively address women's and girls' needs and rights, as well as men's and boys'

- ✓ Working directly with women and girls to ensure their voices are heard and capacities tapped in wider efforts for stabilization, peace and development

What Individual Peacekeeping Personnel Can Do

All UN peacekeeping personnel have a duty to promote, protect and respect human rights. Through their official roles and personal conduct, all peacekeeping personnel contribute to ending discrimination against women and gender inequality.

Every **society creates certain expectations** about what women and men can and should do, say or how they can act. As UN peacekeeping personnel, your job is to uphold what is fair and just, according to UN standards. **As UN personnel, you must promote UN standards of equality between men and women.**

Peacekeeping personnel are ambassadors. They represent the UN and their country. To eliminate discrimination against women and gender inequality, all peacekeeping personnel must take action.

Individual peacekeeping personnel can:

- **Be gender sensitive.** In other words, use a “gender lens” or take on a “gender perspective” which looks at the impact of gender on people's opportunities, social roles and relationships. Make sure you **mainstream a gender perspective** into all plans, policies, activities, analysis and reports.

- **Consult widely:**

- ✓ Consult women and men

- ✓ Consult girls and boys

- ✓ Consult elderly people

- ✓ Gather perspectives on the status of the community, needs, threats, impact of the conflict and highest priorities of each group

- ✓ Ensure no group is left out, especially the marginalized as part of community scans to help understand the area

- **Promote equality.** Make sure that as peacekeeping personnel any help you give, any service you provide, any jobs or contracts you create benefit women and men equally. Support women's empowerment, ensuring their equal representation and full participation in comparison with men.

Observe carefully. On patrol, or during any task, observe different activities of men and women. When and where do they carry them out? Where do women go to get food, fuel and water? Are they safe? Are special measures needed to ensure that women are and feel as safe as men? Consider security issues for children on the way to school and the different risks for boys and girls.

- **Investigate properly.** Talk to women and men for a full picture. Do not assume that men can give you the whole picture, or know what women think. Local women may be more comfortable talking to female peacekeeping personnel or talking in a group. Talk to women and men separately. Have male-female teams interview and be in contact with local women, or where culturally challenging, have female peacekeeping personnel lead to encourage women's participation and trust.

Make sure interpreters and translators understand the importance of accuracy and equal weight to inputs from women and men.

- **Report accurately.** Make sure your reports reflect the realities for both women and men. Use a checklist of issues to cover in reports. Include relevant facts about the situations of women and men. Disaggregate data in reports, giving clear evidence of differences between women's and men's views and inputs.

- **Behave respectfully.** Your behavior can have far reaching impact. Support dignity and equality between women and men. Be aware of the power imbalance between peacekeeping personnel and the host population. You have money, mobility and access to food, water and other goods. The UN does not tolerate exploitation of local people. Women and girls are more vulnerable to sexual exploitation and abuse. The UN has a strict "zero tolerance" policy prohibiting sexual exploitation and abuse.

Questions to check how well you possess the information about UN peacekeeping:

1. What does gender equality mean?
2. What is gender balance?
3. Give examples of important differences in experiences of men and boys, women and girls during and after conflict.
4. What steps can all peacekeepers take to contribute to ending discrimination against women and gender inequality?

§ 2.5. Protection of Civilians

Aim: To explain the duties of UN peacekeeping personnel in the protection of civilians (POC).

Learning Outcomes

- Explain the POC mandate
- List examples of threats civilians face in armed conflict
- Describe the range of protection partners that operate alongside UN peacekeeping operations
- Explain the DPKO-DFS Operational Concept
- List actions to implement the POC mandate

Protection in armed conflict is defined differently by peace and security, humanitarian and human rights partners:

- **Rights-based approach:** Protection “...encompass(es) all activities aimed at obtaining full respect for the rights of the individual, in accordance with international humanitarian, human rights and refugee law” (The Inter-Agency Standing Committee (IASC)). This is a broad interpretation of protection.

- **Stabilization and peacebuilding as durable forms of protection:** The best way to protect civilians is by creating a secure, peaceful environment for civilians to live in. This is a long view of protection.

- **Physical protection from physical violence:** Covers attack and the threat of attack. This visible, immediate physical protection is unique to UN peacekeeping.

POC in UN peacekeeping can be defined as:

“All necessary means, up to and including the use of deadly force, aimed at preventing or responding to threats of physical violence against civilians, within capabilities and areas of operations, and without prejudice to the responsibility of the host government”.

Each phrase in the POC definition has an important meaning.

“Threats of physical violence”: All hostile acts or situations likely to cause death or serious bodily injury, including all sexual violence, regardless of the source (including the host state).

“All necessary means”: Authorizes a mission to use “*all necessary means*”, “necessary action” or “all necessary measures” to protect civilians under threat. Prevention is the most effective form of POC.

“Up to and including the use of deadly force (as a last resort)”: Authorizes a mission to use the minimum force necessary to protect civilians. Missions always have to weigh the use of force carefully. Force can be a deterrent. Under Chapter VII of the UN Charter, the Security Council authorizes use of force.

“Within capabilities”: “Capability” refers to ability, power, or capacity. “Within capabilities” recognizes practical resource constraints and operational challenges.

No UN peacekeeping mission can address all threats to civilians.

“Without prejudice to the responsibility of the host government”: Highlights the primary responsibility of sovereign governments to protect civilians inside their borders. The presence of a UN peacekeeping mission does not replace this responsibility.

Physical protection from harm is mainly a responsibility of military peacekeeping personnel, and includes Formed Police Units (FPUs).

However, effective physical protection involves anticipating and reducing harm where vulnerable people are at risk. This requires effective human rights monitoring and proactive political engagement. This involves military, police and civilian components.

Physical protection strengthens the “rights-based” approach and “end state” protection efforts. It reinforces perceived legitimacy of the mission and strengthens stabilization.

POC is not an end goal for UN peacekeeping missions. It is a means to achieve the objective of helping host governments establish security and political stability.

Civilian

- Any person who is not or is no longer directly participating in hostilities or other acts of violence



A civilian may be in possession of arms, without having the status of “combatant”.

Under International Humanitarian Law (IHL), civilians armed for self-defence or to protect property are entitled to protection if they are not part of hostilities. When civilian status is in doubt, a person is to be considered a civilian.

Missions strive to restore security for all civilians. Peacekeeping personnel pay special attention to protection needs of vulnerable people and groups. Those most likely to be targets of violence may include: **children, women, eth-**

nic or religious minorities, refugees, internally displaced people, people with disabilities, the wounded and the elderly.

Threats

To life	▪ Arbitrary, summary or extrajudicial executions ▪ Murder (from individual killings, to systematic violence and genocide)
To physical integrity	▪ Torture, cruel, inhuman or degrading treatment ▪ Rape and other forms of sexual violence (from opportunistic, to widespread and systematic use) ▪ Abduction ▪ Deliberate deprivation (of food, water, other goods or services necessary for survival)
To freedom	▪ Forced disappearance ▪ Arbitrary/illegal arrest and detention ▪ Restrictions on freedom of movement (including forced displacement) ▪ Forced labour or recruitment
To property	▪ Theft, extortion (e.g. illegal taxation) ▪ Looting

Threats to civilians include:

- Real or potential **violations to the right to life and physical integrity by any party to the conflict**. Examples are attempts to:

- ✓ Kill, torture or maim
- ✓ Forcibly displace
- ✓ Starve or pillage
- ✓ Commit acts of sexual violence
- ✓ Abduct or arbitrarily detain
- ✓ Recruit and use children as soldiers

- Real or potential physical harm to civilians associated with **lawful actions by state or international security forces** as defined in IHL

- Real or potential physical harm to civilians from **mines, unexploded ordnance (UXO) or Improvised Explosive Devices (IED)** Threats can come from state and non-state actors. Perpetrators who pose a threat may include:

- ✓ Members of armed groups, e.g. militia, rebels, extremists
- ✓ Security or defence forces of the host state
- ✓ Security or defence forces of invading states
- ✓ Multinational forces
- ✓ Bandits
- ✓ Terrorists

Motives and intent include:

- ✓ Violence against civilians on the basis of **opportunity**. This is indiscriminate violence as a result of the lack of law and order that exists in conflict and early post conflict situations. Examples:

- ✓ Looting

- ✓ Illegal taxation
- ✓ Sexual violence, including rape
- ✓ Forced recruitment
- ✓ Forced labour

Violence against civilians to further the **strategic** aims of the perpetrators. This is violence targeted at specific individuals or communities. Ethnic, racial, sexual, religious or political groups, specific communities, or people from particular geographic regions may be targeted. The goal is to further political, economic, religious or military ends. Examples:

- ✓ Genocide
- ✓ Forced displacement for the purpose of controlling lands or populations
- ✓ Violence for the purpose of humiliating or de-legitimizing rival political or military authorities
- ✓ Conflict related sexual violence as a tactic of war

Peacekeeping personnel must try to prevent or mitigate any threats of violence to civilians, regardless of the perpetrator and motives.

Vulnerability factors include:

Individual/Community Factors: Age, gender, sex, ethnicity, religion, political affiliation and social status.

Environmental Factors: Geographic location, level of urbanization, proximity and capacity of state authority in the area, level of infrastructure and communication.

Access to Assistance: Ability to access services and interact.

Self-Sufficiency: Existence of self-protection strategies, including early-warning capacities, self-defence capacities or other strategies.

Peacekeeping personnel must adopt a gender perspective, and consider the particular vulnerabilities of women and children.

People who participate in violent conflict increasingly target civilians on purpose. In response, the Security Council mandates most UN peacekeeping operations (UNPKOs) to protect civilians from physical violence.

Women and children suffer disproportionately from violence in conflict and post-conflict settings. They have particular protection needs.

The DPKO-DFS Policy on POC (2015) sets out guiding principles:

1. **Primary responsibility of host governments:** The host state always has primary responsibility to protect civilians inside its borders. This responsibility does not change when a peacekeeping mission deploys with a POC mandate.

2. **Grounded in international law:** POC mandates show the global community's commitment to prevent violations of international law.

3. **Whole of mission approach:** The whole mission is to implement a POC mandate. This "whole of mission" approach needs coordination between military, police and civilians. The UN expects all peacekeeping personnel to protect civilians.

4. **Priority mandate:** A POC mandate means POC is a priority for resources and capacity. Decisions at strategic, operational and tactical levels must constantly assess priority threats and address them.

5. **Cooperation with humanitarian actors:** UN humanitarian agencies and NGOs

support POC in many ways. Close and systematic coordination with these actors and full respect for humanitarian principles are essential for peacekeeping personnel.

6. **Obligation of peacekeeping personnel:** Sometimes states do not fulfil their responsibility to protect. Sometimes government forces are the threat. Peacekeeping personnel are authorized and obligated to act, within their capabilities and area of deployment.

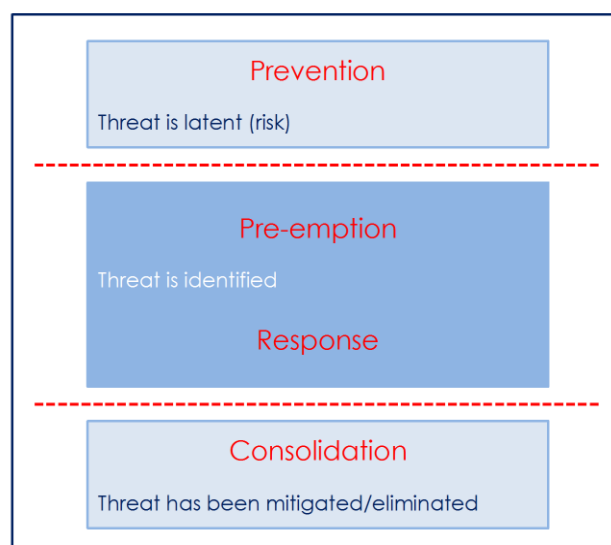
7. **Community-based approach:** A mission should plan to protect civilians in consultation with the local community. With community contact, peacekeeping personnel need to be mindful of risk and avoid community exposure to any risk or harm.

8. **Impartiality:** All mission work is to be impartial. Key measures to take include:

- ✓ Staying in touch with the community
- ✓ Consulting with the community
- ✓ Tracking community views
- ✓ Sensitizing on mandate and activities
- ✓ Managing public information
- ✓ Being steadily unbiased, neutral and fair

9. **Gender perspective and child protection concerns:** A gender perspective means tailoring all actions to specific needs of women and girls, men and boys. It also means addressing the unequal impact of conflict and post-conflict, with girls and women suffering most.

Four Phases of Response



The four phases of response are:

- Prevention
- Pre-emption
- Response
- Consolidation

The phases are not necessarily sequential. A mission may initiate activities associated with different phases at the same time.

Prevention phase: Prevention is the main objective of POC. Prevention phase activities are carried out in areas where no clear threat to civilians has been identified. Tasks are mostly Tier III, building a protective environment. Examples:

- Human rights monitoring
- Conflict mitigation
- Ensuring a visible presence by UN military and police
- Community engagement
- Establishing early warning and alert mechanisms

The mission supports and coordinates with the host state authorities.

Pre-emption phase: To “pre-empt” means acting before something happens, to prevent it. Pre-emption activities are carried out when likely threats are identified and attacks against civilians are anticipated. These activities are proactive measures to reduce risks or eliminate threats before violence occurs. Prevention phase activities continue, especially in areas under threat. Additional pre-emption activities include these examples:

- Public information and advocacy campaigns
- Credible deterrence actions by the military and police

The mission supports and coordinates with the host state authorities.

Response phase: Response activities are carried out when physical violence against civilians is obvious – in other words, POC violation is occurring or has occurred. The aim is to stop aggressors from conducting hostile acts. This involves political, legal and security responses. The mission supports and coordinates with the host state authorities.

Examples:

- Further political engagement with parties to the conflict
- Provision of direct physical protection

Consolidation phase: Consolidation activities are carried out when violence against civilians has occurred and subsided. Consolidation activities are frequently referred to as ‘stabilisation’ or ‘peacebuilding’ activities. The mission supports and coordinates with the host state authorities, UNCT, and other partners. Examples:

- Help implement peace agreements
- Help with reintegration of ex-combatants

Roles and Responsibilities



Senior POC Adviser

- Supports and advises mission leadership on the POC mandate. This role involves advice, coordination, monitoring and reporting
 - Responsible for internal coordination for effective protection response
 - Coordinates POC analysis and response through the POC working group with all relevant units
 - Leads the development and regular review of the POC strategy
 - Ensures all mission units integrate POC into their work
 - Documents POC-related best practices and lessons learned
- In some missions, small **POC teams** support the Senior POC Adviser to:
- Set up POC reporting mechanisms
 - Develop a POC training strategy for all mission personnel
 - Coordinate POC operational planning with all components

Some units **focus on POC**.

Women Protection Adviser (WPA):

- Address conflict related sexual violence (CRSV).

Child Protection Adviser (CPA):

- Help fulfil the child protection mandate.

Human Rights:

- Have a critical role in the implementation of POC mandates. They monitor, advocate and report on human rights and strengthen accountability.

Gender Adviser:

- Play a particular role in strengthening the larger protective environment through the empowerment of women and girls.
- Promote gender-sensitive approaches to mandate implementation.

Other units **contribute to POC.**

Civil Affairs:

- Carry out most grassroots POC work.
- Collect valuable early warning information
- Support local POC capacities
- Address inter-communal violence through local mediation and conflict resolution

• May be assisted by Community Liaison Assistants (CLAs). CLAs speak the local language and communicate the concerns of the local people to the mission.

Political Affairs

- Contribute insights on peace processes and high-level developments that affect security on the ground.



Physical Protection: The military has lead responsibility to provide physical protection. This is Tier II of the POC Operational Concept. Formed Police Units (FPUs) may help.

Pro-active Approach: A pro-active approach to POC is the most effective for police and military. This means actively controlling situations and addressing threats before they become critical, not just reacting. **Military and police can prevent and pre-empt harm to civilians through defensive and stabilizing operations. Examples:**

- **Deterrent positions and cordons**
- **Checkpoints**
- **Patrols**

These build public confidence. A pro-active approach also considers special needs such as those of refugees, IDPs, women, children, the elderly and people with disabilities.

Monitoring and reporting: Military and police monitor and report POC threats and violations. They are a mission's "eyes and ears". Both share information with units that have a protection focus.

- Military peacekeeping personnel have a wide operational presence. They can watch and record actions of armed groups and civilians.

- UN Police usually work alongside national police throughout the host country and are on the ground in communities.

- Both military and police gather information for the JOC and JMAC, which use it for integrated mission reporting, analysis and response. Essential information includes:

- ✓ **Locations of armed forces and groups**
- ✓ **Demographics of armed forces and groups, reported by age and sex**
- ✓ **Weapons stocks of armed forces and groups**
- ✓ **Politics and conflict dynamics at national and local levels**

Providing a secure and stable environment: This supports the work of the mission and its Partners

What Individual Peacekeeping Personnel Can Do

The UN expects all peacekeeping personnel to:

- ✓ Follow UN code of conduct and mission ROE/DUF
- ✓ Engage with local communities, respectfully and sensitively
- ✓ Understand the mission's POC mandate, environment and primary threats to civilians

Interpret the POC mandate pro-actively, try to prevent threats

- ✓ Assess POC threats in one's area of work continuously and be alert to any signs of physical violence against civilians

- ✓ Understand how all work feeds into the mission's broader POC approach

- ✓ Cooperate with all mission components and partners on POC
- ✓ Adopt a gender perspective in your area of work and consider the particular vulnerabilities of women and children

Questions to check how well you possess the information about UN peacekeeping

1. What vulnerable groups may be targets of violence and require special protection measures?

2. What four phases guide POC work? Name and explain, with examples.

3. Name three types of threats to civilians.

4. UN expectations of all peacekeepers on POC. Name them all.

§ 2.6. Conflict Related Sexual Violence

Aim: To explain the duties of UN peacekeeping personnel in effectively addressing conflict related sexual violence (CRSV).

Learning Outcomes

Learners will:

- Explain CRSV
- Identify CRSV as a punishable crime
- List actions to take to address CRSV

- **“Conflict Related Sexual Violence (CRSV)**
refers to incidents or patterns of sexual violence in conflict or post-conflict situations which include: rape, sexual slavery, forced prostitution, forced pregnancy, enforced sterilization or any other form of sexual violence of comparable gravity against women, men, girls or boys”.

CRSV can be directly or indirectly connected to conflict or political strife. It can be used as a “tactic of war. This use:

- Targets civilians deliberately
- Is part of systematic attacks against civilians
- Is part of a military and political strategy

CRSV usually happens during:

- Targeted attacks against community settlements, houses, hamlets, villages and towns
 - Attacks on religious or cultural institutions and monuments, affecting residents and the surrounding population
 - Attacks on IDP or refugee camps or protection sites and safe havens
 - Ambush of women and girls during routine daily tasks, for example farming, going to markets, getting water and firewood
 - House-to-house searches
 - Abduction, kidnapping, hostage taking
 - Predatory attacks, for example after withdrawal, vacation or rotation of troops, and before arrival of the opposing armed group, national security or UN forces

- Times of increased vulnerabilities, for example political strife, and displacements
- Abduction and forced recruitment of boys and girls
- Punitive strikes or retribution against rival communities and groups
- “Scorched Earth Policy”, which is a military strategy to destroy useful buildings and resources before the arrival of the opposing armed group, national security or UN force
- Disarmament, demobilization and reintegration (DDR) processes
- Detention, as torture and intimidation

There are different forms of CRSV. These threats to civilians include:

- Rape
- Torture
- Sexual slavery, in camps and in the bush
- Forced prostitution, forced pregnancy and enforced sterilization
- Other forms of sexual violence, for example sexual mutilation, emasculation and branding, forced marriage, abortion or incest

Threats can come from state and non-state actors. Perpetrators who pose a threat may include:

- State actors, for example civil, military, police, gendarmerie officials
- Non-state actors, for example armed groups (including children associated with armed forces and armed groups), organized criminal networks
- Other civil society actors, for example former combatants (including children associated with armed forces and armed groups), and young men brutalized by conflict

The motives, patterns and use of CRSV are different in each context. The main motive and intent for CRSV is to further the **strategic aims** of the perpetrators. Examples include:

- Control of a population through terrorizing and intimidation
- Control of territory (vital terrain, cities, trade routes), including through forced displacement
- Control of natural resources (for example mining areas)
- Deliberate targeting of ethnic or religious communities as part of political repression, sectarian violence, and ethnic cleansing. Goals are to change the ethnic or religious makeup of a group, prevent further growth, spread HIV, or dehumanization
- Humiliation of men and women through rape and forced incest in the presence of family or community members

Differences with Related Issues

- Gender based violence (GBV)
- Sexual and gender based violence (SGBV)
- Sexual exploitation and abuse (SEA)
- Harmful traditional practices
- “Survival sex”

Gender-based violence (GBV):

The term gender-based violence (GBV) is used to distinguish common violence from violence that is directed against individuals or groups of individuals on the basis of their gender or sex. It includes acts that inflict physical, mental or sexual harm or suffering, threats of such acts, coercion and other deprivations of liberty. While women, men and boys and girls can be victims of gender-based violence, women and girls are the main victims”. (Declaration on the Elimination of Violence against Women, Convention on the Elimination of All Forms of Discrimination Against Women and CEDAW General Recommendation 1979).

GBV includes acts that are not sexual, for example physical assault and denial of economic resources.

Sexual and gender-based violence (SGBV): SGBV also covers violence against people because of their sex. It is the same as GBV, but with emphasis on sexual violence. This is for urgent response to address the criminal nature and disruptive effects of sexual violence.

GBV or SGBV is widespread in conflict and post-conflict environments, but also happens in peaceful environments. **The term CRSV distinguishes sexual violence in conflict or post-conflict settings and as a tactic of war.** The UN requires all peacekeeping personnel to address both SGBV and CRSV.

Sexual exploitation and abuse (SEA): SEA involves physical and psychological force, threats, inducements, deception or extortion for sexual purposes. SEA occurs when people with power misuse it against people with less power or inability to negotiate equally. **For the UN, SEA by peacekeeping personnel** is a failure to protect and help people affected by conflict. It breaks conduct and discipline rules. The UN has a strict “zero tolerance” policy that forbids SEA by peacekeeping personnel.

Harmful traditional practices: The phrase “harmful traditional practices” refers to traditional practices that violate human rights, but have been hap-

pening for such a long time that people may consider them part of the culture. Examples are child marriage and female genital mutilation (also known as female genital cutting or circumcision).

“Survival Sex”: “Survival sex” refers to exchanging sex for resources needed to survive, for example, money, accommodation, drugs or food. The UN does not define *survival sex* as CRSV unless the circumstances are coercive and without consent.

Human rights: The use of CRSV is a serious violation of international law including international human rights law. The state is obligated to:

- Promote the rights of women, girls, men and boys
 - Protect their rights when threatened
 - Ensure justice and reparations for incidents of human rights violations and abuses, including sexual violence
- The UN supports the state on these obligations.

The UN expects all peacekeeping personnel to protect and promote international human rights norms and standards. This includes consistent consideration of CRSV crimes.

Women and girls, and often men and boys, are tortured and sexually abused with impunity. Women and girls face increased risks of physical assaults and vulnerability to sexual and other exploitation.

All forms of violence, including sexual violence, have immediate and long-term effects.

Both types are traumatic. The effects of CRSV on survivors are debilitating, complex and long lasting. **Possible long-term effects of sexual violence include:**

- **Physical and psychological damage** including injuries to reproductive and urinary systems, and post-traumatic stress.

- **Exposure to sexually transmitted diseases** including HIV/AIDS. Sometimes this is deliberate, for example the 1994 genocide in Rwanda.

- **Unwanted pregnancy.** Perpetrators may rape women and girls so they bear children of the enemy, for example the 1990s conflict in the Former Republic of

- Yugoslavia.

- **Community rejection.** Social effects include marginalization, shunning and banishment. Communities are more willing to accept back boys who were combatants than girls, especially those girls returning with children born from rape.

Women and girls raped in war often face rejection by families and communities when conflict ends, and become victimized again. Male victims of sexual violence and rape during conflict are reluctant to talk about the abuse because of shame, so it remains hidden.

Conditions in conflict and post conflict environments can contribute to CRSV:

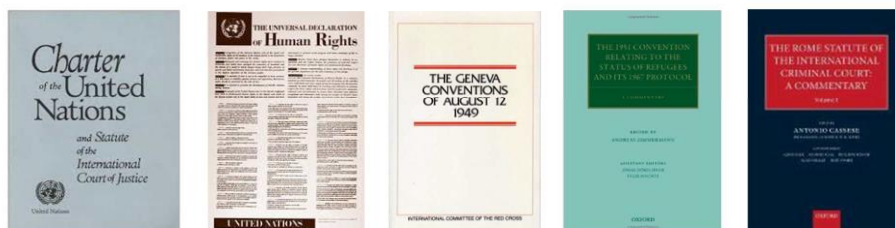
- **Gender inequality and discrimination against women and girls.** CRSV disproportionately affects women and girls. Women and girls are more vulnerable because of social inequalities.

- **State authorities and institutions which do not work.** Social welfare, health, law enforcement, justice and correction systems may be weak or non-existent to address CRSV.

- **A culture of impunity.** Lawlessness, weakened moral standards and inadequate responses contributes to a culture of impunity for CRSV incidents. Lack of consequences for CRSV perpetrators can encourage “sexual predators”. People in authority may be perpetrators, creating obstacles to justice.

- **Unreported and underreported cases.** CRSV may be widespread, but invisible, making prevention challenging. It may be underreported because of poor security, lack of faith in the rule of law and cultural barriers linked to shame, stigma and fear.

- International Law
- National law
- Security Council resolutions



CRSV violates international law. It is a gross violation of International Human Rights Law (IHRL) and a grave breach of International Humanitarian Law (IHL). It also violates International Criminal Law and International Refugee Law.

Depending on circumstances, CRSV may be a war crime, a crime against humanity, a form of torture or an act of genocide under the Rome Statute of the International Criminal Court (ICC).

CRSV is also a crime in most national legal systems.

When sexual violence is part of a threat to international peace and security, it does not remain in the domestic jurisdiction of the state.

CRSV happens in conjunction with other serious crimes. Measures to prevent and respond to CRSV and these crimes should be taken together.

Security Council resolutions recognise that deliberate use of sexual violence as a tactic of war worsens armed conflict and undermines peace and reconciliation.

What Individual Peacekeeping Personnel Can Do

All UN peacekeeping personnel have a duty to act to protect civilians, including from sexual violence. When facing situations of sexual violence, peacekeeping personnel need to act.

- Support and encourage local authorities in addressing and combatting CRSV.

- Consult women and men in security and political assessments of local communities. Each group brings an important perspective to a full picture of:

- ✓ The community's status

- ✓ Needs

- ✓ Threats

- ✓ Impact of conflict

- Talk to women and men separately. Have female peacekeeping personnel interview and meet with local women.

- Proactively prevent CRSV, deter perpetrators and protect civilians, especially women and children.

- Be ready to respond when threats are observed. Be mindful of potential and actual threats.

- Share information with mission leadership and relevant units about where and when sexual violence takes place and alleged perpetrators.

- Find out about the location of local organizations providing medical and psychological help to victims through the UNCT. Be ready to advise victims where they can get help. A coordinated response in support of survivors is important.

Questions to check how well you possess the information about UN peacekeeping

1. Is it true that The UN expects peacekeepers to protect civilians, including from sexual violence in conflict?

2. What Individual Peacekeeping Personnel Can Do?

§ 2.7. Child Protection

Aim: To explain the duties of peacekeeping personnel in child protection.

Learning Outcomes

Learners will:

- Define a “child” according to international law
- Explain why children need special protection, especially during armed conflict
- Describe the duties of peacekeeping personnel to protect children and promote their rights, as reflected in UN policies
- List actions to take to protect children

What is a Child?

In some cultures, children enter adulthood once they marry, become partners or earn their own income. The social role they assume defines maturity, not age.

However, peacekeeping personnel should adhere to the internationally accepted definition.

The UN Convention on the Rights of the Child (CRC) is one of the international treaties that expand and detail specific human rights introduced in the Universal Declaration of Human Rights and key covenants. The CRC states that a child “*means every human being below the age of 18 years, unless, under the law applicable to the child, majority is attained earlier*” (CRC, Art. 1). “Age of majority” is the age that law recognizes a person as an adult.

Common understanding is that a child is every girl or boy under 18 years. This means every child from birth until their 18th birthday. This definition guides actions of all peacekeeping personnel.

What is Child Protection?

The aim of Child Protection is to:

- Protect children from violence, abuse and neglect
- Promote their rights

Protection of child rights includes attention to the right to food, health and education.

Children should have access to basic services such as health, food, sanitation, shelter and clean water.

Importance of Attention to Children and Armed Conflict (CAAC)

When adults go to war, children bear the scars throughout their lives. Armed conflict disproportionately affects children.

Why are children most vulnerable during armed conflict? Why do children need special protection in conflict and post-conflict settings?

There are three reasons:

1. **Children can be more easily influenced and used than adults.** They may not fully understand consequences of actions. For example, an armed force or group may lure them to join with promises of employment or protection.

Children have also innocently acted as 'suicide bombers', carrying explosives hidden in their bags or clothing without knowing it.

2. Children depend on family, community and government structures for protection

and care. Conflict destroys these structures. Displaced and unaccompanied children are at greater risk of exploitation or abuse.

3. Children are still growing up. The violence in armed conflict poses risks to their

healthy development. For example, the denial of access to basic services, - including enough nutrition, has a more serious long-term effect on children than

- on adults. Babies and younger children are especially vulnerable. Similarly,
- traumatic experiences during this time or other negative influences to their
- development, such as indoctrination, carry more consequences for children
- than for adults.

Examples of differences between experiences of girls and boys affected by armed conflict:

While all children face increased risk during armed conflict, the needs of girls and boys may differ based on their gender roles during and after conflict.

Peacekeeping personnel need to consider these differences – especially those involved in planning, operations, protection, and all work with exposure to children.

Example 1: Darfur. In refugee and Internally Displaced Person (IDP) settings throughout the world, women and girls are more vulnerable to sexual violence because of an almost daily need to leave camps in search of firewood for cooking.

For example, in Darfur women and girls often walk several kilometres away from camps to find a few branches to burn. This turns them into prime targets for militia groups, national military or police forces and other men who act in a climate of impunity.

Example 2: Afghanistan. In Afghanistan, most victims of mines and other explosive remnants of war are boys aged 8 to 15. Boys often assume roles in Afghan society that take them outside the house, for example, herding cattle. Boys tend to be targeted for alleged association with armed forces and groups more than girls. This puts boys at greater risk of physical attack, detention and torture.



Six Grave Violations against Children's Rights in Situations of Armed Conflict

1. Killing and maiming
2. Recruitment and use of children
3. Abduction
4. Sexual violence
5. Attacks against schools and hospitals
6. Denial of humanitarian access



“War violates every right to a child”, Graca Machel concluded to the UN Secretary-General, following the 1996 landmark study, “The Impact of Armed Conflict on Children”. Six Grave Violations occur against children in conflict zones:

- 1. Killing and maiming**
- 2. Recruitment and use of children by any armed force or armed group**
- 3. Abduction**
- 4. Sexual violence**
- 5. Attacks against schools and hospitals**
- 6. Denial of humanitarian access**

The UN created the Office of the Special Representative of the Secretary-General on Children and Armed Conflict (OSRSG-CAAC), with a specific mandate to protect children from the impact of armed conflict. The United Nations Children’s Fund (UNICEF) is the leading humanitarian and development agency working globally for the rights of every child.

The United Nations Children’s Fund (UNICEF):

- Works for the rights, survival, development and protection of children. This cuts across the life cycle of a child, from pre-natal to adolescence.
- Activities include safe shelter, nutrition, protection from disaster and conflict, prenatal care for healthy births, clean water and sanitation, healthcare and education.
- Improves lives of children and families through its global presence in different countries.

- Lobbies and partners with leaders, thinkers and policy makers to advance children's access to their rights, especially the most disadvantaged.

Legal Framework

The world community has steadily strengthened the legal framework for protecting children during conflict. Peacekeeping personnel need to be aware of important international treaties.

International Humanitarian Law – Geneva Conventions (1949) and its Additional Protocols (1977):

- Protects children as civilians in international and intra-state armed conflict
- Also entitles children to special protection and care due to their age

UN Convention on the Rights of the Child (CRC, 1989):

- Covers all basic rights of children, including to the right to education, health, survival and participation
- Member States obliged to CRC are to undertake the necessary actions and policies to further children's best interests
- This is the most ratified human rights treaty. At 31 December 2016, only one UN
- Member State has not ratified it – the United States

Optional Protocol to the Convention on the Rights of the Child (2000):

- Its adoption marked a key turning point in addressing the involvement of children in armed conflict
- Strengthens protection of children during armed conflicts
- Focuses on recruitment and use of children in hostilities
- Increases the age limits for direct involvement in hostilities to a minimum of 18 years

International Labour Organization (ILO) Convention 182 (1999):

- Calls for "*immediate and effective measures to secure the prohibition and elimination of the worst forms of child labour as a matter of urgency*"
- Considers forced or compulsory recruitment for use in hostilities as one of the worst forms of child labour

Rome Statute of the International Criminal Court (ICC) (1998):

- Makes recruitment and involvement of children under 15 years in hostilities a war crime

The Mine Ban Treaty (1997) and Convention on Cluster Munitions (2008):

- Ban the use of these weapons
- Have specific provisions to a) teach communities about the risk of mines and b) offer assistance for survivors

Some national laws and traditional customs of host states may not reflect international law. They may even contradict it. For example:

- Female genital mutilation or circumcision (FGM/C): Although illegal under international law, is prevalent in some parts of the world.
- Rape: National laws may not consider rape a crime, particularly rape within marriage.

- Age of marriage: National laws may set the legal age for marriage below international norms.

The **Group of Experts** is the *Security Council Working Group on Children and Armed Conflict*. It was established with the 15 Security Council members in 2005. The Working Group reviews, reports and recommends measures to promote protection of children affected by armed conflicts. The recommendations are made to the Security Council, governments, donors and the UN system. Recommended measures may include appropriate mandates for peacekeeping missions.

Most peacekeeping missions have full-fledged human rights mandates. Together with protection of civilians (POC) mandates, there is detail on special attention to the protection of boys and girls. Similarly, provisions on conflict-related sexual violence (CRSV) give special attention to women and men, girls and boys.

The Security Council has included child protection in mandates of several UN peacekeeping operations.

Peacekeeping personnel have legal and professional duties to protect children and promote their rights.

UN, national and external partners include:

- UNICEF
- Other UN agencies – for example, UN High Commissioner for Refugees (UNHCR), International Labour Organization (ILO), UN Educational, Scientific and Cultural Organization (UNESCO), UN Population Fund (UNFPA)
- Relevant international and national NGOs
- National ministries – for example, social, health, education, youth and interagency groups

Coordination with Child Protection Partners

- UNICEF
- Other UN agencies – UNHCR, ILO, UNESCO, UNFPA
- International and national NGOs
- National ministries – social, health, education, youth and inter-agency groups



Child Protection Advisers (CPAs) are specialist personnel sent to missions to help fulfil child protection mandates. In the absence of a Child Protection unit, the mission may designate the Human Rights component or another mission component as focal point on child protection.

The focus of their work is to:

- Place the concerns of children on the peace and political agenda.
- Ensure child protection becomes an integral part of the mission's engagement, through advising mission leadership on mainstreaming or integrating child protection concerns.
- Coordinate the child protection work of the mission. Child protection is a shared responsibility. Peacekeeping personnel coordinate with the CPA or the Child Protection focal point on child protection and actions relating to children.
- Train newly-deployed peacekeeping personnel on child protection. This adds to child protection training every peacekeeping personnel must receive before deployment. In-mission briefings are also given on the specifics of children affected by armed conflict in the peacekeeping area, and how personnel are to share information.
- Advocate child protection issues with mission leadership and partners.
- Monitor and report on the six grave violations against children.
- Liaise with UNICEF and other child protection partners for follow-up and response to individual cases.
- Help establish dialogue with perpetrators to end the gravest violations against children – including the recruitment and use of children associated with armed forces and armed groups (CAAFAG). This dialogue has led to signing of action plans by military and armed groups and the release of thousands of CAAFAG.

All components in a mission contribute to child protection in their daily tasks.

Some units **work closely** with the Child Protection unit.

Other Units

DDR	Civil Affairs
Human Rights	Rule of Law
Political Affairs	Judicial Affairs
Gender Adviser	Corrections
Women Protection Adviser	SSR
	Electoral
	Mission Support
	SRSG's Office

Some units **work closely** with the Child Protection unit.

Disarmament, Demobilization and Reintegration (DDR):

- Work with CPAs to identify children associated with armed forces and groups.

- Ensure children get special protection during the DDR process.

Human Rights:

- Assist with investigations of human rights violations committed against children in armed conflict.

- Feed into information collection on grave violations.

- Monitor illegal arrest of children.

Political Affairs:

- Ensure child rights and child protection concerns are part of political negotiations.

Gender Adviser and Women Protection Adviser:

- Help identify and address gender-specific protection needs of girls and boys in conflict and post-conflict settings.

Other units **contribute** to child protection.

Civil Affairs:

- Sensitize local community on child protection concerns.

Rule of Law (ROL)/Justice:

- Advise local counterparts on juvenile justice reform.

- Ensure children's rights are secured in national legislation.

Corrections:

- Monitor the presence of children in prisons and refer to CPA.

Security Sector Reform (SSR):

- Help ensure protection of children and young people in weapons collection programmes.

- Follow *International Small Arms Control Standards* (2012), for example:

- ✓ Children and adolescents get priority at weapons collection point

- ✓ A staff member experienced at interacting appropriately with children helps with handover and follow up, as necessary

Electoral Assistance:

- Help avoid exploitation of children for political purposes in election campaigns.

- Ensure safety of pregnant women and young children accompanying adults during voting.

Mission Support:

- Movement Control (MovCon) supports the availability of transport to respond to child protection concerns.

The SRSG/HOM:

- Ensures child protection concerns are a priority in a peace process.

All Mission Personnel:

- Effective child protection depends on commitment of mission staff in all components.
- The UN expects peacekeeping personnel to protect children and promote their rights:
 - ✓ In each specific function
 - ✓ According to mission mandate
 - ✓ Guided by the CPA or Child Protection focal point



Special Roles of Police



The police component can take action in support of child protection.

UN Police:

- ✓ Advise national police force in dealing with children in contact with the law to ensure the rights of children, including victims and witnesses, as well as perpetrators
- ✓ Train members of the new or restructured national police service on human rights, including child protection
- ✓ Report to Child Protection or Human Rights units when children are arrested by national police, so they can follow up

What Individual Peacekeeping Personnel Can Do

All UN peacekeeping personnel have a duty to protect children in their official functions and personal conduct. Peacekeeping personnel must be ready to take action if they see violations against children.

- ✓ **Identify and be alert** to protection threats and violations against children, including the **Six Grave Violations**.
- ✓ **Record essential information** about observed violations or threats: time, location, alleged perpetrator, victim and circumstances.

✓ **Do not interview.** Take note of the age and sex of the child. Gather information on his/her parents or caretakers, including if it concerns an unaccompanied or separated child.

✓ **Report to CPA** or other relevant units (for example, Human Rights, DDR) for verification and follow up, including referral of survivors to services.

Peacekeeping personnel should make the child's safety and well-being the priority. The best interest of the child should guide all contact with them.

While some situations may not appear harmful at first, they may cause harm to children or their families.

Here are some “dos” and “don’ts” to help peacekeeping personnel make the right decisions:

DOs

- Do report suspected misconduct or sexual exploitation and abuse (SEA) by peacekeeping personnel to the Conduct and Discipline unit (CDU).
- Do keep information on child protection confidential, as this information is often sensitive (e.g. names, locations, images).
- Do refer survivors of violence to appropriate services through the CPA.
- Do ask the CPA or CDU for guidance if you are uncertain about how to respond to certain situations.

DON'Ts

- Do not use children for sexual services, labour or any other services.
- Do not interview children. Note down the basic information and share this with units trained to work with children, e.g. Child Protection or Human Rights units.
- Do not take pictures of child victims of human rights violations, or use these pictures in reports. This includes children in custody or children associated with armed forces or armed groups.
- Do not give money, food or other products to children. It may encourage children to beg from other strangers who could harm them.

Questions to check how well you possess the information about UN peacekeeping

1. Give three reasons why children need special protection in conflict and post-conflict.
2. Name four “dos” and four “don’ts” for individual peacekeepers on child protection.
3. Peacekeepers must be alert and ready to take action if they see violations against children. What actions are basic?

CHAPTER 3 INDIVIDUAL PEACEKEEPING PERSONNEL

§ 3.1. UN Core Values and Competencies

Aim: To introduce UN peacekeeping personnel to UN Core Values and Competencies.



Learning Outcomes

Learners will:

- List UN Core Values and Competencies;
- Explain their importance;
- Describe different ways peacekeeping personnel build on UN Core Competencies.

BASIC DEFINITIONS

UN Core Values

Core Values: shared principles and beliefs that underpin work of an organization. They guide actions and behaviours of its personnel.

The three UN Core Values are:

- **Integrity**
- **Professionalism**
- **Respect for diversity**

UN Core Values are in agreement with the UN Charter and with the core values in Article I of Staff Regulations.

UN CORE VALUES – in detail



Integrity

- Demonstrates the values of the United Nations in daily activities and behaviours
- Acts without consideration of personal gain
- Resists undue political pressure in decision-making
- Does not abuse power or authority
- Stands by decisions made in the Organi-

zation's interests, even if unpopular - Takes prompt action in cases of unprofessional or unethical behaviour

Professionalism

- Shows pride in work and achievements

- Demonstrates professional competence and mastery of subject matter

- Is conscientious and efficient in meeting commitments, observing deadlines and achieving results

- Is motivated by professional rather than personal concerns



- Shows persistence when faced with difficult problems or challenges
- Remains calm in stressful situations



Respect for Diversity

- Works effectively with people from all background
- Treats all people with dignity and respect
- Treats men and women equally
- Shows respect for and understanding of diverse points of view and demonstrates this understanding in daily work and decision-making
- Examines own biases and behav-

iours to avoid stereotypical responses

- Does not discriminate against any individual or group

UN Core Competencies

Competency: skills, attributes and behaviours directly related to successful performance on the job.

Core Competencies: skills, attributes and behaviours important for all personnel.

Managerial Competencies: skills, attributes and behaviours essential for personnel with managerial or supervisory responsibilities.

The eight UN Core Competencies are:

- Communication
- Teamwork
- Planning and Organization
- Accountability
- Client Orientation
- Creativity
- Commitment to Continuous Learning
- Technological Awareness

UN CORE COMPETENCIES – in detail

Communication



- Speaks and writes clearly and effectively
- Listens to others, correctly interprets messages from others and responds appropriately
- Asks questions to clarify and exhibits interest in having two-way communication
- Tailors language, tone, style and format to match the audience
- Demonstrates open-

ness in sharing information and keeping people involved



Teamwork

- Works collaboratively with colleagues to achieve organizational goals
- Solicits input by genuinely valuing others' ideas and expertise; is willing to learn from others
- Places team agenda before personal agenda

- Supports final group decisions and acts accordingly, even when they may not entirely reflect own position
 - Shares credit for team accomplishments and accepts joint responsibility for team shortcomings

Planning and Organizing

- Develops clear goals that are consistent with agreed strategies
 - Identifies priority activities and assignments, adjusts priorities as required
 - Allocates appropriate amount of time and resources for completing work
 - Foresees risk and allows for contingencies when planning
 - Monitors and adjusts plans and actions as necessary
 - Uses time efficiently



Accountability

- Takes ownership of all responsibilities and honours commitments
- Delivers outputs for which one has responsibility within prescribed time, cost and quality standards
- Operates in compliance with organizational regulations and rules
- Supports subordinates, provides oversight and takes responsibility for delegates assignments

- Takes personal responsibility for his/her own shortcomings and those of the work unit, where applicable



Client Orientation

- Considers all to whom services are provided to be “clients”, seeks to see things from clients’ point of view
- Establishes and maintains productive partnerships with clients by gaining their trust and respect
- Identifies clients’ needs and matches them to appropriate solutions
- Monitors ongoing developments in and out of clients’ environment to keep informed and anticipate problems
- Keeps clients informed of progress or setbacks in projects
- Meets timeline for delivery of products or services to client

Creativity



- Actively seeks to improve programmes or services
- Offers new and different options to solve problems or to meet clients’ needs
- Promotes and persuades others to consider new ideas
- Takes calculated risks on new and unusual ideas; thinks “outside the box”
- Is not bound by current thinking or traditional approaches

Technological Awareness

- Keeps abreast of available technology
- Understands applicability and limitations of technology to the work of the office



- Actively seeks to apply technology to appropriate tasks
- Shows willingness to learn new technology

Commitment to Continuous Learning

- Keeps abreast of new developments in own occupation/profession
- Actively seeks to develop one-self professionally and personally
- Contributes to the learning of colleagues and subordinates
- Shows willingness to learn from others
- Seeks feedback to learn and improve



The six UN Managerial Competencies are:

- Leadership
- Vision
- Empowering Others
- Building Trust
- Managing Performance
- Judgment/Decision-Making
- Core and Managerial Competencies apply to all occupations.

UN MANAGERIAL COMPETENCIES – in detail

Leadership

- Serves as a role model that other people want to follow
- Empowers others to translate vision into reality
- Is proactive in developing strategies to accomplish objectives
- Establishes and maintains relationships with a broad range of people to understand needs and gain support
- Anticipates and resolves conflicts by pursuing mutually agreeable solutions
- Drives for change and improvement; does not accept the status quo
- Shows the courage to take unpopular stands

Vision

- Identifies strategic issues, opportunities and risks
- Clearly communicates links between the Organization's strategy and the work unit's goals
- Generates and communicates broad and compelling organizational direction, inspiring others to pursue that same direction
- Conveys enthusiasm about future possibilities

Empowering Others

- Delegates responsibility, clarifies expectations, and gives staff autonomy in important areas of their work
- Encourages others to set challenging goals
- Holds others accountable for achieving results related to their area of responsibility
- Genuinely values all staff members' input and expertise
- Shows appreciation and rewards achievement and effort
- Involves others when making decisions that affect them

Managing Performance

- Delegates the appropriate responsibility, accountability and decision-making authority
- Makes clear that roles, responsibilities and reporting lines are clear to each staff member
- Accurately judges the amount of time and resources needed to accomplish a task and matches task to skills
- Monitors progress against milestones and deadlines
- Regularly discusses performance and provides feedback and coaching to staff
- Encourages risk-taking and supports creativity and initiative
- Actively supports the development and career aspirations of staff
- Appraises performance fairly

Building Trust

- Provides an environment in which others can talk and act without fear of repercussion - Manages in a deliberate and predictable way
- Operates with transparency; has no hidden agenda
- Places confidence in colleagues, staff members and colleagues
- Gives proper credit to others
- Follows through on agreed upon actions
- Treats sensitive or confidential information appropriately

Judgement/Decision-making

- Identifies the key issues in a complex situation, and comes to the heart of the problem quickly
- Gathers relevant information before making a decision
- Considers positive and negative impacts of decisions prior to making them
- Takes decisions with an eye to the impact on others and on the Organization
- Proposes a course of action or makes a recommendation based on all available information
- Checks assumptions against facts
- Determines that the actions proposed will satisfy the expressed and underlying needs for the decision
- Makes tough decisions when necessary

IMPORTANCE

The UN's greatest strength is its people. Quality personnel and managers are key to its success.

To be strong, the UN needs to enable all personnel to contribute.

Organizational core values and competencies are **important. They create an organizational culture that enables staff to contribute to their maximum potential.**

They also **build human resources capacity for the future, including for future challenges.**

“...A shared view of the standards we are trying to achieve will assist us in our continuing efforts to prepare the Organization to meet the challenges of the 21st century” (Kofi Annan, Secretary-General 1997-2006).

UN Core Values and Competencies set standards for you and other peacekeeping personnel to:

- Know what is expected of you, and what you can expect of colleagues and managers
- Set goals you want to meet, in your own development and career path
- Be mutually accountable

Questions to check how well you possess the information about UN peacekeeping

1. Explain the difference between “values” and “competencies”.
2. What are the 3 UN Core Values?
3. Name the 8 UN Core Competencies.
4. Why are organizational core values and competencies important to the UN, and to you?
5. Name at least four ways that peacekeeping personnel develop core UN Core Values and Competencies.

§ 3.2. Respect for Diversity

Aim: To show the range of diversity typical of the peacekeeping environment and explain how respect strengthens mutual understanding and positive communication.

Learning Outcomes

Learners will:

- Describe cultural differences and different kinds of diversity typical in a peacekeeping mission and host country
- Explain how the UN Core Value of “respect for diversity” contributes to effective peacekeeping
- Describe strategies to improve communication

Diversity



People are the same and different. Human diversity includes: country of origin, family and ethnic background, race, sex, age, culture, professional background and training, religious or political beliefs and personality.

Look at the graphic. Focus on the centre and move outwards:

Core: The centre shows our core personality. This unique identity distinguishes us from everyone else.

Fixed Attributes: The next ring, darker blue, details things that are “given” or fixed. We cannot change these. For example: sex, age, race and physical ability.

Personal Circumstances and Choices: Sources of diversity in the yellow ring reflect personal circumstances and individual choices. Examples are the status of our

families, education, language, where we live and religion.

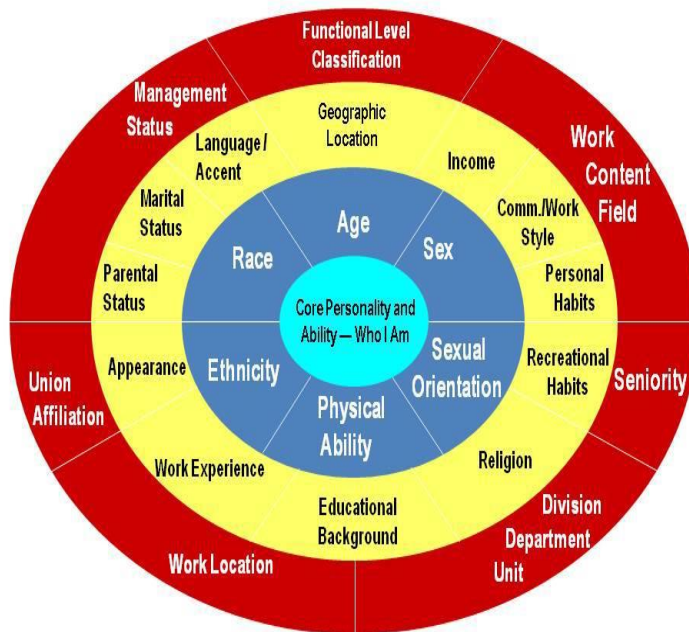
Organizational: The outer ring shows organizational aspects of diversity. These include field of work, time in an organization and status as staff or management.

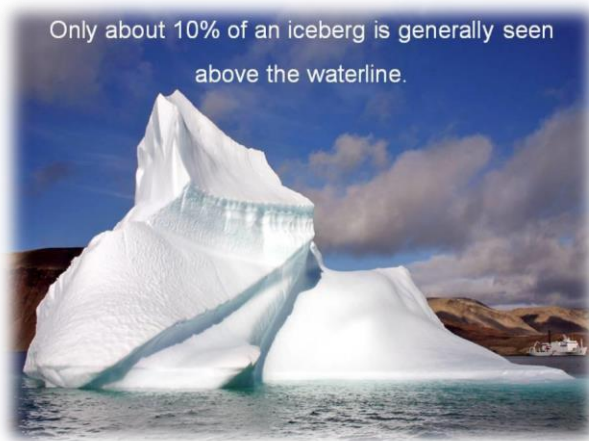
Organizational sources of diversity are not always obvious. They influence how people relate to each other and have special significance in the complex worlds of peacekeeping or special political missions.

Significant differences exist between individuals and components within and outside the mission. Cultivating an awareness of diversity is important for peacekeeping personnel to be able to negotiate and bridge these significant differences and succeed on the job.

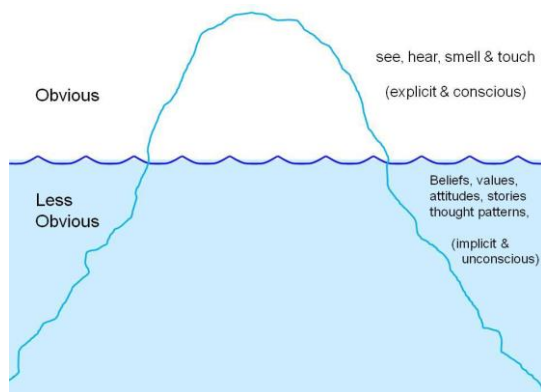
Cultivating an Awareness of Diversity

Icebergs are large pieces of ice that float in oceans. About 10% of an iceberg is visible above the waterline. The 90% not visible can be potentially dangerous to boats, especially for navigators unfamiliar with certain parts of the water.

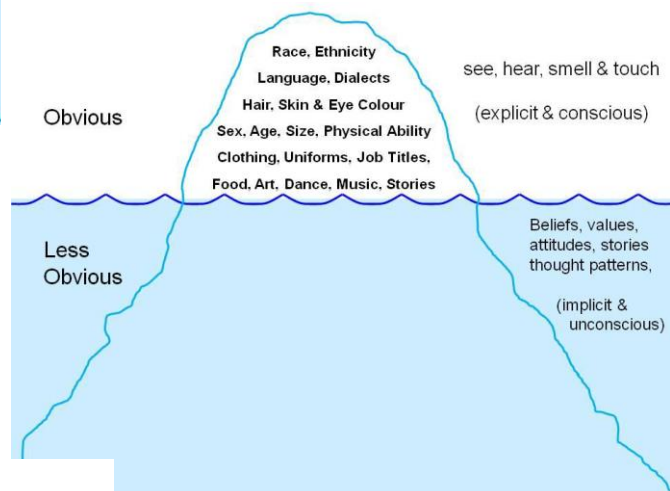




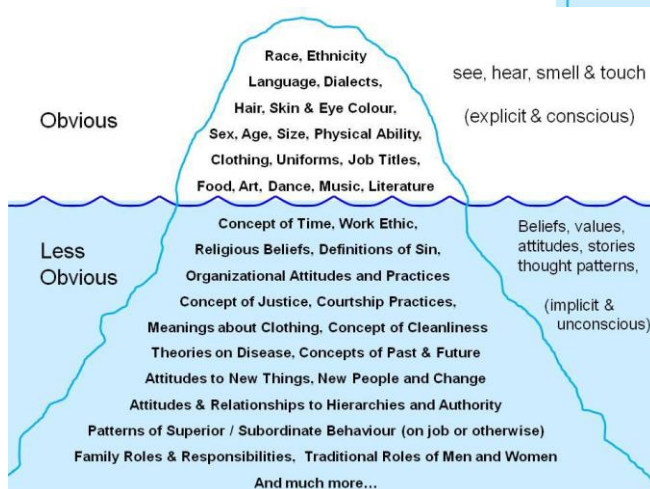
Diversity is like an iceberg. We easily notice some things about people, those things “above the waterline”. Other things are not visible. Much more is below than above the waterline.



Differences are obvious when we can perceive them. Less obvious differences are those we cannot perceive – such as beliefs, values and attitudes. Here are examples of obvious differences between people. They are “above the waterline”.



Here are examples of obvious differences between people. They are “above the waterline”.



Here are examples of less obvious differences between people. They are “below the waterline”.

Assumptions, Prejudices and Stereotypes

Assumptions and generalizations can be risky, especially in a multicultural environment. They can lead to stereotypes, which in turn can lead to prejudices.

As human beings, we assume things about individuals and groups of people. This survival skill is one way we make sense of a complex world. We make assumptions when we do not know much.

Stereotypes are fixed, over-generalized beliefs about a group of people. For example, all tall people are confident and all people with glasses are smart. Stereotypes are not necessarily true. They may be positive or negative. All stereotypes have the potential for negative impacts.

Prejudices are judgments or opinions formed without real knowledge or examination of fact. Prejudices are generally negative. Examples of prejudices in action include hiring practices, which exclude people because of age, race or sex. This practice is based on a prejudice that these attributes mean a person will not do as good a job.

Prejudice starts when we judge others by our own standards. Prejudice is often based on imperfect or inaccurate information. We filter information through our own backgrounds and experiences. Ignorance or unwillingness to learn can result in unintentional conflict or misunderstanding.

Working in a culturally diverse environment is challenging. Peacekeeping is both culturally diverse and complex.

Peacekeeping personnel may make uninformed assumptions about:

- Local people, cultural norms and traditions
- All military, civilians or police being a certain way

However, most stereotypes fall apart when examined. For example, the assumption that all military personnel act a certain way. In fact, professional cultures may vary from country to country. Attitudes to authority may differ in the same profession. A military person in one country may question a superior's decision. In another country, this would be unthinkable. In some cultures, respect for authority and seniority is important. In others, questioning a possibly poor decision by a senior authority may be encouraged, associated with positive independence.

Stereotypes can cause serious misunderstandings and get in the way of a good working environment.

Peacekeeping personnel must be able to question their own beliefs and expectations to avoid a) stereotyping, b) forming prejudices against others and c) acting on stereotypes and prejudices.



UN Core Value of Respect for Diversity

"Respect for diversity" is a UN core value. The UN details ways to practice respect for diversity in a multicultural environment.

Peacekeeping personnel should act in the following ways:

Work effectively with people from all backgrounds

Treat all people with dignity and respect
Treat men and women equally
Show respect for and understanding of diverse points of view in daily work and decision-making

Examine one's own biases and behaviours to avoid stereotypical responses
Do not discriminate

Practicing Respect for Diversity

Peacekeeping personnel must practice respect in key areas of diversity.

Key areas of diversity include:

- Attitudes regarding authority and management
- Body language and gestures
- Religion, spirituality and faith
- Family, clan and tribal connections
- Dress code
- Concepts of time



- Communication

- Learning from others

Peacekeeping personnel must be aware of the differences in attitudes to authority.

People relate to authority and management positions differently.

Some peacekeeping personnel may seem subservient, cowed by senior authority. Others may seem disrespectful or rude. Remember, such differences may be cultural. People need to take time to understand what may be happening. When a person acts contrary to our expectations, they may come from a different national, professional or institutional culture. There are different norms when it comes to:

Disagreeing with a Superior. Examples:

A person should never disagree with a superior. Disagreement with a superior should only be voiced privately. One should always air opinions openly, even direct disagreements with a superior. Colleagues should not share opinions and ideas openly, only when asked.

Making Decisions. Examples:

Decisions are best made in transparent and public ways, for example through open meetings. Before taking a decision, leaders should consult with those affected. Decisions and final deals are only to be made outside of public meetings.

Supervisors and superiors will expect junior people to engage with them in certain ways - expectations shaped by their cultures. Some supervisors expect and want open communication from all staff. Other supervisors and managers expect staff to show full respect for an office or function, and by extension, for the person in that role.

Tips for Peacekeeping Personnel:

Take time to consider the implications of different ways of seeing the world. Try to understand what is motivating people to behave in particular ways. Use briefings as opportunities to find out how things work in a particular context. Ask advice from trusted colleagues on how to approach problems and issues. Refer to and use basic guidance on expected behaviour and practice in the UN. A peacekeeping mission is based on hierarchy. Protocols guide communications and information management. Be clear and respectful in communications and expectations.

Peacekeeping personnel must be aware of the differences in **body language and gestures**.



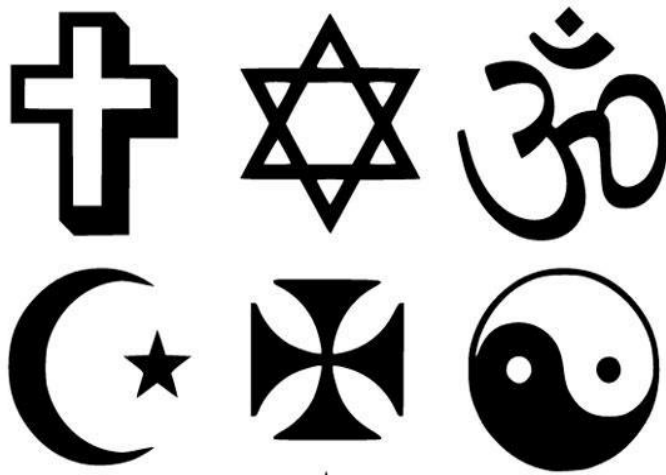
Body language communicates many messages which are not said verbally.

Research has shown that words are a small part of communication, estimated at 7%. Most communication is through tone of voice and body language.

Also, gestures have different meanings in different cultures. For example, a “thumbs up” sign in some countries means things are going well. The gesture is rude in other countries. A polite handshake is accepted in many cultures, but physical contact is not welcome everywhere. In some cultures, men only shake hands with other men, not women. Men commonly walk holding hands in many cultures, as do women, showing they are friends and trust one another. In other contexts, men touch each other in public to show mutual physical attraction.

Tips for Peacekeeping Personnel:

- Learn about what is culturally acceptable as a priority. Involve local people and national colleagues. In-mission briefing will cover this. Keep learning.
- Be mindful of possibilities for misunderstanding. Pay attention to subtle differences and the context. Take care not to draw conclusions based on assumptions, stereotypes or prejudice.
- Practice respect and tolerance – even when it stretches you.
- Ask colleagues for advice on what is culturally appropriate, as needed.



Peacekeeping personnel must be aware of the differences in **religion, spirituality and faith.**

Human beings hold a wide range of beliefs about religion, spirituality and faith.

Religious orientation, beliefs and customs of national and local people are especially important to respect.

Other peacekeeping personnel will also hold different religious and spiritual beliefs and practice their faiths in different ways.

Tips for Peacekeeping Personnel:

- Recognize the deeply personal nature of religious and spiritual beliefs, and respect the right all people have to follow their own path.
- Make sure that briefings and in-mission orientation cover religion and spiritual practices of national and local people, and consistently show respect for these.
- Respect religious artifacts and places of worship – any place with spiritual significance for people.
- Being respectful means not slighting any part of another person's religion. An unaware person could, for example, insult another by using a religious term as a swear word, or publicly sharing images that are distasteful to people of a particular religious faith. Behave cautiously and carefully.



Peacekeeping personnel must be aware of different **family, clan and tribal connections.**

Family ties are a key to a culture. In some cultures, people live in extended families. In other cultures, they live in nuclear families. Ideas about “family” also change, as part of cultural and social norms. For example, possibilities for marriage and divorce are based on cultural and social norms. In modern contexts, “blended” families may bring together children from separate marriages. Young people in some cultures may live together without the formal cultural rit-

ual of marriage. In other cultures, it may be the standard that young women are never alone with young men in social engagements.

Family ties that hold strong in a host country and with local people may be different from those in the lives of individual peacekeeping personnel. Clan and tribal relationships may be most important in a host country. Communication and information may flow easily within one family grouping, but not between families or tribes. Tribal groups may be fundamental to the identity of a host country and may have contributed to violent conflict.

Tips for Peacekeeping Personnel:

- Many societies have great respect for elders. As a rule, respect older people.
- As part of learning about the host country, its culture and people, be sure to learn what social relationships are of primary importance and how these may influence social dynamics, including violent conflict. Keep an understanding of those dynamics in mind when planning and managing activities, for example in programmes or IDP and refugee camps.
- Take time to learn about and understand the local roles and traditions for men and women in the host country. No single norm will apply. Behaviour acceptable in cities may be offensive to people in some rural areas.
- Take time to learn about the position of children in society. At what age are young people expected to take on adult roles? These may differ from UN definition of a child as under the age of 18 years. Social expectations and norms about children and their guardians may influence how openly peacekeeping personnel can consult with young people.
- The Gender Unit can give peacekeeping personnel specific information about family relationships that may affect people's work and provide guidance on norms and standards in the host country.
- Respect local customs and traditions because a lack of respect can affect the success of the peacekeeping operation.



Peacekeeping personnel must be aware of the differences in **dress codes**.

Dress codes vary between cultures. Dress codes are not written codes. They are expectations of how people should dress for different occasions. Prevailing customs, climate and religious traditions influence dress codes.

In some cultures, if a person does not dress formally when they meet with colleagues it shows lack of respect. In other cultures, informal dress shows a person is comfortable.

How we dress is immediately visible. Being sensitive to local clothing norms and ideas of modesty when in public are important ways to show respect. Adapting to those norms will help peacekeeping personnel connect with a host community.



Tips for Peacekeeping Personnel:

- Find out what the mission standards and national norms are for standards of dress. Learn dress codes quickly for inside and outside the mission.
- Make sure you have the right clothing for all work situations. Choose clothing to match norms. Informal outdoor clothing may be the norm for some field work, and uniforms the norm for others.

Peacekeeping personnel must be aware of the differences in the **concept of time**.

Although time may seem like a fixed concept, different cultures have different ideas about time. Cultural norms reflect these ideas.

Certain phrases communicate cultural norms about time. For example, “Time is money” is a phrase typically heard in strong capitalist economies. Being “on the clock” also conveys an expectation about time use. The expectation is that a person at work will not take time to do personal things.

A more social approach to time is typical of other cultures and people. They may consider it rude and boorish to begin talking about work immediately, without taking time for social rituals and exchanges. People who see time as a limited resource may feel that other people take a long time to “get down to business”. They may feel that time spent on social exchanges is a “waste of time”, while colleagues and partners may place a high value on social interaction as part of doing business.

Misunderstandings and hard feelings can occur when either viewpoint is treated or imposed as “correct”.

Building effective work relationships may take adjustments in approaches to time.

Being “on time” also means different things in different contexts. The military understand “on time” as being punctual. Civilians or a local community may apply a different, looser standard. Being late is not straightforward either. Senior people with many tasks may be late to meetings. More junior people have to be on time and wait.

Different attitudes to time do not necessarily show lack of respect or consideration.

Tips for Peacekeeping Personnel:

- Be aware of your own concept of time and how your culture uses and manages time. Be open to the reality of differences in culture. Do not be frustrated when others follow different cultural norms.
- During in-mission briefings, ask for guidance on norms and expectations about time and time management for personnel at all levels.
- Plan your own work to adjust to norms and standards for time use and management in the mission and with national and local people. Do not overbook activities. Be aware that building a relationship takes time.
- Be on time for scheduled meetings and activities - a basic sign of respect. Being aware of different cultural norms is not an excuse for managing one's own time badly and being consistently late.

Peacekeeping personnel must be aware of the differences in **communication**.



“Communication” is a UN Core Competency.

Language and culture have close connections. Culture influences whether and when a person chooses to speak and the words and phrases they use. People from different cultures will use a common language differently, whether English, French, Arabic, Spanish or Russian.

Communication involves both speaking and hearing. When we speak our message, we use the language and idioms of our own culture. Our message is also a product of unique cultural norms and values. The message we intend may not be the one heard. A listener hears our message through his or her own filter of language, use of idioms, norms and values.

Again, body language also communicates messages which are not said verbally.

Communication involves **both speaking and hearing**. Body language also communicates messages which are not said verbally.

Tips for Peacekeeping Personnel:

- Choose words and phrases for clarity. Make all communications as clear as possible.
- Use commonly used words and terms. Check that others understand you. Avoid slang as much as possible. When you have to use technical words and terms, introduce them.
- Practice delivering key messages before you have to do it as part of your work. Most people can always improve their ability to communicate, but it takes concentrated practice. Consider taking communications training.
- To check your understanding of a communication, rephrase what you heard and say it back to the speaker.

- If you do not understand something, ask the person to repeat or rephrase their statement.

- In meetings and exchanges, allow enough time for people to speak. Some people may think about responses and take time to plan them. Do not rush. Give them time, especially when working with interpreters.

- Pay attention to patterns of communication – who speaks and who does not. Create opportunities in meetings and discussions for those who do not volunteer or seldom speak. Invite them to contribute.

- Be patient. Show calm and patience in your voice and body language.

- Use humour with care. Humour is not cross-cultural. What is funny to you may not translate well. Inappropriate humour can cause confusion or offense.

- Again with body language and gestures, pay as much attention as you do to the words you choose and the points you make.

Peacekeeping personnel must respect differences in others and learn from them.

“Commitment to Continuous Learning” is as a UN Core Competency. Openness and willingness to learn from others are part of respecting diversity.

Peacekeeping personnel learn much from national and local people. National colleagues are the greatest cultural resource available to peacekeepers. They will have witnessed and experienced much during violent conflict. Empathy for such experiences is an important part of mutually respectful relationships. So is taking advantage of indigenous knowledge to ask questions and gain more of an insider’s perspective. National colleagues can help peacekeepers accurately interpret what they see and hear as part of situational awareness.

Peacekeeping personnel also learn from international mission colleagues. People are from many different countries. Some will have experience working in other missions and with different cultures. All bring different perspectives and ideas to the work, which are important for creativity. Colleagues are an important source of informal and more formal support, guidance and learning. Peacekeeping is challenging, stressful and a wonderful chance to learn many different ways of being human.

Tips for Peacekeeping Personnel:

National Colleagues:

- Create and support a work atmosphere where national personnel feel respected and comfortable.

- Ask national colleagues questions in continuing efforts to deepen understanding of and respect for cultural and societal norms.

- Be empathetic. National colleagues may not want to talk with you about aspects of the conflict or culture. Respect this.

- Explore with national personnel what mistakes people from other places commonly make. Do not only avoid making them, but help other colleagues in the mission to be more aware of potential pitfalls as well.

- Show respect and understanding of differences that are made visible and explained by national and local people.
- Find out about local gatherings or cultural events you can attend with national colleagues to connect with people and learn more about their hopes and culture.

International Colleagues:

- Take up available opportunities to meet and get to know your international colleagues in a peacekeeping operation.
- Get familiar early with all the different services and support functions available in a particular peacekeeping operation.
- Actively build positive relationships within components and units and across them.
- Identify people with experience who can serve as role models and follow their example on standards of behaviour and norms.
- Ask international colleagues for help if something is unclear or confusing to you. Consider doing this informally as well as through the formal functions available for guidance and support.

Guidance and Knowledge Management:

- Integrate UN guidance and the approach to knowledge management into your own set of competencies as peacekeeping personnel.
- Use the knowledge management cycle - be an active learner and a source of knowledge. Follow suggestions made on guidance and knowledge management. These help you benefit from documented experiences of others and contribute to others' learning.

Questions to check how well you possess the information about UN peacekeeping

1. Describe different kinds of diversity common in a peacekeeping mission and host country.
2. Diversity means _____.
3. The UN stresses good _____ and importance in peacekeeping because it underpins other competencies.
4. Working in a multicultural peacekeeping environment, peacekeeping personnel will encounter differences in relation to:
 - A. Attitudes regarding authority and management
 - B. Body language and gestures
 - C. Religion, spirituality and faith
 - D. Family, clan and tribal connections
 - E. Dress code
 - F. Concepts of time
 - G. Communication
 - H. Learning from others
 - I. All
 - J. None

§ 3.3. Conduct and Discipline

Aim: To explain to UN peacekeeping personnel the standards of conduct the UN requires.

Learning Outcomes

Learners will:

- List the three key principles governing the conduct of UN peacekeeping personnel
- Describe the categories of misconduct
- Explain consequences of misconduct for victims, peacekeeping personnel, and the mission
- List key entities that address conduct and discipline issues



Conduct

Standards of conduct are important. This is because you are an ambassador of the UN. Your conduct should be guided by the UN Core Values: Integrity, Professionalism and Respect for Diversity.

Three principles underpin UN standards of conduct:

1. Highest standards of efficiency, competence and integrity
2. Zero tolerance policy on sexual exploitation and abuse (SEA)
3. Accountability of those in command or authority who fail to enforce standards of conduct

The UN standards of conduct are principles for all peacekeeping personnel.

The source documents for the UN standards of conduct are different for civilians and uniformed personnel.

SEA is serious misconduct in the UN.

There is a Code of Conduct for Peacekeepers.

Main points covered in the Code of Conduct:

- The UN Charter requires that all personnel must maintain the highest standards of integrity and conduct

- All personnel will comply with the Guidelines on International Humanitarian Law for Forces Undertaking UN Peacekeeping Operations and the applicable portions of the Universal Declaration of Human Rights as the fundamental basis of our standards

- All personnel must be prepared to accept special constraints in their public and private lives in order to do the work and to pursue the ideals of the UN.

UN privileges and immunities do not mean peacekeeping personnel can get away with violating standards of conduct.

The UN expects all peacekeeping personnel to maintain the highest UN standards of conduct. No exceptions.

Immunities and privileges exist to enable civilian and police personnel as well as military observers to perform their functions. National contingent personnel have privileges and immunities to enable them to do their work through the Status of Force Agreement (SOFA). The UN holds ALL peacekeeping personnel accountable for the highest standards of conduct.

The Secretary-General has lifted immunities and privileges in interests of the UN. Sometimes immunity can prevent justice. In such cases, the Secretary-General has a duty to waive immunity of any official or expert without prejudice to the interests of the UN. For example, **individuals accused of crimes have been prosecuted under their country's laws.**

Misconduct

The UN defines “misconduct” differently for different categories of peacekeeping personnel.

All build on three principles which underpin the UN standards of conduct:

1. Highest standards of efficiency, competence and integrity 2. Zero tolerance policy on sexual exploitation and abuse 3. Accountability of authorities who fail to enforce standards of conduct

The United Nations Staff Rules Rule 310.1 (ST/SGB/2008/3) define misconduct. The principles apply to all peacekeeping personnel.

Failure by a staff member to:

- *Comply with his/her obligations under UN Charter, Staff Regulations and Rules and relevant Administrative issuances*

- *Observe Standards of Conduct expected of an international civil servant*

Reference: Staff Rule 310.1

Principles are also binding on other civilians in peacekeeping operations

This is the definition of “misconduct” for civilians.

Misconduct means any act or omission that is a violation of UN standards of conduct, mission-specific rules and regulations or the obligations towards national and local laws and regulations in accordance with the status-of-forces agreement where the impact is outside the national contingent.

Serious Misconduct is misconduct, including criminal acts, that results in, or is likely to result in serious loss, damage or injury to an individual or to a mission. Sexual exploitation and abuse constitute serious misconduct.

Reference: We are the UN Peacekeeping Personnel (lists specific instances)

This is the definition of “misconduct” for uniformed personnel – specifically members of national contingents and Military Staff Officers.

Minor Misconduct: any act, omission or negligence that is a violation of mission standard operating procedures (SOPs), directives or any other applicable rules, regulations or administrative instructions, but which does not result in or is not likely to result in major damage or injury to an individual or the mission.

Serious Misconduct: any act, omission or negligence, including criminal acts, that is a violation of mission SOPs, directives or any other applicable rules, regulations or administrative instructions, that results in or is likely to result in serious damage or injury to an individual or to the mission.

Reference: Directives for Disciplinary Matters involving Civilian Police Officers and Military Observers (lists specific instances)

This is the definition of “misconduct” for uniformed personnel – specifically UN Police and Military Observers.

For administration and investigation, there are two main categories of misconduct: Category I (serious misconduct) and Category II (misconduct).

Category I – Serious Misconduct

Category I or serious misconduct offences are high risk, complex matters and serious criminal cases. They include: All SEA (e.g. rape), criminal activity (e.g. offences against the person and offences against property, including fraud)

Independent, professionally trained and experienced investigators best handle inquiries into Category I matters. For military contingents, their national authorities are responsible for handling investigations.

Category I cases include:

- Serious or complex fraud
- SEA
- Other serious criminal act or activity
- Conflict of interest
- Gross mismanagement
- Waste of substantial resources
- All cases involving risk of loss of life to staff or to others, including witnesses
- Substantial violation of UN regulations, rules or administrative issuances

Category II – Misconduct

Category II or misconduct offences are lower risk cases. These include:

- Minor theft and traffic offences (e.g. speeding)
- Sexual and other work related harassment

Discrimination, harassment (including sexual harassment) and abuse of authority are category II misconduct. The classification does not reflect the extreme distress such misconduct causes to victims.

Mission structures usually handle inquiries into Category II matters. Specific guidelines detail how to deal with discrimination, harassment - including sexual harassment - and abuse of authority.

The Office of Internal Oversight Services (OIOS) classifies cases of lower risk as Category II.

Category II cases include:

- Traffic related inquiries
- Simple thefts
- Contract disputes
- Office management disputes
- Basic misuse of equipment or staff
- Basic mismanagement issues
- Infractions of regulations, rules or administrative issuances
- Simple entitlement fraud

Consequences of Misconduct



Misconduct has serious consequences. It violates rights of victims and causes distress.

It may result in other consequences that are equally negative. It can involve:

- Physical injury
- Financial loss
- Property damage or loss
- Psychological and emotional effects

Misconduct does not only affect the victim, but also family

members. Where the victim is a citizen of the host country, local communities are affected also.

Misconduct affects the reputation of the UN and the country contributing peacekeeping personnel. Reputation is affected in the international arena as well as in the host country.

Misconduct is contrary to UN principles and calls into doubt the duty of care of peacekeeping personnel.

Acts of misconduct seriously damage the image and credibility of a mission. They can negatively affect the mission's ability to implement its mandate. SEA and criminal acts are the worst.

Misconduct may also put the security of peacekeeping personnel at risk. SEA, for example, could result in violent retaliation against perpetrators, a contingent or even the mission.

Misconduct results in disciplinary and criminal action against peacekeeping personnel.

Disciplinary action follows when an investigation confirms misconduct. The UN takes this action against civilian staff, for example, summary dismissal. For uniformed personnel, Member States are responsible for taking disciplinary and/or criminal action. The UN can only take limited action against uniformed personnel (e.g. repatriation and barring from future service).

Consequences are also determined by the privileges and immunities peacekeeping personnel enjoy. Uniformed personnel remain liable to disciplinary action and even **criminal proceedings** for violations of their national code of conduct, which amounts to criminal acts.

When peacekeeping personnel are alleged to have committed a crime, such as rape, the UN will do a preliminary assessment before referring the matter to the appropriate Member State for criminal investigation. This is because UN investigations are administrative in nature.

Examples of disciplinary action include written censure, demotion or a fine. Peacekeeping personnel may face financial liability in cases of theft or misappropriation.

Information on consequences of misconduct are in the:

- Revised draft model Memorandum of Understanding between the UN and Troop Contributing Countries
- General Assembly Resolution on Criminal accountability of United Nations officials and experts on mission (A/RES/62/63)

Reporting Misconduct

Key entities to address conduct and discipline issues include the:

- Conduct and Discipline Unit
- OIOS
- Ethics Office
- UN Ombudsman

When allegations of misconduct are made they should either be brought to the attention of the:

- Conduct and Discipline Teams (CDTs) in mission, or
- Directly to OIOS

The mission's CDT is the primary body which receives reports of alleged misconduct. The CDT also supports mechanisms for dealing with misconduct.

Others who receive reports of alleged misconduct are:

- Head of Mission (HoM)
- Head of the Military Component (HoMC) or Head of Police Component (HoPC)

- OIOS
- Ethics Office
- UN Ombudsman

Uniformed personnel report misconduct through their chain of command, whereas civilian staff members can report directly to the CDT and other reporting bodies.

Investigation is carried out by:

- OIOS for Category I serious misconduct
- A responsible and designated official for Category II misconduct

All UN personnel have a duty to report misconduct, cooperate in investigations and provide information in good faith.

This duty includes:

- Reporting any breach of UN rules and regulations
- Cooperating with authorized audits and investigations

Staff members who report alleged misconduct in good faith have the right to protection from retaliation.

The UN treats allegations made by staff members in bad faith and spreading unsubstantiated rumours as acts of misconduct.

In-mission and induction briefings will cover mission-specific misconduct reporting mechanisms.

Retaliation is direct or indirect detrimental action – recommended, threatened or taken – against a person who reports misconduct.

Retaliation for reporting misconduct or cooperating with an investigation is prohibited.

As per OIOS mandate (ST/SGB/273, para 18 (f)), no action may be taken against staff who make reports or cooperate with OIOS. Disciplinary action shall be initiated if retaliatory action is taken or as a reprisal.

Retaliation can be reported.

What Individual Peacekeeping Personnel Can Do

It is an individual responsibility to be fully familiar with the specific rules, regulations and guidance provided by the UN to guide conduct. All UN personnel also have a duty to report misconduct, cooperate in investigations and provide information in good faith.

The UN expects all peacekeeping personnel to maintain the highest UN standards of conduct, regardless of level. This means supporting the leadership by always showing commitment for the UN's unique values and standards.

Misconduct by one peacekeeping personnel, or in one mission, has wide impact. It tarnishes all peacekeeping personnel and missions. It undermines UN credibility and legitimacy and the UN's image among local, national and international partners.

The UN expects those in command to a) maintain standards of conduct and b) prevent, monitor and respond to misconduct.

Normally when misconduct takes place it raises issues of poor leadership and command and control.

Accountability and overall responsibilities on addressing misconduct direct leadership to:

Set and implement prevention, enforcement and remedial policies
Ensure training in misconduct prevention
Conduct periodic misconduct risk assessments
Address potential and actual violence
Report all misconduct to the CDT or OIOS

Managers and commanders can do much to show real leadership on preventing and responding to misconduct.

Questions to check how well you possess the information about UN peacekeeping

1. What three principles underpin UN standards of conduct?
2. Define and give examples of minor and serious misconduct for UN police and military observers.
3. Detail the consequences of misconduct when proven. Include for victims, the community, mission, peacekeeping personnel, and national colleagues.
4. Name the four key entities in the UN that address conduct and discipline issues.

§ 3.4. Environment and Natural Resources

Aim: To show the connection between the environment and peacekeeping, and explain the duties of UN peacekeeping personnel to reduce the mission's harmful environmental impacts.

Learning Outcomes

Learners will:

- Define “environment” and the “do no harm” principle
- Explain why it is important to consider, manage and protect the environment and natural resources in peacekeeping operations
- List the 4Rs as actions to protect the environment

Definitions

Environment covers climate, geography, geology, natural resources, wildlife, humans and relationships among all these. Some people use the word “environment” to mean “situation” or “context”, for example political environment, security environment.

Natural resources are sources of basic life, wealth and well-being. They include water, air, soil, land, trees and minerals. Natural resources may be renewable or nonrenewable, depending on the time for regeneration.

Cultural resources are cultural heritage.

Intangible cultural resources include oral traditions, performing arts and rituals.

Tangible cultural resources include those which are:

Moveable: paintings, sculptures, coins, manuscripts

Not moveable: monuments, archaeological sites

Underwater: shipwrecks, underwater reefs, ships, cities

“Do No Harm” Principle

Caring for the environment and natural resources is important. The environment affects all humans. In turn, we affect the environment.

A peacekeeping operation can affect a local environment more than local people:

- Numbers of people, concentrated in one place
- Amount of water needed and waste
- Quantity of buildings and vehicles

The diagram shows how UN peacekeeping operations can impact the local environment and the health and safety of local populations:

- Soil pollution from UN vehicles - diesel or lubricants - can seep into the ground and reach the water table
- Local people may draw water from a well in the same water table contaminated by a mission’s hazardous waste

A fence aboveground does nothing. Common natural resources like land and water do not follow fences or other human-made demarcations.

The “Do No Harm” principle means showing respect for the natural environment. Peacekeeping personnel should not:

- Harm animals or plants
- Overuse, misuse or pollute the environment or natural resources
- Harm cultural, historical, religious or architectural sites
- Litter

Importance of Protecting the Environment and Natural Resources

It is important to consider, manage and protect the environment and natural resources in peacekeeping operations.

This is because:

• Peacekeeping personnel deploy to places with **fragile environments and scarce natural resources**. A host country and local communities have reduced capacity to take care of the environment.

• **Protecting the environment will help keep the peace.** It is part of direct and indirect mandates and helps protect the health and safety of personnel and local people.

• **It upholds the UN’s reputation.** It is important for UN credibility to **walk the talk** on sustainability and addressing climate change. Maintaining this reputation helps the mission’s relationships with local people and communities.

• **It helps mission effectiveness.** Results include a) greater efficiency and cost savings and b) improved safety, health and well-being of mission personnel.

- **It's part of the job.** The UN expects all personnel to act responsibly towards the environment as part of the job. Due to its scale and size, the environmental impacts of UN peacekeeping operations are great. Everyone has responsibilities and contributions to make to reduce harmful impacts of mission activities and improve working and life spaces. These responsibilities are both common sense, like what we do at home, and required by UN policies and directives.

Post-conflict situations where missions deploy have fragile environments and scarce natural resources. Water and land use may be contested.

Most missions are in Africa and the Middle East, where **little water is available for each person.** The picture is taken in Darfur.

Deforestation, competition for fertile land and poor access to clean water are common problems in conflict and post-conflict settings.

Effects of Armed Conflict: Sometimes, serious environmental and cultural impacts occur directly from armed conflict:

- Fumes from burning oil
- Bombed land
- Waste from weapons
- Destroyed buildings
- Contaminated water
- Damaged cultural heritage

Reduced Local Capacity: In post-conflict settings, national and local capacities for environmental management are often weak. Examples are: collection of waste, recycling, disposal in landfills, wastewater treatment plants.

Peacekeeping missions affect the environment. Missions can be the largest users of natural resources like water, land and energy in a given location because of size. The “Do no harm” principle requires peacekeeping personnel to not over consume, misuse or pollute natural and cultural resources.

The impact of UN peacekeeping operations on the environment is extensive. A peacekeeping operation affects:

Water: Water is for personal consumption and site-specific communal activities. For example, kitchens, toilets, laundries, washing equipment and sometimes air conditioning.

Energy: Fuel is a big cost for UN peacekeeping operations. Missions rely almost only on petrol and diesel fuel for generators and the 17,000-vehicle fleet, as well as jet A1 fuel for the 257 UN aircraft.

Solid and hazardous waste: A peacekeeping mission creates significant amounts of solid and hazardous waste. Solid waste can include office refuse, construction debris, scrap metal and food refuse. Hazardous waste encompasses medical products, used oil, tires, batteries, electronic waste, stocks of chemicals, explosives and ammunition.

Wastewater: Liquid waste or wastewater include “black water”, sewage from toilets and “grey water”, wastewater from showers, sinks and laundry. Im-

proper treatment and disposal of wastewater may cause environmental and health problems for UN staff and local communities.

Wildlife: UN missions can threaten local ecosystems, including plant and animal species, in various ways that further harm livelihoods of nearby communities. Examples include:

- Unregulated hunting or fishing
- Purchase and possession of dead or live animals and plants
- Construction of structures that block wildlife corridors
- **Clearing natural habitats**

Coastal and island resources: Coral reefs need to be protected, not broken and taken

Historical and cultural resources: Setting up a UN peacekeeping base camp can uncover historic structures, areas of cultural importance and archaeological sites. Actions of peacekeeping personnel can also accidentally damage or destroy historical or cultural resources.

Cultural and historical resources may not seem a priority, but they are. Examples are: places of worship, ancient settlements, cemeteries and intangible heritage like artifacts.

Cemeteries have important meaning to people from almost all cultures. UN personnel must not trespass or damage them, even by accident.

Example of a case to avoid: Vandalism of ancient cave paintings – MINURSO, Western Sahara

In 2007, MINURSO military observers vandalized several prehistoric archaeological sites in the Western Sahara. Disciplinary action was taken against two MINURSO personnel. The mission had to pay remediation costs. To avoid similar action, the mission has briefed all incoming staff on cultural heritage.

Example of a case to promote: Rehabilitation of Timbuktu Library – MINUSMA, Mali

In 2015, MINUSMA undertook a Quick Impact Project (QIP), with the United Nations Educational, Scientific and Cultural Organization (UNESCO). This involved the rehabilitation of Imam Essayouti Manuscripts Library in Timbuktu. A suicide bomb attack in the neighbourhood in September 2013 had damaged the library.

The pictures relate to these examples.

Natural resources contribute to violent conflicts.

They contribute in three main ways:

1. **Revenues from natural resources can fund conflicts.** Primary commodities are oil, diamonds, minerals and timber. Civil wars fueled by high-value, extractable “conflict resources” include: Cambodia, the Democratic Republic of the Congo (DRC), Côte d’Ivoire, Liberia and Sierra Leone.

2. **Tensions over the control of scarce resources fuel violent conflicts.** Fertile land and water are conflict drivers in Darfur, Afghanistan and the Middle East.

3. Marginalization and environmental damage motivate violent conflict. Local people do not see the economic benefits from natural resource extraction. Examples: copper mining in Bougainville (Papua New Guinea) and oil extraction in the Niger Delta (Nigeria).

The picture shows artisanal diamond mining in the forests on the outskirts of Freetown, Sierra Leone.

Climate change – a threat to peace and security

Climate change is the warming of the Earth by burning fossil fuels, which releases greenhouse gases such as **carbon dioxide** (CO₂) into the atmosphere. The effect is a change to the global climate. An international climate change conference in Paris in 2015 set a global goal of limiting temperature rise to 1.5 degrees.

Potential consequences of climate change are momentous for wildlife, fish, birds and people. Increasingly, the effects of climate change threaten international peace and security. Water availability, food security, disease, coastal boundaries and population movements aggravate existing tensions and create new conflicts.

Climate change is a “threat multiplier which exacerbates existing trends, tensions and instability” posing both political and security risks.

Direct and indirect mandates

Peacekeeping mandates link to natural resources.

From 1948 to 2016, the UN has deployed nineteen (19) **peacekeeping operations to address conflict with clear links to natural resources**. These include: UNMIL, UNOCI, UNAMID, MONUSCO, UNISFA, UNMISS, MINUSMA and MINUSCA

Countries are mostly in Africa, Asia and the Middle East. Resources include diamonds, timber, minerals, land, water and oil.

Patrols and Expert Panels:

- Peacekeeping patrols have combated wildlife crime and illicit trade and provided security in areas with contested natural resources
- Sometimes, missions support an Expert Panel to advise, monitor and report to the Security Council on commodity sanctions

Peacebuilding:

Environmental cooperation can be effective for peacebuilding

Peacekeeping operations can capitalize on natural resources to contribute to stability and early peacebuilding. Examples are through employment, livelihoods, economic recovery and reconciliation. See examples of Civil Affairs and DDR programmes.

Example - MINUSMA: Mali

MINUSMA is a first in two ways, it:

- Has a mandate for cultural preservation
- Is the first mission mandated to: a) manage the environmental impacts of its operations and b) operate mindfully near cultural and historical sites

Example – UNAMA: Afghanistan

- Pistachio reforestation gave livelihoods to ex-combatants
- Ex-combatants and people in vulnerable groups were hired to reforest pistachio woodlands and conifer forests
- Partners established the Afghan Conservation Corps (ACC). Partners included: the Government of Afghanistan, UNAMA, USAID, UNOPS

Since 2003, ACC has

- Planted hundreds of thousands of seeds and trees
- Rehabilitated irrigation canals and retaining walls
- Improved community capacity for resource management
- In 2006, the biggest pistachio woodland site estimated that revenues from their harvest went up by 65%

Example - UNIFIL: Lebanon

The UNIFIL Civil Affairs unit supported a QIP on reforestation of over 10,000 trees such as walnut, olive, carob, berry, laurel, pine and acacia.

Reforestation helped:

- Fruit production
- A boost to the bee-keeping industry
- Shared green space for the community
- Confidence-building

The UN has a good reputation as a partner for peace. Upholding a good reputation means better partnerships with local people and communities through trust and acceptance.

Individual and mission activities affect public perception and acceptance. This is especially the case when peacekeeping operations take place in areas where natural resources are already under stress. Additional stress to the local environment and people works against mission mandate. Also, credibility depends on the measure of respect shown for local settings and local people.

Examples – UNAMID and UNMISS

- In Darfur, brick production increased dramatically for construction of UNAMID (2004-2008). A UNEP study found that wood consumption to meet demands for peacekeeping and relief agencies was about 52,000 trees lost per year!

- To stop deforestation and pressure on scarce natural resources of wood and water in Darfur, soil blocks are an alternative building material. They do not need kiln firing, reducing fuelwood use, and requiring 30% less water than traditional bricks.

- Following UNAMID, UNMISS has also used soil blocks.

Every action and inaction matters. Large actions and inactions stand out. However, even small actions by individual peacekeeping personnel are noticed and judged, for example, littering and idling a vehicle engine.

Improper handling of waste (including wastewater) can pose health and environmental hazards for UN personnel as well as the surrounding local community. Wastewater discharged into water bodies pollutes. This:

- Causes serious health problems
- Affects economic assets – fishing, agriculture

If there is a major incident (e.g. fuel spill or disease outbreak), **the public will see the UN as the main culprit, damaging** UN reputation as a partner for peace.

Example- MINUSTAH, Haiti

In 2010, cholera broke out in Haiti. People identified the UN as the source. The outbreak still affects people in the country and the UN.

The lethal disease killed nearly 9,000 people by March 2015. More than 736,000 cases were suspected in a population of 10 million. Whether or not the UN was legally responsible, Haitians saw the presence of peacekeeping personnel as the cause.

Haiti remains the country with the highest number of deaths from cholera. The UN Country Team, MINUSTAH, and other international organizations continue to support prevention, treatment and recovery efforts.

The lasting lesson is that UN peacekeeping must be environmentally responsible.

The benefits of reducing peacekeeping's environmental impact are:

- Increased financial savings for missions
- Improved health, safety and security for local communities
- Improved health, safety and security for UN peacekeeping personnel

“Greening the Blue” is the UN system-wide campaign to move towards climate neutrality. **The UN commits to:**

- Reducing greenhouse gas emissions of its activities
- Managing its environmental footprint, e.g. water and wastewater

Peacekeeping missions have an environmental impact. Missions currently led by DPKO and supported by DFS have **the largest environmental footprint** in the UN system.

"Greening the Blue Helmets" is a motto, which reflects the UN's commitment to ensure peacekeeping personnel have a lasting positive impact on the environment – not a negative one.

The picture on the left shows soil samples for an Environmental Baseline Study in Mombasa. The picture on the right shows solar water heaters on top of ablution units in Kinshasa.

Reducing the environmental impact of peacekeeping is important in its own right. Economic, social and environmental benefits come from a) managing water and waste and b) using resource-efficient technologies.

Environmental and waste management directly affect health and safety of UN personnel and local people. Without sound environmental management, especially of waste, peacekeeping operations risk a public health epidemic.

As an organization, **the UN needs to improve its practices. All areas can improve throughout the mission's life cycle:** start-up, operations and closing.

Water, Waste, Energy:

- Careful site selection and building orientation in camp design can lead to energy savings and efficiency.
- About 400 Waste Water Treatment Plants (WWTPs) have been installed globally, treating wastewater on-site and recycling water for reuse.
- Synchronized, hybrid diesel-PV generators reduce consumption, emissions and waste.
- A peacekeeping mission can hand over low-impact equipment and facilities to a host country when it closes.

Wildlife – Flora and Fauna:

- Flora are flowers and plants; fauna are wildlife.
- Preserving local flora and fauna benefits **human well-being**.
- Diverse ecosystems are the healthiest and most able to recover after a disaster. Protect indigenous diversity.
- Stray dogs should be vaccinated against rabies and neutered to control population growth. Do not poison or otherwise harm.
- Poachers target peacekeeping personnel and others for their buying power. Avoid wildlife crime, which is illicit trade of endangered species.

Waste Management:

1. Proper storage of hazardous materials involves:
 - A. Area marked as hazardous and flammable
 - B. Closed drum containers with contents marked
 - C. Drums placed under roof and on top of concrete flooring as protection against soil contamination
2. Missions need to manage waste disposal sites well. A secure area deters food scavengers (dogs, cats, cockroaches). Sites near airports and landing strips can attract birds that disrupt aviation.
3. **Proper management of waste is essential for health and safety**
4. **Source reduction is key.** Even non-hazardous solid waste is difficult to handle in large volumes, especially when there are no recycling facilities in the host country.
5. **Hazardous waste requires extra care:** wastewater, medical waste, ammunition, oils and lubricants, electronic waste.

Fuel Efficiency and Renewables:

- The daily cost of fuel for DPKO-DFS supported operations was US \$1.27 million in 2014-2015
- Peacekeeping depends on fossil fuels for vehicles, aircraft and most power generation
- Combatants may target fuel deliveries, leading to loss of life
- Energy efficiency and use of renewable energy results in cost savings, cleaner air and reduced greenhouse gas emissions (GHG)

Carbon Footprint:

A carbon footprint is the total amount of greenhouse gases produced, usually expressed as carbon dioxide (CO₂). Greenhouse gases contribute to global warming, i.e. climate change.

The UN must reduce greenhouse gas emissions through efficiency and renewable energy.

Peacekeeping accounted for 56% of the total UN carbon dioxide emissions in 2008.

Peacekeeping will continue to produce the most greenhouse gas emissions in the UN. Reasons are:

A. Its size – it has the largest budget, the most personnel

B. The location of work – it is often spread over harsh, remote locations

It is part of your job to act with responsibility toward the environment.

In sustainable development and addressing climate change, it is important for the UN **to walk the talk** and **lead by example**. Peacekeeping – especially given its size and scale – needs to join in “greening the blue”.

This was most recently highlighted in the HIPPO Report. HIPPO stands for the High-Level Independent Panel on Peace Operations.

Each individual peacekeeping personnel contribute to a lighter carbon footprint.

All peacekeeping personnel should incorporate environmental and natural resources management in their work.

Directives and Policies

Numerous directives link UN peacekeeping operations to environment and natural resources management.

These include:

- Security Council resolution 1625 (2005)
- Security Council Presidential Statement 2007: On the maintenance of international peace and security, with reference to natural resources and conflict
- Security Council Presidential Statement 2011: On the maintenance of international peace and security, with reference to climate change and security

The 2007 Security Council Presidential Statement stated:

“...UN missions and peacekeeping operations deployed in resource-endowed countries experiencing armed conflict could play a role in helping the governments concerned, with full respect of their sovereignty over their natural resources, to prevent the illegal exploitation of those resources from further fuelling the conflict”.

In addition:

- **Chief Executives Board decision in 2007:** established the Environmental Management Systems (EMS)

- **Global Field Support Strategy launched in 2010:** states “reduce the in-country environmental impact of peacekeeping and field-based special political missions”

- **Secretary-General’s call for UN Climate Neutrality by 2020:** advocates “net zero carbon footprint”

- **Sustainable Development Goals:** the Post-2015 Development Agenda that follows the Millennium Development Goals (MDGs), 2000-2015

Policies guide UN peacekeeping personnel on the environment and natural resources management. All mission personnel need to be familiar with these policies. They include:

DPKO-DFS Environmental Policy for UN Field Missions (2009)

- Signed by DPKO Under-Secretary-General in 2009.
- “**ALL personnel** shall conduct themselves in accordance with the Policy”.
- “**Each field mission**” is to “**establish its environmental policy and objectives and control measures**”. These include mission-level policies, directives, SOPs, Action Plans and Committees. This is for ALL phases of operations.

DPKO-DFS Waste Management Policy for UN Field Missions (2015)

1. “Proper waste management **throughout a mission’s life cycle** [...] is an important part of a sustainable field mission”.

2. Key actions:

A. Reduce quantity of goods and material brought into the mission likely become waste

B. Properly manage goods and material already in the mission to prevent them becoming waste

C. Reuse, recycle or repurpose all possible waste

D. Properly dispose of any remaining waste

3. The mission remains ultimately and fully responsible for its own waste

The Code of Personal Conduct for Blue Helmets (military and police)

“Show respect for and promote the environment, including the flora and fauna, of the host country”.

Roles and Responsibilities

All peacekeeping personnel have a role to play in environment and natural resources management.

Each field mission should establish environmental policy, objectives, and control measures.

Specific responsibilities lie with:

- USGs DPKO and DFS
- SRSG/HOM
- Force Commander
- Head of Police Component
- DMS/CMS, Appointed Official in Military

- Appointed Official in Police
- Environmental Officer
- Waste Management Officer
- Medical
- Engineering
- Property Disposal Unit (PDU)
- Contracts Management Unit (CMU)

All personnel are also responsible. You must reflect in your conduct.

What Individual Peacekeeping Personnel Can Do

All peacekeeping personnel should “think green”. They must conduct themselves in accordance with the four “Rs” – reduce, reuse, recycle, recover.

“Reduce” or “Conserve”.

Conserve water

- Turn off the tap when brushing your teeth, washing your face, lathering soap to wash your hands or dishes
- Reduce time taken for showers
- Use water-saving measures for toilets and low-flow aerated shower-heads and immediately tell mission support of any leaks

Reduce waste

- Use your own water bottle or ceramic mug
- Print smarter: set default settings to double-sided, black and white printing and print only when necessary

“Turn it off” to conserve fuel and energy

- Stop idling: modern engines do not need to warm-up, and restarting the engine does not take more energy
- Turn off the lights and use efficient light bulbs
- Turn off and unplug electrical equipment not in use

“Turn it off” and set cooling/heating temperatures at practical levels

- Use fans with air conditioning for better cooling and comfort
- Turn off the air conditioner when you leave a room
- Wear layers of clothing to stay warm

“Reuse”.

This picture is from MINUSTAH. Plastic bottles have been reused to make a waste bin.

You must:

- Reuse paper and print-outs no longer needed or printed by accident
- Use reusable bags, reusable batteries, and other materials
- Reuse water bottles for your next drink – or make a waste bin!
- Many items called “waste” can be a resource – for example tires for soil retention walls, food scraps for compost

“Recycle”.

This picture is from MINUSTAH. These are recycling bins, which can be found in a mission.

You must:

- Recycle according to the recycling bins in your mission.
- Separate waste, especially hazardous waste. Oil, batteries, cleaning liquids and medical waste must be handled, stored, treated and disposed of properly.
- Even recycling can be a challenge in missions – reduce waste generation as the first measure.
- Make use of Waste Water Treatment Plants (WWTPs) to implement water recycling and reuse.
- Make compost. Use scraps from cooking and food made. Use fruit and vegetable peels, grass clippings, sawdust.
- Better manage food waste to improve sanitation and protect health and safety.

“Recover”.

Recover materials or energy from waste which cannot be reduced, reused or recycled.

Questions to check how well you possess the information about UN peacekeeping

- 1.Explain main connections between natural resources and peacekeeping.
2. List areas of UN peacekeeping environmental impact.
3. Describe different kinds of cultural resources, heritage.

§ 3.5. Safety and Security for UN Personnel

Aim: To explain how the UN Security Management System (UNSMS) ensures the safety, security and well-being of UN personnel, buildings and assets.

Learning Outcomes

Learners will:

- List the categories of threats to the UN
- Explain who is responsible for the safety and security of UN personnel
- Describe the UN Security Levels System (SLS)
- Explain security clearance procedures for travel to, in and out of a UN mission

Definitions

Safety: protection against accidental events

Security: protection against intentional damages

Threat: a person or a thing which causes harm

Vulnerability: a weakness which makes one susceptible to harm

Risk: the likelihood of a threat occurring as a result of vulnerabilities

Categories of Threats to the UN

A threat is a person or a thing that causes harm.

Five categories of threats within the mission area include:

1. Armed conflict:

- Organized violence by groups fighting each other
- Indirectly affects the UN and other non-involved parties

2. Terrorism:

- Violence by individuals or groups against civilians or other non-combatant targets
- Terrorism affects the UN indirectly or directly, for example extremist attacks

3. Crime:

- Illegal activities undertaken for economic or personal gain
- May or may not involve violence
- Indirectly and directly affects the UN, for example theft, robbery

4. Civil Unrest:

- Organized demonstrations or unauthorized disturbances to public order, for example rioting and looting
- May or may not involve violence
- Indirectly or directly affects the UN, for example violent demonstrations

5. Hazards:

- Natural events, for example earthquakes, extreme weather
- Human-caused incidents, for example large-scale industrial accidents, vehicle accidents
- Can lead to destruction, injury and death

Responsibility for UN Safety and Security

Safety and security for UN personnel and property is the responsibility of the host government, the UN and individual peacekeeping personnel.

The host government has lead responsibility for the safety, security and protection of UN personnel and property.

The UN supplements host government capacity for safety and security with the UN Security Management System (UNSMS).

You are also responsible for your own safety and security.

UN Security Management System (UNSMS)



The UNSMS:

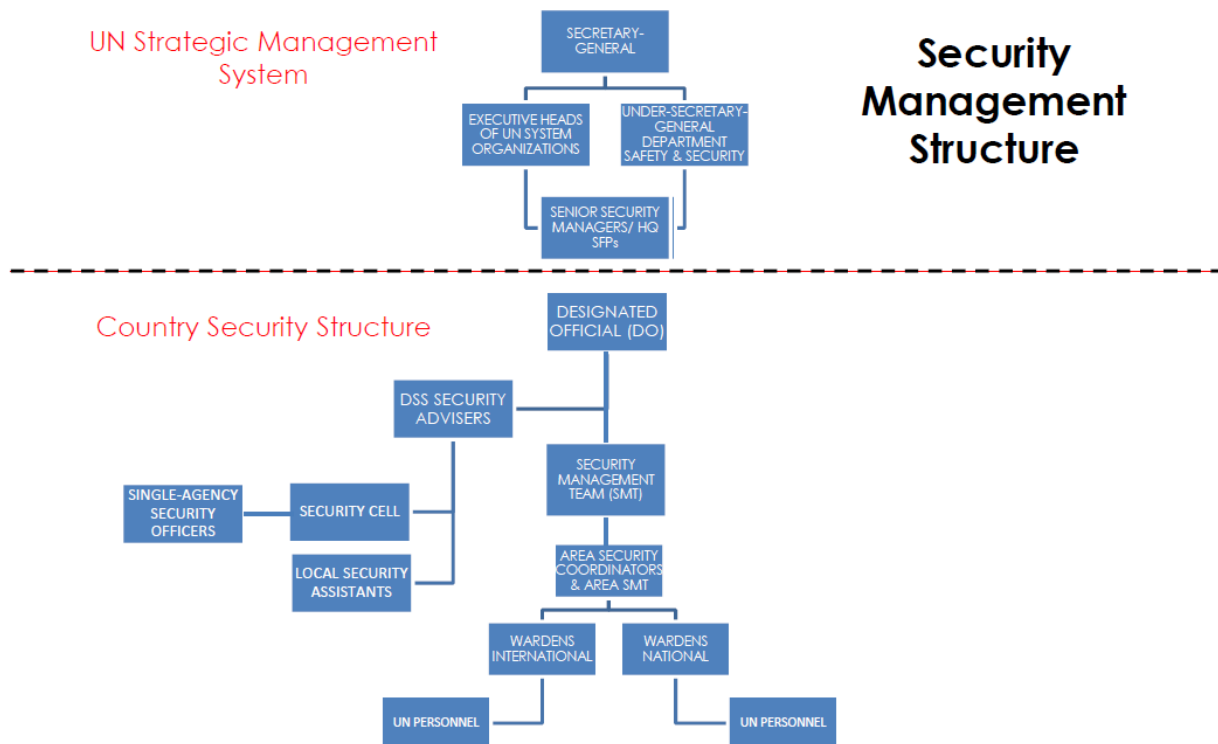
- Enables conduct of UN work
- Ensures safety, security and well-being of staff
- Ensures security of UN buildings and assets

There are key players in the UNSMS with specific roles and responsibilities. They are part of the Security Management Structure.

There are two levels to the Security Management Structure:

1. The Strategic Security Management System
2. The Country Security Structure

The Strategic Security Management System includes:



Secretary-General

Responsible for overall safety and security of UN staff, buildings and assets at Headquarters and in the field

Executive Heads of UN Agencies, Funds, Programmes and Organizations:

- Accountable to the Secretary-General
- Ensure each organization meets UNSMS goals

Under-Secretary-General for the UN Department of Safety and Security (USG DSS)

- Appointed by the Secretary-General
- Accountable for overall safety and security of UN staff

- Develops policies, practices, and procedures for UN personnel world-wide

- Coordinates security with UN organizations of the UN system

Senior Security Managers, Security Focal Points at Headquarters

- Executive Heads of organizations appoint Senior Security Managers or Security Focal Points at their headquarters

- Their main responsibility is to coordinate their organizations' responses to safety and security issues

The Country Security Structure includes:

Designated Official (DO)

- The Secretary-General usually appoints the senior-most UN official in each country as Designated Official for Security (DO)

- DO is accountable to the Secretary-General through USG DSS

- DO is responsible for security of UN staff, buildings and assets throughout a country or area

DSS Security Advisers

- The USG DSS appoints international security professionals to advise the DO and Security Management Team (SMT)

- Advisers report to the DO

- They maintain a technical line of communication to UNDSS

- The DPKO Chief Security Officer fulfills the role of UNDSS Security Adviser:

A. In the absence of UNDSS presence, and

B. Where the HOM is also the DO

Security Cell

- The DSS security officer sets up and chairs a Security Cell when organizations have their own security officers

- The Security Cell supports the DO and the SMT

- All Single-Agency Security Officers present at a duty station or mission are members

Single-Agency Security Officers

- Organizations of the UNSMS hire security professionals

- Security officers advise SMT members and are responsible for the organization's security

- They may act for DSS security officers in their absence

- These officers are accountable to the organizations that hire them and are responsible for supporting the DO and the Area Security Coordinators (ASC)

Local Security Assistants (LSAs)

- UNDSS and UN entities recruit Local Security Assistants (LSAs)

- LSAs support international security advisers and officers in security responsibilities

Security Management Team (SMT)

- The DO chairs the SMT
- Members are the head of each UN organization at the duty station or mission and the Chief Security Adviser/Officer
- SMT advises the DO on all security-related matters

Area Security Coordinators (ASCs)

- Some larger countries have areas separated from the capital city in terms of distance and function
- The DO and SMT appoint ASCs to coordinate and manage security arrangements for such areas
- An Area Security Management Team (ASMT) advises the ASC on all security-related matters. The ASMT is Heads of UN area offices
- ASC responsibilities are similar to DO responsibilities, in the area

Wardens

- Wardens help implement a security plan
- They are the critical link between the DO/ASC and staff
- Wardens are accountable to the DO/ASC for security-related functions, no matter who employs them

UN Personnel

- UN personnel are accountable to their organizations
- All staff are responsible for following UNSMS
- Staff need to know security policies, guidelines, directives, plans and procedures
- The UN expects staff to attend briefings, take training and follow instructions of security advisers and officers

Security Risk Management (SRM)

The foundation of the UNSMS is Security Risk Management (SRM). SRM is an analytical procedure. The goal is to:

- Identify threats that could inhibit programme success
- Implement measures to lower risks to acceptable levels

Threats to UN safety and security are different in each location.

Security professionals use SRM to:

- Assess threats in areas where UN staff live and work
- Analyze those security risks
- Develop measures to lower risks
- Carry out measures to manage security risks

The DO manages the SRM, supported by the SMT, security advisers and officers.

Security Level System (SLS)

The Security Level System (SLS) is an addition to the SRM framework. The SLS assigns a security grade or level. This is used to identify the over-all level of threat or danger in an area where the UN operates. It improves threat assessment in a specific context.

The SLS evaluates the five categories of threats:

- 1) Armed conflict
- 2) Terrorism
- 3) Crime
- 4) Civil unrest
- 5) Hazards – natural and human-made

The SLS then identifies the overall resulting security levels, using a scale of 1-6 (from lowest to highest).

Each level has a name:

- 1 - Minimal
- 2 - Low
- 3 - Moderate
- 4 - Substantial
- 5 - High
- 6 - Extreme

Security advisers regularly tell UN personnel the security levels, especially when they request security clearance for travel. They also advise personnel of specific responsibilities for each security level.

Peacekeeping personnel must always:

- Know their location's security level
- Use it to arrange official and personal activities

The "Security Level Area" is a defined geographical area of analysis. Usually threats vary across a country. Most countries will have more than one Security Level Area.

This example is from South Sudan.

Security Plan

IMPORTANT

The items shown are **PRIORITY**. Make sure there is room for them in your backpack before considering any other items of less importance for your evacuation.

"UN Staff Evacuation RUN BAG"
an example of run bag & content

Before you run, make sure you leave no confidential documents behind!

Plan and organize your packing logically. Things you need easily accessible to be packed on top.

All contents to be packed in plastic bags before put in back pack.

 Documents & cash	 Back pack 30 – 50 liters Roll mat		 Water
 Spare warm clothes, underwear, socks, hat, scarf etc.	 Sleeping bag (if available)		 Food & other nutrients
 Wet weather gear	 Pillow (if available)		 First Aid kit & Field dressings
 Pen-knife	 Notebook & pen	 Vitamin tablets	 Towel & toiletries
 Sunglasses		 Camera	 Torch & extra batteries
			 Insect repellent

The Security Plan is the main management tool for security readiness at a duty station. The plan describes security measures and arrangements for serious emergencies, for example hostilities, internal disorder or natural disasters.

Host governments are responsible for providing full protection to UN compounds and office buildings. The DO and SMT are responsible for managing security situations most likely to affect:

- UN personnel
- Property
- Operations

Each DO and SMT must establish a Security Plan. The Security Plan details ways to keep UN personnel secure in emergencies.

The DO and SMT ensure they have a contingency plan in place to deal with any type of situation, such as:

- Unauthorized office entry and occupation
- Threatening telephone calls
- Bomb threats
- Natural disasters
- Mass casualties

Plans include:

- Country UN Security Plan
- Area UN Security Plan – in the country plan
- Local UN Security Plan – in country and area plans
- Office security plan – in the local, area and country plans
- The UN Field Security Handbook (FSH)
- The Security Plan contains procedures for relocation and evacuation.

Individual peacekeeping personnel have a personal responsibility to know the details of the security plan. Peacekeeping personnel should be prepared with an “evacuation run bag” in case of an emergency.

MOSS and MORSS

Key standards have been developed for the safety and security of national and international UN personnel:

- Minimum Operating Security Standards (MOSS)
- Minimum Operating Residential Security Standards (MORSS)

The Security Adviser and the DO implement and monitor MORSS.

Uniformed personnel do not fall under the UNSMS. Still, heads of military and police components should work closely with the Security Adviser, to ensure the best possible security arrangements are in place for all peacekeeping personnel. Heads of components decide on the best balance between:

Operational necessity

Security of uniformed personnel

The heads of military and police components are accountable to the HOM for the security of uniformed personnel.

MOSS

MOSS stands for Minimum Operating Security Standards (MOSS). These safety and security measures manage and mitigate security risks. They apply to all locations with a UN presence.

MOSS provides:

- Standards based on a security risk assessment for each location
- A system with a wide range of measures to reduce levels of risk
- Measures for safety and security:
 - A. Communication equipment
 - B. Plans o Procedures
 - C. Medical equipment
 - D. Vehicles
 - E. Premises
 - F. Training

MOSS differs between countries depending on the needs agreed among the DO, SMT and UNDSS.

All peacekeeping personnel should learn more about MOSS from the Security Office.

MORSS

In locations with increased levels of risk for international staff, security at residences may need strengthening. **These measures are Minimum Operating Residential Security Standards (MORSS).**

Examples are:

- Security guards
- Alarm systems
- Door and window bars
- Locks Safe havens

Security officers will have more information.

Travel Request Information Process (TRIP)

TRIP stands for Travel Request Information Process. TRIP lets UN personnel process mandatory security clearances online.

Security clearance is an official requirement. Unforeseen events may endanger staff or family members.

Security clearance is required by the UN to:

- **Know where staff are**
- **Be able to help in danger or emergency**

The UN uses Security Clearances to:

- Track
- Inform
- Control, when necessary

Using TRIP for Security Clearances

UN personnel can access TRIP at dss.un.org

All UN personnel need security clearances for official travel, regardless of Security Level. Usually, clearance will be automatic. However, when the DO needs to control the number and movement of personnel, security clearances are carried out manually.

The UN also recommends people use TRIP for personal travel. The UN can then provide security support if needed.

UN personnel include information on itinerary and contact details on TRIP. UN security officials can provide UN personnel with updated information and know where to reach personnel if other security measures are needed.

Security clearance ensures all UN personnel complete relevant training and security requirements, such as medical clearance before travel.

What Individual Peacekeeping Personnel Can Do

UN personnel share responsibility for safety and security.

The UN expects personnel to:

- Know the UNSMS
- Know details of the UNSMS at their location – the Country Security Structure
- Make sure they have required security clearance before travel to the mission
- Get medical clearance
- Learn about security before departure
- Get a thorough security briefing on arrival
- Attend regular security briefings and certify receipt of briefing
- Know their warden and security focal point
- Always keep the contact information for all security officials at hand
- Apply and comply with all security regulations and procedures in the mission area, on and off duty
- Protect themselves and colleagues – do not endanger safety and security
- Be properly equipped for service at the mission, for example reliable short wave radio, international driving license, personal items
- Know how to use a radio and the call signs
- Complete all compulsory security training

Communication

Communication is a critical part of security. Peacekeeping personnel need to know the procedures and be able to use equipment.

Security Training – Online

There is compulsory security training. All UN personnel must complete Basic Security in the Field (BSITF).

Advanced Security in the Field (ASITF) may also be required.

Questions to check how well you possess the information about UN peacekeeping

1. Name five categories of threats to the UN, with examples for each.
2. Who is responsible for UN safety and security?
3. Which system measures danger of different threats in areas where the UN operates, and assigns danger levels?

§ 3.6. Personal Security Awareness

Aim: To inform UN peacekeeping personnel about threats to their personal security and the measures to take.

Learning Outcomes

Learners will:

- List the five principles of personal security
- List examples of specific threats and explain the personal security measures that respond to each threat
- List actions to take for your personal security

Your Individual Responsibility

Personal safety and security is an individual responsibility.

Peacekeeping personnel work in unfamiliar environments, often with a lack of clear and timely information.

The best way to be safe and secure is to avoid trouble, rather than try to extract yourself later. This means **you should develop a strong sense of security awareness and adjust your behaviour to the environment.**

Remember, you are **responsible** and **accountable** for your own safety and security.

The Five Principles of Personal Security

There are five key principles of personal security.

1. **Be aware** and suspicious. Look for the unusual: loiterers, unauthorized parked cars, someone following your car. Presume you may be a victim.

2. **Avoid routine.** Change your route and times of travel to and from work.

3. **Maintain security procedures.** Be methodical in setting up your own security procedures. Follow and update them with discipline.

4. **Communications.** Maintain good communications. Good communications are key to good security. Know how to use communications equipment and keep it ready. Have contact numbers of security officials with you always.

5. **Use initiative and common sense.** Follow procedures, but also use **initiative and common sense** in an emergency.

Personal Security and Specific Threats

Your personal security may be threatened in different ways. Always remember that prevention is the best policy.

Being aware of real threats means you know:

- Preventive action to avoid threats
- How to respond to threats

Examples of potential threats are:

- Sexual violence, sexual assault
- Arrest, detention
- Hostage taking
- Crowds, protests and demonstrations
- Land mines, ERW and IEDs
- Weapons firing
- Hijacking

Brainstorm with the class how it will evaluate briefings or presentations. People should be comfortable enough with each other at this point in a course. Prompt discussion on evaluation criteria, utilizing the following suggestions:

- Accuracy
- Good use of time, staying within time – decide length of briefings together
- Engaging, entertaining
- How well it helped others learn
- Choose other criteria based on the group – professionalism, clarity, tuned into audience, team work, use of media

Encourage groups to combine the information in the handout with tips from group members with peacekeeping experience.

Sexual assault is any non-consensual act forced on a person. Nonconsensual means without agreement. Sexual assault often involves pressure, intimidation, threats and force by one or more assailants.

You must know **what to do in social situations** and **be vigilant when alone**.

- Be aware of effects of alcohol
- Never leave your drink unattended
- Socialise in large groups
- Be wary of leaving alone with or accepting drinks from a stranger
- Don't trust friendly strangers – be cautious
- Seek immediate help if drugged
- Be alert while alone, especially when driving – lock the doors, keep the windows up
- Meet new people in public places
- Tell friends where you plan to be and when you will return
- Have emergency telephone numbers on speed dial

You have certain privileges and immunities during arrest and detention. The arrest or detention of a UN staff member is very serious.

You must know what to do if you are arrested or witness an arrest.

If you are arrested:

- Insist on your rights as a UN staff member
- Insist on communicating with your office
- Answer questions truthfully
- Do not write or sign anything until you have seen a UN representative

If you witness an arrest:

- Go with an arrested staff member only if threatened
- If there are two of you, one go with the arrested person and the other get

help

- Immediately inform the Head of Office

UN policy is the Organization will do everything possible to gain the freedom of personnel held hostage. The UN does not:

- Pay ransom
- Make substantial concessions
- Intervene with Member States to make concessions for it

Your priority is your own safety and security. Judge how to best handle the situation and defuse tension.

- Do not fight back
- Keep calm and obey orders
- Do not speak unless spoken to
- Do not make sudden moves; ask first
- Try not to give up your identification or clothes
- Observe as much as possible
- Keep a low profile
- During any rescue by force, immediately drop to the floor or ground

and take cover

Prepare for the possibility of any gathering getting out of control, quickly.

In camps and settlements, crowds form during:

- Registrations
- Distributions
- Inoculations
- Visits
- Protests

Protests and demonstrations at an office, camp or settlement can allow a non-violent expression of tension and frustration. Ground-rules and preparations help.

Spontaneous protests or demonstrations may give no time for ground-rules or other preparations. Be prepared for this eventuality.

If you find yourself in a hostile crowd:

- Do not panic

- Try not to draw attention to yourself
- Stay with colleagues or friends
- Leave the area as quickly as you can
- Leave by the safest means possible

Plan all activities to avoid mined areas.

Landmines

- Explosives or other materials
- Normally encased
- Designed to destroy or damage vehicles
- Designed to wound, kill, disable personnel
- Usually concealed

ERW

- Explosive devices left after a conflict and not detonated
- May have been abandoned
- Grenades, rockets, mortars, artillery shells, bombs, cluster munition, fuses

IEDs

- Any explosive devices assembled by a user, not made in a commercial factory
- Frequent in conflicts involving insurgents or non-regular forces
- May be time bombs or booby traps
- May be in a vehicle, hidden, buried, carried by a suicide bomber

Mines are found:

- Where fighting is continuing or has taken place
- Around existing or abandoned military camps or military positions
- On or alongside unused footpaths, tracks
- On soft edges of hard surface roads
- In and around culverts, drains, bridges
- In and around abandoned houses
- In and around wells and water access points
- In low or hidden areas where people might take cover
- At stream crossing points

Speak with locals, including women, who will know why certain footpaths or tracks aren't used.

Calls of nature:

Take calls of nature on the road behind the vehicle: don't walk off the road.

Booby traps:

Soldiers abandoning a town or position may leave "booby traps" to cause casualties among enemy forces. Booby traps are usually explosive devices. They may be hidden in doors or windows, or made to look like attractive souvenirs or

toys. Do not enter deserted buildings in conflict areas or pick up items left lying around.

Marked areas:

- If there is a mine clearance programme in the area, signs or marks will indicate dangerous areas. De-mining experts may paint rocks red to mark unsafe areas and known mined fields or use coloured tape. After an area is cleared of mines, markers are repainted white.

- Marks for mined fields may also be signs with a skull and cross-bones, normally on a red triangle.

- Local people mark mined areas in different ways – know them!

Mine warning clues:

Despite requirements of international law, mined areas are not always marked. Be aware of the following warning signs:

- Dead animals or skeletons
- Unexplainable lack of farm animals in particular fields
- Small, round, regularly-spaced potholes
- Evidence of fighting, e.g. military presence, trenches
- Mines exposed by weather
- Fuses sticking out of the ground, may be finger-sized
- Pieces of wire or barbed wire
- Bypasses around stretches of seemingly serviceable road or track
- An uncultivated field surrounded by cultivated fields
- Small piles of rocks, crossed sticks, knotted grass or rocks across a path
- Flags or plastic bags hanging from trees
- Sticks inserted into tree bark

You must know what to do if you hear an explosion or see a mine explode – whether you are walking or riding in a vehicle.

On foot:

- Stop movement immediately
- Inform and warn people around you
- Note the area
- Evaluate the situation
- Do not move from your position; wait for qualified help to come and assist you

- If you must leave the area, retrace your steps out of the area
- Do not rush!

In a vehicle:

- Stop movement immediately
- Inform and warn people around you
- Take note of the area
- Evaluate the situation

- Do not move from your position; wait for qualified help to come to you
- Stay in the vehicle, unless on fire or in a life-threatening position
- Give first aid to any passengers who need it

You may come under weapons fire. The best practical advice depends on your situation.

On foot in the open:

- Drop down, hit the ground
- Crawl to the nearest cover, if possible

On foot with cover nearby:

- Drop down, hit the ground
- Crawl to cover, hide behind something

Remember: cover from view may not be cover from weapons fire. Bushes and fences provide cover from view. Brick walls may provide cover from weapons fire.

In a vehicle:

- Accelerate and drive through if possible
- If not, get out and hide behind the engine block
- Crawl to better cover or a ditch, careful of land mines

Take precautions to reduce the risk of hijacking, and know what to do if hijackers stop you.

Every time you are in a vehicle, you are a potential target. No one can hijack you if you are not on the road. Minimise vehicle travel.

Precautions during vehicle travel lessen the risk of hijacking.

- Avoid travel during the evening and in locations that hijackers favour.

Hijacking often takes place after dark.

- Stay alert when approaching or leaving your residence.
- For daily travel, use different times and routes. Avoid setting patterns.

Avoid travelling alone. Hijackers are less likely to assault two or more people in a vehicle.

- If possible, travel with another vehicle. Hijackers rarely confront two.
- Lock vehicle doors and keep windows closed, especially driving through crowded areas, markets, busy streets
- Be alert at red lights and stop signs. Try to adjust your driving speed to avoid pausing at traffic lights.
- Keep your vehicle in good mechanical condition and develop the habit of keeping the fuel tank above half full.

What you should do if stopped by hijackers:

- Do not resist. Keep your hands in view.
- Do not make any sudden moves. Be especially careful reaching to release your seatbelt. Explain what you are doing.
- Leave the ignition running when exiting the vehicle.

- Comply with hijackers' instructions quickly. The hijackers are probably nervous and want to leave the area as quickly as possible.

- Surrender personal items on demand (e.g. jewelry, purses, wallets and briefcases). Do not provoke the hijackers with a display of anger or rude remarks.

What Individual Peacekeeping Personnel Can Do

Not knowing the rules, customs and habits of your host country could place you and your colleagues in danger.

In one country, for example, an international male colleague walked a local female co-worker home after work. Some local people thought this was an amorous advance and beat him up. In other situations, a man talking to a woman or looking her in the eyes can place her in danger. She may be labeled immoral and suffer negative consequences.

Research the local situation before you travel to your mission. Keep learning when in mission. A true understanding of your surroundings requires:

- Sensitivity
- Awareness
- Observation
- Patience
- Humility
- Openness

With a positive understanding of your surroundings you will feel the benefits personally and be able to work more effectively. Build your knowledge of:

- Threats and risks
- Your needs, strengths and weaknesses

Understanding more about the politics, economy, culture and environment is part of your personal security assessment. The points below guide continuous learning.

Politics:

- What is the political climate?
- What type of government is it?
- Is there a governmental authority or structure at your location?
- Is it stable?
- Is there political conflict?
- Are certain colours or symbols associated with political groups?
- Are there any upcoming major political events?

Economy:

- What is the economic climate?
- Are many people unemployed and does this affect crime?
- Is inflation a significant problem in the country?
- Are there legitimate banks?
- How will local people view your economic status?

Culture:

- How do people relate to one another?
- What is important to know from people around you?
- Do people view and treat men and women differently from people at home?
- Is there a daily reflection of religious life?
- How does the host population deal with outsiders?
- Is your behaviour acceptable or are there things that you should do differently?

Environment:

- What are the local conditions that may affect your personal situation?
- How is the climate?
- What is the weather in different seasons?
- What are common diseases?
- What is the situation for personal hygiene?
- Are there acts of nature such as floods, earthquakes, etc.?

Staying Alert

Part of your continuing personal security assessment involves always staying alert and being aware. Potential threats are everywhere.

Surveillance of UN personnel, offices and residences has been on the increase. Typically, detailed surveillance of a target or target area precedes violent attacks.

Be on the lookout for anyone observing premises or movements:

- Someone taking a picture, videotaping, sketching a map or taking notes of your office or residence
- Someone watching your building without any clear reason
- Unknown individuals wandering around your office or residence
- Someone trying to get security routines and information on security personnel
- Multiple passes by “interested” individuals - on foot, bicycle, vehicle, taxi, boat, even aircraft
- Operatives disguised as demonstrators, food vendors, street sweepers, shoe shiners
- Suspicious or unattended objects

What To Do

If you “feel” or “see” something suspicious, DO NOT TOUCH IT. Immediately contact your security officer or focal point. Do not keep information to yourself. Even if unsure, report what you see or feel. The information may save you and colleagues.

If you believe your life is in IMMEDIATE danger:

- Move to a populated area
- Seek police
- Go to a UN office

Note and report important information about people:

- Height
- Build
- Sex
- Age
- Weight
- Clothing
- Ethnicity

Note and report important information about vehicles:

- License plate number – country, state, city
- Body style, size, color
- Make, model, year Number and description of occupants
- Any distinguishing details: antennas, windows, body damage, decals in windows, dirty or clean vehicle
- Driving patterns

Prevention is the best policy. The best way to be safe and secure is to first avoid trouble.

- Keep a low profile; dress and behave conservatively; do not display jewelry, cash, keys, other valuables
- Avoid routines; they make your movements easy to predict
- Vary your routes and times to and from work
- Always follow your instincts; If you feel uncomfortable about a location or person, leave immediately
- Do not hesitate to call attention if you are in danger: scream, shout, blow the horn of your vehicle
- Stay away from situations which could be threatening, e.g., political rallies, demonstrations
- Be honest with yourself, aware of your capabilities
- Try to stay in good physical shape
- Remember that most incidents take place as a person leaves or returns home – be wary
- Take necessary precautions when alone and after dark

- Avoid known ambush, sniper and conflict areas

Rehearse different possible scenarios:

- Rehearse actions you would take if attacked. There is no right or wrong way to respond to an attack. Each situation is different.

- **THINK:** Is this attacker armed? Is this a hostage situation? Is the attacker drunk or drugged, irrational?

- **WEIGH OPTIONS.** Review your options:

- A. Talk your way out of it
- B. Shout for help or yell “fire”
- C. Flee o Fight
- D. Submit to demands

- Set your cell phone with emergency numbers and practice rapid calling.

- Learn a few phrases in the local language so you can signal your need for help. Also learn a few phrases about your organization and its role in the country.

No matter how diligent you are, you cannot avoid all threats with preventive action. You may find yourself in a situation of intense agitation, hostility and perhaps danger.

- **Some situations resolve safely if you stay calm.** Be genuine and give truthful answers. Spend as much time as necessary; don’t push.

- Speak to the highest authority possible.

- **Don’t let hostile comments and jibes provoke you.**

- Never respond aggressively to questions.

- Do not try to bribe your way out of danger. Attackers may consider this an admission of guilt.

- No one can advise you how to react in all situations. Sometimes the only option is to defend yourself.

- **In extreme situations, take the action that preserves human life, health and dignity, in that order.**

- There are no fixed rules for dealing with crazy or drunk people.

Pros and Cons of Self-Defence and Use of Weapons

Opinions differ about self-defense and use of weapons. Keep these considerations in mind. Staff must make personal decisions.

Self-defense

- Techniques require training and practice
- Legal and always accessible
- Gives self-confidence
- Cannot be used against you

Improvised weapons

- Anything accessible
- Requires no special training

Mace

- Local laws may apply to mace use – respect them
- Requires training and familiarity
- Limited shelf-life
- Not always accessible when you need it

Guns

- Against UN policy for staff members to carry weapons, unless as an official part of the job
- Must comply with local laws if staff members decide to have a gun at home
- Requires continuous training
- Not always accessible when needed
- Can give a false sense of security
- Could be used against you

Use of mace or firearms could result in criminal charges or a civil claim, even if use seems justified.

Know how to responding after an incident has taken place.

After any serious incident:

- Immediately go to a safe place. Shock is common after an attack. Get help.
- Tell your security officer or head of office about all threats and violence.
- Report the incident quickly and accurately. If you are considering legal action, think about forensic evidence. Write a description of the attacker with details. Try to notice an attacker's clothing and physical characteristics without being obvious.
- Get counselling. Attacks are normally traumatic. Contact your staff counsellor for advice and help. All survivors of assault suffer emotional and psychological trauma. No matter how strong you are, don't try to manage a security attack alone. Professional counselling is recommended as soon as possible. The staff counsellor will help arrange it.
- Get medical help; have someone go with you. Discuss exposure to HIV and potential pregnancy after a sexual assault. Missions have medical kits for HIV prevention treatment. These are called Medical PEP Starter Kits, Post-Exposure Prophylaxis (PEP) Treatment. PEP kits need to be used within 2 hours and not more than 72 hours after an assault. Check with your head of office or security officer to learn the location of PEP starter kits.
- Think about whom you want to tell. Call a friend or close colleague to help you make important decisions.
- Build a network of friends and colleagues. They will help support you in case of a personal assault or attack.

Questions to check how well you possess the information about UN peacekeeping

1. Personal safety and security is an _____ responsibility.
2. _____ is the best policy.
3. Name the five principles of personal security
4. Seven specific personal security threats are covered in the lesson. Name them and give several tips on handling each.

§ 3.7. Stress Management

Aim: To inform UN peacekeeping personnel about the threat stress poses to their health

Learning Outcomes

Learners will:

- Identify the warning signs and symptoms of negative stress
- List sources of stress
- Explain the different types of stress
- Describe stress management techniques and coping methods, and the techniques to apply in stressful situations.

Definition of Stress



Stress is the body's response to changes that create taxing demands. Stress can be good or bad.

Stress: any change or demand the human system (mind, body and spirit) is required to meet or respond to.

Normal stressors keep life going: breathing, blood circulation, walking, eating, talking and playing.

These are part of life for everyone. You would die without these stressors and other physical demands on your human system.

In daily life, we often use the term "stress" to describe negative situations. People think all stress is bad, but this is not true.

Useful versus Harmful Stress – Positive versus Negative Stress

Stress can be positive or negative. Life presents both. Positive stress is useful. Negative stress is harmful.

Stress becomes a problem and distress when it:

- Occurs too often - frequency
- Lasts too long - duration
- Is too severe - intensity

Distress: Any stress that occurs too often (frequency), lasts too long (duration) and is too severe (intensity). In other words, negative stress.

A basic life-protecting reaction helps explain the different effects of positive and negative stress.

Fight or Flight Response

In 1936 Dr. Hans Seyle made an important discovery: when threatened, the body always reacts with the same general adaptive mechanism fight or flight. Sometimes the fight or flight response is called fight or flee.

He identified three phases in the fight or flight response:

- Alarm phase
- Adaptation phase
- Exhaustion phase

The alarm phase:

- In the presence of threats and danger, a person reacts with the "fight or flight" response. This reaction spikes our adrenaline and prepares us to run or to fight.

- If we respond physically, the stress-produced fear, anger or hostility lessens or dissipates. Running, fighting, even responding with verbal aggression have the same effect.

- The "fight or flight" response is a primitive physical protective reaction. Physical responses to today's threats are often not possible or fitting.

The adaptation phase:

- When stressors continue without resolution, the alarm stimulus is lessened but not lost. The person enters the adaptation phase.

- When a person feels a survival threat, the whole being funnels resources to help: biochemical, physiological, psychological and spiritual changes happen to help a person cope. However, adaptation or adjustment to a persisting situation are not solutions.

The exhaustion phase:

Long-term stressors or "cumulative stress" lead to the person showing typical signs of breakdown. Symptoms of distress involve physical, mental and behavioural conditions.

Some common symptoms and warning signs of negative stress or distress include:

- **Physical symptoms:** fatigue, back pain, headache, Ulcer
- **Psychological symptoms:** memory loss, poor concentration, decrease in esteem, depression
- **Behavioural symptoms:** verbal outburst, increased smoking, increased alcohol use, eating disorders

Positive and Negative Stress

Dr. Lazarus built on Dr. Selye's work. In 1974 he suggested that there is a difference between positive stress or eustress, and negative stress or distress.

Positive stress, has the following characteristics:

- Motivates, focuses energy
- Is short-term
- Seems manageable – we can cope
- Feels exciting
- Improves performance

In contrast, negative stress or distress, has the following characteristics:

- Causes anxiety or concern
- Is short-term or long-term
- Does not seem manageable – we do not feel confident to cope
- Feels unpleasant
- Decreases performance
- Can lead to mental and physical problems

Sources of Stress

Having stress is not bad. In small quantities stress is good. What is bad for people is experiencing prolonged stress.

Stress is a part of life. People handle it differently.

The best thing you can do to prevent stress overload and health consequences is know your stress symptoms and warning signs. When you recognize the symptoms of stress, you can get to the source. Sources of stress are also called “stressors”.

Different people react differently to the same experience. This makes it difficult to say definitely that certain stressors cause positive and negative stress. Some stressors are experienced by most people as positive or negative, most of the time.

- Sources of stress fall under several categories:
- Physical environment
- Organizational environment
- Interpersonal factors
- Personality factors
- Biological factors
- Psychological factors

Physical environment

Environmental stress may result from:

- Climate
- Remote location
- Shortage of shelter and resources
- Dangerous conditions - militarized settings, crime and hazardous political climates

Environmental stress also results from bias and discrimination linking to:

- Culture
- Diversity
- Age
- Sex and gender

Deployment stress: The UN requires peacekeeping personnel to serve away from their families for a period of time.

Deployment stress may result from the physical and emotional demands of deployment.

Both separation and reunion place extra demands on individuals and families.

Culture shock: Peacekeeping personnel deploy into new cultural environments – of the host country and the mission.

Overall symptoms of culture shock include:

- Anxiety
- Homesickness
- Helplessness
- Boredom
- Depression
- Fatigue
- Confusion
- Self-doubt
- Feelings of inadequacy
- Unexplained fits of weeping
- Paranoia
- Physical ailments and psychosomatic illnesses

Organizational environment

Some organizations develop an environment that causes stress for the work force. Contributing influences are:

- Hierarchy
- Bureaucracy
- Management style
- Allocation of resources
- An assignment

Causes of job stress include:

- Lack of control
- Increased responsibility
- Low job and performance satisfaction
- Confusion about work roles
- Poor communication
- Lack of support

- Poor working conditions
- Exposure to traumatic and critical incidents on-the-job

Trauma or critical incident refers to an event outside the range of normal experience. The event is:

- Sudden and unexpected
- Disrupts one's sense of control
- Involves the perception of a life threat
- May include physical or emotional loss

Types of critical incidents include:

- Natural disasters
- Multiple-casualty accidents
- Sexual or other assault
- Death of a child
- Hostage-taking
- Suicide
- Shocking death of family member or close friend
- Duty-related death of co-worker
- War-related civilian deaths
- Bombing of buildings, mining of roads
- Attacks on vehicles and convoys
- Armed attacks and robberies
- Direct or indirect intimidation and threats

Any person can be involved accidentally in a critical incident. People in high-risk occupations involving emergency and disaster situations, have an increased risk of exposure. They include:

- Fire-fighters
- Emergency health-care workers
- Police officers
- Search and rescue personnel
- Disaster relief and humanitarian aid workers
- UN peacekeeping personnel

Interpersonal factors

Interpersonal stress may rise from:

- Staff conflicts
- Abrasive or unskilled supervision
- Incompetent or ill colleagues
- Dissatisfied receivers of your service
- Family problems
- Unhealthy relationships with others

Sources of interpersonal stress at isolated postings may be:

- Forced intimacy

- Lack of social and recreational choices
- Problems at home contributing to stress include:
- Financial problems
- Strained family relationships
- New marriage
- Broken marriage
- Break up with girlfriends, boyfriends
- Family illnesses
- Children's education
- Death of a spouse, close relative or friend

Personality factors

Perceptions of the world and general disposition are important factors in what we view as stressful and how we manage stress.

Many people who choose to work for the UN bring with them qualities of idealism and altruism. We set high personal standards, focus on results and expect to make a difference with our efforts.

These very qualities increase vulnerability to stress. In particular, vulnerability is increased when needs are overwhelming, resources are limited and assistance is frustrated. We may identify closely with success or failure of our work.

Biological factors

Internal biological factors can address or affect your stress level. Biological sources of stress may include physical factors:

- Degree of fitness
- Illness or condition
- Allergy
- Injury
- Trauma
- Fatigue and exhaustion

Psychological factors

Sources of psychological stress are:

- Previous work-related or personal experiences
- Threats of physical harm
- Traumatic experiences past and present
- Attacks on self-esteem
- Lack of self-confidence
- Feelings of insecurity

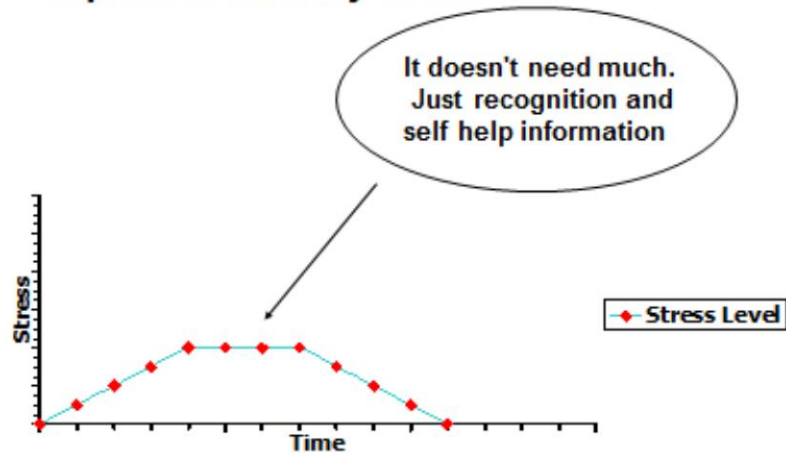
Types of Stress

The UN recognizes distinctions between four types of stress:

- General or basic stress
- Cumulative stress
- Traumatic stress or critical incident stress
- Post-Traumatic Stress Disorder

Basic stress

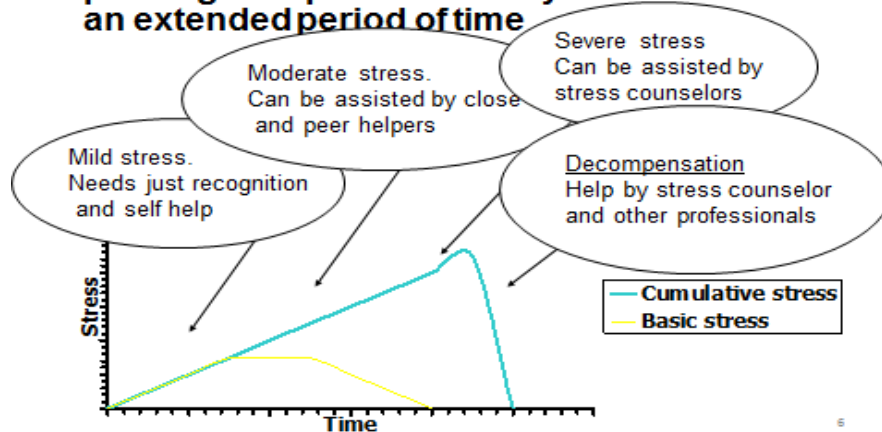
Basic stress is the stress we experience as a part of our daily work.



General or Basic Stress: everyone copes with this, day and night. This form of stress usually resolves within a day or two.

Cumulative stress

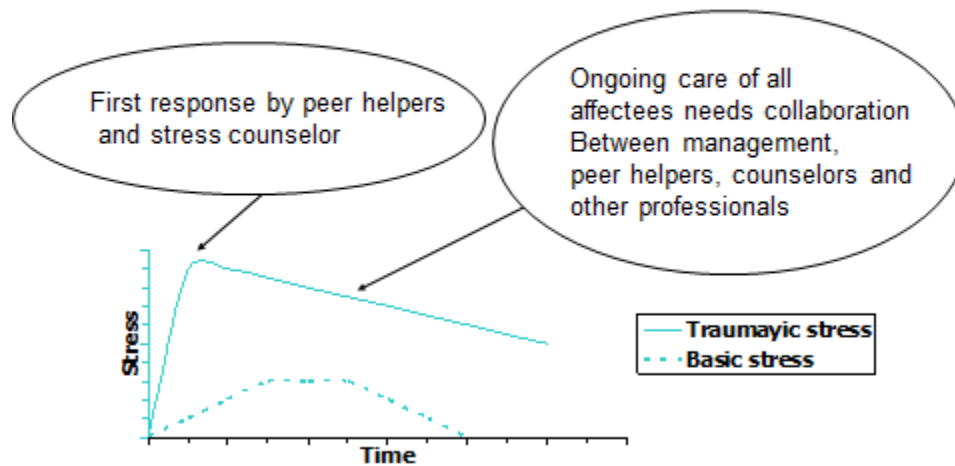
A state of tiredness and frustration due to prolonged exposure to many stressors over an extended period of time



Cumulative stress: prolonged stress, which builds up after time and can lead to adverse mental and physical effects.

Traumatic stress

Any event that has a stressful impact strong enough to overwhelm the individual effective coping skills.



Traumatic Stress or Critical Incident Stress: Critical Incidents are abnormal events that produce a normal reaction of considerable psychological distress.

Post-Traumatic Stress disorder (PTSD): PTSD results from unresolved Critical Incident Stress. It is severe distress produced only by severe psychological traumatization. PTSD:

- Makes lasting changes in a person's life and work
- Needs professional assistance
- Can only be diagnosed and treated by a specialist

Stress is part of our daily lives and important for our motivation. Day-to-day stress occurs as you manage competing demands of personal maintenance, transport and workload.

The feeling of being stressed usually comes from isolated events and changes.

- Everybody experiences it
- Related to normal conditions of life, "engine" of our lives
- Equips us to face challenges, meet obligations, cope with daily life
- Basis of our human survival mechanism
- Can be positive
- Can be negative
- Most people deal with it daily and recover

Most people suffer from cumulative stress, which results from a build-up of stress over time. Some issues are large, with long duration. Other small stressors happen as part of regular life.

Daily repeated frustration that can lead to cumulative stress are:

- **Housing:** lack of privacy or comfort, noise, shortage of water, cold, heat

- **Travel:** risks, threats, roadblocks
- **Food:** shortages, unfamiliarity, lack of variety
- **Immobility, lack of activity**
- **Colleagues**

Cumulative stress first leads to unproductive hyperactivity, then to physical and emotional exhaustion and finally to burn-out. Cumulative stress is:

- Accumulated, unresolved general stress
- Takes time to develop
- A destructive pathway of stress
- Produces negative changes in:
 - A. Mental and physical health
 - B. Performance
 - C. Relationships
 - D. Personality

Learn to deal with cumulative stress before burnout.

Signs of cumulative stress

Pay attention to these signs in yourself, colleagues and partners. Use your knowledge to shape your responses when colleagues or partners show these signs. Do not take stress behaviour personally. Reactions may occur earlier in those who have come directly from other similar assignments. Reactions multiply with unmanaged stress.

Typical cumulative stress reactions include:

- Physical complaints, headaches
- Sleep disturbance
- Negativism, cynicism
- Feeling pressured, overwhelmed
- Loss of sense of humour
- Difficulty concentrating
- Feeling indispensable, obsessions
- Irritability, blaming others
- Unwillingness to take leave
- Increased alcohol consumption and/or substance abuse
- Disillusionment
- Disregard for security, risky behavior

Traumatic or critical incident stress is a normal reaction to an abnormal situation. Critical incident stress is:

- An event outside the range of normal experience
- Sudden and unexpected

- Disrupts one's sense of control
- Involves perception of a threat to life
- May include physical or emotional loss

Reactions may be physical, emotional or cognitive. Reactions may also develop over time.

Immediate reactions are:

- **Physical:** nausea, muscle tremors, sweating, dizziness, chills, rapid heart rate, hyperventilation, high blood pressure
- **Emotional:** anxiety, anger, fear, irritability, guilt, grief, hopelessness
- **Cognitive:** confusion, inability to decide, impaired thinking, memory loss

Delayed reactions are:

- **Physical:** fatigue, startle response, substance abuse, sleep difficulties, nightmares, restlessness
- **Emotional:** feeling abandoned, resentful, alienated, withdrawn, numb, depressed
- **Cognitive:** decreased attention span, poor concentration, memory problems, flashbacks

The severity of an individual's reactions to a critical incident depends on:

- **Factors related to the incident:** suddenness, intensity, duration, available social support
- **Factors related to the person:** past experience, personal loss, perception of threat, personal coping abilities

Untreated effects of critical incident stress may lead to PTSD.

If symptoms of critical incident stress last more than a month, they may lead to PTSD. This condition is more serious. Psychological stress is complicated. PTSD is similar to a physical wound that will not heal naturally.

For PTSD diagnosis, these factors must all be present:

- Trauma
- Persistent reliving of the trauma - memories, nightmares, flashbacks, intense emotional reactions to trigger events
- A tendency to avoid any thought, emotion or activity that reminds one of the traumatic event
- Marked hyperactivity, exaggerated startle reaction, quick temper and sleep disorders, especially when falling asleep
- At least one month of persisting symptoms

A specialist must diagnose and treat PTSD.

Coping with Stress

Stress is inherent to field duty. You are responsible for managing your stress. The ABC Strategy is one way to plan how you will manage your stress.

It is important to realize that stress will be present in various forms throughout your assignment. To manage stress, it is important to learn your

sources of stress. When you know major sources of stress, develop a strategy to avoid them.

A = Awareness

• **Key is recognizing sources of negative stress for you.** This first step is practical. It is not an admission of weakness or inability to cope.

- What causes you stress? How do you react?
- Learn your major stressors – before they occur.
- Learn to recognize problems as they occur.

B = Balance

• There is a fine line between positive and negative stress. **Knowing yourself and your limits may be the most important way to manage stress effectively.**

• How much can you cope with? When does stress become negative for you?

- Manage to re-balance before stress becomes negative.

C = Control

- Stress can be created by you.
- Work to keep situations in perspective.
- What can you change in your life to better manage stress?
- The realization that you are in control of your life is the foundation of stress management.

Managing stress is all about taking control. For effective stress management:

- Change your thinking
- Change your behavior
- Change your lifestyle

Stress management involves different activities and positive attitudes that combat negative effects of cumulative stress. Many of the steps you take to keep your body healthy also relieve stress.

Change your thinking

Nobody can create stress in your mind. You are responsible.

Helpful techniques are:

- Re-framing
- Positive thinking
- Accepting creative challenges

Mental resistance: Here are some ways to increase your mental resistance to stress:

• Review your attitude – how you view life events. Do you become angry when caught in traffic? Upset when it rains? Adjust your expectations.

- Control what you can, accept what you cannot.
- Keep your sense of humour.
- Take courses, read books – challenge your mind.

- Vary your daily activities. Often just having something different to do will lower stress levels.

- Analyze your reactions to stress. Pay attention to what triggers your negative stress. Every person is different.

- Recognize that lack of control over a situation can cause significant stress. Work on adjusting your expectations.

Change your behaviour

You must:

- Be assertive not aggressive
- Organize yourself
- Practice venting or expressing strong emotions in positive ways
- Use your sense of humour

Diversion and distraction: Engage in healthy pleasures. These diversions will help you restore yourself and manage stress at the same time.

Managing anger:

- Three steps to success are: relaxation, positive self-talk, assertiveness
- Remind yourself “What do I have to do?”
- Take a surge of anger as a signal: “I am slightly angry, time to relax now”

- Keep the goal in sight, not anger: “I need to do it, I can do it, I have done it before”

Managing tension:

- Relax the mind by relaxing the body
- Relaxing by paying passive attention to verbal cues
- Experience an imaginary pleasant scene with all senses

Managing time:

Manage your time well

- Fix a routine
- Make lists:
 - A. What MUST be done
 - B. What SHOULD be done
 - C. What I would LIKE to do
- Learn to drop unimportant activities
- Say no or delegate
- Concentrate on true priorities

Change your lifestyle

Live well.

The most effective stress management technique is building healthy activities into your daily routine. Healthy, fit people are resistant to all types of distress.

Diet:

- Additional stress comes from skipping meals, forgetting to drink fluids, overindulging on sugar, fatty snacks, alcohol and coffee.
- Try to eat three well-balanced meals a day.
- Keep healthy snacks available at work.
- Eat well – different kinds of food, portioned right for your activities.
- Avoid caffeine, a stimulant.
- Lessen salt intake – use it in moderation.

Smoking and Alcohol:

- Things we do for fun can have negative impact on our health, relationships or other areas of our lives – especially if taken to extremes.
- Alcohol, caffeine, sex and food are pleasures for most people. In excess, they can cause serious problems including addiction.
- Cigarette smoking is addictive and can cause cancer and death.
- Avoid excessive use of alcohol, caffeine and nicotine. Moderate consumption.

Exercise:

- Exercise is key to strength and tension relief with many good effects:
 - A. Uses up excess energy released by the ‘fight or flight’ reaction
 - B. Improves blood circulation
 - C. Lowers blood pressure
 - D. Clears the mind of worrying thoughts
 - E. Improves self-image
 - F. Makes you feel better about yourself
- Physical and mental fitness go together. Your physical qualities of strength, flexibility and reliability translate to your mental attitudes as well.
- Exercise for endurance and strength at least three times a week.
- Some locations may present limited choices, but even 20 minutes of an activity will have benefits. You do not need a gym to exercise. Use stairs, walk around the compound, etc.

Rest and Sleep:

- Tiredness makes it hard to cope.
- Rest and sleep are good stress reducers. You awake refreshed after a night’s sleep and have plenty of daytime energy. Get the sleep you need.
- Rest and sleep requirements vary among individuals. Few people can function with less than six hours of sleep a night. The relentless and urgent demands of providing assistance in certain locations can lead to fatigue and exhaustion of peacekeeping personnel.

Work/Life Balance:

- Balance your official and private life, at work and during away from the mission.

- You should not feel essential to the team 24 hours a day, seven days a week.

Leisure:

- Plan your free time positively. Follow healthy interests.
- Each work site will have music lovers, game players and those who find solace in nature.
- Relaxation and healthy pleasures are individual choices to meet your needs for time out. This gives you a ‘break’ from stressors, provides an outlet for relief and provides social contact.

Faith/Religion:

Know and practice your philosophical approach to life.

Relaxation:

- Relaxation lowers blood pressure, combats fatigue, promotes sleep, reduces pain, eases muscle tension and decreases mental worries.
- Learn the healing value of relaxation and meditation.
- When you have racing thoughts at work and you do not know what to do first, try focusing on your breathing. I
- In some situations, concentrating on deep breathing may help manage acute pain. Deep breathing also has an important role in controlling panic.
- Other relaxation exercises will help you manage stress – muscle relaxation or yoga.

Sometimes normal coping mechanisms do not work. People may ignore stress symptoms or not address them effectively. Maladaptive coping strategies result.

Maladaptive coping strategies help us instantly feel better and therefore may make us think that we are coping. In fact, such strategies damage health and welfare.

Examples of maladaptive coping strategies:

- Substance abuse: This includes taking a substance regularly. For example, drugs, self-prescribed medicine, alcohol and coffee. Certain substances can create addiction quickly. Dependence on a substance can also take time to develop.
- Behavioural modification: This involves comfort behaviours, such as stress eating and overeating.

Trauma can overwhelm effective individual coping skills. You are not alone. Help is available.

Many of us need assistance to help get through difficult episodes in our lives. Ask for help, without fear.

Accessing Help:

- Call for help or support as soon as you feel you need it.

- As UN personnel, you have access to various mental health resources. Contact your staff counselor, medical service, UN examining doctor and peer support personnel for information and resources.

Your staff counselor will not undertake any action on your behalf without your agreement.

Friends and Family:

- If no trained individual is available, discuss your situation with a trusted friend. Discuss or write about the incident, the nightmares or troublesome thoughts.

- Friends and family can:

- A. Listen carefully

- B. Spend quality time offer help and a listening ear

- C. Reassure that you are safe and normal

- D. Help with routine tasks like cleaning and cooking to allow you some private time

- E. Empathize with and understand you

Managers:

Managers need to be aware how stress affects subordinates and help with prevention.

Encourage staff to talk to stress counselors, take rest and recreation, cut back work time.

Colleagues:

- In many ways, your health and welfare depend on:

- A. Working as a team with your colleagues

- B. Supporting each other – checking in

- C. Keeping relationships positive

- Respecting your colleagues also means protecting your own health and safety so they will not have to face the stress of organizing your evacuation.

Questions to check how well you possess the information about UN peacekeeping

1. Long-term stressors and cumulative stress show common symptoms. Name some physical, mental and behavioural symptoms.

2. The UN recognizes four types of stress. Name and describe them with examples.

3. Explain the A-B-Cs of coping with stress.

4. Distress is any stress that occurs _____, _____ and _____. These define distress.

5. A _____ must diagnose and treat PTSD

6. _____ coping strategies make us feel instantly better, trick us into thinking we are coping when in fact, they damage health and welfare.

Учебное издание

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при проведении миротворческих операций**

**Basics of UN police activities
in peacekeeping operations**

Корректura, техническое редактирование
Д.И. Краснослободцева

Подписано в печать 13.04.2021.
Формат 60x84 1/16. Объем 13,0 уч.-изд. л.
Тираж 30 экз. Заказ 2/21. Цена договорная

Федеральное государственное казенное учреждение
дополнительного профессионального образования
«Всероссийский институт повышения квалификации сотрудников
Министерства внутренних дел Российской Федерации».
142007, Московская область, г. Домодедово,
микрорайон Авиационный, ул. Пихтовая, д. 3