

# PREFACE TO THE CORE PRE-DEPLOYMENT TRAINING MATERIALS

## Background

The Core Pre-deployment Training Materials represent the essential knowledge required by all peacekeeping personnel – military, police or civilian – to function effectively in a United Nations (UN) peacekeeping operation. The materials should be used as the core resource for any UN pre-deployment training course. They replace the Standardized Generic Training Modules (SGTMs), previously issued by the UN Department of Peacekeeping Operations (DPKO).

The SGTMs were reviewed and updated as part of the UN Peacekeeping Training Strategy that was adopted by the Expanded Senior Management of the DPKO and Department of Field Support (DFS) in May 2008. The Strategy, and the subsequent Strategic Peacekeeping Training Needs Assessment of October 2008, indicated that the training materials needed to be updated to reflect newly developed policies within DPKO and DFS and made more relevant to the work of peacekeeping personnel in the field. As indicated primarily by Member States during the needs assessment, the generic training materials needed to be streamlined and combined with more specialized, operational and mission-specific information, and with clearer guidance to Member States on pre-deployment training requirements.<sup>1</sup>

Accordingly, the Integrated Training Service (ITS) of DPKO's Division of Policy, Evaluation and Training has begun issuing comprehensive UN Peacekeeping Pre-deployment Training Standards for categories of personnel, of which the Core Pre-deployment Training Materials are a part. The

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<sup>1</sup> See DPKO, Report on the Strategic Peacekeeping Training Needs Assessment, October 2008: pp. 7-8.

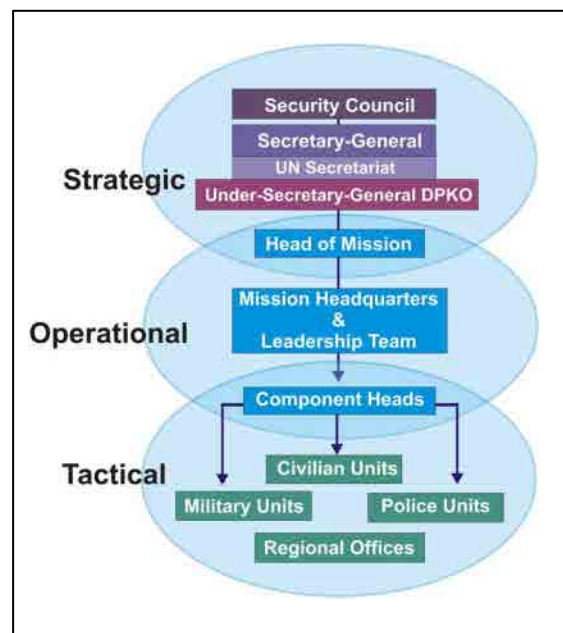
Standards provide guidance on training objectives and learning outcomes, and on how the Core Pre-deployment Training Materials should be matched with relevant Specialized Training Materials during pre-deployment training. The Core Pre-deployment Training Materials have been streamlined to allow for their delivery within one week, so that pre-deployment training courses still have sufficient time to cover the specialized training, in addition to mission-specific and operational issues, as required. Within the materials, instructors are also provided with guidance on where to find additional information, reference materials, mission-specific examples based on DPKO's knowledge management tools and tips on how to include mission-specific information. The content has also been updated to reflect policy and legislative developments in DPKO, DFS, the UN system and training requirements set out in Security Council resolutions since the last SGTM update in 2006. In updating the contents, DPKO has been guided by the substantive expertise within DPKO and DFS and the wider UN system to ensure that these training materials reflect the view of the United Nations as a whole.

## Content Overview

The Core Pre-deployment Training Materials are intended to provide all peacekeeping personnel (military, police and civilian) 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 overall structure of the training generally follows the three levels of authority, command and control in

multi-dimensional UN peacekeeping operations: strategic, operational and



tactical. (Note that these are UN specific terms, which are also used accordingly within the four Units.) While instructors are free to change the order, they should be aware of the linkages within the four units and highlight the interdependence of strategic, operational and individual level issues.

- **Unit 1** addresses strategic level issues and outlines the basic definitions and rationale for United Nations peace and security activities, while familiarizing participants with the fundamental principles of UN peacekeeping.
- **Unit 2** moves from the strategic to the operational level, by explaining how the Security Council establishes mandates for UN peacekeeping operations and how those are operationalized by the UN Secretariat and the mission leadership. It also familiarizes participants with key elements of command and control in UN peacekeeping and mission management structures.
- **Unit 3** addresses those cross-cutting issues which all peacekeeping personnel must know to implement their mandate effectively at the operational level to ensure sustainable peace and an eventual handover to local actors and the UN Country Team (UNCT).
- **Unit 4** addresses policies and procedures related to individual peacekeeping personnel. (Tactical level issues will be addressed primarily in induction training because they are mandate-specific.)

## Structure of the Materials

**Preparatory Notes:** Each unit includes “Preparatory Notes” which provide guidance for the different parts of the unit. The notes include information on the overall aim of the session, intended learning outcomes, training sequence, session duration and methodologies. Additionally there is guidance on instructor profiles, general preparations (including materials and equipment) and preparations for mission-specific information.

**Symbols:** At the beginning of each unit there is a legend of symbols used throughout the document. The symbols can be found in the left margins and are intended to flag features such as speaking points, notes to the instructor, examples and insertion points for mission-specific information.

**Slides:** PowerPoint slides have been provided for all of the Core Pre-Deployment Training Materials and can be found, along with the units themselves, on the Peacekeeping Resource Hub website:

<http://peacekeepingresourcehub.unlb.org>. A picture of each slide is shown in the manual's text directly above its associated speaking points. Key points in the slide are shown in blue fonts in the speaking point's text.

**Speaking Points and Notes to Instructors:** Speaking points are provided as a guide to the standardized content, however, instructors are encouraged to use their own words and examples, rather than read the text.

**Learning Activities:** Guidance on core learning activities are included in the body of the text. Optional activities, if provided, are listed at the back of the unit (or part of the unit). Experienced instructors are encouraged to use their own activities and resources. (Please also see notes below on the "Toolbox".)

**Learning Assessment:** Learning assessment questions and answers have been provided at the end of each part of the four units. Instructors can choose whether to use some or all of these questions and whether to do formal written assessments or informal group assessments. Both the questions and the answers have been provided at the end of the PowerPoint slides as well as in the text.

**Commonly Asked Questions:** Instructors have provided input into some of the questions that they are most commonly asked by. When provided, these questions and answers can be found at the end of each part of the unit. The Integrated Training Service (ITS) is interested in continuing to develop these sections and if instructors have input on questions they are frequently asked,

they are encouraged to provide this information via email to: [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org). (Please clearly note the purpose of your email.)

## Additional Resources

**Toolbox:** In recognition of the need to keep the core materials streamlined, an online “Toolbox” has been created for storing additional resources. The Toolbox is a database of resources and materials that instructors may want to incorporate into their pre-deployment training. Examples of resources include photos, learning activities, scenarios and a listing of films. For information on accessing the Toolbox, please email: [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org)

## Instructor Profiles

At the beginning of each unit there is information regarding the specific background and knowledge required of the instructors in order to be able to properly deliver the material. To facilitate planning, that information is also listed here:

**Unit 1** is best presented by an instructor who has a general knowledge of United Nations peacekeeping history, purposes and principles. The instructor should also have participated in a UN peacekeeping operation so s/he is able to bring a practical understanding of a mission into class discussions.

**Unit 2** is best presented by an instructor who has a general knowledge of how the United Nations Security Council and Secretariat function and also has personal experience in the mission headquarters of a UN peacekeeping operation.

**Unit 3 Part 1** is best presented by an instructor who has a thorough understanding of international humanitarian and human rights law, including in relation to women’s and children’s rights. Where possible, the instructor should have practical experience with the application of human rights, including women’s rights and children’s rights, in UN peacekeeping operations.

**Unit 3 Part 2** is best presented by an instructor who has personal experience in a UN peacekeeping operation and a solid understanding of its structure, composition and working relations.

**Unit 4 Part 1** should be facilitated by one male and one female instructor (where there are male and female participants) who can encourage questions and participation from both male and female participants. The instructor/s should have peacekeeping experience in a United Nations context, including some experience in dealing with misconduct and in particular, cases of sexual exploitation and abuse (SEA).

It is also advisable that the instructor/s' awareness of the various consequences of serious misconduct - particularly in cases of sexual exploitation and abuse - is strong. Where this is not possible, it is strongly advised that an external expert on sexual exploitation and abuse is brought in as a resource person for the second and final sections of the unit.

Depending on the workshop participants, a senior civilian official/high-ranking military/police official should be invited to attend the start of the session and send a strong message underlining the importance of conduct and discipline for United Nations peacekeeping.

**Unit 4 Part 2** has a practical orientation and is best presented by an instructor familiar with the fundamentals of HIV, the impact of behaviour on personal risk and the risk HIV presents to society. S/he must be comfortable in discussing issues related to sex and sexual relationships, including the use of condoms, as well as recreational drug use.

**Unit 4 Part 3** has a practical orientation and is best presented by instructors with personal experience of working with different cultures in a peacekeeping context. If possible, this session is ideally co-facilitated by two people who are able to provide perspectives and examples that represent diverse and complimentary backgrounds.

**Unit 4 Part 4**

*Basic and Advanced Security in the Field* is a self-study on-line course that does not require additional instructor support. If supplementing the on-line course, or if mission-specific security information is provided for Formed Police Units (FPUs) or contingents, it is best presented by someone with experience in a UN peacekeeping operation after the creation of the Department of Safety and Security (DSS) at the end of 2004.

*Road safety* is best presented by someone with practical driving skills and, where possible, has some experience with traffic risks in peacekeeping operations.

*Provision of immunizations, prophylaxis and the related information* must be addressed by a certified health care provider, such as a registered nurse or doctors. Similarly, if a session on *Basic First Aid* is included, it must be presented by a certified professional.

If included, *stress management* should be presented by a certified professional, or if not available, instructors may use the on-line course listed in the text.

## Future Updates

Because the aim of the Core Pre-deployment Training Materials is to provide all peacekeeping personnel with a shared understanding of the basic principles, guidelines and policies of UN peacekeeping, ITS will ensure they are regularly updated to reflect changes in UN peacekeeping policies and guidance. Any updates to different units or sections will be posted and explained on the Peacekeeping Resource Hub website (<http://peacekeepingresourcehub.unlb.org>). Instructors are encouraged to check that site regularly. Approximately every two years ITS will also undertake a comprehensive review of UN Peacekeeping Pre-deployment Training Standards, and the associated Core Pre-deployment Training Materials and Specialized Training Materials to ensure they meet the needs identified in the Strategic Peacekeeping Training Needs Assessments.

## Acknowledgements

ITS would like to thank the numerous training personnel from national peacekeeping training institutions who provided feedback during the updating process, and piloted drafts of the Core Pre-deployment Training Materials, often on very short notice. The finalization of the materials would not have been possible without their professionalism and commitment to peacekeeping training.

The content of the Core Pre-deployment Training Materials was developed primarily by the relevant substantive experts with the Department of Peacekeeping Operations and Department of Field Support as well as the wider UN system. The Integrated Training Service would like to thank the Office of the High Commissioner for Human Rights (OHCHR), the Office for the Coordination of Humanitarian Affairs (OCHA), UN Action against Sexual Violence in Conflict, the relevant offices in DPKO and DFS, including the Office of Military Affairs and Police Division, the Gender Advisory Team, the Child Protection Adviser, the HIV/AIDs Advisory Team, the Security Focal Point and the Conduct and Discipline Unit for the constructive collaboration, which have helped to ensure that the training material reflects the views of the United Nations as a whole. ITS would also like to thank the International Committee of the Red Cross (ICRC) for their advice and comments.

The learning elements, design, structure and user-friendly format of the Core Pre-deployment Training Materials were developed with the invaluable assistance of Paula Beltgens. ITS would also like to thank the members of its Core Advisory Group (David Caceres, Farooque Choudhury, Patrick Duah, Hawaa El-Tayeb, Lucie Jean, Theresa Kambobe, Bela Kapur, Vanessa Kent, Lisa Kurbiel, Sebastien Lapierre, Fred Mallya, Quynh Tran, Karla Witte, and Katja Hemmerich as project leader), who provided the strategic direction for the project.



# UNIT 1: A STRATEGIC LEVEL OVERVIEW OF UNITED NATIONS PEACEKEEPING

## Table of Contents

<b>Unit 1 - Part 1: Introduction to UN Peacekeeping .....</b>	<b>1</b>
Preparatory Notes to Instructors.....	1
Session Notes.....	7
Introduction.....	7
The Purpose of the United Nations.....	10
The Main United Nations Bodies Involved in Peacekeeping.....	12
Secretariat Departments Directly Working on PKOs .....	17
The Spectrum of Peace and Security Activities.....	20
Conflict Prevention.....	21
Peacemaking.....	23
Peace Enforcement.....	24
Peacekeeping.....	26
Peace-building.....	29
Different Types of UN Peacekeeping Operations.....	31
Traditional Peacekeeping.....	32
Multi-dimensional Peacekeeping.....	33
Transitional Authority .....	35
Special Political Missions .....	36
Learning Activity: Group Discussion on Types of Missions.....	38
Unit 1 - Part 1: Learning Assessment .....	42
<b>Unit 1 - Part 2: Fundamental Principles of UN Peacekeeping.....</b>	<b>45</b>
Session Notes.....	45
Fundamental Principles .....	46
Consent .....	47
Impartiality .....	49
Non-use of force except in self-defense & defense of mandate.....	50
Other Success Factors.....	52
Credibility.....	52
Legitimacy .....	53
Promotion of National and Local Ownership .....	55
The Essential Qualities of a Peacekeeper.....	57
Unit 1 - Part 2: Learning Assessment .....	59
Common Questions from Participants .....	61
Optional Learning Activity 1.....	64
Optional Learning Activity 2.....	67
Optional Film: Courage for Peace.....	74
Optional Film: In the Cause of Peace .....	75



# UNIT 1 - PART 1: INTRODUCTION TO UN PEACEKEEPING

## Preparatory Notes to Instructors

### Aim

To familiarize peacekeeping personnel with:

- The main United Nations (UN) bodies involved in UN peacekeeping
- The different kinds of peacekeeping activities and peacekeeping missions
- The key principles and ideals of UN peacekeeping and how to put them into practice
- The qualities needed in UN peacekeeping personnel

### Learning Outcomes

***On completion of Unit 1 – Part 1, participants will be able to:***

1. List the main bodies involved in UN peacekeeping
2. List the five types of peace and security activities used by the Security Council
3. Explain the main differences between traditional and multidimensional peacekeeping operations

***On completion of Unit 1 – Part 2, participants will be able to:***

1. List the basic principles of UN peacekeeping
2. Explain what is meant by the “credibility and legitimacy of the UN peacekeeping mission” and how peacekeeping personnel can support that in practice
3. Explain what national ownership means and why it is important to the success of UN peacekeeping
4. List the necessary qualities in UN peacekeeping personnel

### Training Sequence

Parts 1 and 2 of Unit 1 are best presented at the beginning of pre-deployment training. Unit 1 provides participants with a foundation of information about United Nations Peacekeeping.

### Duration

<b>Part 1</b> <b>Min. Session Time</b>  <b>120 minutes</b>	<b>Lecture/Presentation</b>	<b>Questions/Discussion &amp; Session Assessment</b>	<b>Core Learning Activities</b>
	45 min.	15 min.	60 min.
<b>Part 2</b> <b>Min. Session Time</b>  <b>60 minutes</b>	<b>Lecture/Presentation</b>	<b>Questions/Discussion &amp; Session Assessment</b>	<b>Core Learning Activities</b>
	45 min.	15 min.	
<b>Additional Options</b>	<b>Mission Specific</b>	<b>Optional Films</b>	<b>Optional Activities</b>
	Time to be determined by necessary content	Courage for Peace - 8 min. In the Cause of Peace - 13 min.	Learner Led Presentations – 3-5 hrs. Mix and Match Activity – 60 min.

### Methodology

The following points outline a suggested methodology. Experienced instructors may choose to use alternative methods and activities to present the material and key messages in this unit.

#### Part 1:

- An optional learning activity on the main UN bodies (p. 64)
- Presentations using the provided PowerPoint slides
- A core learning activity on mission mandates (p. 38)
- Informal question and answer periods (as determined by instructor)
- Learning assessment questions at the end of part 1\*
- Optional films (pp. 74 and 75)

#### Part 2:

- Presentations using the provided PowerPoint slides
- Informal question and answer periods (as determined by instructor)
- Learning assessment questions at the end of part 2\*
- An optional activity on the concepts presented in parts 1 and 2 (p. 67)
- Optional films (pp. 74 and 75)

\* **Please Note:** It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question and answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure participants are clear on the key messages.

## Instructor Profile

Unit 1 is best presented by an instructor who has a general knowledge of United Nations peacekeeping history, purposes and principles. The instructor should also have participated in a peacekeeping operation so they bring their own practical understanding and experience of a mission into class discussions.

## Instructor Preparations

### Required Readings

- Charter of the United Nations
- United Nations Peacekeeping Operations Principles and Guidelines (also known as the Capstone Doctrine)
- Review of peacekeeping mission mandates used in the learning activity (Please see the mission specific preparations below.)

### General Preparations

#### Equipment

1. Computer and session slides
2. Projector and screen for slides
3. DVD player and speakers will be needed if films are being shown

#### Materials

1. Copies of the *United Nations Peacekeeping Operations Principles and Guidelines* (one per participant). For copies, please contact [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org) or download the electronic file at: [http://pbpu.unlb.org/pbps/Library/Capstone\\_Doctrine\\_ENG.pdf](http://pbpu.unlb.org/pbps/Library/Capstone_Doctrine_ENG.pdf)
2. For the section on the Spectrum of Peace and Security Activities, instructors are encouraged to use specific examples of the activities from

their own experience. Other examples can also be found in the mandates of many different multi-dimensional missions listed under Current Operations at <http://www.un.org/Depts/dpko/dpko/index.asp>

3. Participants often appreciate copies of the PowerPoint presentations. If printing of the PowerPoint presentations is possible, it is suggested that they are printed in 'handout' format, with 3 slides to a page so participants have room to make notes.

### **Mission Specific Preparations for the Learning Activity on Mandates**

#### ***If mission of deployment is known:***

1. Download the mission mandates from the DPKO website at <http://www.un.org/Depts/dpko/dpko/index.asp> (Click on Current Operations and on the site for each mission you will find a link to the mission mandate).
2. Make copies of each mission mandate for all participants in the training.

#### ***If mission of deployment is not known:***

1. Decide how many groups you will divide the large group into. This will help you decide how many mission mandates you need to use.
2. Download the same number of mission mandates as you have groups. For example, if you will have 4 small groups, choose 4 different mandates – 1 for each group. Choose mandates that represent the different kinds of peacekeeping missions (i.e. traditional, transitional authority or multi-dimensional).
  - Examples of traditional missions include: the United Nations Military Observer Group in India and Pakistan (UNMOGIP), United Nations Mission for the Referendum in Western Sahara (MINURSO) or the United Nations Peacekeeping Force in Cyprus (UNFICYP).
  - Examples of multi-dimensional peacekeeping missions include: The UN Organization Mission in the Democratic Republic of Congo (MONUC), the United Nations Mission in Liberia (UNMIL), the United Nations Stabilization Mission in Haiti (MINUSTAH); or the United Nations Mission in the Sudan (UNMIS).
  - Examples of transitional authorities include: the United Nations Interim Administration Mission in Kosovo (UNMIK), or the United Nations

Transitional Administration in East Timor (UNTAET) which was established in 1999 until East Timor's independence in 2002 when it was replaced by a UN multi-dimensional peacekeeping mission.

3. Make enough copies of each mission's mandate for all participants in the training. (e.g. if there are 24 participants, print out 24 copies of each mandate)
4. If possible, provide participants with copies of mandates to review the day before session.

### Participant Preparations

1. If possible it is strongly recommended that the participants review the following documents before this session:
  - United Nations Peacekeeping Operations Principles and Guidelines (also known as the Capstone Doctrine)
  - Mandates provided by the instructor (or provide classroom time for review)











### Additional Resources

- *Handbook on United Nations on Multidimensional Peacekeeping Operations* (available at: <http://peacekeepingresourcehub.unlb.org>)

### Materials Referenced in this Unit

- *United Nations Peacekeeping Operations Principles and Guidelines (2008)*
- *DPKO/DFS Policy on Authority, Command and Control in UN Peacekeeping Operations (2008)*

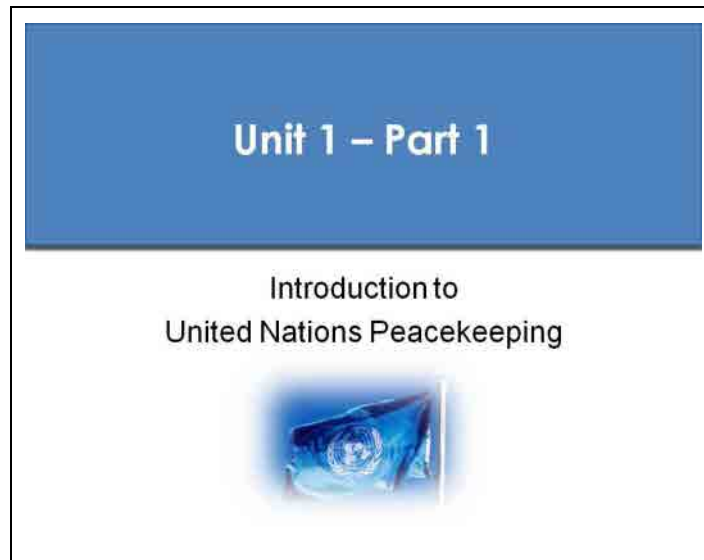
## Symbols Legend

-  Note to the Instructor (Some background information for consideration)
-  Speaking Points (The main points to cover on the topic. Ideally the speaking points are presented in the instructor's own words versus being read to participants. Please note, text in the slides is highlighted in bold, blue fonts in the associated speaking points.)
-  Mission Specific (A point where the session will benefit from mission specific information)
-  Example (Stories that illustrate a point or key message)
-  Sample questions (A list of potential questions to pose to participants)
-  Handout (Indicates a handout is provided to participants at this point)
-  Film (A film that is suggested as either a core or optional activity)
-  Core Learning Activity (An activity that is strongly recommended for inclusion)
-  Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group. Guidelines for these activities are provided at the end of the unit or part – as indicated in the text)
-  Key summary points (Key messages that are worth repeating at the end of the session. Alternatively, the instructor can ask participants what are the main messages they are taking from the session. Instructors can then fill in any points that have been missed.)

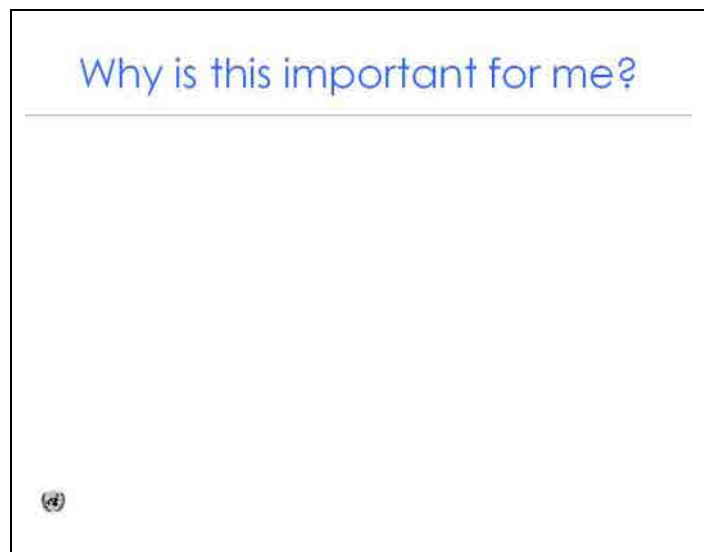
**Note:** Questions commonly asked by participants during this session are listed at the end of the unit.

## Session Notes

### Introduction



**Slide 1**



**Slide 2**

### Why is this important for me?

As peacekeeping personnel you...

- Represent the United Nations, and
- You carry out decisions made at United Nations Headquarters in New York



Slide 3


- 🗨 You are joining the UN as a peacekeeper, which means **you will represent the United Nations** in the country to which you are deployed. While you may not ever visit the Security Council or the **UN headquarters in NY**, **you are in fact carrying out decisions** made there. Therefore you must understand who makes decisions that ultimately affect your work as a peacekeeper and what basic principles about peacekeeping inform those decisions.
- 🗨 Unit 1 is focused mainly on explaining how strategic level decisions are made in the United Nations in peacekeeping. The strategic level means higher level political decisions and management of UN peacekeeping by the relevant parts of the United Nations in NY. This section will explain what those bodies are and how they work.
- 🗨 While it may seem remote from your work as an individual peacekeeper, Unit 2 and Unit 3 will help explain how strategic level decision-making affects you in the field.

### Unit 1 - Part 1 Learning Outcomes


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On completion of Unit 1 – Part 1, participants will be able to:

1. List the main bodies involved in UN peacekeeping
2. List the five types of peace and security activities used by the Security Council
3. Explain the main differences between traditional and multidimensional peacekeeping operations



**Slide 4**

 **Note to Instructor:** Introduce the session by letting participants know the aims of the unit and intended learning outcomes for Part 1 (as shown in slides 2 - 3). You may want to also present an outline of Part 1.

*Instructors in national peacekeeping training institutions may also wish to add a learning outcome and information on the history of their country's participation in UN peacekeeping. This could include the rationale for participating in UN peacekeeping operations, numbers of military and police personnel deployed and the different missions to which personnel have been deployed.*



*Wherever possible, instructors are encouraged to use videos from contingents or individual peacekeeping personnel.*

## The Purpose of the United Nations

### The United Nations (UN)

The UN was founded after World War II in order to:

- Maintain international peace and security
- Develop friendly relations among nations
- Promote social progress and better living standards
- Promote human rights



Slide 5

- 🗨 The United Nations is a unique international organization founded after the Second World War. Its purpose is to **maintain international peace and security, develop friendly relations among nations and promote social progress, better living standards and human rights.**

### UN Member States

- UN is made up of 192 sovereign Member States who discuss common problems and vote on major issues
- The Member States work together as a universal and impartial international organization



Slide 6

- 🗨 The United Nations is made up of **192 sovereign Member States**. It is the tool of all its Member States, who come together to **discuss common problems** and make decisions **by voting on major issues.**

- 🗨 The UN is an impartial organization in which States from all around the world are equal Members. The **impartiality and universality** of the United Nations are key elements of its legitimacy.

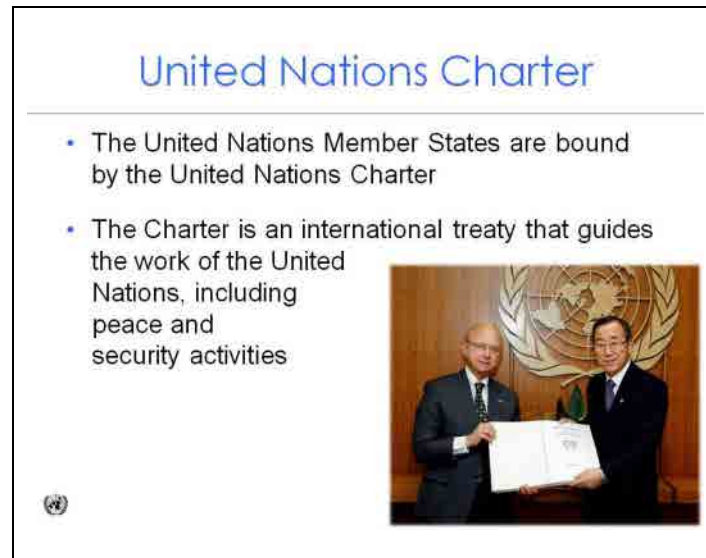
**General Definitions:**

**Impartiality:** without favour or prejudice to any party

**Universality:** inclusive, applies to everyone

**Legitimacy:** seen as credible and worth participating in

- 👉 **Note to Instructor:** *These general definitions are provided simply as an aid to the instructor to be used as appropriate for your audience and lesson. Instructors should also be aware of the difference between impartiality and neutrality, as explained in the Commonly Asked Questions at the end of Unit One.*



Slide 7

- 🗨 The **United Nations Member States are bound together** by the principles of the **UN Charter**. The Charter is an international treaty that spells out the Member States' rights and duties as members of the world community.
- 🗨 **The UN Charter is the foundational document that guides the work of the United Nations, including peace and security activities.** Specific parts of the Charter that are important to peacekeeping mandates will be discussed later in this training.
- 🗨 **Optional Film:** The United Nations: It's Your World (6:52 minutes)  
(<http://www.youtube.com/user/unitednations>)

**Note to Instructor:** The United Nations is made up of many different parts and works on a wide variety of issues ranging from disarmament to economic and social development. Although this training focuses on the elements of the United Nations related to peacekeeping in order to prepare peacekeeping personnel for their work in mission, peacekeeping is not the only function of the United Nations. Time permitting, instructors may wish to use the video listed above to illustrate that point to participants.

## The Main United Nations Bodies Involved in Peacekeeping



Slide 8

Slide 7 shows the **main UN bodies that are part of UN peacekeeping** and how they are connected. We will be discussing these bodies throughout this training.

**Note to Instructor:** This training focuses purely on those parts of the United Nations which have a direct impact on peacekeeping. Instructors wishing to add additional information on other parts of the UN can go to: <http://www.un.org/aboutun/untoday/unorg.htm>.

UN-Specific Use of Terms <small>as defined in DPKO/CDFS policies</small>	
<b>Strategic</b>	<ul style="list-style-type: none"> <li>• High level political decision-making and management of a UN peacekeeping operation at UN HQ</li> </ul>
<b>Operational</b>	<ul style="list-style-type: none"> <li>• Field-based management of a peacekeeping operation at Mission HQ</li> </ul>
<b>Tactical</b>	<ul style="list-style-type: none"> <li>• Management of military, police and civilian operations below the level of Mission HQ</li> <li>• Supervision of individual personnel</li> <li>• Exercised at various levels by subordinate commanders of specific components and civilian heads at levels below the Mission HQ</li> </ul>

## Slide 9

- 💬 In the UN system and for the purposes of this training, we are using the following meanings for the words: **strategic, operational and tactical**.
- 💬 **Strategic:** The **high level political decision-making and management of a UN peacekeeping operation at UN HQ**.
- 💬 **Operational:** The field-based management of a peacekeeping operation at the Mission Headquarters is considered to be the operational level.
- 💬 **Tactical:** The **management of military, police and civilian operations below the level of Mission Headquarters as well as the supervision of individual personnel** is considered to be at the tactical level. This management is **exercised at various levels by the subordinate commanders of the different components and the civilian heads at levels below the Mission Headquarters**.
- 💬 In the next few slides we will be discussing the bodies that are at the strategic level. In units 2 and 3 we will discuss the operational and tactical levels and also the relationships between the components at those levels.
- 👉 **Note to Instructor:** *You may want to go back to slide 7 after you have explained the meanings of strategic, operational and tactical in this context. Participants may want to have another look at the management structure before moving on to slide 9. Instructors should also be aware that the terms and the definitions explained here are specific to United Nations peacekeeping. Other countries or institutions may use them differently. However, UN personnel shall use the terminology as defined above and*

## 14 ▪ Unit 1 – Part 1: Introduction to United Nations Peacekeeping

*spelled out in the Policy on Authority, Command and Control when working for UN peacekeeping.*

### General Assembly (GA)

- The General Assembly is made up of representatives of all the UN Member States
- Each Member State has one vote in the GA
- The GA meets annually and also for special sessions as needed
- There are several committees within the GA, including one that focuses on PKing



Slide 10

- **The General Assembly is made up of representatives of all the Member States of the United Nations.** They discuss and make decisions on all international issues covered by the UN Charter. This ranges from development, humanitarian, social and human rights issues to financial issues, which includes approving the budget for UN peacekeeping missions.
- Each Member State has one vote in the General Assembly.
- The General Assembly has regular **annual** sessions but may also have **special or emergency sessions as needed.**

### UN Security Council

- The Security Council is the UN body with primary responsibility for maintaining peace and security
- The Security Council may investigate and recommend peaceful measures to resolve disputes between States
- If the Security Council determines a threat to peace and security, it may take coercive measures



Slide 11

- 💬 One of the main purposes of the United Nations is to maintain peace and security. According to the UN Charter, **the Security Council is the UN body with primary responsibility for maintaining peace and security.**
- 💬 **The Security Council may investigate and recommend appropriate peaceful measures to resolve disputes and prevent them from escalating.**
- 💬 In situations where the **Security Council has determined that there is a threat to international peace and security, it may take more coercive measures.** These measures may or may not involve the use of force.
- 💬 The legal basis for the Security Council's power to investigate and take appropriate measures is outlined in Chapters 6 and 7 of the UN Charter. Chapter 6 and 7 will be discussed later in Units 1 and 3.
- 💬 The Security Council also has the power to work with regional organizations or arrangements to resolve disputes and maintain international peace and security (under Chapter 8 of the UN Charter) as long as those regional arrangements are consistent with the purposes and principles of the United Nations. Such cooperation is becoming more and more common in peacekeeping. Examples are the hybrid UN-AU peacekeeping operation in Darfur (UNAMID), or the cooperation between NATO and the United Nations Assistance Mission in Afghanistan (UNAMA).



**Note to instructor:** Depending on the group, the following additional information may be of interest.

- *The Security Council is made up of 5 permanent members (China, France, the Russian Federation, the United Kingdom and the United States)*
- *There are also 10 non-permanent members who are elected by the General Assembly. The non-permanent members have two-year terms. (see <http://www.un.org/sc/members.asp> for current membership). The Security Council meets in New York.*
- *Each Security Council member has one vote. Nine out of 15 votes are required for decisions to pass. If a permanent member of the Security Council votes against a resolution, it does not pass.*

### Secretary-General and UN Secretariat

- The Secretary-General (SG) is the “Chief Administrative Officer” of the Organization
- The UN Secretariat is the administrative arm of the UN and is led by the Secretary-General

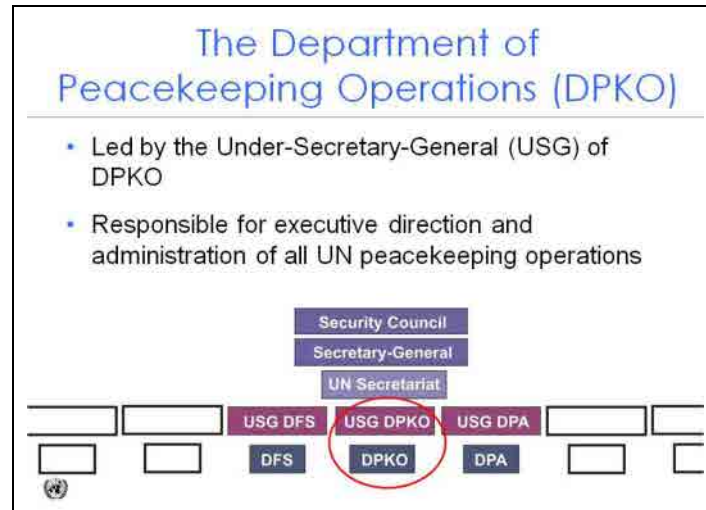




Slide 12

- The Secretary-General is the “Chief Administrative Officer” of the UN Organization.** The Secretary-General is appointed by the General Assembly on the recommendation of the Security Council. It is a five-year, renewable term. The Secretary-General has the power to bring any situation that she or he thinks may threaten international peace and security to the attention of the Security Council. The Security Council still maintains the power to decide whether the situation is in fact a threat to international peace and security.
- Ban Ki-moon, of the Republic of Korea, is the current Secretary-General. He is the eighth Secretary-General of the United Nations.
- The Secretariat is the administrative arm of the United Nations and is led by the Secretary-General.** The Secretariat is made up of a wide variety of departments and offices which deal with all aspects of the United Nations mandate. The Secretariat employs international civil servants who work directly for the UN. These civil servants are not working for their country as diplomats.
- The next slides explain the roles of the departments most directly associated with UN peacekeeping operations.

## Secretariat Departments Directly Working on PKOs



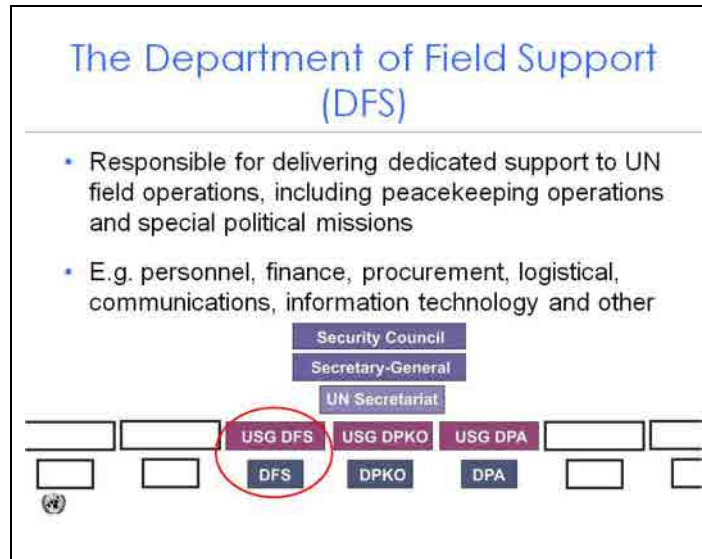
Slide 13

- The Department of Peacekeeping Operations (DPKO):** The Secretary-General gives responsibility for the executive **direction and administration of all UN peacekeeping operations** to the **Under-Secretary-General for Peacekeeping Operations**. This person is often referred to as the “**USG DPKO**”.
- Through the Department of Peacekeeping Operations in New York, the USG DPKO:

  - Directs and controls UN peacekeeping operations
  - Develops policies and develops operational guidelines based on Security Council resolutions (e.g. mission mandates)
  - Prepares reports from the Secretary-General to the Security Council on each peacekeeping operation. The report includes appropriate observations and recommendations
  - Advises the Secretary-General on all matters related to the planning, establishment and conduct of UN peacekeeping operations
  - Acts as a focal point between the Secretariat and Member States who are looking for information on any matters related to United Nations peacekeeping missions
  - Is responsible and accountable to the Secretary-General for ensuring that the requirements of the United Nations security management system are met by the DPKO-led field missions



**Note to Instructor:** For more information on DPKO, go to:  
<http://www.un.org/Depts/dpko/dpko/dpko.shtml>

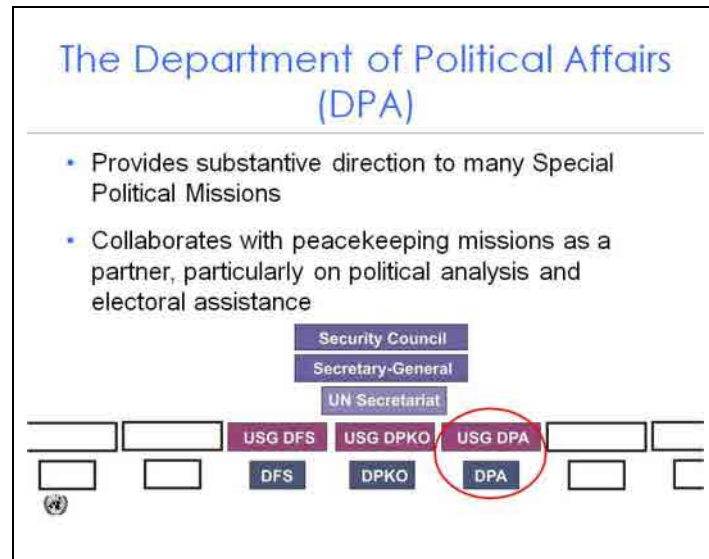


Slide 14

- On behalf of the Secretary-General, the Under-Secretary-General for Field Support (USG DFS) and **the Department of Field Support** are **responsible for delivering dedicated support to UN field operations, including peacekeeping operations and special political missions**.
- Specifically this includes: **personnel, finance, procurement** (purchasing), **logistical, communications, information technology and other administrative and general management issues**.



**Note to Instructor:** For more information on DFS, go to:  
<http://www.un.org/Depts/dpko/dpko/dfs.shtml>



Slide 15

- 🗨️ **The Department of Political Affairs (DPA) provides substantive direction to Special Political Missions (SPMs).**

#### Definitions

**Special Political Missions:** (see page 37) can be political field offices, special envoys or panels or experts to monitor sanctions.

**Substantive:** relating to a particular topic or subject

**Good offices:** the independent political role of the Secretary-General in preventing or mediating conflicts among, and more recently within, States.

- 🗨️ DPA is also a partner for peacekeeping operations. In some cases, DPA's regional divisions provide political analysis or may take leadership in mediation and good offices efforts.



**Examples:** In Cyprus, there is a peacekeeping operation (called the United Nations Peacekeeping Force in Cyprus, or UNFICYP for short) side by side with a Special Advisor who handles the SG's good offices functions.

Likewise, in the Democratic Republic of the Congo (DRC), there is a Special Envoy responsible for Eastern DRC, alongside the peacekeeping mission (known as the United Nations Organization Mission in the Democratic Republic of Congo, or MONUC for short).

- 🗨️ **DPA also collaborates with UN peacekeeping operations** in supporting or conducting **elections** in post-conflict countries.

- The Department of Political Affairs' Electoral Assistance Division also supports peacekeeping operations with needs assessments, policy guidance, or deployment of specialized personnel.

**Note to Instructor:** For more information on DPA, go to:  
<http://www.un.org/depts/dpa/>

## The Spectrum of Peace and Security Activities



Slide 16

**Note to Instructor:** As shown in diagram above, there is no clear sequence (order) for peace and security activities. Generally, conflict prevention, peacemaking and peace enforcement (if used), tend to come before peacekeeping. Different tools are used by the Security Council at different times and in different countries depending on the situation. Only peacekeeping and peace enforcement may involve the use of force.

Many multi-dimensional peacekeeping operations may overlap somewhat with peacemaking or peace enforcement, when they are used. Such peacekeeping operations also overlap significantly with peace-building. The following explanations show how conflict prevention, peacemaking, peace enforcement and peace-building activities support and connect to peacekeeping. This is intended to assist peacekeeping personnel to better understand their role as part of the Security Council's broader strategy to resolve conflict.

- There are a range of peaceful and coercive measures which the Security Council can authorize in cases of conflict. **Peacekeeping** is only one of those activities, and is often **linked** to, or **overlaps** with **conflict prevention**, **peacemaking**, **peace enforcement** or **peace-building**.
- While United Nations peacekeeping operations are generally deployed to support a cease-fire or peace agreement, they often also play a role in peacemaking efforts. They may also be involved in early peace-building activities.
- It is therefore important for peacekeeping personnel to understand how these activities are related. Their peacekeeping work will also have an impact on conflict prevention, peacemaking and peace-building efforts.

## Conflict Prevention



Slide 17

- Conflict prevention involves **the use of diplomatic measures or other tools to prevent inter- or intra-state tensions from turning into violent conflict**. Conflict prevention occurs before a conflict starts. It is generally a peaceful measure adapted to the particular source of the dispute or tension. Conflict prevention may include dialogue, mediation, enquiries into sources of disagreement or confidence-building measures.

### General Definitions

**Inter-state:** between two or more countries

**Intra-state:** within the same country

- 💬 One common conflict prevention measure is the use of the UN Secretary-General's "good offices" to engage in dialogue with the different parties. The aim of this dialogue may be to decrease tension, mediate a disagreement or help resolve the dispute.
- 💬 Depending on the situation, different conflict prevention measures may be taken by different parts of the United Nations and the international community, including regional organizations.
- 🕒 **Examples:** One example of conflict prevention measures which instructors may want to mention was the mediation effort by former UN Secretary-General Kofi Annan in 2008 in Kenya following the disputed presidential elections held on 27 December 2007.

Another example was the Security Council's use of its authority under Chapter 7 of the Charter to establish the Special Tribunal for Lebanon. This international criminal tribunal was mandated to try those suspected of assassinating former Lebanese Prime Minister Rafik Hariri, who was murdered in February 2005.

👉 **Note to Instructor:** Instructors can download Security Council resolution 1757 (2007) from [http://www.un.org/Docs/sc/unsc\\_resolutions07.htm](http://www.un.org/Docs/sc/unsc_resolutions07.htm) for more information.

## Peacemaking

### Peacemaking

- Measures to deal with existing conflicts
- Usually involves diplomatic action to bring hostile parties to a negotiated agreement



Slide 18

- 💬 **Peacemaking involves measures to deal with existing conflicts.**
- 💬 **It usually involves diplomatic action aimed at bringing hostile parties to a negotiated agreement.** This may include direct activities by the United Nations to assist in negotiating a peace agreement, or it may mean that the United Nations facilitates peacemaking by peace negotiators or other regional or international actors, for instance by providing neutral facilities for their negotiations or chairing sessions of the negotiations.
- 💬 The Security Council may request the United Nations Secretary-General, or other peacemakers, such as regional organizations, to take action. At the same time, the Secretary-General, or regional organizations, also have the power to initiate peacemaking, such as the use of his/her “good offices” to assist in the resolution of the conflict.
- 💬 Peacemakers may also be envoys, governments, groups of states, regional organizations or the United Nations. Peacemaking efforts may also be undertaken by unofficial and non-governmental groups, or by a prominent personality working independently.
- 🕒 **Examples:** One of the first examples of a UN peacemaking initiative, was the appointment of the Swedish diplomat Count Folke Bernadotte as the UN Mediator in Palestine in 1948 to use “his good offices to promote a peaceful adjustment of the future situation in Palestine” (General Assembly Resolution 186 of 14 May 1948).

More recent examples of peacemaking initiatives include:

- The appointment of the Joint UN-AU Chief Mediator for Darfur by the Secretary-General of the United Nations and the Chairperson of the African Union in 2008
- The appointment of a Special Envoy of the Secretary-General for rebel Lord's Resistance Army (LRA)-affected areas in Uganda in 2006.

## Peace Enforcement

### Peace Enforcement

- Coercive measures, including military force, used to restore international peace and security
- Only with the authorization of the Security Council
- May be authorized without consent of conflict parties if there is a threat to international peace or for humanitarian & protection purposes
- Important differences between 'robust peacekeeping' and peace enforcement



Slide 19

- ☞ Peace enforcement involves the use of a range of **coercive measures**, such as sanctions or blockades. As a last resort, the **use of military force** may be authorized.

### General Definition

**Coercive:** use of authority or force to make an individual or group do something or stop doing something

- ☞ Because they involve the use of force, **coercive measures are taken only with the authorization of the Security Council.**
- ☞ Such actions are authorized to restore international peace and security in situations where the Security Council has determined there is a threat to the peace, a breach of the peace or an act of aggression. Generally, coercive measures are used when other measures (conflict prevention, peace-making, peacekeeping) have been tried and failed or are not feasible.

- 💬 **The Security Council may authorize peace enforcement action without the consent of the parties to the conflict** if it believes that the conflict represents a **threat to international peace and security or for humanitarian and protection purposes**. This may occur in situations where civilians are suffering and there is no peace agreement in place, nor is there any peace-making process which appears to be moving forward.
- 💬 Peace enforcement is different than peacekeeping since there is no peace process in place or consent from the warring parties. However, Chapter 7 of the UN Charter still provides the legal basis for such an operation or action.
- 💬 The UN does not generally engage in peace enforcement itself. When it is appropriate, the Security Council may use regional organizations for peace enforcement action (under Chapter 8 of the Charter). Peace enforcement action by regional organizations must always be undertaken with the authorization of the Security Council and should not be initiated by regional organizations without the authority of the Security Council.
- 💬 The UN may engage in “robust peacekeeping”. This is when a UN peacekeeping operation is deployed with the consent of the main parties to the conflict and with a strong mandate to use force if necessary to deter spoilers and make sure the peace agreement is properly implemented.

#### General Definition

**Robust:** strong, powerful, able to withstand challenge

- 💬 Although the line between **“robust” peacekeeping and peace enforcement** may appear blurred at times, **there are important differences between the two**.
  - Peace enforcement involves the use of force at a strategic level, without the consent of the parties to the conflict.
  - Robust peacekeeping involves the use force at the tactical level and requires the host country’s consent for the use of force at that level.
  - Both peace enforcement and robust peacekeeping require the authorization of the use of force by the Security Council.

👉 **Note to Instructor:** Let participants know that the use of force will be dealt with in more detail in unit 2.



**Examples:** Examples of peace enforcement operations authorized by the Security Council, but carried out by regional organizations or coalitions include:

- The NATO-led Kosovo Force (KFOR) authorized by Security Council Resolution 1244 in 1999 to establish a safe and secure environment in Kosovo.
- The Unified Task Force (UNITAF), a multinational force, organized and led by the United States, which, in December 1992, had been authorized by the Security Council to use "all necessary means" to establish a secure environment for humanitarian relief operations in Somalia in Security Council Resolution 794.
- The establishment, in 2003, of a Multinational Force in Liberia, under the leadership of the Economic Community for West African States (ECOWAS) to help maintain and establish security after the departure of President Charles Taylor in Security Council resolution 1497 (known as ECOMIL which was later replaced by the UN peacekeeping operation, UNMIL).

## Peacekeeping

### Peacekeeping

- Designed to preserve the peace, where fighting has ended, and to assist in implementing the peace agreement
- It may involve:
  - mostly military techniques of observing cease-fires
  - or
  - complex multi-dimensional models involving military, civilian and police




Slide 20

- 💬 **Peacekeeping is a technique designed to preserve the peace, where fighting has ended, and to assist in implementing agreements** achieved by the peacemakers.
- 💬 UN peacekeeping operations are therefore deployed in situations where the main parties to a conflict have shown their commitment to a cease-fire or a


peace process. There will also need to be consent for working with the United Nations to lay the foundations for sustainable peace.

- Over the years, peacekeeping has changed from the traditional, **primarily military model** of observing cease-fires and the separation of forces after inter-state wars, to incorporate **a complex multi-dimensional model involving military, civilian and police**.

 **Note to Instructor:** *The difference between the traditional military model and the multi-dimensional models of peacekeeping will be discussed later in Part 1. The different kinds of personnel in a multi-dimensional peacekeeping operation will be discussed in Unit 3.*

## Peacekeeping Operations and Chapters 6 and 7

- Although peacekeeping is not specifically mentioned in the UN Charter, the legal basis for UN peacekeeping is contained in Chapter 6 and Chapter 7 of the UN Charter.
- Historically, Chapters 6 and 7 of the Charter have been used as “shorthand” to distinguish between traditional peacekeeping operations (considered to be Chapter 6 missions) and multi-dimensional operations, which were more oriented towards enforcement actions (considered Chapter 7 missions).
- In reality, the Security Council does not necessarily refer to a specific Chapter of the UN Charter when authorizing a UN peacekeeping operation. In fact, the Security Council has never specifically named Chapter 6 in any resolution authorizing a UN peacekeeping operation.
- In recent years, the Security Council has begun to adopt the practice of referring to Chapter 7 of the UN Charter in some resolutions authorizing UN peacekeeping operations. Peacekeeping personnel should consider this reference to Chapter 7 as a sign of the political commitment of the Security Council. It can also be seen as reminder to UN Member States and the parties to the conflict that Security Council resolutions are binding.

 **Note to Instructor:** *As will be explained in Unit 2 – Part 1 in more detail, a peacekeeping operation’s tasks, capabilities and authority to use force in certain situations is guided by the specific wording of the mandate within the Security Council Resolution. It is also guided by the mission’s concept of operations, the rules of engagement and the directive on the use of force.*

Referring to a UN peacekeeping operation as a “Chapter 6” or “Chapter 7” operation is both inaccurate and misleading for operational planning, mandate implementation or training purposes. These references should be avoided.

The mission’s capabilities and/or its mandate to use force are not primarily guided by a reference to Chapter 7 within the mandate resolution. Instructors may need to dispel misunderstandings on this point.



**Examples:** Typical examples of UN peacekeeping missions which follow the primarily military model of cease-fire observation or separation of forces:

- The United Nations Military Observer Group in India and Pakistan (UNMOGIP)
- The United Nations Peacekeeping Force in Cyprus (UNFICYP)
- United Nations Mission for the Referendum in Western Sahara (MINURSO)
- United Nations Observer Mission in Georgia (UNOMIG)
- United Nations Disengagement Observer Force (UNDOF)



**Examples** of complex multi-dimensional peacekeeping missions involving military, civilian and police in various functions:

- The UN Organization Mission in the Democratic Republic of Congo (MONUC)
- The United Nations Stabilization Mission in Haiti (MINUSTAH)
- The hybrid United Nations-African Union peacekeeping mission in Darfur (UNAMID)
- United Nations Mission in the Central African Republic and Chad (MINURCAT)
- United Nations Mission in the Sudan (UNMIS)
- United Nations Operation in Cote d’Ivoire (UNOCI)
- United Nations Mission in Liberia (UNMIL)



**Examples** of the Security Council’s authorization of regional arrangements for peacekeeping include:

- The authorization of a multinational force in 1999 known as INTERFET, which was led by Australia and had the consent of the Indonesian Government to restore peace and security in East Timor, to facilitate humanitarian assistance operations, and to take all necessary measures to fulfill its mandate. The Security Council stressed that INTERFET be replaced by a UN peacekeeping operation as soon as

possible (Security Council Resolution 1264), which led to the establishment of the UN Transitional Authority for East Timor (UNTAET) in 1999.

- Similarly, the Security Council authorized an Interim Multinational Emergency Force (Operation Artemis) on 30 May 2003 (Security Council Resolution 1484), led by the European Union, to deploy to eastern DRC to take all necessary measures to secure the airport, protect IDPs and civilians while the UN mission (MONUC) was reinforced with additional troops.
- In 2007, the Security Council authorized the European Union to deploy a military force alongside the United Nations Mission in the Central African Republic and Chad (MINURCAT) for one year which then transitioned to a UN military force under MINURCAT's authority in 2009 (Security Council Resolutions 1778 and 1861 respectively).

## Peace-building

### Peace-building

- Long-term process of creating conditions for lasting peace by:
  - working on root causes of the conflict
  - supporting security sector reform
  - assisting in rebuilding of justice systems
  - supporting national human rights institutions



Slide 21

- 💬 **Peace-building** involves a range of measures aimed at reducing the risk of lapsing or relapsing into conflict. The national capacity to manage conflict and build a foundation for sustainable peace and development are strengthened at all levels. For this reason, many multi-dimensional peacekeeping operations are also involved in peace-building when they are mandated to help national authorities rebuild a state.
- 💬 Peace-building is a complex, **long-term process of creating the necessary conditions for lasting peace**.

- 💬 Peace-building works on the **deep-rooted, structural causes** of violent conflict in a comprehensive manner.
- 💬 Peace-building activities address core issues that affect the functioning of society and the State. It aims to improve the State's ability to govern effectively.
- 💬 Examples of peace-building activities include: **security sector reform, assistance to rebuild justice systems, support for the creation of national human rights institutions** and other activities aimed at strengthening state structures.



#### Examples:

- The United Nations Organization Mission in the Democratic Republic of Congo (MONUC) is mandated to provide advice to transitional authorities on essential legislation, security sector reform, including training and monitoring of police to ensure that they are democratic and fully respect human rights.
- The United Nations Mission in Liberia (UNMIL) is mandated, in cooperation with international partners, to assist the transitional government in re-establishing functioning administrative structures at national and local levels across the country.
- The United Nations Integrated Mission in Timor-Leste (UNMIT) is mandated to assist the Government of the Democratic Republic of Timor-Leste in conducting a comprehensive review of the future role and needs of the security sector (armed forces, Ministry of Defence, police service and the Ministry of Interior) in order to strengthen their institutional capacity.
- Another peacebuilding measure which the Security Council may authorize is the establishment of international tribunals to combat impunity and seek justice for human rights violations, crimes against humanity and war crimes committed during the conflict. The Security Council established the International Criminal Tribunal for the former Yugoslavia (ICTY) in 1993 (Security Council resolution 827) and the International Criminal Tribunal for Rwanda (ICTR) in 1994 (Security Council resolution 955) as independent bodies separate from any peacekeeping operation.

## Different Types of UN Peacekeeping Operations



Slide 22

- As explained earlier, UN peacekeeping is a practical measure for the maintenance of peace and security which has evolved over time. As a result there are **different types of UN peacekeeping operations** that have developed.
- The different types of UN peacekeeping operations evolved in response to a changing international political environment and different types of conflicts in which the Security Council engaged.
- When the United Nations first became involved in peacekeeping after the Second World War, it addressed conflicts between states which tended to focus on border disputes or territorial disagreements. Since the end of the Cold War, the Security Council has increasingly considered civil wars as a threat to peace and security, particularly when there is massive human suffering and when the conflict threatens to spill over to neighbouring states.
- The different types of peacekeeping operations fall under three main headings: **Traditional Peacekeeping, Multi-dimensional Peacekeeping and Transitional Authority**. These will be explained in the following slides. An additional type of field mission, Special Political Missions (SPMs) which are often involved in conflict prevention, peacemaking or peacebuilding, will also be explained.

## Traditional Peacekeeping

### Traditional Peacekeeping

- Observation, monitoring and reporting – using static posts, patrols, over-flights or other technical means
- Supervision of cease-fire and support to verification mechanisms
- Interposition as a buffer and confidence-building measure



Slide 23

- The original form of UN peacekeeping is what is known as **“Traditional Peacekeeping”**. Traditional United Nations peacekeeping operations were first deployed during the Cold War.
- Traditional peacekeeping is deployed as an interim (temporary) measure to help manage a conflict. It also creates safer conditions for other actors to work on peacemaking activities.
- Traditional peacekeeping operations do not normally play a direct role in political efforts to resolve the conflict. Other actors such as diplomats or other representatives of individual States, regional organizations or special United Nations envoys may be working on longer-term political solutions, which will allow the peacekeeping operation to withdraw.
- As a result, some traditional peacekeeping operations are deployed for decades before a lasting political settlement is reached between the parties.
- The tasks assigned to traditional United Nations peacekeeping operations by the Security Council are essentially military in character and may involve the following:
  - **Observation, monitoring and reporting – using static posts, patrols, over-flights or other technical means**, with the agreement of the parties
  - **Supervision of cease-fire and support to verification mechanisms**

- **Interposition** (placement) **as a buffer and confidence-building measures**.

- The tasks will be outlined in the mandate of the mission set out by the Security Council. Because traditional missions are mostly military in character, they may also be headed by military personnel. In contrast, multi-dimensional peacekeeping operations are headed by a civilian personnel.
- Unlike transitional authorities or multi-dimensional peacekeeping operations, traditional peacekeeping operations do not carry out functions of the State, nor do they engage in governance or capacity-building activities. Therefore, these types of activities will not be reflected in the text of the mandate.



**Examples:** Several of the United Nations longstanding peacekeeping operations fit this “traditional” model:

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

## Multi-dimensional Peacekeeping

### Multi-dimensional Peacekeeping

- Deployed in dangerous aftermath of internal conflict
- Create a secure and stable environment
- Employ a mix of military, police and civilians to support implementation of a peace agreement
- Support establishment of legitimate and effective governance institutions and Rule of Law



**Slide 24**

- 💬 Since the end of the Cold War, multi-dimensional peacekeeping operations have become the most common form of UN peacekeeping operation.
- 💬 These operations are typically deployed in the dangerous aftermath of a violent internal conflict, meaning once there is a peace agreement in place, even a fragile one. The operation works to create a secure and stable environment while working with national authorities and actors to make sure the peace agreement is implemented.
- 💬 These missions are deployed as part of a broader international effort to help countries emerging from conflict make the transition to a sustainable peace. Sometimes this means that the peacekeeping operation will work with other actors inside or outside the UN to support or actively promote national dialogue and reconciliation between different groups to make sure the peace agreement holds. In this way, multi-dimensional peacekeeping operations are generally more involved in *peacemaking* than *traditional peacekeeping* operations.
- 💬 They employ a mix of military, police and civilian capabilities to support the implementation of a comprehensive peace agreement.
- 💬 They support the establishment of legitimate and effective institutions of governance and Rule of Law. They also support the State's ability to provide security, with full respect for human rights.
- 💬 The multi-dimensional peacekeeping operation also provides a framework for ensuring that the United Nations and other international actors work in coordination at the country-level. This is often difficult in practice because there are so many UN and other international actors. This is why peacekeeping personnel need to be aware of what those other actors do and how they cooperate with the UN peacekeeping operation.



**Note to Instructor:** In Unit 3 we will be discussing the different actors in a UN peacekeeping mission and how they can support each others' work.



**Examples** of multidimensional UN peacekeeping missions are:

- The UN Organization Mission in the Democratic Republic of Congo (MONUC)
- The United Nations Stabilization Mission in Haiti (MINUSTAH)

- The hybrid United Nations-African Union peacekeeping mission in Darfur (UNAMID)
- United Nations Mission in the Central African Republic and Chad (MINURCAT)
- United Nations Mission in the Sudan (UNMIS)
- United Nations Operation in Cote d'Ivoire (UNOCI)
- United Nations Mission in Liberia (UNMIL)



**Note to instructor:** Instructors wishing to show a world map of all DPKO-led peacekeeping operations can download the latest version from:

<http://www.un.org/Depts/dpko/dpko/bnote010101.pdf>

## Transitional Authority

### Transitional Authority

- A UN multi-dimensional peacekeeping operation that temporarily assumes the legislative & administrative functions of the State:
  - until sovereignty questions are resolved, or,
  - to establish administrative structures that may not have existed previously.
- A rarely used measure



Slide 25

🗨️ **Transitional Authority:** In very **rare** circumstances, the Security Council has also authorized **multi-dimensional United Nations peacekeeping operations to temporarily assume** (take responsibility for) **the legislative and administrative functions of the State**.

🗨️ This measure is taken in order to:

- **Resolve sovereignty questions**, such as:
- supporting the transfer of authority from one sovereign entity to another, or
- until sovereignty questions are fully resolved (as in the case of transitional administrations),

- or to help the State to **establish administrative structures that may not have existed previously**.



**Examples:** The UN has only authorized transitional authorities in the three following cases:

- The United Nations Transitional Authority in Cambodia (UNTAC) from March 1992 to September 1993
- The United Nations Transitional Authority in East Timor (UNTAET) from October 1999 to May 2002
- The UN Interim Administration Mission in Kosovo (UNMIK) established in June 1999

## Special Political Missions

### Special Political Missions (SPMs)

- Three types of SPMs:
  - Field Missions
  - Special Envoys
  - Expert Panels to monitor Security Council sanctions
- SPMs vary in mandate, size and duration
- Field missions have very few or no uniformed personnel



Slide 26

- 💬 In addition to the three types of UN peacekeeping operations mentioned earlier, the United Nations may also deploy a **“Special Political Mission” (SPM)**.
- 💬 The term “Special Political Mission” is a term that covers:
  - political **Field Missions**
  - **Special Envoys**
  - **Expert Panels** to monitor Security Council sanctions
- 💬 There is a huge **variety in the mandate, size and duration** of SPM field missions. In general, they tend to be involved in conflict prevention, peace-making or peacebuilding.

- 💬 The major difference between a peacekeeping operation and a Special Political Mission (SPM) field mission is uniformed personnel. **In SPM field missions, there are very few or no uniformed personnel.**
- 💬 Because Special Political Missions can be deployed as conflict prevention, peace-making or peace-building initiatives they may be deployed at the same time as peacekeeping operations or before or after the deployment of a peacekeeping operation. It depends on the context.

👉 **Note to instructor:** Instructors wishing to show a world map of all UN Special Political Missions may download it from <http://www.un.org/Depts/dpko/dpko/ppbm.pdf>



### Examples:

- The Special Envoy of the Secretary-General on the future of Kosovo is one example of a Special Envoy deployed at the same time as the peacekeeping operation (transitional authority) in Kosovo.
- The United Nations Integrated Peace-building Office in Sierra Leone (UNIPSIL) and the United Nations Integrated Office in Burundi (BINUB) are examples of SPM field missions which took over from UN peacekeeping operations in those countries.
- The United Nations Assistance Mission in Iraq (UNAMI) and the United Nations Assistance Mission in Afghanistan (UNAMA) are two examples of SPM field missions where the military and police peacekeeping functions are carried out by regional coalitions or alliances with the authorization of the Security Council.

👉 **Note to instructor:** Instructors can find more information on Special Political Missions at <http://www.un.org/Depts/dpko/dpko/pk1.shtml>



## Learning Activity: Group Discussion on Types of Missions

The purpose of this group discussion activity is for participants to become familiar with mission mandates.

This activity will be particularly interesting if the mission of deployment is known. However, if the mission of deployment is not known, a sampling of existing missions can be used for discussion purposes.



**Pre-Reading Time Required:**

15 minutes minimum to review the mandates. This can be assigned the previous day and thereby save time during the session. This will also allow people more time to familiarize themselves with the mandates.



**Learning Activity Time Required:**

10 minutes for activity introduction and instructions

15 minutes for discussion in pairs or groups

20 minutes for discussion in large group

Total time: **45 minutes** (total time dependent on size of the group)  
or 60 minutes total if reading time is included in the session



**Preparations:** Please see notes on preparations and downloading mission mandates in the “Preparations” notes at the beginning of this unit.



**Activity Guidelines:**

***If mission of deployment is known:***

1. Ask participants to gather with others in the group who are deploying to the same mission as they are. If everyone is going to the same mission, ask people to divide into small groups or work in pairs.
2. Provide each participant with printed copies of the mandate of the mission to which each of the participants is deploying. (This is best done the day before, if possible.)
  - Note: If there is more than one mission of deployment, give each participant copies of the other missions as well. This way everyone can learn about different mandates while the other groups are reporting back.

3. If participants did not have time to read the mandate before the activity, allow 15 minutes now.
4. Ask participants to talk with their partner or in their small groups and decide whether the mandate is for a traditional or multi-dimensional mission or a transitional authority. Ask participants to be prepared to report their decision and reasons to the larger group.
5. Option: If there is time, ask participants to read at least one of the other mandates and discuss in their small groups what kind of mission it is and the reasons for their decision.
6. After 15 minutes of discussion time, ask groups to report back to the large group what they have decided and why.
  - Note: it is helpful to ask participants to point out the specific wording that helped them decide on the type of mission.
  - If a group has disagreement on the type of mission, ask them to present their reasons to the large group.
  - If there is enough time, you can ask the other groups if they agree with the reporting group (provided they have copies of that mandate).

***If mission of deployment is not known:***

1. Divide participants into groups or ask them to pair up, depending on the size of the group. (See Preparation Notes at beginning of this unit.)
2. Assign each group with a different mission mandate. (i.e. if there are 3 groups you will need 3 different mission mandates).
3. Provide printed copies to each participant of the mandate of the mission they will be discussing. (This is best done the day before, if possible.)
4. If participants did not have time to read the mandate before the activity, allow 15 minutes now.
5. Ask participants to talk with their partner or in their small groups and decide whether the mandate is for a traditional or multi-dimensional mission or a transitional authority reasoning. Ask participants to be prepared to report their decision and reasons to the larger group.
6. Option: If there is time, ask participants to read at least one of the other mandates and discuss what kind of mission it is.

7. After 15 minutes of discussion time, ask groups to report back to the large group what they have decided and why.
  - Note: it is helpful to ask participants to point out the specific wording that helped them decide on the type of mission.
  - If a group has disagreement on the type of mission, ask them to present their reasons to the large group.
  - If there is enough time, you can ask the other groups if they agree with the reporting group (provided they have copies of that mandate).

## Summary of key messages



**Note to Instructor:** *Outline the main points that have been covered during the session.*

- The United Nations has an internationally recognized mandate to maintain international peace and security.
- Wherever possible the Security Council seeks peaceful means to resolve conflict.
- Peacekeeping is just one of several tools available to the Security Council and the international community for maintaining international peace and security. Peacekeeping often overlaps with conflict prevention, peace-making, peace enforcement and peace-building.
- Peacekeeping is used to preserve and build sustainable peace where a cease-fire or peace agreement already exists, and where parties to the conflict have consented to the deployment of a peacekeeping operation.
- “Robust peacekeeping” is different than peace enforcement. Peace enforcement uses force at the strategic level with the authority of the Security Council but without the consent of the main parties to the conflict.
- The Security Council must authorize the use of force.
- All peacekeepers should have a clear idea of what type of mission they will be deployed to and the nature of its mandate. The mandate will vary between traditional and multi-dimensional missions and transitional authorities.
- For all three types of missions, it is the Security Council which provides the high-level strategic direction and political guidance for the mission.
- It is the Under-Secretary-General of DPKO who administers and provides the executive direction for all three types of peacekeeping operations.

## Unit 1 - Part 1: Learning Assessment

The following questions can be informally asked of the whole participant group at the end of the session or can be used in written form. At the end of the unit and/or the conclusion of the training, instructors may want to again choose some of the following questions for review.

### Questions

1. Who are the members of the United Nations?
  - a. The Security Council
  - b. The 192 Member States
  - c. DPKO, DPA and DFS
2. What is the international treaty that spells out the rights and duties of the Member States of the United Nations?
3. What is the main body within the United Nations that is responsible for maintaining peace and security?
4. What are the five main peace and security activities which the Security Council might authorize in cases of conflict?
5. What are some of the tasks of a “traditional” peacekeeping operation?
6. What are some of the tasks that the military, police and civilian personnel of a “multi-dimensional” peacekeeping operation are responsible for?

### Answers

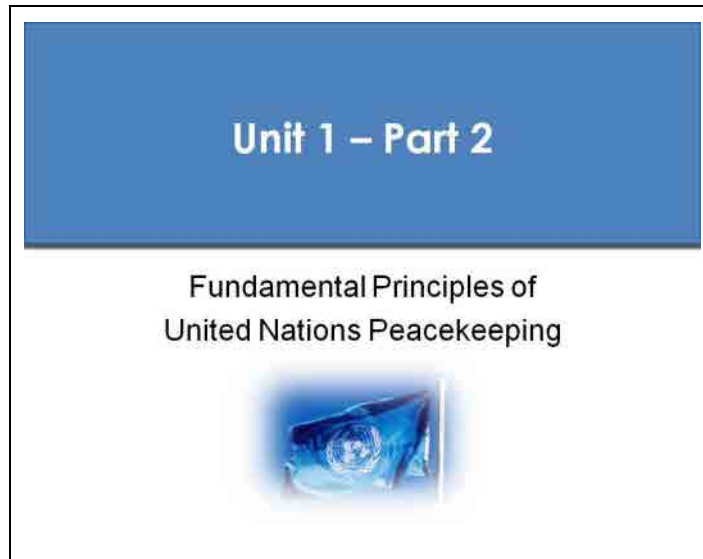
1. b) The 192 Member States (sovereign countries that belong to the United Nations)
2. The UN Charter
3. The Security Council
4. i) peacekeeping ii) conflict prevention iii) peacemaking iv) peace enforcement v) peace-building
5. “Traditional peacekeeping” is an interim measure to help manage a conflict and create conditions in which peacemaking activities can be undertaken by other actors.

6. “Multi-dimensional” peacekeeping personnel are tasked with:
- Creating a secure and stable environment
  - Perhaps playing a role in political efforts to promote dialogue and resolve the conflict
  - Supporting establishment of legitimate and effective governance institutions and Rule of Law
  - Providing a framework for the United Nations and other peacekeeping personnel to work in coordination together at the country level



## UNIT 1 - PART 2: FUNDAMENTAL PRINCIPLES OF UN PEACEKEEPING

### Session Notes




Slide 1


Unit 1 - Part 2  
Learning Outcomes

On completion of Unit 1 – Part 2, participants will be able to:

1. List the basic principles of UN peacekeeping
2. Explain what is meant by the “credibility and legitimacy of a UN peacekeeping mission” and how peacekeeping personnel can support that in practice
3. Explain what national ownership means and why it is important to the success of UN peacekeeping
4. List the necessary qualities in UN peacekeeping personnel




Slide 2

 **Note to Instructor:** Introduce the session by going over the intended learning outcomes for Part 2 (as shown in slide 2). You may want to also present an outline of Part 2.

*Please see the Preparation notes at the beginning of Unit 1.*




## Fundamental Principles

 **Note to Instructor:** The following principles are outlined in the *Principles and Guidelines on United Nations Peacekeeping Operations* (also known as the *Capstone*). It is the key doctrinal document for UN peacekeeping, and will provide a more detailed explanation of these principles.

*Information on how to get paper or digital copies of the document is in the Preparations section at the beginning of this unit.*



Slide 3

-  As previously discussed, UN peacekeeping is a practical measure to help contain armed conflicts and to assist in resolving disputes through peaceful dialogue and negotiation. It has become one of the main activities of the United Nations for maintaining international peace and security.
-  The following **fundamental principles of UN peacekeeping** have developed over time through experience and lessons learned.
  1. Consent
  2. Impartiality
  3. Non-use of force except in self-defence and defence of the mandate
-  These principles provide a navigational aid – a compass – for peacekeeping personnel, both in the field and at United Nations Headquarters. It is important that the meaning and practice of these principles are understood by everyone

who is involved in United Nations peacekeeping operations. They must be applied in all aspects of peacekeeping planning and conduct.

## Consent

### Principle #1: Consent

- All UN peacekeeping operations require the consent of main parties to the conflict
- Without consent for the mandate, the operation is peace enforcement
- The UN PKO's role is to move the peace process forward while maintaining consent of all the parties to the conflict



**Slide 4**

- 💬 **All UN peacekeeping operation** should be deployed **with the consent of the main parties**. Consent ensures that the mission has the political and physical freedom of action needed to carry out its mandated tasks. Consent for a peacekeeping mission is provided to the Security Council during the planning phase by the leading representatives or negotiators representing the main parties to the conflict.
- 💬 Security Council action taken **without the consent of the parties is typically a peace enforcement mission**, rather than a peacekeeping mission. Without consent, a United Nations peacekeeping operation risks becoming a party to the conflict. They can be drawn into peace enforcement and away from the key role of keeping the peace.
- 💬 A complete withdrawal of consent to the peacekeeping mission by one or more of the main parties challenges the reason for the operation. Withdrawal of consent will likely change the international community's strategy and may mean that the Security Council withdraws the peacekeeping operation.
- 💬 Consent can be uncertain or unreliable in some contexts. A lack of trust between parties to the conflict may cause one or more of the parties to block certain aspects of the peacekeeping mission's mandate.

- Weak command and control systems within parties to the conflict may mean that there are differences of opinion between central and local levels of command. There may also be “spoilers”, not under control of any of the main parties to the conflict, who have an interest in spoiling the peace process.



**Example:** The experience of the United Nations Mission in Ethiopia and Eritrea (UNMEE) illustrates the importance of consent – or more importantly why peacekeeping operations cannot function without consent. In June 2000, after two years of fighting in a border dispute, Ethiopia and Eritrea signed a cessation of hostilities agreement following proximity talks led by Algeria and the Organization of African Unity. In July, the Security Council set up UNMEE to maintain liaison with the parties and establish a mechanism for verifying the ceasefire. In September 2000, the Council authorized UNMEE to monitor the cessation of hostilities and to help ensure the observance of security commitments.

On 30 July 2008, the Security Council terminated the mandate of UNMEE with effect from the following day. The Council decision came in response to crippling restrictions imposed by Eritrea on UNMEE, as well as the cutting off of fuel supplies – making it impossible for the operation to continue carrying out its mandated tasks and putting at risk the safety and security of UN personnel.

### What Can Peacekeepers Do?

- It is the job of every peacekeeping mission (civilian, military and police components equally) to continuously analyze the peacekeeping environment. Peacekeeping personnel must watch and be ready to prevent any loss of consent at the local or central level.
  - In the implementation of its mandate, **the United Nations Peacekeeping Operation’s role is to move the peace process forward while maintaining consent of all the parties to the conflict.**
  - This means that all UN peacekeeping personnel must have a thorough understanding of the history, customs and culture in the mission area. Peacekeeping personnel must also have the capacity to assess and report on the evolving interests and motivation of the parties.
- Note to Instructor:** Trainers should let participants know that in addition to the mission-specific information received during this training, participants should also familiarize themselves with the Pre-deployment Information Package

(PIP). The PIP provides information on the mission and the local context. It can be downloaded from <http://peacekeepingresourcehub.unlb.org>.

Participants should also be aware that there is a mandatory induction training for all personnel arriving in mission which they must attend. The induction training will provide further information on the history, customs and culture of the mission area, the role of the mission and the rules and procedures within the mission.

## Impartiality

### Principle #2: Impartiality

- UN peacekeeping operations must implement their mandate without favour or prejudice to any of the parties to the conflict (like a good referee)
- A peacekeeping operation cannot condone actions by parties if they violate the norms and principles the UN PKO upholds
- Reasons for the action must be clearly communicated to all




Slide 5

- 🗨️ UN peacekeeping operations must **implement their mandate without favour or prejudice to any of the parties to the conflict**. Impartiality is crucial to maintaining the consent and cooperation of the main parties.
- 🗨️ A peacekeeping operation is similar to **a good referee** who is impartial, but will penalize infractions. A peacekeeping operation should **not condone actions by the parties that violate the undertakings of the peace process or the international norms and principles that a United Nations peacekeeping operation upholds**.
- 🗨️ Impartiality for UN peacekeeping operations therefore means adherence (keeping to) to the principles of the Charter and to the objectives of the mission mandate, which are also rooted in Charter principles.
- 🗨️ This kind of impartiality is not the same as neutrality. It is also not the same as equal treatment of all parties in all cases for all time, which can amount to a policy of appeasement. In some cases, local parties are made up of obvious

aggressors and/or victims, and a peacekeeping operation may not only be operationally justified in using force but morally compelled to do so.


### What Can Peacekeeping Personnel Do?

- 💬 If the peacekeeping process is being undermined and the mission decides to take action, the missions must make sure that the **rationale for action** is well-established. The **reasons for action** and the appropriate response **must be clearly communicated to all**.
- 💬 This will help to lessen any potential backlash against the mission. In order to maintain the principle of impartiality, it is important that the peacekeeping operation is perceived as a fair, open and transparent actor.
- 👉 **Note to Instructor:** *If participants ask about the difference between impartiality and neutrality, please refer to the “Commonly Asked Questions” at end of this unit.*

### Non-use of force except in self-defense & defense of mandate

Principle #3: Non-use of force except in self-defense & defense of mandate

- Use of force permitted in self-defense & defense of mandate
- SC may authorize a mission “to use all necessary means” to defend the mandate
- Use of force permitted as a measure of last resort
- Minimum use of force
- The RoE or DuF clarify level of force



Slide 6


- 💬 The initial principle that UN peacekeeping operations should only use force in **self-defense** has evolved to include the use of force in order to **defend the mandate**. This means that even though the UN peacekeeping operations are not a peace enforcement tool, they may use force at the tactical level.
- 💬 Use of force is only with **authorization of the Security Council** and only if they are acting in self defense and/or defense of the mandate. **Self defense** is

generally understood to be in defense of United Nations personnel and property.

- 💬 In situations where there may be militias, criminal gangs and other spoilers who actively seek to undermine the peace process or pose a threat to the civilian population, the Security Council tends to provide the mission with a “robust” mandate. (Robust mandates were introduced earlier in Part 1.)
- 💬 A robust mandate authorizes the peacekeeping operation to **“use all necessary means”** to deter forceful attempts to disrupt the political process. It is also intended to protect civilians under imminent threat of physical attack or assist the national authorities in maintaining law and order. The use of force in such instances is considered to be in **defense of the mandate**.
- 💬 Even when the Security Council has specified a robust mandate, a United Nations peacekeeping operation should **only use force as a measure of last resort**, when all other methods of persuasion have failed.

### What Can Peacekeeping Personnel Do?

- 💬 **The minimum use of force** should be used to achieve the desired tactical result while sustaining consent for the mission and its mandate. The peacekeeping operation must exercise restraint in the use of force and ensure its use is precise, proportional and appropriate for the local context.
- 💬 In its use of force, a United Nations peacekeeping operation should always be mindful of the need for an early de-escalation of violence and a return to non-violent means of persuasion. The ultimate aim of the use of force is to influence and deter spoilers working against the peace process or seeking to harm civilians. It is not to seek their military defeat.
- 💬 This means the political implications, mission capability, public perceptions, humanitarian impact, force protection, safety and security of personnel and the effect on national and local consent for the mission are all factors to be taken into account when deciding on the application of the use of force.
- 💬 Peacekeeping personnel must familiarize themselves with the appropriate documents outlining the use of force. The mission-wide **Rules of Engagement (ROE) for the military and Directive on the use of Force (DUF) for the police components** of the UNPKOs will clarify the different levels of force that can be used in various circumstances, how each level of force should be used, and any authorizations that must be obtained by commanders.

 **Notes to instructor:** *There will be additional information on Rules of Engagement and Directive on the Use of Force in Unit 2.*

*As noted in Part 1, the instructor may have to dispel misperceptions that a peacekeeping operation's authority to use force is linked primarily to an explicit reference to Chapter 7 of the UN Charter in the Security Council mandate. Some Troop Contributing Countries (TCCs) may feel that reference to Chapter 7 by the Security Council provides important political and legal cover within the context of their domestic jurisdictions for the use of force by their military personnel deployed to a UN peacekeeping operation.*

*As will be explained in Unit 2, 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 rules of engagement, directive on the use of force and international humanitarian law determine how force is to be used within the mandate.*

## Other Success Factors


### Credibility


### Credibility

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Credibility requires:

- A precise and achievable mandate with the resources to match
- Effective, rapid deployment
- A confident, capable and unified posture of the mission
- Management of expectations





Slide 7

 Ideally, in order to be credible, a United Nations peacekeeping operation must have a **precise and achievable mandate with the resources to match it.**

- Experience has shown that the **effective and rapid deployment** of a credible presence can help to deter spoilers. It also lessens the likelihood that a mission will need to use force to implement its mandate.
- The credibility of the peacekeeping operation is a function of a mission's effectiveness and its ability to **manage and meet expectations** generated by the Security Council's intervention.



### What Can Peacekeeping Personnel Do?

- In reality, mission mandates may be influenced by politics in the Security Council and it sometimes takes longer than expected to deploy personnel or equipment. For that reason, it is all the more important that the mission must work to maintain **a confident, capable and unified posture**. In Unit 3 we will explore more about how the different components of a mission can work together and support each others' functions.
- The deployment of a United Nations peacekeeping operation will generate high expectations among the local population regarding its ability to meet their most pressing needs. A perceived failure to meet these expectations, no matter how unrealistic, may cause a United Nations peacekeeping operation to become a focus for popular dissatisfaction, or worse, active opposition.
- Peacekeeping personnel should always avoid making false promises, no matter how well intentioned.

### Legitimacy

### Legitimacy

- The perceived legitimacy of a United Nations peacekeeping operation is directly related to the quality and conduct of its military, police and civilian personnel.



Slide 8

- 💬 **International legitimacy** is one of the most important assets of a United Nations peacekeeping operation.
- 💬 A new mission tends to start with legitimacy because it has been established by a mandate from the UN Security Council. Its legitimacy is strengthened by the fact that it is directed by the UN Secretary-General. The Secretary-General is a recognized, impartial international figure.
- 💬 The mission also has legitimacy from the broad representation of the many different Member States who contribute personnel, equipment and funding to the peacekeeping operation.
- 💬 However, perceptions of a UN peacekeeping operation's legitimacy can change based on the firmness and fairness with which the mission exercises its mandate. How the PKO uses force, the discipline it imposes upon its personnel, the respect it shows to local customs, cultural artifacts, institutions, and laws, and the decency with which it treats the local people will all contribute to how the mission is perceived.

### What Can Peacekeeping Personnel Do?



- 💬 **The perceived legitimacy of a United Nations peacekeeping operation is directly related to the quality and conduct of its military, police and civilian personnel.** The bearing and behavior of all personnel must be of the highest order. Their actions must be in keeping with the important responsibilities entrusted to a United Nations peacekeeping operation. The behavior of peacekeeping personnel should meet the highest standards of professionalism, competence and integrity.

👉 **Note to Instructor:** *Instructors may wish to refer back to the points related to the impartiality and universality of the United Nations discussed in Part 1. The issues of legitimacy will also be discussed in Unit 4 in the section on Conduct and Discipline.*

## Promotion of National and Local Ownership

Promotion of  
National and Local Ownership

- Fosters trust and cooperation
- Reinforces perceived legitimacy of the mission
- Ensures sustainability of the peace-building process
- Should include all parts of society
- All opinions need to be heard and understood

Slide 9

- 💬 The **promotion of national and local ownership** means that peacekeeping personnel work towards improving the lives of the local population with the understanding that once the operation is done, local people will take over much of the work that the mission has done. This means including local and national perspectives on what is needed and how it can best be done.
- 💬 In an earlier slide we discussed the importance of consent as one of the fundamental principles of UN peacekeeping. That level of consent is generally considered to be consent by the main parties to the conflict, i.e. the people in power. National ownership is a more democratic concept that includes reaching out to all parts of the country, not just those in power or with guns.
- 💬 Every effort should be made to promote national and local ownership and to **foster trust and cooperation** of local and national actors. This approach is critical to the success of the mission.
- 💬 Effective approaches to national and local ownership **reinforce the perceived legitimacy of the mission** and support the mandate's implementation.
- 💬 Peacekeeping operations that have worked closely with local actors and have built a solid relationship with them are better able to handover the mission's tasks to the local population when the operation withdraws. In this way, national ownership also helps to **ensure the sustainability the peace-building process after the mission has withdrawn.**



### Example: Promoting National Ownership while Fostering Local Consent

In its first year, the United Nations Stabilization Mission in Haiti (MINUSTAH) had limited cooperation from the local population in the capital. This was mostly because of the community's fear of criminal gangs who dominated the neighbourhoods. These gangs were "spoilers" in the peace process.

In 2005, after the military component of MINUSTAH re-established security in the Bel Air neighbourhood, it started to work on civil activities and quick impact projects (QIPs). For example, the UN military peacekeepers began cleaning up mountains of garbage from the streets which had been used as barricades by the gangs. The garbage had been a symbol of the gangs' hostile presence and of urban poverty, as well as a source of disease.

When the military literally cleaned up the streets, right after they had eliminated the threat of gangs in Bel Air, the population felt they could trust them, and soon began to help them in the cleaning process. This illustrates a practical way the mission gained the consent of the local population to their presence. This consent helped prevent the spoilers from being able to return to the neighbourhood.

### What Can Peacekeeping Personnel Do?

- 💬 Talk to local people about their different views on the root causes of the conflict and how they can help address these root causes.
- 💬 It is important that peacekeeping personnel **talk to all parts of society** about what their needs are and how the mission's work can improve their lives. This means local officials, but also non-governmental organizations, different political parties, women's associations, youth and student groups. **All opinions and views need to be heard and understood.**
- 💬 It is also critical to have an understanding of local history, culture and values. Peacekeeping personnel should continuously consult and discuss their work with different people and groups in the community to make sure they are properly meeting their needs.

## The Essential Qualities of a Peacekeeper

- No matter what level they are working at, all peacekeeping personnel (military, civilian or police) play a critical role in representing the peacekeeping operation in their daily work and lives.
- All peacekeeping personnel should practice the fundamental principles of UN peacekeeping and understand how their work contributes to the success of the mission.
- The essential qualities of needed in peacekeeping personnel can therefore be summarized by the points in slides 10 and 11.

### UN Peacekeeping Personnel

- Meet the highest standards of efficiency, competence and integrity
- Are impartial
- Are mindful of the need to prioritize peaceful solutions
- Are aware of local history, customs and culture



Slide 10

### UN Peacekeeping Personnel

- Are able to analyze and report on their operating environment
- Use good judgment and are able to communicate the reason for their actions
- Are able to manage local expectations and explain the mission mandate
- Promote national and local ownership while remaining inclusive and impartial



Slide 11

## UN Peacekeeping Personnel:

- Meet the highest standards of efficiency, competence and integrity
- Are impartial
- Are mindful of the need to prioritize peaceful solutions
- Are aware of local history, customs and culture
- Are able to analyze and report on their operating environment
- Use good judgment and are able to communicate the reason for their actions
- Are able to manage local expectations and explain the mission mandate
- Promote national and local ownership while remaining inclusive and impartial

### Summary of key messages



**Note to Instructor:** Outline the main points that have been covered during the session.

- *There are three fundamental principles that guide UN peacekeeping operations. These are Consent, Impartiality and Non-use of Force except in self-defense or defense of the mandate.*
- *The perceived credibility and legitimacy of the peacekeeping operation are key factors in its success. Peacekeeping personnel support the legitimacy of the peacekeeping operation by practicing the fundamental principles of UN peacekeeping.*
- *Promoting a sense of national and local ownership ensures that the peacekeeping operation is appropriately serving the country's needs and that the local population will be able to continue the work once the mission departs. It is critical that all parts of society are included in discussions about what is needed and how best to provide for those needs.*
- *There are several qualities that peacekeeping personnel need to demonstrate when they are representing the peacekeeping operation (listed on previous page).*

## Unit 1 - Part 2: Learning Assessment

The following questions can be informally asked of the whole participant group at the end of the session or can be used in written form. At the conclusion of the training, instructors may want to again choose some of the following questions for review.

### Questions

1. What are the three fundamental principles of UN Peacekeeping?
2. Please explain what is meant by the principle of “Consent”.
3. Please explain what is meant by the principle of “Impartiality”.
4. Under what circumstances is the use of force permitted in a peacekeeping mission?
5. What are some of the essential qualities of UN peacekeeping personnel?

### Answers

1. 1) Consent 2) Impartiality 3) Non-use of force except in self-defense
2. In order for an operation to be considered a UN ‘peacekeeping operation’ it requires consent from the main parties. This ensures that the mission has the political and physical freedom of action to carry out its mandated tasks. Operations without consent are categorized as “peace enforcement” operations.
3. The principle of “impartiality” means that peacekeeping operations must implement their mandate without favouring anyone or holding prejudice to any of the parties in the conflict. This is crucial to maintaining the consent and cooperation of the main parties.
4. The use of force is permitted only in situations of self-defense or defense of the peacekeeping mandate. It must be authorized by the Security Council. The use of force is a measure of last resort and it should always be the minimum use of force that will achieve the desired tactical result. When force is used, peacekeepers must also be mindful to de-escalate the violence as soon as possible and return to non-violent means of persuasion.
5. Some of the essential qualities of a peacekeeper include:
  - a. Meeting the highest standards of efficiency, competence and integrity;
  - b. Being impartial;

- c. Being mindful of the need to prioritize peaceful solutions;
- d. Being aware of local history, customs and culture;
- e. Being able to continuously analyze and report on his or her operating environment;
- f. Using good judgment and being able to communicate the reasons for any action taken;
- g. Being able to manage local expectations and explain the mission mandate;
- h. Promoting national and local ownership while remaining inclusive and impartial.

## Common Questions from Participants

Possible Questions	Possible Responses
1. What is the difference between a Chapter VI and a Chapter VII peacekeeping mission?	<p>Chapter VI of the UN Charter deals with the "Pacific Settlement of Disputes" and Chapter VII contains provisions related to "Actions with Respect to Peace, Breaches of the Peace and Acts of Aggression".</p> <p>United Nations peacekeeping operations have traditionally been associated with Chapter VI of the Charter. However the Security Council does not need to refer to a specific Chapter of the Charter when passing a resolution that authorizes the deployment of a UN peacekeeping operation. The Security Council has never invoked (used) Chapter VI.</p> <p>What is of critical importance on the ground are the <b>specific mandates of the mission and rules of engagement</b>. In recent years the Security Council has invoked Chapter VII as a statement of firm political resolve and a means of reminding the parties to a conflict of their obligation to give affect to Security Council decisions.</p>
2. Who drafted the Principles and Guidelines on United Nations Peacekeeping Operations (also known as the Capstone Doctrine)? Were specialized agencies involved in the drafting?	<p>The Department of Peacekeeping Operations (specifically the Peacekeeping Best Practices Section of the Division of Policy, Evaluation and Training) drafted the Principles and Guidelines on UN Peacekeeping after holding intense high level consultations with all the stakeholders globally, that included and not limited to Member States, UN Agencies and NGOs. The consultations were held for more than a year in all the continents.</p>
3. What is the difference between impartiality and neutrality?	<p>Impartiality, as a principle of UN peacekeeping, means that the peacekeeping operation deals with all parties to a conflict in an unbiased and even-handed manner, and its actions are focused on implementing its mandate fairly. Humanitarian actors also use the terms</p>

	<p>impartiality and neutrality, however their meaning is somewhat different. For the International Red Cross and Red Crescent Movement, in particular, impartiality means being guided solely by needs, making no discrimination on the basis of nationality, race, gender, class or religious or political beliefs, while neutrality means to take no sides in hostilities or engage, any time, in controversies of a political, racial, religious or ideological nature.</p>
<p>4. Who else can make decisions related to Peace and Security if the permanent members of the Security Council make use of their veto?</p>	<p>This is a question of legitimacy. The UN Security Council has the highest level of legitimacy related to peace and security. However in exceptional circumstances and very rare cases the General Assembly has authorized peacekeeping operations. Or other centers of power which may have influence, for example regional organizations such as North Atlantic Treaty Organization (NATO), or the African Union (AU), have chosen to take action. In order to ensure the greatest legitimacy for their actions, such organizations often seek out Security Council authorization for their actions under Chapter 8 of the UN Charter. Such action, particularly when Security Council authorization is sought after the fact, has raised questions about the legitimacy of the operation.</p>
<p>5. What is the timeline for when multi-dimensional peacekeeping operations replaced traditional peacekeeping operations?</p>	<p>The decision by the UN Security Council to deploy a traditional or multi-dimensional peacekeeping operation relates to the nature of the conflict rather than any timeline. Multidimensional peacekeeping operations have not replaced traditional peacekeeping operations as such, rather since the end of the Cold War internal armed conflicts constitute the vast majority of today's wars and therefore the deployment of multidimensional peacekeeping operations. For example the UN Security Council reacted to the war between Ethiopia and Eritrea by deploying a traditional peacekeeping operation (UNMEE) in 2000, long after the end of the Cold War.</p>

<p>6. Can the UN Security Council intervene in a conflict in a country that is not a Member of the UN?</p>	<p>The Security Council is the ultimate authority on peace and security issues globally. If it determines a threat to peace and security exists which involves a non-Member State, it can choose to intervene in accordance with its power and the principles and aims of the UN Charter. The Charter states that such a state, which is party to a dispute under consideration by the Security Council shall be invited to participate in the discussion (art. 32). A non-Member State of the United Nations, which is involved in a dispute, may also ask the Security Council or General Assembly to intervene, if that country accepts in advance the Charter's rules on the peaceful settlement of disputes.</p>
<p>7. How long have the Fundamental Principles and Guidelines on UN Peacekeeping Operations been applicable?</p>	<p>They have been applicable since the beginning of peacekeeping operations, however, the recent publication confirmed their validity and added refinements.</p>



## Optional Learning Activity 1

### Participant Led Presentations on UN Peacekeeping (at the strategic level)

The purpose of this activity is for participants to have a self-directed learning opportunity and also to learn from their colleagues about the UN peacekeeping system. Participants work individually or in small teams to research the main aspects of the UN in relation to peacekeeping. At a later date, participants present the information back to their classmates.

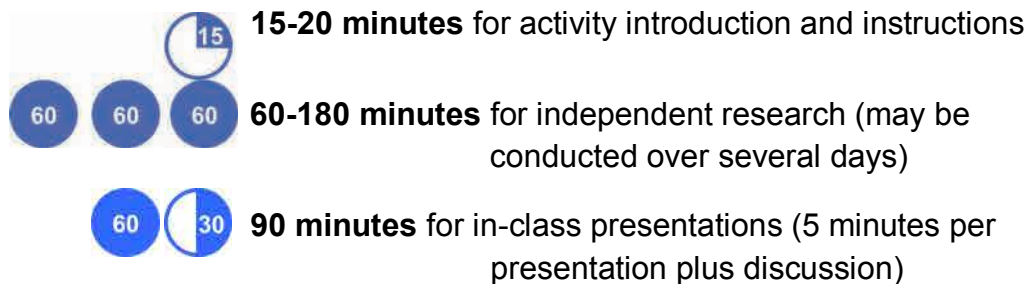
Please note: The instructions for this activity are only for the main UN bodies involved in UN peacekeeping at the strategic level, however, if there are other bodies of specific interest to your participant group, you may want to add them. Please take into consideration that field level command and control structures and mission partners are dealt with in unit 3. Assigning agencies at that level too early in the training may cause some confusion. An option would be to do a similar exercise for actors at the field level.

#### Activity Requirements:

This activity is suitable for small participant groups (5-20) who have enough lead time before the beginning of the training in order to do the required research. They will also need Internet access in order to find the required materials.

Please note: This activity cannot be completed within one session as it requires independent research. Plan to introduce the activity on one day and have the presentations on another.

#### Learning Activity Time Required:





**Preparations:** Consider how you will assign the different items for the assignment. E.g. to individuals or small groups. This is a good opportunity for individuals to have time to work together on a team assignment. However, if you have a very small group you may want to make this an individual assignment. Another option is to group people and assign them with more than one item to research.



**Activity Guidelines:**

1. Provide each individual or small group with a research area from the following list.
  - a. United Nations (brief historical background and responsibility to peace and security activities)
  - b. The UN Member States
  - c. United Nations Charter (history and purpose)
  - d. The General Assembly
  - e. The UN Security Council
  - f. The Secretary-General
  - g. The UN Secretariat (can be combined with item f)
  - h. The Department of Peacekeeping Operations
  - i. The Department of Field Support
  - j. The Department of Political Affairs
2. Ask participants to research the primary responsibilities of their assigned body with regard to peacekeeping (or in the case of the UN Charter, its history and purpose).
3. Let participants know that they will have a **maximum of 5 minutes** to make their presentations (unless you make other arrangements).
4. Let participants know they can use whatever form of presentation tools they like (e.g. flipcharts, photos, charts, demonstrations, PowerPoint, etc.). If PowerPoint slides are used, it is important for participants to coordinate ahead of time for their slides to be on the computer and ready to go when it is their turn.

5. Monitor teams and provide support as needed during the research and presentation preparation phase. Ensure that the key points are being covered in the preparatory phase (as shown in the first part of unit 1 in this document). This may take a bit of coaching.
6. Before the presentation, provide clear direction that you will be holding people to the agreed times so that everyone has enough time to make their presentations.
7. Allow time for questions and then summarize the key points if needed.



## Optional Learning Activity 2

### Mix and Match Exercise on Key Definitions and Concepts Contained in Unit 1

The purpose of this activity is to review the concepts presented in unit 1. This is done by providing participant groups with papers that have key words and definitions. The group's job is to match the key words to the definitions.

If desired, this activity can be broken into two parts – the definitions from part 1 given at the end of that session and the remaining definitions given at the end of the part 2.

#### Activity Requirements:

This activity is suitable for participant groups that can be broken into smaller groups of no larger than 6. The number of groups is up to the instructor, keeping in mind that a set of definitions will be needed for each group.



#### Learning Activity Time Required:

10 minutes for activity introduction and instructions

15-20 minutes for work on definitions in small groups

15-20 minutes for discussion & questions in large group

Total time: **60 minutes** (total time dependent on discussion time)



#### Preparations:

1. Make copies of all the key concept words and definitions (see page 69) and cut them into separate pieces of paper. (i.e. one concept per piece of paper and one definition per piece of paper)
2. Make as many sets of the concept words and definitions as the number of small groups you will have.
3. Note: if you anticipate doing this activity regularly with subsequent trainings, you may want to use a thick, durable paper or perhaps even laminate the papers.



#### Activity Guidelines:

1. Divide participants into small groups.
2. Explain the purpose of the exercise and that they will be matching concept words to their definitions.

3. Hand out the set of concept words and definitions to each group.
4. Allow approximately 15-20 minutes for the groups to match the concepts and definitions. Allow time for questions after the activity is completed.

## Concepts and Definitions for Mix and Match Activity

You may want to cut and paste these words and definitions into another document in order to make the fonts larger. Larger fonts may make it easier for small group work.

<b>The United Nations</b>	...a unique international organization founded after the Second World War. Its purpose is to maintain international peace and security, develop friendly relations among nations and promote social progress, better living standards and human rights.
<b>UN Member States</b>	...192 sovereign states who come together to discuss common problems and vote on major issues. They are bound by the UN Charter.
<b>The UN Charter</b>	...an international treaty that spells out their rights and duties as members of the world community. Specific parts of this document are important to peacekeeping mandates.
<b>UN Security Council</b>	...the UN body with primary responsibility for maintaining peace and security. It may investigate and recommend peaceful measures to resolve disputes. In situations where it has determined there is a threat to international peace and security, it may take more coercive measures.

<b>Secretary-General</b>	...is the Chief Administrative Officer of the UN. He/she is appointed by the General Assembly as recommended by the Security Council. It is a 5 year, renewable term.
<b>Department of Peacekeeping Operations</b>	...is led by the Under-Secretary-General of DPKO. Responsible for the executive direction and administration of all peacekeeping operations.
<b>Department of Field Support</b>	<p>...is responsible for delivering dedicated support to UN field operations, including peacekeeping operations and special political missions.</p> <p>Support includes: personnel, finance, procurement, logistical, communications, information technology and other administrative and general management issues</p>
<b>Department of Political Affairs</b>	...provides substantive direction to many special political missions. Collaborates with peacekeeping missions as a partner, particularly on political analysis and electoral assistance.

<p><b>Conflict Prevention</b></p>	<p>...involves the use of diplomatic measures or other tools to prevent inter/intra state tensions (tensions between or within states) from turning into violent conflict.</p>
<p><b>Peacemaking</b></p>	<p>... involves measures to deal with existing conflicts. It usually involves diplomatic action to bring hostile parties to a negotiated agreement.</p>
<p><b>Peace Enforcement</b></p>	<p>... involves the use of a range of coercive measures, such as sanctions or blockades. As a last resort, the use of military force may be authorized. Coercive measures are taken only with the authorization of the Security Council.</p>
<p><b>Peacekeeping</b></p>	<p>... a technique designed to preserve the peace, where fighting has ended, and to assist in implementing agreements achieved by the peacemakers.</p> <p>...deployed in situations where the main parties to a conflict have shown their commitment to a cease-fire or a peace process.</p>

<p><b>Peace-building</b></p>	<p>...involves a range of measures aimed at reducing the risk of lapsing or relapsing into conflict. The national capacity to manage conflict and build a foundation for sustainable peace and development are strengthened at all levels.</p> <p>... a complex, long-term process of creating the necessary conditions for lasting peace.</p>
<p><b>Traditional Peacekeeping</b></p>	<p>...deployed as an interim (temporary) measure to help manage a conflict. It also creates safer conditions for other actors to work on peacemaking activities.</p> <p>... do not normally play a direct role in political efforts to resolve the conflict.</p>
<p><b>Multi-dimensional Peacekeeping</b></p>	<p>... typically deployed in the dangerous aftermath of a violent internal conflict, meaning once there is a peace agreement, even a fragile one in place. The operation works to create a secure and stable environment while working with national authorities and actors to make sure the peace agreement is implemented.</p>

<b>Consent</b>	<p>All UN peacekeeping operations should be deployed with the _____ of the main parties.</p> <p>Security Council action taken without the _____ of the parties is typically a peace enforcement mission, rather than a peacekeeping mission.</p>
<b>Impartiality</b>	<p>UN peacekeeping operations must implement their mandate without favour or prejudice to any of the parties to the conflict. _____ is crucial to maintaining the consent and cooperation of the main parties.</p>
<b>Non-use of force except in self-defense &amp; defense of mandate</b>	<p>A fundamental principle that peacekeeping personnel must keep in mind, particularly in situations where there is a 'robust mandate'.</p>

## Optional Film: Courage for Peace

 **Film Time: 7:30 minutes** 

### Potential Discussion Questions

#### General Questions

1. What was interesting to you in this film or made an impression on you?
2. What are the main things you learned from this film?

#### Content-Specific Questions

3. Mr. Guehenno, the former Under-Secretary-General for Peacekeeping Operations and the film's narrator, speaks about three "fronts" (meaning substantive areas) that are involved in peacekeeping. What were those?
  - **Answer:** The Military and Police (Law and Order), the political front and reconstruction and development
4. What are three important characteristics of a peacekeeper that Mr. Guehenno mentioned?
  - **Answer:** Courage, Humility (you are a guest in another country) and Persistence (peacekeeping is not a quick win)
5. What are two major peacekeeping partners that were mentioned in the film as working with UN peacekeeping?
  - **Answer:** The African Union (AU) and the North Atlantic Treaty Organization (NATO)
6. Who funds peacekeeping efforts once the Security Council has authorized a mission?
  - **Answer:** The Members States
7. What are some examples of countries that contribute troops to peacekeeping? (examples may be from the film or from your own knowledge)
  - **Answer:** [Instructors can find the up to date list of troop and police contributing countries at:  
<http://www.un.org/Depts/dpko/dpko/contributors/>]

## Optional Film: In the Cause of Peace

 **Film Time: 13 minutes** 

This film can be found on the internet at the YouTube site:

<http://www.youtube.com/watch?v=rqYuRh78-4>

### Potential Discussion Questions

#### General Questions

1. What are the main things you learned from this film?
2. What surprised you?
3. What do you still have questions about?

#### Content-specific questions

4. Did the founders of the United Nations anticipate that peacekeeping would be a key function of the UN?
  - **Answer:** No, peacekeeping evolved as an adhoc response to conflict to allow the parties some “breathing room”. The UN Charter does not have a specific reference to peacekeeping.
5. According to the film, how did the end of the Cold War affect UN peacekeeping?
  - **Answer:** With the end of the Cold War, there was a perception that the UN could play a stronger role in peacekeeping and there was a surge in UN peacekeeping operations which included greater involvement in internal conflicts (not just conflicts between states) and even in the cases of Kosovo, Cambodia and East Timor, the UN took on the role of a transitional authority.
6. What is the first hybrid peacekeeping operation established by the United Nations and the African Union, mentioned in the film?
  - **Answer:** African Union/United Nations Hybrid Operation in Darfur (UNAMID)
7. What is the cost of UN peacekeeping in relation to military spending across the world?
  - **Answer:** Less than half of 1% of the world’s military spending.

# UNIT 2: THE ESTABLISHMENT AND FUNCTIONING OF UN PEACEKEEPING OPERATIONS

## Table of Contents

Preparatory Notes for Instructors .....	1
<b>Unit 2 - Part 1: Establishment and Operationalization of Security Council Mandates in Peacekeeping Operations .....</b>	<b>7</b>
Session Notes .....	7
Introduction .....	7
The Decision to Deploy a UN Peacekeeping Operation .....	10
Implementation of Mandates, Transition and Withdrawal .....	16
Learning Activity: Familiarization with Mandates .....	20
Translating Security Council Mandates Into an Operational Framework.....	24
Unit 2 – Part 1: Learning Assessment.....	31
<b>Unit 2 – Part 2: How United Nations Peacekeeping Operations Function .....</b>	<b>33</b>
Session Notes .....	33
Introduction .....	33
Components of a UN Peacekeeping Operation.....	35
Authority, Command and Control in United Nations Peacekeeping .....	38
Strategic Level Authority .....	39
Head of Mission .....	41
Other Positions of Authority.....	42
Management Structures in UN Peacekeeping Operations.....	44
Understanding the Importance of Other Components' Work.....	46
The Military Component .....	47
The Police Component.....	51
The Civilian Components .....	54
Unit 2 - Part 2: Learning Assessment.....	61
Common Questions from Participants.....	62
Optional Learning Activity .....	66



## Preparatory Notes for Instructors

### Aim

The aim of Unit 2 is to inform peacekeeping personnel about how UN peacekeeping missions are established and deployed by the Security Council and the UN Secretariat.

Specifically, this unit familiarizes peacekeeping personnel with:

- The Security Council process to establish and monitor the work of UN peacekeeping operations
- The documents used by United Nations Secretariat to transform Security Council mandates into operational frameworks for peacekeeping operations
- Authority, command and control in UN peacekeeping operations;
- Mission management structures
- The roles of different components in a UN peacekeeping operation

### Learning Outcomes

***On completion of Unit 2 - Part 1, participants will be able to:***

1. Describe how the Security Council establishes a mandate for a UN peacekeeping operation and monitors its implementation
2. Explain why all peacekeepers must be familiar with the mandate of their peacekeeping operation
3. Name at least three key documents which operationalize Security Council mandates

***On completion of Unit 2 – Part 2, participants will be able to:***

1. Explain the relationship between the support and substantive components of a peacekeeping operation and mandate beneficiaries.
2. List at least four main positions of authority in a UN peacekeeping operation
3. Explain the main role of the military, police and civilian components in UN peacekeeping operations.

### Training Sequence

The sessions in Unit 2 should be delivered after Unit 1 and before all the other sessions in Unit 3. Sections in Unit 4 may be placed before this session.

### Duration

The times shown below are the minimum recommended time periods. Additional activities and discussions can be added as time permits.

Minimum Session Time	Lecture/Presentation	Questions/Assessment	Session Activities
120 minutes	45 min.	15 min.	60 min.
Additional Options	Mission Specific	Optional Film	Optional Activity
	Time to be determined by necessary content		

### Methodology

The following points outline a suggested methodology. Experienced instructors may choose to use alternative methods and activities to present the material and key messages in this unit.

- Presentations using the provided PowerPoint Slides
- A core learning activity on mission mandates
- Informal question and answer periods (as determined by instructor)
- Learning assessment questions at the end of parts 1 and 2\*

\* Please Note: It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question and answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure participants are clear on the key messages.

Instructors are encouraged to add examples and mission-specific information related to the specific deployment of participants, if known.

### Instructor Profile

Unit 2 is best presented by a trainer who has a general knowledge of the how the United Nations Security Council and Secretariat work and also has personal experience in the mission headquarters of a UN peacekeeping operation.

## Instructor Preparations

### Required Readings

- *Charter of the United Nations*
- *United Nations Peacekeeping Operations Principles and Guidelines* (also known as the Capstone Doctrine)
- *DPKO/DFS Policy on Authority, Command and Control, 2008*
- Review of peacekeeping mission mandates used in the learning activity (Please see the mission specific preparations below.)

### General Preparations

#### Equipment

1. Computer and session slides
2. Projector and screen for slides

### Mission Specific Preparations for the Learning Activity on Mandates

#### Materials

1. Copies of peacekeeping mandates are required for comparative purposes in the learning activity.
2. Where possible, instructors should download the mandates of missions to which participants are deploying. See the learning activity on pages 20 for complete instructions and numbers of copies needed.
3. Download the mission mandates from the DPKO website at <http://www.un.org/Depts/dpko/dpko/index.asp> (Click on Current Operations and on the link for each mission you will find a link to the mission mandate).
4. Participants often appreciate copies of the PowerPoint presentations. If printing of the PowerPoint presentations is possible, it is suggested that they are printed in 'handout' format, with 3 slides to a page so participants have room to make notes.

**Note:** There may already be copies of appropriate mandates from the learning activity in Unit 1.

## Participant Preparations

1. If possible, it is strongly recommended that participants review the following documents before this session:
  - *United Nations Peacekeeping Operations Principles and Guidelines (also known as the Capstone Doctrine)*
  - *Mandates provided by the instructor (or provide classroom time for review)*











## Materials Referenced in this Unit

- *Charter of the United Nations*
- *United Nations Peacekeeping Operations Principles and Guidelines (also known as the Capstone Doctrine)*
- *DPKO/DFS Policy on Authority, Command and Control, 2008*
- *DPKO Guidelines for United Nations Police Officers on Assignment with Peacekeeping Operations, 2007*
- *DPKO Policy on Functions and Organisation of Formed Police Units in UN Peace Operations, 2006*
- *DPKO Guidelines for the Development of Rules of Engagement (RoE) for United Nations Peacekeeping Operations, 2000*
- *United Nations Integrated Missions Planning Process (IMPP) Guidelines Endorsed by the Secretary-General in 2006.*
- *DPKO Policy on JOC and JMAC, 2006*
- *DPKO/DFS Mission Start-Up Field Guide for Senior Mission Managers of United Nations Peacekeeping Operations, 2008 (version 1.0)*

## Additional Resources

- *Model Memorandum of Understanding (MOU) between the United Nations and Troop Contributing Countries (A/C.5/60/26) and subsequent amendments (A/61/19 Part III)*
- *United Nations Integrated Missions Planning Process (IMPP) Guidelines Endorsed by the Secretary-General in 2006.*
- *Model Status of Forces Agreement for United Nations Peacekeeping Operations (A/45/592)*

## Symbols Legend

-  Note to the Instructor (Some background information for consideration)
-  Speaking Points (The main points to cover on the topic. Ideally the speaking points are presented in the instructor's own words versus being read to participants. Please note, text in the slides is highlighted in bold, blue fonts in the associated speaking points.)
-  Mission Specific (A point where the session will benefit from mission specific information)
-  Example (Stories that illustrate a point or key message)
-  Sample questions (A list of potential questions to pose to participants)
-  Handout (Indicates a handout is provided to participants at this point)
-  Film (A film that is suggested as either a core or optional activity)
-  Core Learning Activity (An activity that is strongly recommended for inclusion)
-  Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group. Guidelines for these activities are provided at the end of the unit or part – as indicated in the text)
-  Key summary points (Key messages that are worth repeating at the end of the session. Alternatively, the instructor can ask participants what are the main messages they are taking from the session. Instructors can then fill in any points that have been missed.)

**Note:** Questions commonly asked by participants during this session are listed at the end of the unit.

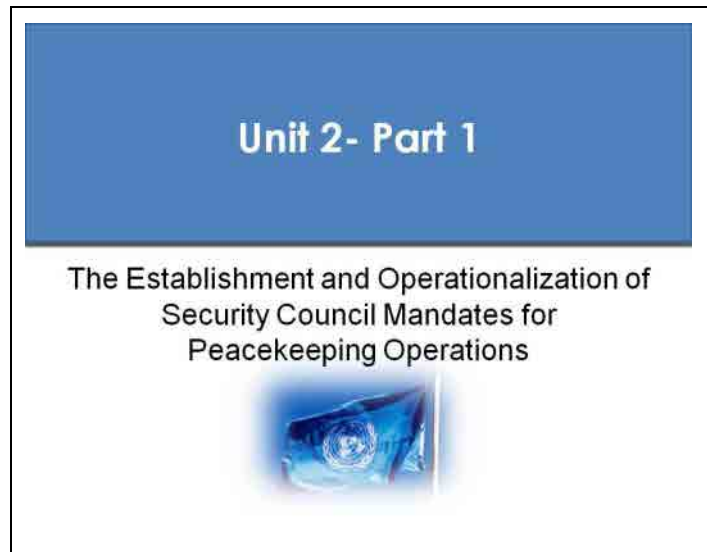
## 6 ■ UNIT 2 – PART 1: Establishment & Operationalization of Security Council Mandates in PKOs

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## UNIT 2 - PART 1: ESTABLISHMENT AND OPERATIONALIZATION OF SECURITY COUNCIL MANDATES IN PEACEKEEPING OPERATIONS

### Session Notes

### Introduction



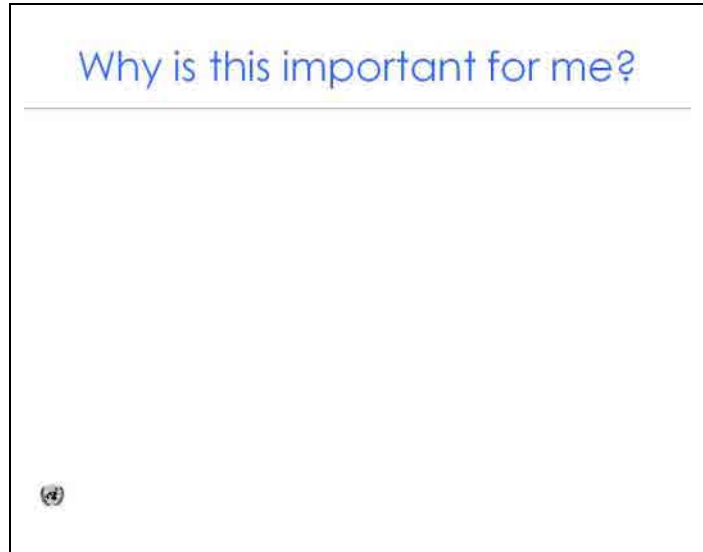
Slide 1

#### Definition

**Operationalize:** to make something operational, in this case through the written plans and directives which explain how peacekeeping operations should carry out mandated tasks and what resources they are able to use.




**Note to Instructor:** As an introduction, instructors should help participants understand why they need to understand the process for the establishment and operationalization of Security Council mandates for peacekeeping operations. Instructors can explain this directly, following the speaking points below, or brainstorm with participants how the work of the Security Council in New York affects their day to day tasks in the mission.





Slide 2



Slide 3

 **Note to Instructor:** Ask participants why this topic is important to peacekeeping personnel. Acknowledge answers given and emphasize the following points:

-  The written guidance you receive in the mission about your tasks and objectives is directly linked to the Security Council mandate for the peacekeeping operation.
-  Security Council mandates can often be vague or open to interpretation, therefore, the UN Secretariat and the leadership of the peacekeeping operation also provide more detailed plans. These plans interpret the mandate and describe the roles and responsibilities of each component of the mission in implementing the mandated tasks.


- 💬 The Security Council monitors the progress that peacekeeping operations make in implementing their mandates. **Reports that you will write** while in mission feed into the overall report that the Secretary-General provides to the Security Council as part of this monitoring process.
- 💬 All peacekeeping personnel should be familiar with the mandate and the relevant guidance documents outlining their responsibilities.
- 💬 The Security Council mandate **provides the international legitimacy for the presence of a peacekeeping operation in a particular country**. Peacekeeping personnel may be asked by locals about what they are doing there. You should be able to explain clearly why a peacekeeping operation is in a particular country and what its mandate and functions are.

### Learning Outcomes

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On completion of Unit 2 – Part 1, participants will be able to:

1. Describe how the Security Council establishes a mandate for a UN peacekeeping operation
2. Explain why all peacekeepers must be familiar with the mandate of their peacekeeping operation
3. Name at least three key documents which operationalize Security Council Mandates



**Slide 4**

👉 **Note to Instructor:** Let participants know the intended learning outcomes of this section, as shown in the slide above. The intention for the session is that participants will be able to answer each of the above points.

## The Decision to Deploy a UN Peacekeeping Operation



Slide 5

- As explained in Unit 1, it is the Security Council which determines when and where a United Nations peacekeeping operation should be deployed. The Security Council will always address each crisis on a case-by-case basis in order to find the most suitable response for that particular case.
- Note to Instructor:** *The peace and security activities slide has been included here to remind participants of the possible responses.*
- When there is a crisis or a dispute between countries, either a Member of the Security Council or the Secretary-General can ask the Security Council to consider and debate that particular situation. If the Security Council considers that the situation poses a risk to international peace and security, it may ask the Secretary-General to initiate conflict prevention or peace-making measures by the UN, or it may choose to monitor such measures that regional powers are already undertaking.
- Depending on how the situation evolves, the Security Council may consider whether the United Nations should deploy a peacekeeping operation.

- **The Secretary-General's (SG's) report to the Security Council**

= Advice and recommendations on the deployment and mandate of the peacekeeping operation



**Slide 6**

- 💬 How does the Security Council decide whether it is appropriate to authorize a UN peacekeeping operation for a particular country?
- 💬 The Security Council asks the **Secretary-General** for **advice**, in the form of a written **report** whether a peacekeeping operation should be deployed and what a potential peacekeeping operation should be mandated to do. In this report, the Secretary-General advises on whether:
  - The situation is a threat to international peace and security
  - A cease-fire exists and parties are committed to a peace process
  - A precise mandate with an achievable political goal can be established for a peacekeeping operation
  - Safety and security of UN personnel can reasonably be guaranteed
- 💬 In practice this means that the Secretary-General considers the strategic level issues explained in Unit 1, such as whether the main parties to the conflict will consent to the deployment of a peacekeeping operation. If they will not consent to the peacekeeping operation, the Secretary-General will not recommend the deployment of a peacekeeping operation.
- 💬 If the Secretary-General recommends the deployment of a peacekeeping operation, he or she will also make specific recommendations, based on a strategic assessment of the situation, about the potential mandate, functions and tasks of a potential UN peacekeeping operation.

## 12 ■ UNIT 2 – PART 1: Establishment & Operationalization of Security Council Mandates in PKOs

- 💬 Information and analysis of the possible mandate and capabilities of a UN peacekeeping operation involves not only DPKO and DFS, but also the wider UN system, including UN actors already in the country, as well as Member States who contribute troops, police and money. UN peacekeeping operations rely on funds, troops and police contributed by Member States and therefore they must also be involved in the planning process.
- 💬 As will be explained in Unit 3 Part 2, UN peacekeeping operations do not have all the resources or expertise required to fulfil every aspect of their mandate, (for instance in areas such as Disarmament, Demobilization and Reintegration (DDR), Security Sector Reform (SSR) or Rule of Law). The peacekeeping operation will have to rely on the assistance of other UN agencies, funds and programmes to ensure long-term sustainable peace, and therefore they are also involved in the planning process.

👉 **Note to Instructor:** *For courses with senior level commanders, staff officers, or civilians, instructors may want to add some information on the process by which the Secretary-General compiles this information from across the UN system, as described below.*

- *In order to ensure that the Secretary-General presents one common strategic vision of the United Nations, the Secretariat uses an “Integrated Mission Planning Process” (IMPP). The IMPP brings together all the relevant departments and agencies of the United Nations, and also works with the UN Country Team already present in that country to provide a strategic assessment of the situation.*
- *Among other things, they assess the commitment of the warring parties to the cease-fire or peace agreement and whether there is an achievable political goal for a UN peacekeeping operation in the country to which a precise mandate can be tailored. They also assess the extent to which the safety and security of UN personnel can reasonably be guaranteed.*
- *The IMPP develops and proposes the possible tasks that a UN peacekeeping operation should undertake, and these are included in the SG’s report to the Security Council. The Departments of Peacekeeping Operations and Field Support also liaise closely with Troop Contributing Countries (TCCs), Police Contributing Countries (PCCs) and donor countries to make sure that there will be resources available for a peacekeeping mission to carry out the tasks recommended for inclusion in the mandate.*

- **Security Council Resolution**

= A decision to authorize the deployment of a peacekeeping operation and the establishment of its mandate




Slide 7

- ☞ The members of the Security Council discuss the Secretary-General's report. The Security Council then takes a formal decision on whether to authorize the deployment of a UN peacekeeping operation and what tasks the peacekeeping operation should be mandated to accomplish. **If the Council decides to deploy a peacekeeping mission, the decision and the mandate are issued in a Security Council Resolution.**

### The mandate tasks for UN Peacekeeping Operations are:

- Contained in Security Council resolution(s)
- Adapted to the particular conflict situation and existing peace agreements
- Reflect other Security Council Resolutions on issues related to the protection of women, children and civilians in armed conflict

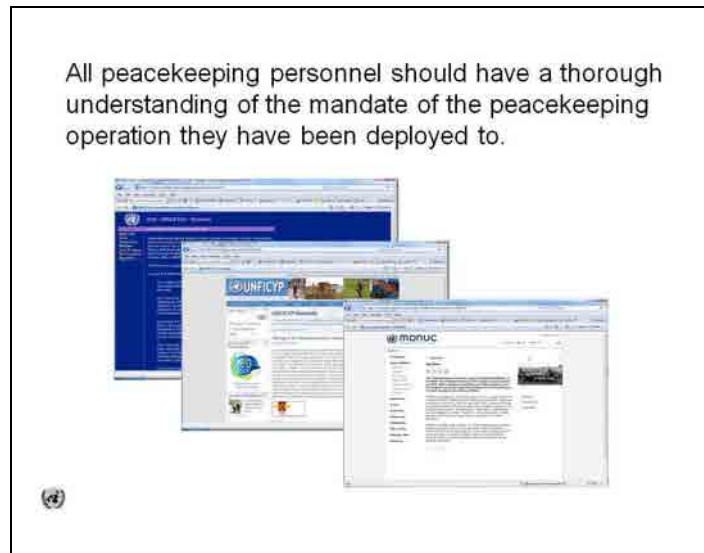



Slide 8

- ☞ The tasks a peacekeeping operation is required to implement are **contained in the Security Council mandate resolution**. In some cases, the Security Council may amend (change) or add to the original mandate in additional resolutions related to the peacekeeping operation.

## 14 ■ UNIT 2 – PART 1: Establishment & Operationalization of Security Council Mandates in PKOs

- 💬 The mandate will vary from situation to situation, depending on the nature of the conflict and the type of peacekeeping operation the Security Council has agreed to authorize (traditional, multi-dimensional or transitional authority).
- 💬 Since UN peacekeeping operations are normally deployed to support the implementation of a cease-fire or peace agreement, Security Council mandates take into consideration the nature and content of those agreements. In this way, every mandate for a UN peacekeeping operation is **adapted to a particular conflict situation and existing peace agreements**.
- 💬 Security Council mandates for peacekeeping operations also reflect the concerns of the international community on specific issues or themes. With respect to UN peacekeeping operations, the Security Council is particularly concerned about:
  - **Women, peace and security** (the Security Council has issued two resolutions on this topic numbered 1325 and 1820 in the years 2000 and 2008 respectively);
  - **Children and armed conflict** (the Security Council issued resolution number 1612 in the year 2005 on this topic);
  - **Protection of civilians in armed conflict** (Security Council issued resolution number 1674 in the year 2006 on this topic).
- 💬 The mandates for most multi-dimensional peacekeeping operations will include specific tasks related to the protection of women, children and civilians for this reason.
- 👉 **Note to Instructor:** Unit 3 – Part 1 will familiarize peacekeeping personnel with the key aspects of these resolutions and how they should implement them when working in the field. Copies of these resolutions and the other related reference materials included in those sessions can be downloaded from <http://peacekeepingresourcehub.unlb.org>.



Slide 9

- All peacekeeping personnel should have a thorough understanding of the mandate of the peacekeeping operation** in which they are working. They should also be aware of any changes to the mandate authorized by the Security Council during their deployment. The Security Council mandate provides legitimacy for your presence in the country. It is a public document which can be shared with the local population. You should be able to explain clearly to anyone in the country, why the peacekeeping operation is there and what it does.
- As will be explained later in this session, there are additional documents which will translate the Security Council mandate into more specific tasks for the different components of the peacekeeping operation. These documents, along with the Security Council mandate, will guide your work in the peacekeeping operation. These documents are based on the Security Council mandate, but they are documents for internal use within the mission.

## Implementation of Mandates, Transition and Withdrawal

Slide 10

- The Security Council monitors the implementation of mandates by requesting regular reports from the Secretary-General (SG) on progress made by the peacekeeping operation
- The Security Council may change the mandate if the situation requires



- After authorizing a peacekeeping operation, **the Security Council continuously monitors how the Secretariat and the peacekeeping operation are implementing the mandate.** They do this by requiring **the Secretary-General to submit regular reports** to the Security Council regarding the country's situation. The Security Council specifies how often those reports must be submitted.
- The Under-Secretary General of Peacekeeping Operations will compile the reports on behalf of the Secretary-General using the information provided to him by the peacekeeping operation, including from its daily, weekly and monthly reports to headquarters.
- Based on the information in these reports and on changes in the situation, the **Security Council can adjust or change the mandate of the peacekeeping operation.** Any changes to the mandate will be issued in a Security Council resolution.
- Peacekeepers should keep themselves informed of any changes or additions to the original mandate resolution.

## Slide 11



- As with the deployment of UN peacekeeping operations, **the Security Council makes decisions on withdrawal or transitions of UN peacekeeping operations** based on the advice and recommendations of the Secretariat presented in reports of the Secretary-General.
- For some cases, like traditional missions, the indicator for success of a mission is clear – a traditional mission has successfully completed its mandate once the states have agreed to a peaceful resolution of their conflict.
- For complex multi-dimensional missions it is often much harder to define when the peacekeeping operation has successfully completed its mandate. Through Secretary-General's reports and Security Council resolutions, the United Nations tries to set certain benchmarks or indicators for success for individual peacekeeping operations, but this is often difficult.

Examples of key benchmarks for transition or withdrawal of multi-dimensional UN peacekeeping operations:

- Absence of violent conflict and large-scale human rights abuses
- National security institutions are able to provide security and maintain public order with civilian oversight and respect for human rights
- Free and fair elections where women and men have equal rights to vote and seek political office



Slide 12

There is no standard “checklist” of benchmarks applicable to all situations. The appropriate benchmarks are adapted to each situation. The choice depends on the underlying causes of conflict and its dynamics. Benchmarks may also be amended over time as the situation evolves.

**Examples of key benchmarks** include, but are not limited to:

- **The absence of violent conflict and large-scale human rights abuses**, and respect for women’s and minority rights;
- **The ability of national armed forces and national police to provide security and maintain public order with civilian oversight and respect for human rights;**
- Legitimate political institutions, such as a legislature, have been set up and started functioning after the **holding of free and fair elections where women and men have equal rights to vote and seek political office.**

All peacekeepers should be familiar with any conditions or benchmarks for withdrawal of their respective peacekeeping operation agreed upon by the Security Council.

**e.g Example:** While not every UN peacekeeping operation has clearly defined conditions or benchmarks for withdrawal, the United Nations Mission in Liberia (UNMIL) is one clear example of how the Security Council can use detailed benchmarks to measure progress and assess when the peacekeeping operation has successfully completed its mandate.

On the advice of the Secretary-General, some of the benchmarks monitored by the Security Council included, among other things:

- progress on security, illustrated by the Liberian Government's development of a national security strategy and the operationalization of its armed forces and police units across the country;
- Reintegration of ex-combatants;
- Economic revitalization of the country and the reestablishment of state authority over natural resources;
- Progress on governance and rule of law, including justice sector reform, the promotion and protection of human rights and the establishment of an Anti-Corruption Commission;
- Establishment of infrastructure and basic services, including the renovation of 39 schools and construction of 41 new schools.

For more information on these benchmarks, instructors should download the Secretary-General's reports of 8 August 2007 (paragraphs 66 and 67 of S/2007/479) and of 19 March 2008 (Annex I of S/2008/183) using the relevant links at <http://www.un.org/Depts/dpko/missions/unmil/docs.html>. It is important to note that the benchmarks have become more detailed between the Secretary-General's reports of 2007 and 2008, and in 2008 they encompass all areas of the peacekeeping operation's mandate beyond just the security-related tasks.



**Example:** Similarly, on the advice of the Secretary-General, the Security Council set certain benchmarks to monitor the withdrawal of the United Nations Assistance Mission in Sierra Leone (UNAMSIL), which completed its mandate in 2005. The benchmarks set by the Security Council included:

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

For more information on these benchmarks, instructors can download the report of the Secretary-General of 5 September 2002 (S/2002/987) from [www.un.org](http://www.un.org).



## Learning Activity: Familiarization with Mandates

The purpose of this activity is to familiarize participants with Security Council mandates, specifically key elements of the text and how to read them. It builds on the exercise in Unit 1 in which participants reviewed mandates of UN peacekeeping operations in order to determine whether a peacekeeping operation was traditional, multi-dimensional or a transitional authority.

In trainings where it is already known to which mission peacekeepers will be deployed, this exercise is also intended to start familiarizing participants with the mandate of their respective peacekeeping operations.

Participants will be divided into small groups with copies of different mandates of UN peacekeeping operations and asked to find and compare specific language related to a series of issues proposed by the instructor.

Instructors may wish to provide participants with copies of the mandate the day before this session so they can have more time to read it. If this is not possible, provide additional time in the session for participants to read over the mandates.

60

**Time Required:** 5 minutes for activity introduction and instructions  
20 minutes for small group discussions  
25\* minutes to report back (allowing 5 minutes per group)  
10 minutes to debrief and close activity

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**Total time: 60 minutes** \*may require more time to report back if there are many small groups



### Preparations:

1. Print out 3-4 different mandates for each group, including their mission mandate of deployment, if known. Instructors can find mandates for the different UN peacekeeping operations at <http://www.un.org/Depts/dpko/dpko/index.asp> by clicking on the link for Current Operations, then the name of the particular mission and then the link for Mandate.

For training courses where participants do not yet know to which peacekeeping operation they will be deployed, instructors are encouraged to select a wide variety of mandates for both multi-dimensional and traditional peacekeeping operations. For example, instructors may consider

using the mandates from the following missions: MINURSO, UNMIL, MONUC, UNOCI, UNMIS, UNOMIG, UNMIT, MINUSTAH.

2. Instructors may choose some or all of the questions below for participants to discuss in relation to the mandates they have received for the activity. Each group should have a different set of questions to answer in order to avoid repetition during the report back. Print out a copy of the different set of questions for each group.

Four or five questions will take approximately 20 minutes. Be aware that some of the questions may take longer to answer than others and take this into account in the time provided for this activity.

- a. Which mandates have a specific reference to a peace agreement or cease-fire?
- b. Which sentence, if any, indicates that the UN peacekeeping operation may use force to protect UN personnel or property? Does the Security Council use the same language in each mandate where this is mentioned?
- c. Is there a sentence which shows that the UN peacekeeping operation may use force to protect civilians? Is this language the same for all mandates where it is mentioned?
- d. Which mandates make a reference to humanitarian assistance or international humanitarian law?
- e. How many references can be found in each mandate to women and children? Is there any mandate that does not include a reference to women or children?
- f. Is there a mandate that does not include a reference to international human rights?
- g. Which mandates have a reference to the disarmament, demobilization and reintegration (DDR) of combatants?
- h. Which mandates have a reference to elections? In which of those cases is the UN peacekeeping operation mandated to conduct the elections itself? In how many of those cases is the UN peacekeeping operation mandated to support the national government in conducting the elections?



### **Activity Guidelines:**

1. Divide the participants into small groups. If you are working with a small number of participants, you can divide them either into pairs or groups of 3-4. For this exercise it is advised that groups have a maximum of 8 people. For training courses where participants know which mission they are deploying to, divide them up into mission-specific groups.
2. Explain that they will be working together for approximately 20 minutes to compare the mandates they have received of different UN peacekeeping operations and discuss the answers to the questions.
3. Provide each group with handouts of the 3-4 mandates (including their mission of deployment) and the different sets of questions. Participants can double-up and read the handouts in pairs if necessary. Make sure that everyone in the group has the same handouts.
4. Let the groups know they will be “reporting back” their answers to the large group.
5. Ask if everyone is clear on the task and answer questions as needed to clarify.
6. Bring the groups back together after 20 minutes and have each group report back. If you have some groups that have the same mandates, ask them to answer different questions rather than having the same answers repeated. Ask the other groups whether they agree with the answers provided by the group reporting back.
7. Summarize points raised and reinforce this section’s key messages, including the diversity of the way mandates are presented.



**Note to Instructor:** *With respect to the questions provided above, bring out the following points during the debrief:*

- a. *Mandates of multi-dimensional peacekeeping operations all mention the name of a specific peace agreement, because the mandate of the mission is to support the implementation of that peace agreement. Mandates for traditional peacekeeping operations often do not mention a peace agreement because it does not yet exist. A cease-fire may exist, however, and may be mentioned in the mandate.*

- b. Language on the use of force is often different between mandates. There is no standard language, it has evolved over time. Language may also be vague for political reasons. It is useful for instructors to highlight the lack of clarity that may exist at the political level, which is why additional documents explained in subsequent slides are necessary to operationalize the mandate.*
- c. As with question b) the language is often different or vague with respect to the protection of civilians. Even across the United Nations system, there is no agreed upon definition of the term “protection of civilians”. As with the use of force, language used by the Security Council has evolved. Recently, the Security Council has indicated that “without prejudice to the responsibility of the Government”, UN peacekeeping operations should protect civilians under imminent threat (see for example, the mandate of UNAMID).*
- d. Multi-dimensional peacekeeping operations are often mandated to facilitate humanitarian assistance. Usually the role of the mission is to provide security or support to humanitarian actors outside of the peacekeeping operation who are providing the humanitarian assistance. Peacekeeping operations generally do not provide humanitarian assistance directly.*
- e. Particularly the mandates for multi-dimensional peacekeeping operations will have one or more references to women and children because the Security Council recognizes that they often suffer most during a conflict. Sections 2.4 and 2.5 will talk more about those issues.*
- f. The mandates of all multi-dimensional peacekeeping operations include specific tasks for the mission to promote and protect human rights.*
- g. Most mandates for multi-dimensional peacekeeping operations include a reference to DDR.*
- h. Many multi-dimensional peacekeeping operations are mandated to assist Governments to organize national or local elections. In some cases they may also be mandated to observe the elections. It is less common for the UN peacekeeping operation to be mandated to carry out the elections itself. Different tasks can be assigned to different components of the mission and UN Country team. For instance, military and police components may help ensure security while civilian components in cooperation with the UN Development Programme (UNDP) may assist the Government in registering voters or organizing the elections. Integrated Support Services in missions may provide logistical support in cooperation*

*with, or in support of civilian electoral personnel in missions and in UN agencies. In some cases, the mission may be mandated to provide logistical support to the Government carrying out the elections. Mandated tasks related to elections often cut across several different components and illustrate why different components of the peacekeeping operation and UN Country Team should work together.*

## Translating Security Council Mandates Into an Operational Framework

Security Council mandates are operationalized through the:

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- Mandate Implementation Plan, or Integrated Strategic Framework (ISF)
- Concept of Operations (CONOPS)
- Rules of Engagement (RoE) and Directive on the Use of Force (DUF)



**Slide 13**

- 💬

As illustrated in the preceding exercise, Security Council mandates are relatively vague. They are only meant to provide high-level strategic direction to the peacekeeping operation. Additional frameworks must be put in place to operationalize the Security Council mandate. The frameworks provide clarity on how to interpret the mandate and the roles and responsibilities of different components in implementing the mandated tasks.
- 💬

As explained in Unit 1, the Security Council delegates the operational authority for the direction of peacekeeping operations to the Secretary-General, who in turn delegates that authority to the Under-Secretary Generals of DPKO and DFS and the Head of the Mission. Once the Security Council issues a mandate, those parts of the Secretariat use the mandate to establish the operational framework for the peacekeeping operation.

Key aspects of this operational framework include:

- A field level strategic plan (this document may have different names depending on the mission, such as **the Mandate Implementation Plan**, or the **Integrated Strategic Framework (ISF)**)
- **Concept of Operations (CONOPs)**
- **Rules of Engagement (RoE)**
- **Directive on the Use of Force (DUF)**

The following slides will provide brief definitions of each of these terms.

**Note to Instructor:** For courses which include civilian participants, or senior level or military personnel (including staff officers), instructors may wish to include a reference to the Status of Mission or Status of Forces Agreement (SOMA or SOFA), the Memorandum of Understanding (MOU) between the United Nations and Troop Contributing Countries, and the mission's Results-Based Budget (RBB). These are other key documents operationalizing the mandate of the peacekeeping operation.

An additional slide with information on these documents has been included at the very end of the PowerPoint slide presentation and can be moved forward if needed. The slide and its associated information can be found after the Summary of Key Message for Unit 2 – Part 1 on page 37.

### Key Operational Documents


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Mandate Implementation Plan, or Integrated Strategic Framework (ISF)






- A detailed operational strategy for implementing the Security Council mandate by the peacekeeping operation

Concept of Operations (CONOPS)

- Sets out the strategic military and police objectives required to fulfill the mandate



**Slide 14**

-  In order to provide greater clarity about the UN strategy to implement the Security Council mandate and specific tasks required as part of this strategy, UN peacekeeping operations generally have a strategic planning document focused on the field level. It has different names in different missions, usually it is called either the **Mandate Implementation Plan** or the **Integrated Strategic Framework (ISF)**. The Mandate Implementation Plan or Integrated Strategic Framework is a **detailed and comprehensive operational strategy for implementing the Security Council mandate**. They outline timelines and roles and responsibilities of different components of the mission (and in some cases the UN agencies working in the country). Generally, these planning documents are initiated by the Technical or Strategic Assessment team and finalized by the senior management group of the mission in collaboration with UN Headquarters in NY.
-  The Mandate Implementation Plan or ISF provides an overview of the priority tasks to be carried out by each component of the peacekeeping operation to fulfill the related aspects of the mandate and optimize the use of resources. Where a mission is “integrated” with the UN Country Team, the use of Integrated Strategic Frameworks are being used to define timelines, outputs, and roles and responsibilities for all tasks critical to consolidating peace by the entire UN system. In this context, the “entire UN system” means the UN peacekeeping operation and the UN Country Team.
-  Both the military and police components will have their own separate **Concept of Operations (CONOPS)**. The CONOPS is a strategic planning document which outlines the key security objectives, requirements and tasks for the military and police components to fulfil their responsibilities in the Security Council mandate.
-  The Military CONOPS is prepared by the Military Planning Service of DPKO and is an internal UN document. In most missions, the Head of the Military Component (HoMC) may also issue a Military Operations Plan (often known as the military ‘Operation Order’) to supplement the CONOPs. This is the HOMC’s formal written direction to the Military Component and is developed to directly support the strategy and priorities of CONOPS.
-  The standard Police CONOPS is prepared by Police Division of DPKO and includes the latest situation update, the requirements of the Police components of the mission mandate, strategic directives from the UN Police Adviser, and programmes for delivery and the expected outcomes of Police operations and activities in the mission. The CONOPS also provides broad

guidelines on the command, coordination, administration and logistics, including the mandated strength of the Police component.

### Key Operational Documents (cont.)


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Rules of Engagement (ROE)





- Directions to operational military commanders outlining when and how force may justifiably be used by designated UN military personnel

Directive on the Use of Force (DUF)


- Instruction to the police component on when and how force may legally be used by designated UN Police personnel to implement the mandate




**Slide 15**

-  The **Rules of Engagement (ROE)** outline the authority of armed UN **military** personnel to use force in implementing the mandate. They also clearly state when force may not be used by armed UN military personnel. The Rules of Engagement apply to all armed military personnel and units in the mission and they are tailored to the particular mandate of that mission. They are legally binding and are documents internal to the United Nations.
-  The **Directive on the Use of Force (DUF)** applies to all armed **police** personnel and units in the mission. It indicates whether UN Police are armed and when they have the legal authority to use force in implementing their mandate. Each Directive on the Use of Force applies to a particular mission and it is specific to that particular mandate.
-  All armed UN peacekeeping personnel must be thoroughly familiar with the relevant RoE or DUF. UN Military or police personnel in a commanding role have a responsibility to ensure that the personnel under their command are thoroughly familiar with the relevant RoE or DUF.
-  **Note to Instructor:** *If you are training military or police personnel who will be armed when they are deployed to a UN peacekeeping mission, indicate that in-depth training on their specific RoE or DUF will be included in the mission-specific elements of pre-deployment and induction training. It is important that instructors and contingent and FPU commanders devote appropriate time to such training and provide detailed training on all elements of the mission-specific RoE or DUF.*


*The Department of Peacekeeping Operations briefs Permanent Missions (the diplomatic representation of a country to the United Nations) in New York and provides copies of key documents including CONOPS, ROE and DUF.. If an updated copy of the RoE or DUF for a particular mission is required in order to carry out such training, peacekeeping training institutions should contact their Permanent Mission to the United Nations in New York. For further technical advice on training on RoE or DUF, they may contact DPKO's Integrated Training Service (ITS) at: [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org).*

 *For a more general overview of RoE, instructors may also download a copy of the “Guidelines for the Development of Rules of Engagement (RoE) for United Nations Peacekeeping Operations” from <http://peacekeepingresourcehub.unlb.org> or contact [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org) for a copy.*

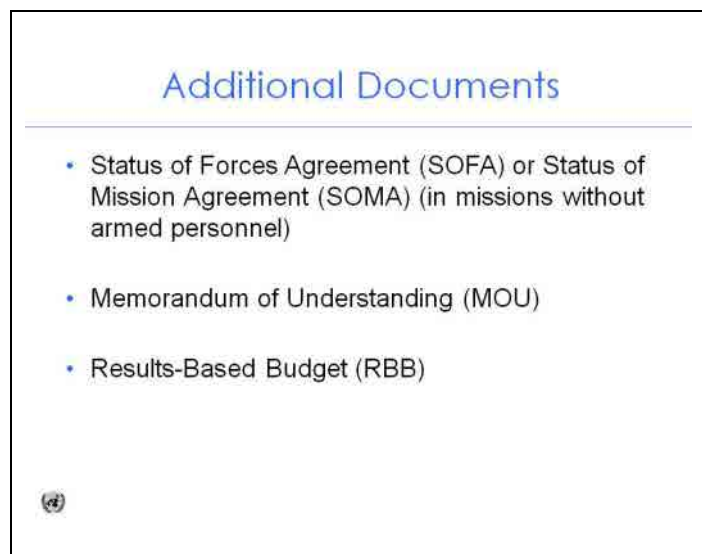
## Summary of Key Messages


 **Note to Instructor:** *Outline the main points that have been covered during the session.*


- The Security Council establishes mandates for UN peacekeeping operations in resolutions, which may be amended over time.
- The UN Secretariat operationalizes Security Council mandates through the Mandate Implementation Plan or Integrated Strategic Framework, the Concept of Operations (CONOPS), Rules of Engagement (RoE) and Directive on the Use of Force (DUF).
- The Security Council monitors progress in the implementation of the mandate by requesting regular reports from the UN Secretary-General.
- The Security Council uses these reports to assess when a peacekeeping operation has completed its mandate and to decide when a UN peacekeeping operation should transition or withdraw.
- All peacekeepers should be thoroughly familiar with the mandate for their peacekeeping operation and they should also be familiar with any established benchmarks or conditions by which their progress is measured.

 *For training courses with military or police personnel, instructors should also stress that: Military personnel should be thoroughly familiar with the Rules of Engagement, and UN Police should be thoroughly familiar with the Directive on the Use of Force.*


## Optional Slide

**Optional  
Slide 1**

 **Note to Instructor:** For courses which include civilian participants, or senior level or military personnel (including staff officers) instructors are strongly encouraged to include this slide. For courses which include only junior level UN Police or military personnel instructors may choose to skip this slide.

 There are three other documents which may seem obscure, but play key roles in allowing a UN peacekeeping operation to fulfil the Security Council mandate. Middle and senior level peacekeeping personnel (civilian, military and police) should be aware of these documents. These are the:

- **Status of Forces Agreement (SOFA) (or in missions without armed personnel it is the Status of Mission Agreement (SOMA))**
- **Memorandum of Understanding (MOU) between Troop Contributing Countries and the United Nations**
- **Annual Results-Based Budget (RBB) of the mission**

 In UN peacekeeping operations with armed personnel, the United Nations concludes a **Status of Forces Agreement (SOFA)** with the host country, which applies to all mission personnel (military, civilian and police). For UN peacekeeping operations (or Special Political Missions) with only unarmed personnel, the United Nations concludes a **Status of Mission Agreement (SOMA)**, which also applies to all mission personnel.

- 💬 These agreements are legal agreements which ensure that all peacekeeping personnel, including military and police who are not UN staff, are provided “functional immunity” under the international Convention on Privileges and Immunities just like UN civilian staff. The agreements define the legal status and arrangements, among other things, for the UN’s use of facilities, transportation and other equipment, communications, its freedom of movement in the country, and sets out a mechanism by which disagreements on these issues should be resolved by the UN and the host country.
- 💬 The **Memorandum of Understanding (MOU)** is a legal agreement outlining how the UN will reimburse the governments for the troops, formed police units or equipment that they are loaning to the peacekeeping operation. The MOU also details the obligations of the contributing government for ensuring the appropriate quality of those personnel and equipment. (As will be explained in Unit 4 – Part 1, since 2007, the MOU also spells out the detailed obligations of Troop Contributing Countries, contingent commanders and the troops in relation to prevention of sexual exploitation and abuse in UN peacekeeping operations).
- 💬 The **Results-Based Budget (RBB)** is the budget mechanism by which the peacekeeping operation seeks and receives funding from the UN General Assembly to carry out its functions. It includes funds for activities, personnel, equipment, supplies, and facilities. It is important for all peacekeeping personnel who supervise personnel or require facilities and equipment to ensure that their needs are covered in the annual Results-Based Budget, otherwise there will not be funding for those personnel, facilities or equipment.

## Unit 2 – Part 1: Learning Assessment

### Questions

1. What does the Security Council request in order to monitor the progress of a UN peacekeeping operation?
2. Name three key documents that the UN Secretariat uses to operationalize the Security Council mandate for a UN peacekeeping operation.
3. Which two documents define how and when UN military and police may justifiably use force to carry out their mandate?
4. Name one condition typically used to indicate when a multi-dimensional UN peacekeeping operation has successfully completed its mandate.

### Answers

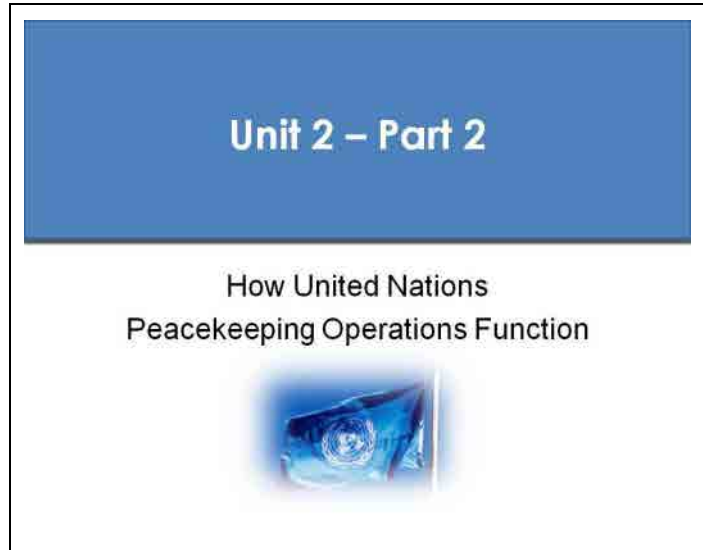
1. The Security Council requests regular written reports from the Secretary-General on the progress in implementing the mandate of each UN peacekeeping operation.
2. Any three of the following: Mandate Implementation Plan (or Integrated Strategic Framework), Rules of Engagement (RoE), Directive on the Use of Force (DUF), or Concept of Operations (CONOPs),  
(or in a civilian or senior level military or police course, participants may also list the Status of Forces or Mission Agreement (SOFA/SOMA), the MOU between the UN and Troop Contributing Countries, or Results-Based Budget (RBB)).
3. The Rules of Engagement outline the justifiable use of force by UN military personnel. The Directive on the Use of Force outlines the justifiable use of force by UN Police.
4. Any one of the following:
  - Absence of violent conflict and large-scale human rights abuses
  - Completion of disarmament, demobilization and reintegration (DDR) of former combatants
  - National armed forces and national police are able to provide security and maintain public order with civilian oversight and respect for human rights;
  - Legitimate political institutions, such as a legislature, have been set up and started functioning after the holding of free and fair elections where women and men have equal rights to vote and seek political office.



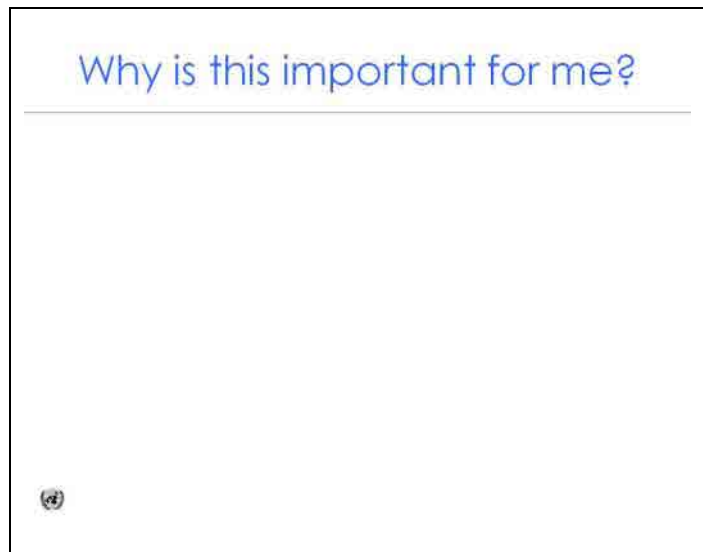
## UNIT 2 – PART 2: HOW UNITED NATIONS PEACEKEEPING OPERATIONS FUNCTION

### Session Notes

### Introduction



Slide 1




Slide 2

### Why is this important for me?

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As peacekeeping personnel working with hundreds or even thousands of people in the operation, you need to understand ...

- not only your own work, but also how it affects, and is affected by the work of other components in the mission
- the authority, command and control structures and the coordination and management structures, which direct and guide their work



**Slide 3**


- 💬 As UN peacekeeping personnel, you are part of a peacekeeping operation made up of **hundreds and often thousands of personnel**.
- 💬 Every individual has an important contribution to make, but the only way for the peacekeeping operation to have an impact is if all personnel are working efficiently and coherently towards the same goal.
- 💬 For this reason, all peacekeeping **personnel need to understand their own work, but also how it affects, and is affected by the work of other components in the mission**. All peacekeeping personnel also **need to understand authority, command and control structures and the coordination and management structures which direct and guide their work**.

### Learning Outcomes

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On completion of Unit 2 – Part 2, participants will be able to:

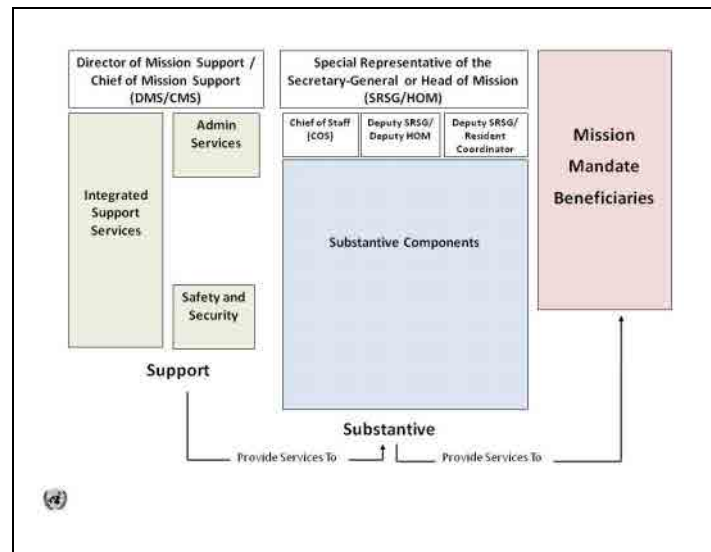
1. Explain the relationship between the support and substantive components of a peacekeeping operation and mandate beneficiaries
2. List at least four main positions of authority in a UN peacekeeping operation
3. Explain the main role of the military, police and civilian components in UN peacekeeping operations



**Slide 4**

- 👉 **Note to Instructor:** Introduce the session by letting participants know the intended learning outcomes for Part 2 (as shown in the slide above). You may want to also present an outline of Part 2.

## Components of a UN Peacekeeping Operation



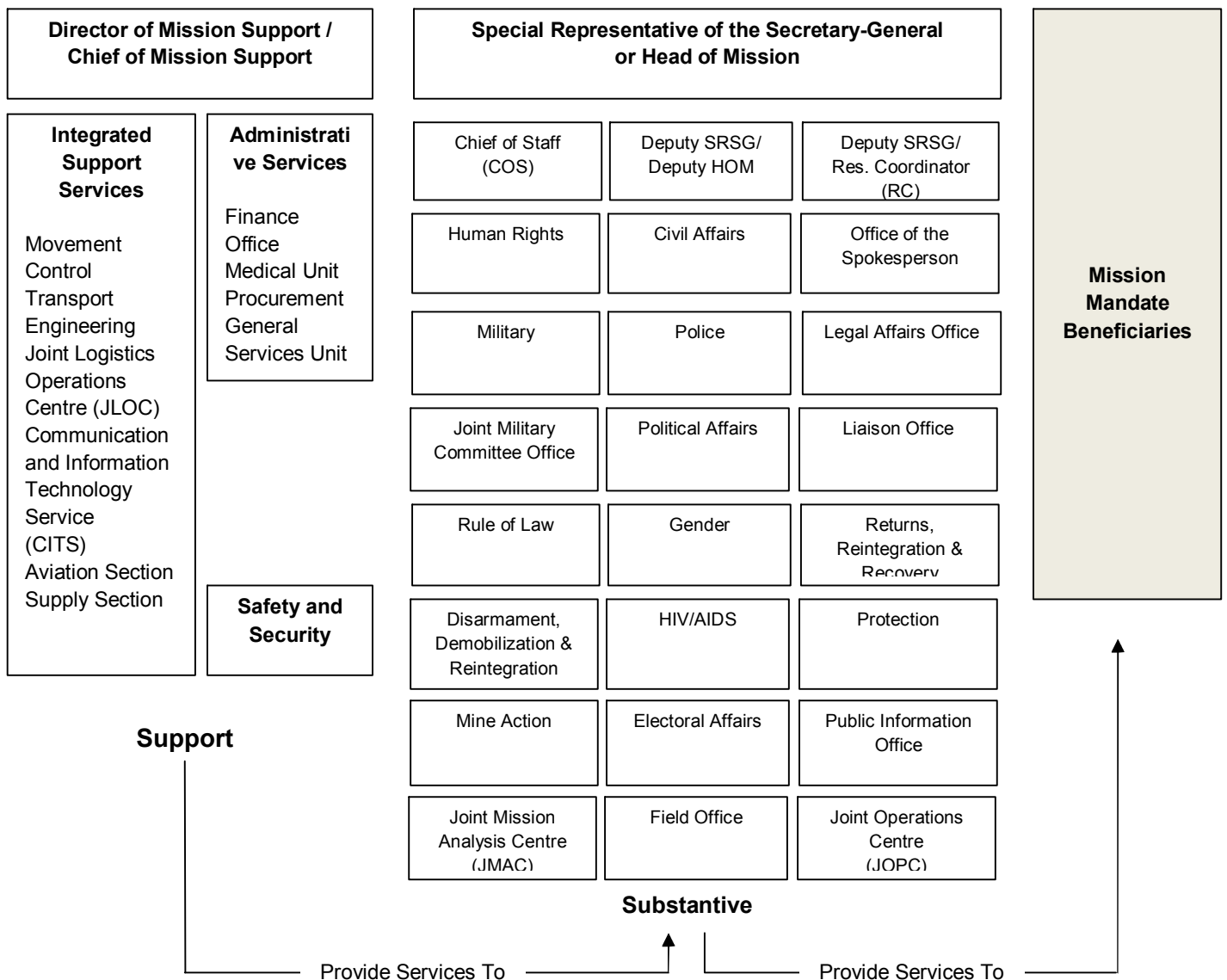
Slide 5

- As explained in Unit 1, there are three main types of United Nations peacekeeping operations: traditional, multi-dimensional operations and, in rare cases, transitional authorities. However, there can be differences in the structures of those operations. (i.e. not all traditional peacekeeping operations will be structured in the same way. This is also true for multi-dimensional and transitional authority operations.)
- These differences are because the structure of the operation is created to suit each mandate that has been authorized by the Security Council. The mandate itself is geared to the unique situation of the conflict of the country in question.
- Therefore, there is no standard structure of a UN peacekeeping operation, nor is there a standard organizational chart for a traditional or multi-dimensional peacekeeping operation. Each peacekeeping mission is different.
- 📄 **Handout:** The handout on page 37 shows additional details beyond what are shown on the slide above.
- Regardless of the exact structure of a peacekeeping operation, all missions have a **support and substantive component** which must work together for

the mandate beneficiaries (those persons or groups whom the mission is mandated to assist). As shown in the slide above and the handout (on the next page), the mission support components provide services to the substantive components (military, civilian, police). Those substantive components in turn provide services to the local **beneficiaries listed in the mandate**.

- 💬 The handout shows that there are a large number of units or offices within the support and substantive components. Particularly on the substantive side, not all of these different units will exist in every mission – it depends on whether it is a multi-dimensional peacekeeping operation or a traditional one, and whether those tasks are included in the mandate. For example, landmines are not a problem in Timor-Leste so UNMIT – while it is a multi-dimensional mission - has no demining mandate and therefore no Mine Action Unit in the mission. UNMIT is, however, mandated to provide support to the Government in holding elections, therefore it has an Electoral Affairs Unit.
- 💬 For all UN peacekeeping operations, it can be difficult to ensure that all components and units work together in a coherent and effective manner. For that reason, peacekeeping operations require clear command and control structures to ensure that decisions are effectively transmitted from the head of the mission down to the relevant components. It also means that peacekeeping operations require strong management structures across the various components to ensure that different components are using resources efficiently. And across the mission, it also requires that all peacekeeping personnel understand the contribution of other components and sections to the success of the mission, and the importance of collaboration across the mission. Unit 2 – Part 2, therefore, focuses on command and control, management structures and the importance of understanding the work of other components.

## United Nations Field Mission Service Provision



*Source: UN DPKO/DFS Mission Start-up Field Guide for Senior Mission Managers of UN Peacekeeping Operations, February 2008*

## Authority, Command and Control in United Nations Peacekeeping



Slide 6

- The three levels of **authority, command and control** in UN peacekeeping operations are outlined on the slide.
- The **strategic** level is the highest level of authority and focuses on the authority and responsibilities of the Security Council, Secretary-General and UN Secretariat. It also includes the Head of Mission. The **operational** level is focused primarily at the mission level, and overlaps both with the strategic level and the **tactical** level.
- As you can see, the different levels of authority are not as clear cut as in most military organizations, and therefore will be explained in more detail in subsequent slides.

## Strategic Level Authority

### Strategic Level Authority

- The Under-Secretary-General of the Department of Peacekeeping Operations (USG DPKO) has primary responsibility for the strategic level management and direction of all UN PKOs
- The UN has “Operational Authority” over all military and police personnel participating in UN Peacekeeping operations



Slide 7

- As explained in Unit 1, the Security Council provides the legal authority for all UN peacekeeping operations and authorizes the UN Secretary-General to establish a peacekeeping mission. In Unit 2, we discussed how the Security Council delegates responsibility to the Secretary-General and the UN Secretariat to establish and conduct the peacekeeping operation with responsibility for implementing the mission’s mandate.
- Specifically, the Secretary-General delegates primary responsibility for the **strategic level** management and direction of all UN peacekeeping operations to the **Under-Secretary-General of the Department of Peacekeeping Operations (USG DPKO)**. The current USG DPKO (shown in the slide photo) is Alain Le Roy.
- In exercising this responsibility the USG is supported by other UN Departments responsible for strategic level financial management, safety and security oversight, and logistics and administrative support.
- As part of this responsibility to establish, direct and manage peacekeeping operations, the United Nations has “Operational Authority” over all military and police personnel participating in UN peacekeeping operations. Operational authority is defined as:

*“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”.<sup>1</sup>*

💬 What this means is:

- Member States always retain national responsibilities for their military and police, such as pay, allowances and promotions.
- However, the Governments or national military and police authorities of those Member States are not permitted to adjust or influence any tactical plans, decisions or operations supervised by the Heads of the Military and Police Components in the mission area.

💬 This prevents confusion in the mission area. Member States are able to represent any concerns or interests they may have in regard to tactical operations to the Department of Peacekeeping Operations (DPKO) at UN Headquarters in New York.

💬 National rules and regulations governing the conduct and discipline of military and police units continue to apply when deployed to a UN peacekeeping mission. UN rules and regulations will also apply. These rules are explained in more detail in Unit 4 of this pre-deployment training and mission induction training sessions.

👉 **Note to Instructor:** *‘Operational Authority’ is an all encompassing term and is not intended to be equivalent to any particular command status in common use by military forces around the world. See the footnote for the source of the definition provided. Instructors should also be aware that while the definition of Operational Authority indicates that disciplinary matters remain a national responsibility, the United Nations may take administrative steps for misconduct, including repatriation of military contingent members and staff officers in accordance with the revised model Memorandum of Understanding, (A/61/19 part III) or disciplinary action for those military or police deployed as “Experts on Mission” in accordance with the UN Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers. Please see Unit 4, Part 1 for more information on conduct and discipline.*

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<sup>1</sup> UN DPKO/DFS Policy; *Authority, Command and Control in UN Peacekeeping Operations*, 15 February 2008, section D, p. 3

## Head of Mission



Slide 8

☞ The Head of a UN peacekeeping Mission (HOM) appointed by the Secretary-General. The **HOM exercises ‘operational authority’ over all civilian, military and police personnel employed within the UN peacekeeping mission**. This authority has been given to the HOM by the Secretary-General and USG DPKO upon appointment. It means he or she has the ultimate authority at field level to direct how the capabilities of all components in the mission are used to carry out the mandate.

☞ In a multi-dimensional peacekeeping operation, the Head of Mission is always a civilian. He or she generally holds the title Special Representatives of the Secretary-General or SRSG for short. The SRSG is the highest UN official in the country.

☞ The Head of Mission in a traditional peacekeeping operation is often – but not always - a senior military officer who performs the dual role of ‘Head of Mission’ and ‘Head of the Military Component’ (HOMC).

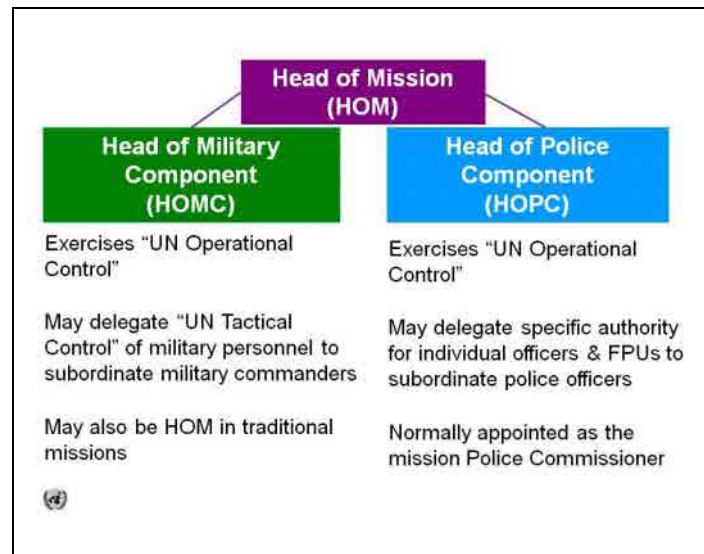


**Example:** The Heads of Mission in UNMOGIP (Chief Military Observer), UNTSO (Chief of Staff), UNDOF and UNIFIL (both are known as ‘Force Commanders’) are all senior military officers who have the additional role of ‘Head of the Military Component’.

The Head of Mission in MINURSO, a traditional mission, is a civilian Special Representative of the Secretary-General (SRSG), assisted by a Head of Military Component who is known as the ‘Force Commander’.

**Note to Instructor:** Ensure that you verify the continued accuracy of the information on the missions and senior management posts given in the examples. This information is available through the UN DPKO internet website: <http://www.un.org/Depts/dpko/dpko/index.asp>. To find the names and titles, and often pictures of the Mission Leadership, click on the mission name under Current Operations, and then click on Facts and Figures on the left side of the page.

## Other Positions of Authority



Slide 9

- To maintain the integrity of the military and police chains of command chains, the HOM can only exercise authority over military and police personnel through the respective heads of the military and police components.
- The **Head of the Military (HOMC)** reports to the HOM and **exercises 'UN Operational Control'** over all military personnel and units assigned to the mission. This authority allows the HOMC to deploy and direct forces to accomplish specific tasks that are limited by time, function and/or location.
- The HOMC may also **delegate military personnel** and units under **'UN Tactical Control' of a subordinate military commander**. This assists in tactical missions or tasks by allowing personnel to be directed locally.
- The **Head of the Police (HOPC)** reports to HOM and **exercises 'UN Operational Control'** over all UN Police (UNPOL) in the peacekeeping operation, both the individual UN Police or Formed Police Units (FPU).

- 💬 This authority allows the HOPC to assign separate tasks within the mission area to individual officers and Formed Police Units (FPU), as required. The HOPC may **delegate this authority to subordinate police officers for specific purposes**.
- 💬 The Head of the Military Component is the principal adviser to the Head of Mission on military issues, and the Head of the Police Component is the principal adviser to the Head of Mission on police issues.
- 💬 The HOMC and HOPC each maintain a **technical reporting** link to UN headquarters, to the UN Military Adviser and UN Police Adviser, respectively.
- 💬 This reporting link ensures that the technical aspects of military and police field operations are conducted in accordance with overarching UN policies and standards. It also assists UN Headquarters as they are responsible for all official interactions with Member States regarding the operational employment of military and police in the field.

👉 **Note to Instructor:** For a full description of the UN command terms, see the *UN DPKO/DFS Policy; Authority, Command and Control in UN Peacekeeping Operations*, 15 February 2008 in section D on pages 3 and 4.

### Key Civilian Authority Positions


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**Director or Chief of Mission Support (DMS or CMS)**

- responsible for ensuring provision of the necessary logistics and administrative support to the mission

**The Chief of Staff**

- performs a senior level staff and advisory function for the HOM and the senior management of the mission
  - E.g. integrated management and coordination of mission activities, policy and planning



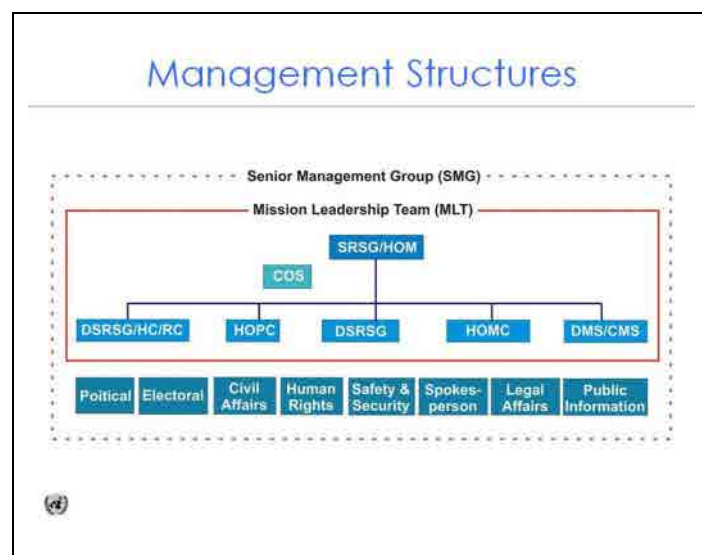
**Slide 10**

- 💬 The **Director or Chief of Mission Support (DMS / CMS)** is the most senior UN official within the mission that is authorized to 'expend UN funds' associated with the mission's allocated budget. Therefore, this is a critical function in all peacekeeping missions.







## 44 ▪ Unit 2 – Part 2: How UN Peacekeeping Operations Function

- The DMS / CMS may also be supported by two civilian subordinate officials: a Chief Administrative Services (CAS) and a Chief Integrated Support Services (CISS).
  - UN peacekeeping operations also have a **Chief of Staff** for the mission who works closely with the HOM. The Chief of Staff **performs a senior level staff and advisory function for the HOM and the senior management of the mission**. While their role will vary from mission to mission, they are generally responsible for the effective and integrated management of all the mission's activities in line with the strategic vision and guidance from the HOM.
  - The Chief of Staff also coordinates mission policy and planning activities among the various components of the mission, including the Mandate Implementation Plan or Integrated Strategic Framework and the RBB framework.
  - The Head of the Military Component, and often the Head of Police Component, often also have a military or police Chief of Staff to address similar issues within their own component.
- Note to Instructor:** The titles of Director or Chief of Mission Support (DMS or CMS) have replaced the terms Director of Administration (DOA) or Chief Administrative Officer (CAO).

## Management Structures in UN Peacekeeping Operations



Slide 11

-  **Different management structures** exist in order to allow the Head of Mission to manage the work of these different functions and ensure progress in implementing the Mandate Implementation Plan or Integrated Strategic Framework. These structures exist at the mission headquarters level. In larger missions there may also be regional management structures to coordinate the work of different parts of the peacekeeping operation in that particular region.
-  The top principals of the various components of the peacekeeping operation are brought together in the **Mission Leadership Team (MLT)**, a senior level decision-making forum. The Mission Leadership Team is the mission's primary executive decision-making forum which supports integrated decision-making between different components, and in "integrated missions" with respect to the UN Country Team.
-  The Mission Leadership Team also establishes and communicates the shared strategic vision for achieving the mandate. The MLT generally comprises one or more of the Deputy Special Representatives of the Secretary-General (DSRSGs) representing usually multiple civilian components, and in integrated missions the UN Country Team. The DMS or CMS, HoMC and HoPC are also part of the Mission Leadership Team.
-  In addition, most peacekeeping operations, particularly larger ones, will have a **Senior Management Group (SMG)**, which is a wider management, planning and coordination forum. The SMG tends to include the members of the Mission Leadership Team as well as the heads of various civilian components in the mission. The diagramme on the slide shows some examples of these components, such as political affairs, human rights, and public information, to name a few. Many of these may not exist in a traditional peacekeeping operation, therefore the SMG will be considerably smaller than in a multi-dimensional peacekeeping operation with a broad range of civilian components.
-  **Note to Instructor:** *Mission Leadership Team and Senior Management Group are new terms arising from the 2008 Policy on Authority, Command and Control. On a day to day basis, some missions may still be using previous terminology informally.*
-  *In the diagramme, the DSRSG/RC/HC stands for the Deputy SRSG/ Resident Coordinator/Humanitarian Coordinator. The Resident Coordinator represents and coordinates the work of all the UN agencies, funds and programmes in the UN Country Team. The post of DSRSG/RC exists in "integrated missions" and*

*is the means by which the mission and the UN Country Team are integrated. In integrated missions where there is also a humanitarian emergency, the UN may appoint a Humanitarian Coordinator as well. The Humanitarian Coordinator is often also the DSRSG/RC. Unit 3 – Part 2 explains more about how missions work together with the UN Country Team and the humanitarian community.*

## Understanding the Importance of Other Components' Work

All peacekeeping personnel must have a basic understanding of:

- The important contribution of each component and function within a mission
- The main tasks of the different components and functions in a mission and how/when to help each other in achieving the mandate
- The different national, institutional or professional cultures within the mission



The diagram consists of three overlapping circles. The top-left circle is green and labeled 'Military'. The top-right circle is orange and labeled 'Civilian'. The bottom circle is blue and labeled 'Police'. The circles overlap in the center, indicating that all three components are essential and their functions are interconnected.

Slide 12

- 🗨️ **All peacekeeping personnel must have a basic understanding of the important contribution of each component and function within a mission.** Everyone in a mission has an important contribution to make in achieving the mandate and the Mission Plan.
- 🗨️ Understanding the importance of each other's contributions is particularly vital in multi-dimensional peacekeeping operations. These missions have complex mandates and operate in difficult environments. The work of each component affects and influences the tasks of other components.
- 🗨️ In order for any UN peacekeeping operation to achieve its mandate, it must strategically use the capabilities of the military, police and civilian components at the right moment. The strategy on how to do this is outlined in the Mandate Implementation Plan or Integrated Strategic Framework.
- 🗨️ Putting this into practice requires that everyone in the peacekeeping operation has a basic understanding **of the main tasks and functions of the different**

**components in a mission. It also means that peacekeeping personnel must know how and when to help each other in achieving the mandate.**

- 💬 All parts of a United Nations peacekeeping operation function under the same mandate, report to the same Head of Mission, share a single budget, and depend on the same integrated support services. However, there are significant **cultural differences**. These include **national, institutional and professional differences**. These differences are both within the components and between them.
- 💬 Many civilian organizations and government departments routinely function with a high degree of tolerance for ambiguity (vagueness and uncertainty). They may also have highly flexible management models. Military and police staffs often minimize ambiguity by making informed assumptions within a strong planning culture.
- 💬 Peacekeeping personnel must work to bridge these differing “institutional cultures”. At the same time, it is important to not to stifle the cultural and institutional diversity that is one of the United Nations’ main strengths.
- 👉 **Note to Instructor:** *Cultural differences of all kinds will be explored more fully in Unit 4 in the session on Respect for Diversity.*
- 💬 The following slides outline the main functions of the civilian, military and police components. We will also explore the integrated structures in which police, civilian and military work together.

## The Military Component

### The Military Component

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**In traditional peacekeeping operations:**

- monitor or supervise military arrangements that parties to a conflict have agreed upon

**In multi-dimensional peacekeeping operations:**

- create a secure and stable environment for other elements of the peace process to be implemented
  - e.g. human rights monitoring, national reconciliation and distribution of humanitarian assistance



**Slide 13**

- 🗨 Military components play an instrumental role in UN peacekeeping. **In traditional peacekeeping operations, the military component is generally made up of unarmed military observers or lightly armed contingents carrying out monitoring or observation tasks.** The military component carries out the mandated tasks to **monitor or supervise any military arrangements that parties to a conflict have agreed upon** while the peace process continues.
- 🗨 Over time, the tasks of UN military components have become increasingly complex. The conflicts in which they intervene no longer involve only national armies, but may also now include irregular forces, guerrilla factions, and even armed criminal gangs.
- 🗨 Consequently, the military capability under UN command has changed and is no longer the lightly armed intervention aimed at separating national armed forces that was typical during the first 40 years of UN peacekeeping.
- 🗨 **In multi-dimensional peacekeeping operations,** the primary function of the military component is to **create a secure and stable environment for other elements of the peace process to be implemented.** For example, **human rights monitoring, national reconciliation and distribution of humanitarian assistance.** Depending on the mandate, there may also be tasks associated with monitoring of a ceasefire or certain boundaries. In such cases, the military component may carry out these tasks in collaboration with other components, such as civilian political affairs officers.
- 🗨 In multi-dimensional peacekeeping operations, it is particularly important for the military component to work in close consultation with all mission components. This is because the success of those missions is measured by more than just the absence of conflict. The reestablishment and development of strong institutions and respect for the rule of law are also important conditions for success, and these cannot be achieved through the threat, or use, of military force alone. For those reasons, the military component must work with all other partners in this wider context to consolidate peace and security.



Slide 14

- ☞ There are **three main categories of military personnel in UN peacekeeping operations**.
- ☞ The biggest number of UN military personnel are deployed as **formed military units or contingents**. These are fully functioning units of armed soldiers with their own command structure which correspond to traditional military formations, e.g. **companies** (about 120-150 soldiers), **battalions** (500-1,000 soldiers) or **brigades** (4,000-10,000 soldiers).
- ☞ Both traditional and multi-dimensional peacekeeping operations also have some form of **“Military Experts on Mission”**. These are unarmed military personnel who carry out specific observer or advisory functions outlined in the mandate, and carry various titles, including United Nations **Military Observers** (UNMO), **Military Liaison Officers** (MLO), **Military Advisers** (MilAd) and **Arms Monitors** (AM) depending on the mandate of the mission.
- ☞ **Note to Instructor:** You may want to ask participants if they know the acronyms for the different military experts. If you have provided handouts of the slide, suggest that participants write down any acronyms that come up in the sessions.
- ☞ All peacekeeping operations also have **staff officers** who are military officers deployed in an individual capacity to perform **specialized functions at the mission’s force headquarters or in joint mission structures**.
- ☞ All categories of military personnel in a peacekeeping operation report to the Head of Military Component (HOMC). In large peacekeeping missions with

armed military units, the Head of the Military Component (HOMC) is a serving military officer usually appointed in the functional title of 'Force Commander' (FC) at either the 'two star' or 'three star' General officer rank ('Major-General' or 'Lieutenant-General' equivalent).

- 💬 In smaller missions, comprising only unarmed military personnel, the HOMC may hold the functional title of Chief Military Observer (CMO), or Chief Military Liaison Officer (CMLO) at a 'Colonel' equivalent rank but also up to 'two star' General officer rank (Major-General).



**Examples** of best practices in collaboration between military components and other parts of UN peacekeeping operations include:

- During the 2006 elections in the Democratic Republic of Congo, the military component of MONUC contributed to the success of the elections by providing escorts for the distribution and collection of electoral materials to 12,000 voter centres by UN civilian electoral personnel and national authorities.
- In 2006, UNMIL and the Government of Liberia set up a Rubber Plantation Task Force to normalize the situation in unstable or informally exploited (occupied) plantations, and in the long run, to increase Government revenue from rubber production and trade. From UNMIL, the Task Force involved the military and police components, the DDR, civil affairs, judicial, human rights and environment units to do joint planning, analysis and action. The first order of business for the Task Force was to address a plantation being operated by a group of former combatants, who had taken control of the plantation during the war. It was a joint operation with the UNMIL Force working in support of the substantive civilian sections within UNMIL, led by the DDR section. The UNMIL Force also insisted that it would not deploy troops until the UN Police and Liberian National Police were also ready to deploy and a series of Quick Impact Projects were in place to instantly improve conditions for the inhabitants of the plantation.
- Between about 2004 and 2006, armed groups controlled areas of the capital city (such as the area known as Cite Soleil) in Haiti, that neither MINUSTAH nor national police or authorities were able to enter and safely assist the population. In late 2006, the military contingents of MINUSTAH used urban combat operations to overcome the aggressive and organized resistance of the armed groups, with UN Police playing a supporting role by providing a standby force capacity and the use of non-lethal means to arrest gangsters. As the UN military component

gained control of the security situation in these neighbourhoods, UN Police were able to enter and work with the Haitian National Police to reestablish law and order, and civilians (civil affairs officers from the mission, as well as UN and NGO humanitarian and development agencies) were able to work with local authorities and community groups to reestablish public services. *(Instructors using this example may also wish to show the video Ponte Forte which is contained in the Toolbox on the Peacekeeping Resource Hub at <http://peacekeepingresourcehub.unlb.org> or by contacting [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org)).*

- In MONUC, UN Military Observers (UNMOs) have been seconded to the Disarmament, Demobilization and Reintegration (DDR) section. The UNMOs have provided excellent liaison between the DDR unit and the rest of the military component of the mission, which has allowed the DDR unit during 2008 to effectively take advantage of the security cover provided by the military component and access areas and local armed groups, which would otherwise have been impossible.

## The Police Component



Slide 15

- Generally **United Nations Police (UNPOL)** are deployed to multi-dimensional peacekeeping operations because **they play a critical role in establishing public safety and preventing crimes and facilitating the rule of law**. In doing so, they work with the host country police and **in close collaboration with civilian components such as human rights, judicial and civil affairs**

**and corrections.** UN Police are also sometimes used in traditional missions to assist with observer functions such as monitoring the buffer zone in Cyprus.

- 💬 UN Police are usually police officers and other law enforcement personnel on active duty in their home countries who are temporarily seconded to a peacekeeping operation. The secondment is usually for about six months to one year.
- 💬 Increasingly, there are two categories of UN Police. First are the **individually deployed UN Police officers**, and second are **Formed Police Units (FPUs)**.
- 💬 An **FPU** is a stand-alone unit of police officers that is deployed from the same country. The FPUs generally consist of about 140 officers. Their roles are to provide public order support to the peacekeeping operation.
- 💬 All categories of UN Police report to the Head of the Police Component (HOPC). The Head of the Police Component is a serving senior police officer. He or she is normally appointed as the mission 'Police Commissioner'.
- 💬 The role of the Police Component differs between peacekeeping missions and so the Police Commissioner is chosen for the specific skills required for the mission's mandate. Examples of these skills include: national police capacity building, mentoring and monitoring of national police, or exercising executive policing authority during a period of transition from international supervision to the installation of a new national government.

### Potential Sources for Misunderstandings

- 💬 Police officers come from different countries with different legal systems and different structures in which police operate. Countries with an Anglo-Saxon legal tradition tend to follow a common law system, while other countries with a continental or Napoleonic legal tradition tend to follow civil law. This can result in different approaches to the same issues. Sometimes these different approaches can lead to misunderstandings over the local legal systems.
- 💬 The key for UN Police and those working with them is to quickly develop a basic understanding of the local laws, especially as they relate to arrest, detention, search, seizure and constitutional rights.
- 💬 Another common source of misunderstanding is related to the role of the police.

- In some countries, particularly from civil law jurisdictions, police are part of the judiciary while in common law jurisdictions, police are part of the executive branch of the state.
- In some countries, police are subservient to military authority while, in others, they are separate. This can result in challenges in police-military relations between individuals who do not have the same experiences or traditions.



**Examples** of how UN Police facilitates the work of other mission components include:

- In the United Nations Operation in Burundi (ONUB) which existed from 2004 to 2006, the Unit responsible for DDR and Security Sector Reform (SSR) received support from the UN Police in seeking donor funding for training and the provision of equipment for the Burundian National Police (PNB). Working together the UN Police and the DDR/SSR unit were able to convince donors to pay for 34 vehicles (4X4 HILUX) and 35 trucks, communication equipment, and housing blocks to serve as training centres. The ONUB Police provided material and technical assistance for the use of this equipment, thereby contributing to the overall objective of the DDR/SSR unit and the mission's overall mandate. (Please note that in 2006 the United Nations Operation in Burundi (ONUB) was replaced by the United Nations Integrated Office in Burundi (BINUB).)
- During the first round of Presidential elections in Timor-Leste in 2007, UN Police played a lead role in ensuring security during the elections, for example by providing escorts when ballot papers were transported to the districts by national authorities in collaboration with the civilian Electoral Assistance Section, and through the provision of a visible presence at all polling centres. During the presidential campaign some 131 campaign events took place and minor security incidents were recorded in only 18 of the campaign events. Twelve of these events involved alleged intimidation, and after investigation none were considered to have had any tangible effect on voters).

## The Civilian Components

### The Civilian Components

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**Substantive Components:**

- Limited number in traditional PKOs
- Many substantive components in multi-dimensional PKOs
  - e.g. political affairs, civil affairs, human rights, gender, public information etc.

**Support Components:**

- Provide necessary logistics and administrative support





Slide 16

- 💬 There are a wide variety of civilian components and functions in UN peacekeeping operations on both the substantive and support sides of a UN peacekeeping operation.
- 💬 The type of **substantive civilian components** that are in a peacekeeping operation depends on the mandate of the mission. Traditional peacekeeping operations are primarily military operations and therefore have a **limited number of substantive civilian components**. In multi-dimensional peacekeeping operations, there are **many different civilian substantive components**.
- 💬 In general, some or all of the following substantive civilian components exist in most multi-dimensional peacekeeping operations: **political affairs, civil affairs, human rights, gender, public information etc.** The handout provides an overview of some of the main tasks of substantive civilian components that are typical in multi-dimensional UN peacekeeping operations.
- 💬 There are no uniform or collective reporting lines for these substantive civilian components, although ultimately they all report to the Head of Mission.
- 💬 As explained earlier, the Director of Chief of Mission **Support** is a civilian responsible for ensuring the provision of **necessary logistics and administrative support to the mission**. Civilian staff provide administrative services, such as ensuring payment of mission personnel, as well as other services such as health and safety personnel or IT and telecommunications

services, all of which are crucial for the functioning of any peacekeeping operation.

- While units responsible for logistical support are headed by civilians, these services are in fact provided by integrated or joint structures (the Integrated Support Services or Joint Logistics Operations Centre) which combine military, police and civilian personnel. These integrated structures also report to the DMS/CMS. The next slide provides a brief definition of the key integrated or joint structures common in UN peacekeeping operations.

 **Note to Instructor:** *As will be explained in Unit 3 – Part 2, UN peacekeeping operations are very rarely, if ever, tasked to provide humanitarian assistance. Humanitarian assistance is generally delivered by other UN agencies, or international or local non-governmental organizations (NGOs) but not the peacekeeping operation itself. Therefore, most UN peacekeeping operations do not have a civilian unit responsible for humanitarian assistance. In some cases, there may be humanitarian personnel working in the mission with the DSRSG/RC/HC to assist in the coordination of humanitarian assistance and act as a liaison between the humanitarian community and the peacekeeping operation.*

 **Examples** of how various civilian components can facilitate the work of others in a UN peacekeeping operation include:

- During the 2007 Presidential elections, UNMIT was mandated to assist the Government including through logistical support. This involved strong collaboration between the Electoral Assistance Division, the Integrated Support Services, UN Police and the International Security Forces (regional military peacekeeping forces not under the UN peacekeeping operation). Frequent briefings to share information and joint planning allowed for maximum flexibility, which allowed UNMIT to react promptly when it became clear that an inadequate number of ballots had been distributed. UNMIT provided crucial logistical support to move reserve ballot papers by helicopter and car from the capital to seven of the 13 districts and the International Security Forces delivered ballots to a further four districts – without which the elections would have failed.
- In MONUC in 2008, the Disarmament, Demobilization and Reintegration (DDR) unit worked with the Public Information Office (PIO) to produce a video that reached past the leadership of foreign armed groups in the

Democratic Republic of Congo to play on the homesickness of the rank and file and entice them to participate in the DDR programme.

- As part of the UNMIS mandate to support the restructuring of national police to be consistent with democratic policing and to develop a police training and evaluation programme, the UN Police Reform and Restructuring Unit set up a user-friendly database for South Sudan police services in 2008 containing all relevant data on national police personnel, their training, vetting, recruitment, military service and relevant details. With the help of the Communication and Information Technology Section (CITS), the UN Police were able to improve the original Excel table and develop a computerized SQL database, in which more than 21,000 national police were registered and the information used for the vetting and certification process.



**Handout:** *Instructors may wish to provide participants with the following handouts. This handout provides an overview of different functions of the civilian, police and military components in multi-dimensional peacekeeping operations and who they provide service to.*

Functions and Activities Within a Multi-dimensional Peacekeeping Mission	
Component	Functions and activities
<b>Civilian</b> <i>Substantive</i>	<ul style="list-style-type: none"> <li>• Developing Disarmament, Demobilization, and Reintegration (DDR) programs with military, humanitarian, and development partners</li> <li>• Electoral assistance</li> <li>• Gender mainstreaming</li> <li>• Justice and corrections</li> <li>• Mine action assistance</li> <li>• Public relations and communications</li> <li>• Building human rights and rule of law</li> <li>• Capacity building of the host country government</li> <li>• Support to emergence of legitimate political institutions and participatory processes</li> </ul>
<b>Civilian</b> <i>Mission Support</i>	<ul style="list-style-type: none"> <li>• Administrative services</li> <li>• Ensuring health and safety of mission personnel</li> <li>• Communications</li> <li>• Financial support: preparation and execution of mission budget, paying staff and vendors</li> <li>• Logistical support to all components</li> <li>• Recruitment, training, and career development</li> <li>• Monitoring mission compliance with local laws and respect for UN privileges and immunities and status-of-forces or status-of-mission agreement</li> </ul>
<b>Military</b>	<ul style="list-style-type: none"> <li>• Security Sector</li> <li>• Provision of a secure environment, through:               <ul style="list-style-type: none"> <li>○ Conducting patrols</li> <li>○ Establishing and operating checkpoints</li> <li>○ Securing major routes to facilitate mobility</li> <li>○ Securing key facilities (hospitals, power plants, police recruiting stations, etc.)</li> </ul> </li> </ul>
<b>Police</b>	<ul style="list-style-type: none"> <li>• Restoration of rule of law</li> <li>• Reform of host country police services</li> <li>• Vetting, training, and mentoring of host country police</li> <li>• Providing public order and responding to public security challenges, through:               <ul style="list-style-type: none"> <li>○ Static guard and close protection duties for dignitaries</li> <li>○ Preventive patrols and checkpoints</li> <li>○ Tactical support for high-risk operations</li> <li>○ Security for demonstrations</li> </ul> </li> <li>• Provision of executive policing (in the absence of an established national police framework)</li> </ul>

### Joint or Integrated Structures

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**Integrated Support Services (ISS):**

- Provides logistics support to all mission components

**Joint Operations Centre (JLOC):**

- Only in PKing operations with military logistics units

**Joint Mission Analysis Centre (JMAC):**

- Assists HOM to gather and analyse information on threats to mandate implementation

**Joint Operations Centre (JOC):**

- Assists HOM to remain aware of operational situation in mission area

- 💬 In order to ensure better integration and utilization of resources and assets, UN peacekeeping operations use joint or integrated structures.
- 💬 All missions have Integrated Support Services (ISS), a Joint Mission Analysis Centre (JMAC) and Joint Operations Centre (JOC).
- 💬 All of these joint centres are headed by a civilian and bring together civilian, military and police specialists to ensure that information, action and resources are effectively used across all components of the mission.
- 💬 **The Integrated Support Services (ISS)** are responsible for providing logistics support to all mission components including in regions or sectors. They therefore control all logistical resources in the mission (including UN-owned, commercially contracted and military logistics or enabling units such as construction and maintenance engineering, medical, movements control, supply and transport assets etc.). This means that the Chief of the Integrated Support Services exercises “Tasking Authority” over all uniformed personnel and resources assigned to the Integrated Support Services. This includes enabling units, transportation and movement units, such as military transport helicopters, but it does not include combat units, such as combat aviation units or combat/field engineers, which are tasked by the Head of the Military Component (HOMC).
- 💬 In UN peacekeeping operations with military logistic units, known in UN peacekeeping as ‘enabling units’, a **Joint Logistics Operation Centre (JLOC)** is established as part of the Integrated Support Services. The role of the JLOC is to provide all mission components and other UN and non-UN

entities with a single point of coordination for all aspects of logistics support in the mission area.

- 💬 There are also joint structures which deal on the substantive side of the mission. **The Joint Mission Analysis Centre (JMAC) assists the Head of Mission (HOM) to gather and understand information** available from all sources in a mission and country to produce medium and long term analysis on the actual and potential **threats to mandate implementation**.
- 💬 The **Joint Operations Centre (JOC)** assists the Head of Mission (HOM) to remain aware of the operational situation in the mission area. The JOC is able to produce regular and timely integrated operations reports on all aspects of the mission's operations. During a crisis event the JOC becomes the Head of Mission's crisis management centre.

👉 **Note to Instructor:** *Particularly for courses involving contingent commanders and/or staff officers, instructors may wish to add additional information on the tasking of mission assets. This information is contained in pages 15 and 16 of the UN DPKO/DFS Policy; Authority, Command and Control in UN Peacekeeping Operations, 15 February 2008.*

## 🔑 Summary of key messages

👉 **Note to Instructor:** *Outline the main points that have been covered during the session.*

- The main components in a peacekeeping mission are the military, police and civilians.
- All peacekeeping personnel must have a basic understanding of the important contributions that each component makes in achieving the mandate and the mission plan. It is also important to know how to support the work of other components in the mission.
- There is a potential for misunderstanding between and within the different components because of the different national, institutional and professional cultures that people bring with them to the mission. It is important to take time to understand each other's roles and interests.
- There is a strategic and field level of authority for peacekeeping operations. The Head of Mission plays a key role in linking the strategic and operational levels.

- Each peacekeeping operation is different and will have different management and command and control structures. Common to all missions is the position of Head of Mission, Head of Military Component and Head of Police Component. Those positions may share other responsibilities as well. Other common positions are the Director or Chief of Mission Support and the Chief of Staff.

## Unit 2 - Part 2: Learning Assessment

The following questions can be informally asked of the whole participant group at the end of the session or can be used in written form. At the end of the entire unit and/or the conclusion of the CIT, instructors may want to again choose some of the following questions for review.

### Questions

1. What is the main role of military components in traditional peacekeeping operations?
2. What is the main role of the military component in multi-dimensional peacekeeping operations?
3. What is the main role of the police component?
4. What are some of the substantive civilian components in a multi-dimensional PKO?
5. Who has the primary responsibility for the strategic level management for all peacekeeping operations?
6. What is the highest position of authority within a peacekeeping mission?

### Answers

1. In traditional peacekeeping operations, the military component is generally made up of unarmed military observers who carry out the mandated tasks to monitor or supervise any military arrangements that parties to a conflict have agreed upon while the peace process continues.
2. To establish a secure environment in order to allow other elements of the peace process to be implemented.
3. To re-establish the rule of law and strengthen law enforcement.
4. Any of the following substantive components: Human Rights, Rule of Law, Civil Affairs, Public Affairs, Gender, Political Affairs, HIV/AIDS, Mine Action, Electoral Affairs, Disarmament, Demobilization and Reintegration, Legal Affairs, Returns, Reintegration and Recovery, Protection, Child Protection. There may be additional components, depending on the mission.
5. The Under-Secretary-General for the Department of Peacekeeping Operations.
6. The Head of Mission.

## Common Questions from Participants

Possible Questions	Possible Responses
1. Can the General Assembly authorize a peacekeeping operation or is it only the Security Council?	<p>The United Nations Charter gives primary responsibility to the Security Council for the maintenance of international peace and security, and therefore also for the authorization of a peacekeeping operation. However, under General Assembly Resolution 377(V) of 1950, an exception to this general rule has been created so that <i>“...if the Security Council, because of lack of unanimity of the permanent members, fails to exercise its primary responsibility for the maintenance of international peace and security in any case where there appears to be a threat to the peace, breach of the peace, or act of aggression, the General Assembly shall consider the matter immediately with a view to making appropriate recommendations to Members for collective measures, including in the case of a breach of the peace or act of aggression, the use of armed force when necessary, to maintain or restore international peace and security.”</i></p> <p>Under this resolution, the General Assembly has authorized one peacekeeping operation, the First United Nations Emergency Force (UNEF I). All UN peacekeeping operations since then have been authorized by the Security Council, which is the general practice, and consequently Unit 2 focuses on the process followed by the Security Council.</p>
2. How does the United Nations decide on the structure of a peacekeeping mission?	<p>There is no standard structure or organigramme for a United Nations peacekeeping operation. The structure of each peacekeeping operation is developed based on the Security Council mandate. Generally, the Technical Assistance</p>

	Mission (TAM) sent to the country, which prepares the Secretary-General's report to the Security Council advising on whether a peacekeeping operation should be deployed will also make recommendations on the structure of the mission.
3. What mechanism is in place so that peacekeeping missions are planned and executed in the most cohesive way?	For multi-dimensional peacekeeping operations, an "Integrated Mission Planning Process" (IMPP) is used to plan the mission in cooperation with the full UN system in order to ensure that there is one strategic vision for the UN in that country and for the cohesive and efficient deployment and operationalization of the mission.
4. How do armed peacekeepers know whether they can use force?	The Rules of Engagement (for military) and Directive on the Use of Force (for police) will indicate where and when force can justifiably be used, and the graduated levels of force that are appropriate for different situations.
5. Where is it clarified whether UN Police are armed or not?	This is specified in the Directive on the Use of Force specific to the particular mission and its mandate.
6. Why are the Heads of Military Components called different names, such as Force Commander (FC), Chief Military Observer (CMO) and Chief Military Liaison Officer (CMLO)?	The title assigned to a Head of the Military Component in a peacekeeping mission is intended to reflect the functional role intended when the mission was started. The role may change over time but the title may stay unchanged (e.g. 'Force Commander' of MINURSO where there is no longer any armed units).
7. Can a UN civilian staff member direct or give orders directly to a UN military or police person?	Yes, but only if that military or police person is being directly supervised by the civilian staff member (e.g. are members of a Joint Centre) and the direction can only be related to routine tasks and not tactical operations.

8. Do national rules and regulations governing the conduct and discipline of military and police still apply when serving in a UN peacekeeping mission?	Yes. Military and police personnel are also required to comply with UN rules and regulations governing the conduct and discipline of peacekeepers.
9. Who drafts the Rules of Engagement and/or Directive on the Use of Force?	The RoE are drafted by the Office of Military Affairs and the Directive on the Use of Force is drafted by Police Division in DPKO in New York, and approved by the UN's Office of Legal Affairs.
10. Why is the use of force by military and police governed by two different legal documents?	Military and police use force for different purposes in peacekeeping operations. The military uses force to deter or remove a security threat from armed forces or groups, while the police use force to arrest civilians and address criminal behaviour. The use of force by military and police are therefore also governed by different sources of law (the military is governed by humanitarian law and the police by human rights and domestic criminal law).
11. Do military and police always have separate CONOPs?	Yes. Although both the police and military CONOPs are drafted at DPKO Headquarters in NY, they are separate documents handed over to the Head of the Police Component (HOPC) and Head of the Military Component (HOMC) respectively.
12. Do contingent commanders and/or sector commanders receive a copy of the military CONOPS, or do they draft their own CONOPS for their area of responsibility?	The CONOPS applies only to the Head of the Military Component (HOMC). The HOMC uses the CONOPS to draft his/her Operational Order (or Plan) which applies to contingent and sector commanders, who are then required to draft their own plans for their area of responsibility based on the HOMC's Operations Order (or Plan).
13. When UN military or UN Police are mandated to work directly with local Government security forces, does the UN exercise operational authority over	No. The United Nations only exercises operational authority over those troops or police which have been provided to participate directly in a UN peacekeeping

the local security forces?	operation. In rare cases where the United Nations has executive policing authority, may the UN Police possibly exercise operational or tasking authority over host country police officers. If this is the case, the level of authority and the limits to UN authority will be specified in a separate agreement with the local Government.
14. How are military and police personnel working in joint or integrated structures selected?	Military and Police specialists serving in the JMAC, JOC, and JLOC are selected through a competitive process supervised by the Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS) in UN Headquarters in New York.
15. Can staff officers also be deployed outside the mission headquarters?	In a few larger missions with significant regional or sector offices, staff officers may also be deployed to the regions. Generally, staff officers work in the mission headquarters.



## Optional Learning Activity

### Panel discussion on Tasks in Mission

The purpose of this activity is to familiarize participants with the roles of senior leaders with respect to the command and control and management in a UN peacekeeping operations explained in Part 2, and how they work with the key documents outlined in Part 1.

Instructors should arrange for two or three persons who have recently held various higher level positions in a UN peacekeeping operations to participate in a panel discussion on “expressed and implied” leadership tasks. Interaction with the panelist and their sharing of experience allows participants to hear first hand about the complexities of how UN peacekeeping mandates are operationalized and how the mission is managed on a day-to-day basis.



**Time Required:**

- 10 minutes for activity introduction
- 10 minutes for presentations by each of the three panelists
- 30 minutes for discussion and questions for panelists
- 5 minutes to close activity

---

**Total time: 75 minutes** (assuming there are 3 panelists, time may be adjusted if there are fewer or more panelists)



### Preparations:

1. Identify and invite two or three persons who have recently held senior positions in different areas of a UN peacekeeping operation (for example, contingent commanders, HOMC or HOPC or their deputies or Chiefs of Staff, civilian personnel who have been SRSG, DSRSG, Chief of Staff or the head of a civilian component) to participate in a panel discussion. Where possible it is useful to have a mix of civilian, police and/or military personnel.
2. Ask the panellists to provide a brief overview (10 minutes) of the expressed and implied tasks that they had in this position. In terms of expressed tasks, ask the speaker to identify which documents and/or directives they received when they started in the position. Ask them to also speak to their understanding of the other tasks that also needed to carry out in order to achieve their objectives, but were perhaps not explained to them. In this respect, ask them also to identify any lessons they learned in how best to collaborate with other components (e.g. military, civilian or police).



**Activity Guidelines:**

1. Introduce the activity and the panellists to participants.
2. Allow each panellist 10 minutes for their presentation and then encourage participants to ask questions of the panellists.
3. Be prepared to ask the panellists questions that will help bring out key messages from Unit 2.

# UNIT 3: EFFECTIVE MANDATE IMPLEMENTATION

## Table of Contents

<b>Unit 3 – Part 1 .....</b>	<b>1</b>
Preparatory Notes to Instructors.....	1
Session Notes.....	9
<b>Unit 3 – Part 1a: International Law Relevant to Peacekeeping Operations.....</b>	<b>13</b>
International Humanitarian Law .....	15
Who is protected by International Humanitarian Law? .....	15
Who is bound by International Humanitarian Law? .....	19
International Human Rights Law .....	20
Definition of Human Rights.....	20
Learning Activity: Brainstorming Part 1 .....	23
The Application of International Human Rights Law.....	25
Refugee law and Guiding Principles on Internally Displaced Persons (IDPs) .....	27
<b>Unit 3 - Part 1b: Human Rights Protection in UN Peacekeeping Operations.....</b>	<b>29</b>
Linkages between Human Rights, Security and Development .....	32
UN Policy on Human Rights in Integrated Missions .....	34
Applying human rights in peacekeeping .....	35
Learning Activity: Brainstorming Part 2.....	36
What Peacekeeping Personnel Can Do.....	38
Human Rights Roles in the Context of Peacekeeping Operations .....	39
Other Mission Components Contributing to Human Rights.....	40
UN Police and Human Rights .....	43
Military Peacekeepers and Human Rights .....	44
<b>Unit 3 – Part 1c: Women, Peace and Security: The Role of UN Peacekeeping Operations.....</b>	<b>47</b>
Exploring the Roles of Men and Women .....	48
Learning Activity.....	48
Impact of Conflict on Women and Men .....	54
Learning Activity: Impact of Conflict.....	54
What Peacekeeping Personnel Can Do.....	56
Changes in Responsibilities .....	56
Reintegration of Combatants.....	57
Displacement.....	59
Violence Against Civilians and Sexual Violence.....	60
Collapse of Law and Order.....	62
Collapse of Public Services and Infrastructure .....	63
<b>Unit 3 - Part 1d: Protection of Children: The Role of UN Peacekeeping Operations.....</b>	<b>67</b>
Film: Children in Armed Conflict in a Changing World.....	67
Child Soldiers .....	72
Learning Activity: What does a Child Soldier Look Like? .....	72
What Peacekeeping Personnel Can Do.....	75
Unit 3 – Part 1 Learning Assessment.....	79
Common Questions from Participants .....	84
<b>Unit 3 – Part 2: Working With Mission Partners .....</b>	<b>87</b>
Session Notes.....	87

Introduction .....	87
Mission Partners .....	89
Benefits of cooperation with the UN Country Team.....	89
The “Integrated Approach” and Multi-dimensional Peacekeeping Operations.....	92
National Partners .....	96
International and Regional Non-UN Partners .....	98
Collaboration with the Humanitarian Community.....	100
What Peacekeeping Personnel Can Do.....	107
Unit 3 – Part 2 Learning Assessment.....	109
Common Questions from Participants .....	110

## UNIT 3 – PART 1

### Preparatory Notes to Instructors

#### Unit Aims

The aim of this Unit is to provide peacekeeping personnel with a general understanding of how missions can implement their mandates effectively by:

- Applying international humanitarian and human rights rules, principles and policies in their everyday tasks; and
- Working together with relevant mission partners.

Part 1 outlines the UN position (contained in Security Council resolutions and UN policy) that conflict can only be addressed effectively when peacekeeping operations ensure respect for international humanitarian and human rights law, including the rights of women and children in conflict. It then provides practical tools for peacekeeping personnel to apply in their daily work so that they can perform their peacekeeping functions effectively and in accordance with UN policies and guidance.

Part 2 familiarizes peacekeeping personnel with the key partners they must engage to implement their mandate effectively. These partnerships also ensure that peacebuilding carries on even after the peacekeeping operation has been withdrawn..

#### Learning Outcomes

***On completion of Unit 3 – Part 1a, participants will be able to:***

1. List the essential rules of International Humanitarian Law (IHL)
2. Define and give examples of human rights protected under international law
3. Identify who is protected by, and who is bound by international human rights law and international humanitarian law

***On completion of Unit 3 – Part 1b, participants will be able to:***

1. Recognize and identify human rights violations or abuses that occur in the conflict or post-conflict mission environment
2. Discuss UN policies on human rights that are relevant to peacekeeping settings

## 2 ■ Unit 3: Effective Mandate Implementation

3. Describe the practical relevance of human rights to their work and ways to promote and protect human rights through their tasks
4. Explain the importance of coordinating human rights-related actions with the mission's human rights component

### ***On completion of Unit 3 – Part 1c, participants will be able to:***

1. Explain the different impacts of conflict on women/girls and men/boys
2. Explain how women are both victims of conflict and key partners for peacekeeping and peace-building activities of UN peacekeeping operations
3. Provide examples of how peacekeeping personnel can help protect women and support gender equality in their daily work

### ***On completion of Unit 3 – Part 1d, participants will be able to:***

1. Provide the definition of a “child” in international law
2. Explain how international law protects children affected by armed conflict
3. Describe the impact of violent conflict on children
4. Explain what peacekeepers can do to promote child protection and children's rights in armed conflict

### ***On completion of Unit 3 – Part 2, participants will be able to:***

1. Explain the benefits of an integrated approach between a peacekeeping operation and UN Country Team
2. Explain why national actors are key partners for UN peacekeeping operations
3. List the three humanitarian principles
4. Explain the role of a UN peacekeeping operation in the delivery of humanitarian assistance

## Training Sequence

Unit 3 is best positioned after Units 1 and 2 as those sessions provide foundational information that this unit builds on.

## Duration

<b>Part 1 Minimum Session Time</b>  250 min.	<b>Lecture/Presentation</b>	<b>Questions/Discussion &amp; Session Assessment</b>	<b>Session Activities</b>
	115 min.	30 min.	4 Brainstorming activities: total 55 min Film: 7 min
<b>Part 2 Minimum Session Time</b>  60 min.	<b>Lecture/Presentation</b>	<b>Questions/Discussion &amp; Session Assessment</b>	<b>Session Activities</b>
	30 min.	30 min.	
<b>Additional Options</b>	<b>Mission Specific</b>	<b>Optional Films</b>	<b>Optional Activities</b>
	Time to be determined by necessary content		45-60 min.

## Methodology

The following points outline a suggested methodology. Experienced instructors may choose to use alternative methods and activities to present the material and key messages in this unit.

### Part 1:

- Presentations using the provided PowerPoint Slides
- Brainstorming activities and case studies
- Informal question and answer periods (as determined by instructor)
- Learning assessment questions at the end of Part 1\*

### Part 2:

- Presentations using the provided PowerPoint Slides
- Informal question and answer periods (as determined by instructor)
- Learning assessment questions at the end of Part 2\*
- An optional case study learning activity

\* Please Note: It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question and answer session, or if they are provided to the participants as a written quiz. In either

## 4 ■ Unit 3: Effective Mandate Implementation

case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure participants are clear on the key messages.

### Instructor Profile

Unit 3 Part 1 is best presented by an instructor who has a thorough understanding of international humanitarian and human rights law, including in relation to women's and children's rights. Where possible, the instructor should have practical experience with the application of human rights, including women's rights and children's rights, in UN peacekeeping operations.

Unit 3 Part 2 is best presented by an instructor who has personal experience in a peacekeeping operation and a solid understanding of its structure, composition and working relations.

### Background Information for Instructor

#### Instructor Preparations

##### Required Readings

- *Security Council resolutions 1325 (2000) and 1820 (2008) on Women, Peace, and Security (S/RES/1325 and S/RES/1820)*
- *Security Council resolution 1612 (2005) on Children Affected by Armed Conflict (S/RES/1612)*
- *Security Council resolution 1674 on Protection of Civilians (S/RES/1674)*
- "The Geneva Conventions: The Core of International Humanitarian Law" at <http://www.icrc.org/Web/Eng/siteeng0.nsf/html/genevaconventions>
- *International Bill of Human Rights available at:* <http://www2.ohchr.org/english/law/>
- *DPKO/DFS Policy on Gender Equality in UN Peacekeeping Operations, 2006 available at* <http://peacekeepingresourcehub.unlb.org>
- *(Police trainers should also read the DPKO/DFS Guidelines on Integrating a Gender Perspective into the Work of UN Police in Peacekeeping Missions, 2008)*

## General Preparations

### Equipment

1. Computer and session slides
2. Projector and screen for slides
3. DVD player and speakers will be needed if any films are being shown
4. Flipcharts or whiteboard and markers

### Materials

1. For Part 1d – Protection of Children: If you will be dividing the participants into small groups, make sets of 4-5 photos that have a combination of different roles and responsibilities children may have in conflict areas, including photos of child soldiers. Examples can be downloaded from the Trainer's Toolbox at [www.peacekeepingresourcehub.org](http://www.peacekeepingresourcehub.org). (Alternatively, you can use the slide at the very end of Unit 3.)
2. For Part 2 – Working with Mission Partners: If possible, print each participant a copy of the handouts described on page 108.
3. Participants often appreciate copies of the PowerPoint presentations. If printing of the PowerPoint presentations is possible, it is suggested that they are printed in 'handout' format, with 3 slides to a page so participants have room to make notes.

**Please note:** The last slides of each PowerPoint presentation have the learning assessment questions and answers. You may not want to print these slides.

## Mission Specific Preparations

### *If mission of deployment is known:*

1. If Unit 3 Part 1 is being presented to prepare participants for a particular UN peacekeeping mission, then human rights information on the situation in that country should be gathered from the website of the Office of the High Commissioner for Human Rights (OHCHR) at:  
<http://www.ohchr.org/EN/Countries/Pages/HumanRightsintheWorld.aspx>
2. Information on the UN Country Team present in that country, which is discussed in Unit 3 Part 2 can be obtained from the Pre-deployment

## 6 ■ Unit 3: Effective Mandate Implementation

Information Package which is available at:

<http://peacekeepingresourcehub.unlb.org>

3. Country-specific information on the international humanitarian response is available on Reliefweb at: <http://www.reliefweb.int>

### Additional Resources











- OHCHR, *The Core International Human Rights Treaties*  
<http://www.ohchr.org/EN/PublicationsResources/Pages/ReferenceMaterial.asp>
- OHCHR, *New Core International Human Rights Treaties*,  
<http://www.ohchr.org/Documents/Publications/newCoreTreatiesen.pdf>
- For additional information or support on human rights aspects of this Unit, instructors can contact the Methodology, Education and Training Unit of the Office of the High Commissioner of Human Rights (OHCHR) in Geneva at [Metu@ohchr.org](mailto:Metu@ohchr.org).
- Inter-Agency Standing Committee (IASC) Guidelines and References for Complex Emergencies, January 2009, available at: <http://www.humanitarianinfo.org/iasc/> (and click on the link “Products”)

### Materials Referenced in this Unit

See above, and:

- *Charter of the United Nations*
- *Universal Declaration of Human Rights*
- *Secretary-General's Bulletin - Observance by United Nations forces of international humanitarian law (ST/SGB/1999/13 Secretariat 6 August 1999)* [http://www.un.org/peace/st\\_sgb\\_1999\\_13.pdf](http://www.un.org/peace/st_sgb_1999_13.pdf)
- *1951 Convention relating to the Status of Refugees* (available at: <http://www.unhcr.org/protect/3c0762ea4.html>)
- *Guiding Principles on Internal Displacement* (available at: [http://www.reliefweb.int/ocha\\_ol/pub/idp\\_gp/idp.html](http://www.reliefweb.int/ocha_ol/pub/idp_gp/idp.html))
- *DPKO/DFS Policy Directive on Quick Impact Projects (QIPs), 2007*
- *DPKO/DFS Guidelines on Joint Operational Initiatives: UN Peacekeeping Operations and the World Bank, 2007*

## Symbols Legend

-  Note to the Instructor (Some background information for consideration)
-  Speaking Points (The main points to cover on the topic. Ideally the speaking points are presented in the instructor's own words versus being read to participants. Please note, text in the slides is highlighted in bold, blue fonts in the associated speaking points.)
-  Mission Specific (A point where the session will benefit from mission specific information)
-  Example (Stories that illustrate a point or key message)
-  Sample questions (A list of potential questions to pose to participants)
-  Handout (Indicates a handout is provided to participants at this point)
-  Film (A film that is suggested as either a core or optional activity)
-  Core Learning Activity (An activity that is strongly recommended for inclusion)
-  Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group. Guidelines for these activities are provided at the end of the unit or part – as indicated in the text)
-  Key summary points (Key messages that are worth repeating at the end of the session. Alternatively, the instructor can ask participants what are the main messages they are taking from the session. Instructors can then fill in any points that have been missed.)

**Note:** Questions commonly asked by participants during this session are listed at the end of the parts 1 and 2 of Unit 3.



## Session Notes

### Slide 1

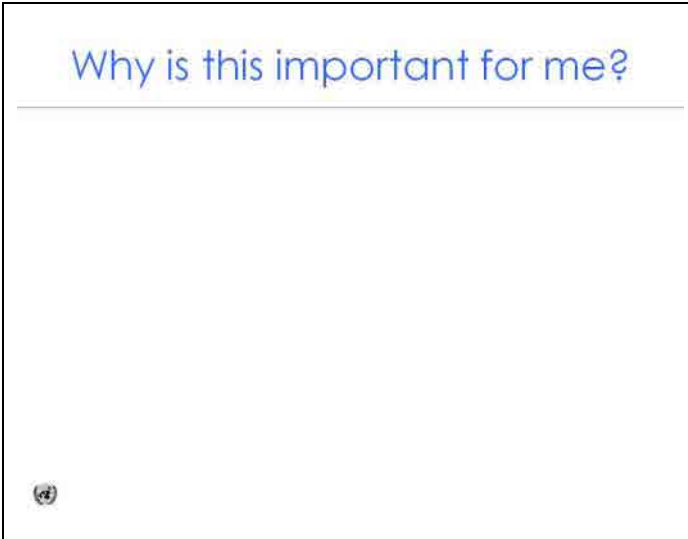


Unit 3 – Part 1

International Legal Standards and the  
Peacekeeping Role in Protecting  
Human Rights, Civilians, Women and Children



### Slide 2



Why is this important for me?

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**Note to Instructor:** As an introduction, instructors should help participants understand why the knowledge of international humanitarian law and international human rights law, including aspects on the protection of women and children in conflict, is important for all peacekeeping personnel. Instructors are encouraged to brainstorm with participants in order to highlight the points raised below.

### Why is this important for me?

---

As peacekeeping personnel you are expected to...

- Promote and protect human rights
- Protect children from violence, including from illegal recruitment into armed forces as child soldiers
- Promote gender equality, involve women in peace and security activities, and protect women and children from sexual violence in conflict




**Slide 3**

- 💬 All peacekeeping personnel are expected to promote, protect and respect human rights when serving in a peace operation. Promotion of human rights for all, without discrimination, is one of the main purposes of the United Nations Charter.
- 💬 The Security Council specifically mandates UN peacekeeping operations to **promote and protect human rights**, including the human rights of women and children, groups who are usually most affected by the conflict.
- 💬 The Security Council is also concerned about the protection of civilians and ensuring respect for international humanitarian law during any conflict.
- 💬 All peacekeeping personnel are expected to **protect children from violence, including from illegal recruitment into armed forces as child soldiers**. The Security Council has instructed United Nations peacekeeping operations to do a better job of protecting children from the effects of conflict, including recruitment as child soldiers.
- 💬 The Security Council, and DPKO/DFS policies, require that all peacekeeping personnel **promote gender equality in their work. The Security Council has also instructed peacekeeping personnel to do a better job at involving women in peace and security activities, and to protect women and children from sexual violence in conflict**.
- 💬 The reason that the UN Charter, the Security Council and DPKO/DFS policies specify this obligation is because it is understood that practicing respect for international humanitarian law and the protection of human rights will limit the

negative impact of war and lead to a more sustainable and lasting peace. This specifically includes the rights of women and children in conflict.

### You are a Role Model

- You are an ambassador of the United Nations
- Everything you do must stand up to the highest standards of behaviour and integrity
- Peacekeeping personnel are not allowed to violate human rights or international humanitarian law in any way



**Slide 4**

- 💬 All peacekeeping personnel act as a **role model**. You are an **“ambassador” of the United Nations** and your country in everything you do as a peacekeeper and must uphold the highest standards of behaviour and integrity.
- 💬 Under no circumstances can peacekeeping personnel be involved in sexual violence or exploitation of women, children or the local population in any way. **Peacekeeping personnel must not violate human rights or international humanitarian law.**



## UNIT 3 – PART 1A: INTERNATIONAL LAW RELEVANT TO PEACEKEEPING OPERATIONS



Slide 5


Learning Outcomes


On completion of Unit 3 – Part 1a, participants will be able to:

1. List the essential rules of International Humanitarian Law
2. Define and give examples of human rights protected under international law
3. Identify who is protected by, and who is bound by international human rights law and international humanitarian law

Small circular logo in the bottom left corner of the slide.

Slide 6

 **Note to Instructor:** Introduce Unit 3 - Part 1a and the learning outcomes (as shown in the slides above).

 As explained in Unit 2, the Security Council has issued several resolutions highlighting its concerns on three key themes which are of particular relevance for peacekeeping. These are:

## 14 ▪ Unit 3 – Part 1: International Legal Standards

- Security Council resolution (numbers 1325 and 1820) on **Women, peace and security** (adopted in the years 2000 and 2008 respectively);
- Security Council resolution (number 1612) on **Children and armed conflict** (adopted in the year 2005);
- Security Council resolution (number 1674) on the **Protection of civilians in armed conflict** (adopted in the year 2006).

💬 These resolutions are based on international law and are also binding on Member States. These resolutions condemn in the strongest terms all acts of violence or abuses committed against civilians in situations of armed conflict, in particular:

- 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

💬 The resolutions also call for all peacekeeping personnel to be informed about international humanitarian, human rights and refugee law and how they should be applied together with these Security Council resolutions in order to prevent violence against civilians and address its impact where it takes place.

💬 Part 1 of Unit 3 explains the key aspects of international humanitarian, human rights and refugee law and includes detailed sections on how peacekeeping personnel can promote and protect human rights, mainstream gender and protect women's rights and provide protection for children affected by armed conflict. The extent to which a UN peacekeeping operation promotes respect for international law, including by its own personnel, is an important factor in maintaining its legitimacy in the country.

## International Humanitarian Law

### Who is protected by International Humanitarian Law?

**International  
Humanitarian Law (IHL) ...**

- Is law that applies in times of armed conflict
- Aims to limit the negative impact of armed conflict, especially on civilians
- Protects persons who are not (or are no longer) participating in the hostilities
- Also restricts the means and methods of warfare



**Slide 7**

- 💬 **International humanitarian law** is also known as the law of war or the law of armed conflict. This is law that **applies in times of armed conflict**. This refers to both international and internal conflicts.
- 💬 International humanitarian law is a set of rules which seek, for humanitarian reasons, **to limit the negative impact of armed conflict** and reduce suffering during war.
- 💬 The main rules of IHL are found in the Geneva Conventions and their Additional Protocols.
- 💬 **IHL protects persons who are not (or are no longer) participating in the hostilities**, such as civilians, wounded persons, prisoners, medical personnel, and humanitarian workers.
- 💬 **IHL also restricts the means and methods of warfare**. The use of certain weapons is not permitted by IHL, such as incendiary weapons (meaning weapons that cause fire), because they cause undue suffering.
- 💬 Certain methods of warfare are outlawed under IHL, such as pretending to be a Red Cross or Red Crescent worker in order to trick your enemies.

### Essential Rules of IHL

1. Civilian targets cannot be attacked. Attacks only against military objectives.
2. Civilians and anyone no longer taking part in hostilities must be respected and treated humanely.
3. Anyone who surrenders or stops fighting (e.g., wounded) cannot be killed
4. Torture is prohibited at all times and in all circumstances


Slide 8

- Slides 8 and 10 outline the essential rules of international humanitarian law which all peacekeeping personnel must remember.
- The parties to a conflict must at all times distinguish between the civilian population and combatants in order to spare the civilian population and civilian property. **Neither the civilian population as a whole, nor individual civilians may be attacked. Attacks may be made solely against military objectives.**
- Everyone who does not, or can no longer, take part in the hostilities must be **respected and treated humanely**, without any unfavourable distinction whatever.
- Civilians and combatants who have surrendered are protected. It is **forbidden to kill or wound an adversary who surrenders** or who can no longer take part in the fighting.
- Torture is prohibited at all times and in all circumstances.**

### Essential Rules of IHL

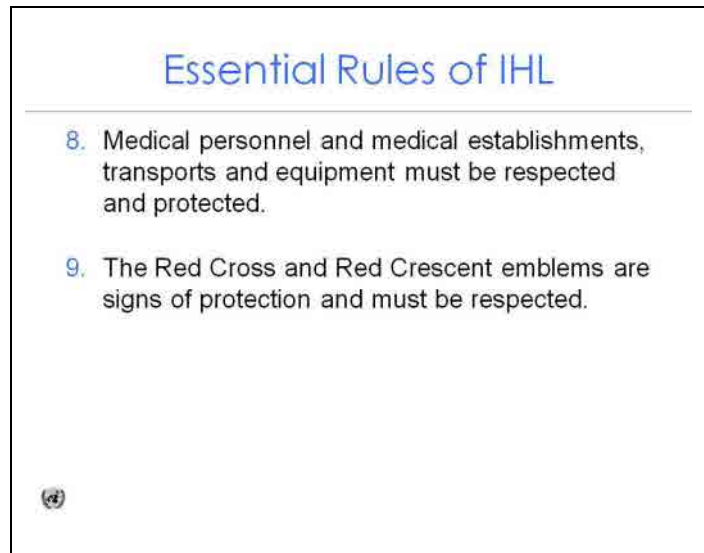
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5. Captured combatants and civilians must be respected and protected.
6. It's forbidden to use weapons or methods of warfare that are likely to cause excessive injury or unnecessary suffering.
7. Wounded and sick must be collected and cared for.



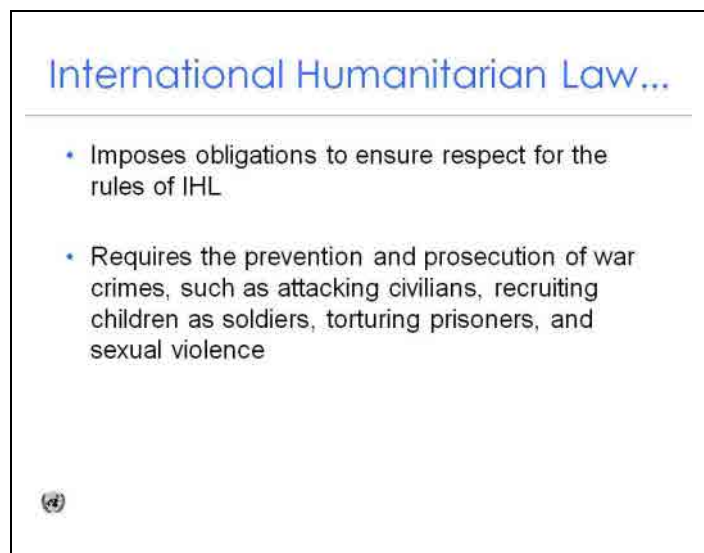
**Slide 9**

- All persons, including civilians and combatants who have surrendered or been captured, have a right to a fair trial and cannot be tortured or treated cruelly or inhumanely. **Captured combatants and civilians must be respect and protected** against all acts of violence or reprisal. They are entitled to exchange news with their families, receive aid and enjoy basic judicial guarantees.
- Indiscriminate and disproportionate attacks are prohibited. These are attacks that are expected to cause civilian deaths or damages to civilian objects that is excessive in relation to the concrete military objective derived from the attack. Neither the parties to the conflict nor members of their armed forces have an unlimited right to choose methods and means of warfare. **It is forbidden to use weapons or methods of warfare that are likely to cause excessive injury or unnecessary suffering**. Humanitarian law has therefore banned the use of many weapons, including those such as exploding bullets or blinding laser weapons.
- **The wounded and sick must be collected and cared for** by the party to the conflict which has control over them. It does not matter if they are the party's enemy or not.



Slide 10

- 💬 **Medical personnel and medical establishments, transports and equipment must be respected and protected.**
- 💬 The **Red Cross or Red Crescent** on a white background is the distinctive sign indicating that such persons and objects **must be respected**.



Slide 11

- 💬 **International Humanitarian Law imposes obligations on all parties to a conflict to respect – and ensure respect for – the rules of IHL.**
- 💬 IHL provides for measures to be taken to **prevent or punish war crimes**. War crimes are “grave breaches” of the Geneva Conventions and their Additional Protocols and other serious violations of International Humanitarian Law.

Examples of war crimes are: attacking civilians, **recruiting children as soldiers, torturing prisoners, and sexual violence.**

- Those responsible for breaches must be punished, wherever possible in national courts, or if not possible then in international courts, such as the International Criminal Court (ICC). The UN established ad hoc criminal tribunals for ex-Yugoslavia and Rwanda, but the main responsibility rests with each State to prevent and prosecute war crimes.

## Who is bound by International Humanitarian Law?

**Who is Bound by International Humanitarian Law?**

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- States and organized groups are bound by international humanitarian law.
- The rules and principles of international humanitarian law also apply to UN peacekeeping forces.
- UN military personnel who violate international humanitarian law are subject to prosecution in their national courts.



**Slide 12**

- All parties to a conflict are bound by the rule of international humanitarian law.** International humanitarian law applies only in situations of armed conflict; it does not cover internal tensions or disturbances such as isolated acts of violence. The law applies only once a conflict has begun, and then equally to all sides regardless of who started the fighting.
- The rules and principles of international humanitarian law are also applicable to United Nations forces.** The Secretary-General has made this explicit in the rules of the United Nations, and has indicated that UN military personnel **who violate international humanitarian law are subject to prosecution in their national courts.**
- Documents such as the Rules of Engagement and Directive on the Use of Force are always drafted in accordance with international humanitarian law. Similarly, in the SOMA or SOFA agreement concluded between the United Nations and the country in which the peacekeeping mission operates, it is

specified that UN peacekeeping forces will operate in accordance with the rules and principles of International Humanitarian Law.



**Note to Instructor:** *The obligations of UN peacekeeping personnel under IHL have been made explicit in the Secretary-General's bulletin ST/SGB/1999/13, of 6 August 1999. Particularly for courses with contingent commanders, instructors should consider providing participants with a copy of this Secretary-General's bulletin, which can be downloaded from <http://peacekeepingresourcehub.unlb.org>.*

## International Human Rights Law

### Definition of Human Rights

How Do We Define Human Rights?

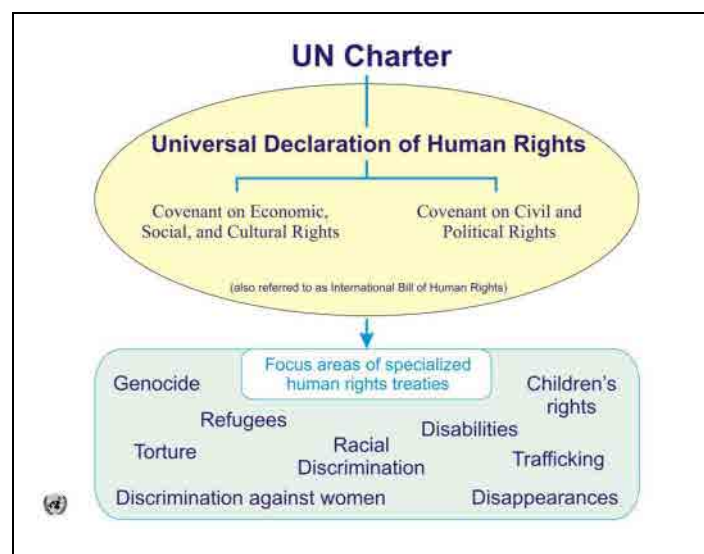
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- Human rights apply in both war and peace to all human beings
- Human rights are universal
- No one can take away a person's human rights
- Human rights are interdependent and equally important
- Human rights are legal and internationally guaranteed

Slide 13

- 💬
International human rights law applies both in war and in peace time and to all human beings. The universality of human rights is highlighted in the UN Charter, which commits Member States to promote and encourage respect for human rights and fundamental freedoms for all without distinction as to race, sex, language or religion. The UN Charter itself is a binding international treaty.
  
- 💬
 Human rights are entitlements which every person possesses by virtue of being human. Human rights are universal because every human being is entitled to them irrespective of his/her race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status. This non-discrimination principle is key to the concept of human rights.

- 🗨️ **No one can take away a person's human rights.** A person's human rights can be violated, and they often are, but this doesn't mean that they are taken away from the person concerned.
- 🗨️ Another key principle is that **human rights are interdependent and equally important.** This means that the realization (achievement) of one human right is linked to the realization of the others. For example, in order to be able to express a genuine political opinion through a vote, citizens must have access to adequate and relevant information.
- 🗨️ Over time, and through people's struggle, claims for respect for human dignity have moved from the realm of ethics to the realm of law, and human rights have come to be protected by domestic laws, national constitutions and international law. Because human rights are established in international law, they are **legal and internationally guaranteed.**
  - The General Assembly adopted the Universal Declaration of Human Rights (UDHR) on 10 December 1948. Drafted as 'a common standard of achievement for all peoples and nations', the UDHR has over time been widely accepted as the fundamental norms of human rights that everyone should respect and protect.
- 🗨️ Additional treaties (also called conventions, covenants or agreements), declarations, guidelines, guiding principles, etc. have been developed since the Universal Declaration on Human Rights and they detail the contents of human rights and the obligations of States to promote, protect and fulfil those specific human rights.



Slide 14

- 🗨 The Universal Declaration of Human Rights, which sets the cornerstone of international human rights standards, emphasizes that fundamental freedoms and human rights (civil, cultural, economic, political and social) are universal and guaranteed to everybody. **The UDHR together with the Covenant on Economic, Social and Cultural Rights and the Covenant on Civil and Political Rights make up the International Bill of Human Rights.** The International Bill of Human Rights is supplemented by additional human rights treaties which focus on specialized areas, such as the prevention of genocide and torture, minorities and persons with disabilities, etc. The protection of the rights of women and children are also key areas of international human rights law.
- 🗨 Examples of civil and political rights are:

  - the right to life
  - the right to be free from torture
  - the right to be protected from discrimination,
  - freedom of expression,
  - the right to a fair trial
  - the right not to held in slavery
- 🗨 Examples of economic, social and cultural rights are:

  - the right to join a trade union
  - the right to education
  - the right to food
  - the rights to housing and medical care
  - the rights to social security and to work
  - the right to equal pay for equal work
- 🗨 As you can see from these examples and from the slide, international human rights law aims to protect certain types of human rights as well as any groups of persons who may require special protection because of their vulnerability or because they suffer disproportionately from discrimination. Women and children are two such groups and the special protection measures guaranteed to them will be explained in more detail in Parts 1c and 1d.
- 🗨 Other groups whose human rights may be particularly at risk during conflict situations include:

  - Minorities – groups with common ethnic, religious or linguistic characteristics that are different from the majority of the population;

- Detainees – persons in detention, either awaiting trial or serving a judicial sentence;
- Persons with disabilities – people who have been injured or maimed, or who have developed or been born with physical or mental disabilities;
- Refugees and internally displaced persons (IDPs) - persons who have fled their homes as a result of armed conflict, persecution, systematic human rights violations or natural disasters (refugees have crossed an international border, whereas IDPs have fled their homes but remain in their country of residence).



### Learning Activity: Brainstorming Part 1

#### Human rights which are most frequently at risk in conflict and post-conflict situations

The purpose of this exercise is to explore the definition and meaning of key human rights which are most frequently at risk in a conflict situation and may require more urgent attention by peacekeeping personnel.

In training sessions where participants are already aware of the mission to which they will be deployed, this exercise can be used to familiarize them with some of the key human rights issues occurring in the host country.



**Time:** 15 minutes



#### *Preparations:*

1. Set up a flip chart to record ideas. Alternatively, you can use a whiteboard or a blackboard.
2. If it is known to which missions participants will be deployed, the instructor should use the most recent human rights reports issued by the UN Secretary-General, the UN High Commissioner for Human Rights and to identify key human rights violations which should guide the discussion. To download the reports, instructors should go to:  
<http://www.ohchr.org/EN/Countries/Pages/PeaceMissionsIndex.aspx> and click on the appropriate link.



#### *Activity Guidelines:*

1. Ask participants to brainstorm about some examples of how conflict may affect human rights. Also ask specifically which human rights are most

frequently at risk in conflict and post-conflict situations. Using the examples suggested by participants, explain the definitions of some key human rights listed below.

### Definitions of key human rights at risk in conflict or post-conflict situations

- **the right to life** (meaning that the State has an obligation to protect persons from arbitrary or random killings including by state officials or due to war, genocide or mass violence and the State also has a special duty to prevent the death of any persons under arrest, and that persons under 18 years of age may not be sentenced to death).
- **prohibition of torture and cruel, inhuman or degrading treatment** (torture is defined as acts of public officials that intentionally inflict severe physical or mental pain or suffering in order to fulfill a certain purpose such as the extortion of information or a confession or the punishment, intimidation or discrimination of a person).
- **prohibition of slavery** (slavery can be considered as any acts related to the acquisition, exchange, trade or sale of another person)
- **prohibition of violence against women** (defined as all forms of physical, sexual and psychological violence whether occurring in the community, in the family (domestic violence), or committed by public officials).
- **prohibition of arbitrary arrest and detention** (meaning that public officials, or persons appearing to act in a public capacity may not confine anyone in a prison or detention facility without a valid and legal reason. More specifically, such acts are considered arbitrary when they are *not based on law, fail to respect legal procedures, not proportional to the objectives, discriminatory or without fair cause*).
- **the right to a fair trial** (or “due process of law” meaning that a person accused of a crime has the right to trial in court with a minimum guarantees)
- **prohibition of trafficking in persons** (meaning the threat, or use of, force, coercion, abduction, fraud, deception, or abuse of power to recruit, transport, or harbour persons for the purpose of exploitation)
- **the right to food**
- **the right to water**
- **the right to housing/shelter**

- **freedom of thought, conscience and religion** (the right to worship, observe, practice and teach the religion or belief of your choice)
- **freedom of expression** (the freedom to seek, impart and receive information and ideas)
- **freedom of peaceful assembly and association** (the right to prepare, conduct or participate in a peaceful assembly or demonstration)

## The Application of International Human Rights Law

### Application of International Human Rights Law

- Certain principles and rules (e.g. prohibition of torture or right to a fair trial) apply to all persons in all situations
- Others human rights apply to those States which have ratified treaties
- All UN entities must promote and protect human rights
- UN peacekeeping should be conducted in full respect of international human rights law

Slide 15

- By virtue of being human beings, we are all entitled to specific rights (i.e. those listed in the Universal Declaration of Human Rights and in many other international human rights and humanitarian law instruments). There are **certain principles and rules, such as the prohibition of torture or the right to a fair trial**, that do not need a treaty and are compulsory for all states. This means they **apply to all persons in all situations and cannot be suspended**.
- Human rights** which are codified in treaties **apply to those States that have ratified a treaty**. By ratifying a treaty, the States undertakes the legal obligation to act to protect and promote the rights covered by those documents. Every Member State of the United Nations has ratified at least one human rights treaty.

### Definition


Treaty **ratification** is the process by which a State government or legislature formally adopts or endorses an international treaty and thereby agrees to be legally bound by it.

- 💬 States hosting UN peacekeeping operations have all ratified one or more international human rights treaty, and have therefore undertaken to protect and promote the rights contained in these treaties. Peace agreements also increasingly include obligations for the signatories to comply with international human rights treaties and standards.
- 💬 A State fulfils its human rights obligations through the actions of actors such as parliamentarians, judges, the police, the armed forces, ministries, and other local authorities. They are responsible for protecting the population and addressing their needs. Actors who may not formally be part of the government or state machinery, but who are acting on behalf the State will also have human rights obligations.
- 💬 In exceptional circumstances, a State which has ratified a human rights treaty may choose to temporarily suspend some human rights in time of public emergency which threatens the life of the nation and under very strict conditions. The emergency must be officially declared and made known to the population. Derogations must be strictly required by the exigencies of the situation and they must not cause discrimination on the basis of race, colour, sex, language, religion and social origin.
- 💬 **United Nations peacekeeping operations should** be conducted in full respect of human rights and should seek to **promote and protect human rights** through the implementation of their mandates. **United Nations peacekeeping personnel** – whether military, police or civilian – **should act in accordance with international human rights law**. They should never become perpetrators of human rights abuses and respect human rights in their dealings with colleagues and with local people, both in their public and in their private lives.

## Refugee law and Guiding Principles on Internally Displaced Persons (IDPs)

### Refugee Law & Guiding Principles on IDPs

- International refugee law guarantees human rights of refugees and spells out obligations of States to protect refugees living in their territory.



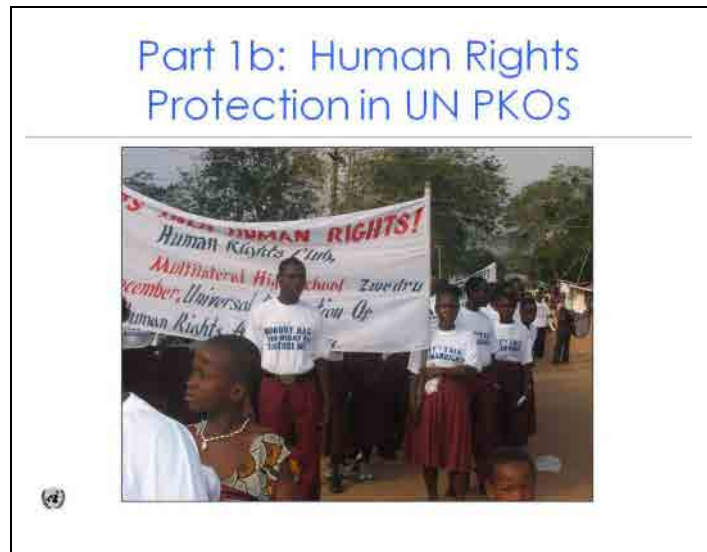
Slide 16

- Another important body of law for peacekeeping personnel to be aware of is refugee law. **Refugee law** defines a refugee as a person who has fled his or her country and lives in a different country and is unable to return home and enjoy the protection of his or her country because of a well founded fear of persecution based on his or her race, religion, nationality, political opinion or membership in a group.
- International refugee law guarantees the human rights of refugees and spells out obligations for States to protect refugees living in their territory.**
- In most post-conflict situations, peacekeeping personnel will also be confronted by internally displaced persons (IDPs). **IDPs** are persons who have also fled their homes and are unable to return but have not crossed an international boundary, like refugees.
- Many UN peacekeeping operations are mandated to facilitate the safe return home of refugees and internally displaced persons. The Security Council, in its resolution number 1674 on protection of civilians, reaffirms that when it is appropriate to the situation, United Nations peacekeeping operations will be mandated to create “conditions conducive to the voluntary, safe, dignified and sustainable return of refugees and internally displaced persons”. Security Council Resolution 1674 also encourages UN peacekeeping operations, in the


context of their mandates, to take all feasible measures to ensure security in and around refugee and IDP camps.

- 💬 International human rights law, refugee law and international humanitarian law can be technical and in some cases complicated. There are always legal experts in the mission (i.e. human rights and judicial affairs officers, military and police legal advisors), as well as staff in UN agencies, like the UN High Commissioner for Refugees (UNHCR), that can advise on the best way to go about a legal issue.
- 💬 As peacekeeping personnel, however, we must all be familiar with the essential aspects of international human rights and humanitarian law that we “need to know” in order to perform our tasks and regulate our conduct. The next sections will spell out how peacekeeping personnel must work to protect human rights and ensure the protection of women and children, as instructed by the Security Council in its resolutions on those issues.

## UNIT 3 - PART 1B: HUMAN RIGHTS PROTECTION IN UN PEACEKEEPING OPERATIONS



Slide 17

 **Note to Instructor:** Introduce Unit 3 - Part 1b and the learning outcomes (as shown in the slides below).

Learning Outcomes

On completion of Unit 3 – Part 1b, participants will be able to:

1. Recognize and identify human rights violations or abuses that occur in the conflict or post-conflict mission environment
2. Discuss UN policies on human rights that are relevant to peacekeeping settings
3. Describe the practical relevance of human rights to their work and ways to promote and protect human rights through their tasks


Slide 18

### Learning Outcomes

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continued...

4. Explain the importance of coordinating human rights-related actions with the mission's human rights component



Slide 19

### Human Rights Protection in Peacekeeping Operations

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- Multidimensional peace operations include human rights as part of mandate and structure
- Peacekeeping leadership need to be aware of UN policies on human rights in peacekeeping
- Peacekeeping personnel & UN organizations must be able to recognize human rights violations and abuses and respond appropriately



Slide 20

- 💬 Modern **multidimensional peace operations include human rights as part of their mandate and structure**. Since human rights violations are at the origin of many modern conflicts, addressing human rights issues is essential to finding solutions and therefore to the success of peace operations.
- 💬 As a result, both UN peacekeeping operations and the individual personnel within the mission need to take a progressive stance on ensuring the promotion and protection of human rights. Peacekeeping personnel with **a leadership or command role need to be aware of UN policies on human rights in peacekeeping**.
- 💬 **Peacekeeping personnel and UN organisations working with the peace operations must be able to recognise human rights violations or abuses,**

**and be prepared to respond appropriately** within the limits of their mandate and their competence.

**General Definitions:**

**Human rights violation:** is a term which indicates that human rights have been violated by the action (or omission) of a State official or agent, such as a police officer, soldier, judge, local administrator, parliamentarian, while they have been acting in their official capacity (or have been perceived to be acting in their official capacity).

**Human rights abuse:** is a broader term which includes abuses of human rights committed by non-State actors, such as rebel groups, corporations etc.

- 💬 All peacekeeping personnel have an individual responsibility to protect, respect and promote human rights, and should be familiar with their operation's human rights mandate.
- 💬 In addition to the human rights component, which has a leading and coordinating role on human rights, other components of UN peacekeeping operations play an important role in protecting and advancing human rights.
- 💬 The peacekeeping personnel who are coming from different parts of the world to work together under a UN mandate may already have knowledge of human rights contained in their own country's legislation and practice. They also need to become familiar with the concept and definition of human rights as developed by the international community through different instruments. It is this concept of human rights that must guide the action of peacekeeping personnel and that they are bound to uphold and promote while working for a UN mandated operation.

## Linkages between Human Rights, Security and Development



**UN Position on Human Rights in  
Peaces Processes**

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- Development, security and human rights are mutually dependent on each other
- Human rights are a key element of all peace and security activities
- UN will not endorse, support or recognize amnesties for war crimes or grave violations of human rights or international humanitarian law




Slide 21


-  The UN is committed to the conviction that strong, durable and equitable peace and security can only ever be attained if it is built on respect for human rights. As former Secretary-General Kofi Annan declared to the General Assembly at the 60th anniversary of the UN, “*We will not enjoy development without security, we will not enjoy security without development, and we will not enjoy either without respect for human rights*”. It is the UN position **that development, security and human rights are mutually dependent on each other**.
-  The protection and promotion of human rights are therefore **key elements of the full spectrum of peace and security activities** (conflict prevention, peacemaking, peacekeeping, peace enforcement and peacebuilding). It is the UN position that peace processes must address the root causes of a conflict, and not just the consequences. Peace processes must address the plight of the most marginalized of groups in a society affected by conflict. Seeking justice, providing compensation or remedies can be an important way to address the plight of communities and individuals affected by conflict.


### General Definitions:


**Remedies:** a term that refers to reparations or legal redress to provide justice to, or compensation to victims of a human rights violation.

- Accordingly, the Secretary-General has stated that the **UN will not endorse, support or recognize amnesties for war crimes, crimes against humanity or grave violations of human rights or international humanitarian law** (for example, where such amnesties are contained in a peace agreement negotiated between governments or rebel groups).

 **Note to Instructor:** *There are a number of key UN reform documents that have highlighted the link between human rights and security since 1997.*

 *The first was the 1997 report of the Secretary-General entitled “Renewing the United Nations: A Program for Reform” (A/51/950) made it explicit that human rights cut across all the UN’s substantive areas of work (namely: 1. Peace and security, 2. Economic and social affairs, 3. Development Cooperation and 4. Humanitarian Affairs).*

 *In 2000, a landmark report of the Panel on United Nations Peace Operations stated that it is essential that the “United Nations system adhere to and promote international human rights instruments... in all aspects of its peace and security activities” (A/55/305 - S/2000/809).*

 *In 2004, the High Level Panel on Threats, Challenges and Change not only highlighted the link between development, security and human rights, but also indicated that the international community had a responsibility to protect populations in the event of gross human rights violations. The Panel’s recommendations were taken on by the Secretary-General in his reform package presented to the General Assembly at the UN’s 60<sup>th</sup> anniversary in his report entitled “In Larger Freedom” (A/59/2005).*

## UN Policy on Human Rights in Integrated Missions



Slide 22

- 🗨 In 2006, the Secretary-General has also issued a policy on human rights in integrated missions, which spelled out the human rights responsibilities in such UN peacekeeping operations.
- 🗨 The policy states that **human rights are a concern that cuts across all components of an integrated mission, and therefore must be fully integrated into such UN peacekeeping operations**. All UN entities are responsible for promoting and protecting human rights.
- 🗨 The SRSG has a responsibility to uphold human rights law in the implementation of the mission's mandate and make sure that all UN peacekeeping personnel (military, police and civilian) are aware of and abide by international human rights and humanitarian law.
- 🗨 The policy also states that the **SRSG shall have a human rights adviser who is also the head of the human rights component of the mission**. This component coordinates all human rights functions carried out by the peacekeeping mission. **The SRSG's human rights adviser also functions as the representative of the UN's High Commissioner for Human Rights in the country, and is a part of the UN Country Team**. In that way, the Secretary-General ensures that all parts of the UN system have a consistent policy on human rights and work effectively with the High Commissioner for Human Rights in Geneva, and her office.

**General Definitions:**

The **High Commissioner for Human Rights** is the principal UN human rights official. Her mandate comes from the General Assembly.

The **Human Rights Council**, established on 15 March 2006 by the General Assembly and reporting directly to it, replaced the 60-year-old United Nations Commission on Human Rights as the key United Nations intergovernmental body responsible for human rights. The Council, consisting of State representatives, is a primarily political body with a comprehensive human rights mandate, and a forum empowered to prevent abuses, inequity and discrimination, protect the most vulnerable, and expose perpetrators.

- It is also UN policy that regular public reports are issued (either by the SRSG and the mission, or by the High Commissioner for Human Rights) on the human rights situation in the country where the integrated mission works.

## Applying human rights in peacekeeping

### Applying Human Rights in Peacekeeping

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- Human rights as a common standard of conduct and achievement
- Peacekeeping must be conducted in full respect for the principles, norms and spirit of the human rights conventions
- Both UN personnel and host government must respect human rights principles and norms



**Slide 23**

- A peace operation brings together military, police and civilian personnel from many different countries to fulfil the mission's mandate. They have different cultural, legal and national backgrounds. **Human rights standards** – developed in the context of the United Nations and with their universal character – **provide a common standard of achievement and conduct** for all people serving in a peace operation.

- 💬 **Peacekeeping must be conducted in full respect for the principles, norms and spirit of the international human rights conventions** and other instruments relevant to the conduct of military, police and civilian personnel.
- 💬 **Both UN personnel and the host government must respect the norms and principles of human rights.** As mentioned earlier in connection with the legal basis for human rights, the UN Charter commits the Organization to promote universal respect for human rights for all, without discrimination. All UN personnel are equally bound to promote, protect and respect human rights when serving in a peace operation. The host government undertakes similar obligations: to refrain from committing human rights violations, protect the rights of people under its jurisdiction, and promote their advancement.
- 💬 All peacekeeping personnel should be able to recognize a human rights violation in order to ensure their conduct and that of their colleagues adheres to human rights standards. They should also be able to recognize human rights violations committed by local actors so that the peacekeeping operation can take appropriate action and ensure that it is fulfilling its mandate to promote and protect human rights.



## Learning Activity: Brainstorming Part 2

### How Do Human Rights Violations Occur?

The purpose of this exercise is to explore the different ways that human rights violations can occur: 1) through deliberate action that violates a human right, or 2) through a lack of action, or omission, that results in a human right not being fulfilled or protected.



**Time:** 15 minutes



#### **Preparations:**

1. Make sure that all participants can see the examples already recorded on the flip chart, whiteboard or blackboard from the previous brainstorming exercise.
2. Create two columns on a flipchart or whiteboard. Use the heading “Deliberate Actions Against Human rights” and “Nothing/Too Little Done to Avoid Violations”. Participants will be asked to group the previous human rights violations listed into one of the two columns. You may also want to ask for additional examples after you’ve worked with the existing points from the previous exercise.

3. Option: If you have a small group, instead of people brainstorming new examples out loud in the group, you can get participants to write up their ideas individually or in pairs on pieces of paper or “Post-It” notes and put them under the appropriate column. (Provided these supplies are available.)

### **Activity Guidelines:**

1. Ask participants to review the examples listed in the previous brainstorming and consider how the human rights violation occurred. Participants should think about whether the human rights violation occurred because a State official or a member of a rebel group, corporation etc. took a specific action that resulted in the violation, or whether the violation occurred because someone did not take any action.
2. As they give their responses, transfer the items under the appropriate column.
3. After participants have worked with the previously brainstormed items, ask for other examples of violations for each column. You can also use some of the examples below.

### **Common examples of actions and omissions that result in human rights violations**

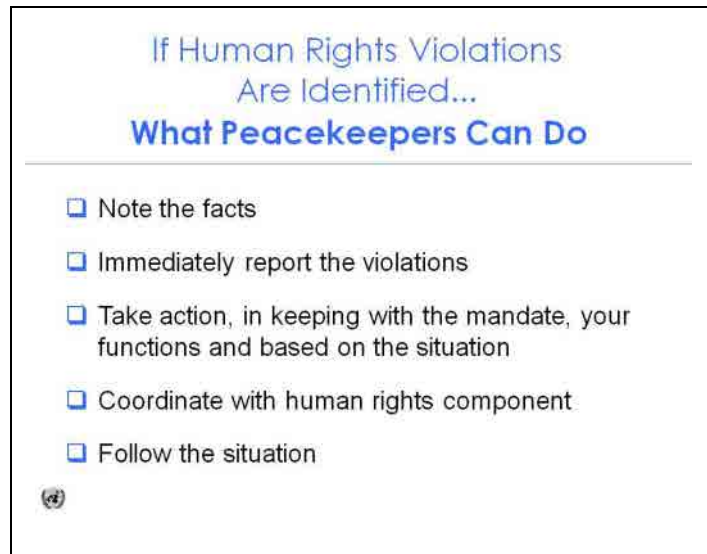
#### **Deliberate actions that result in a human rights violation:**

- Arrest or detention by a police officer without an arrest warrant or reasonable cause
- A detainee is tortured while in police or military custody
- Soldiers raping women and girls
- A judge is taking bribes and keeps villagers in jail until they pay out their debts
- Police or military that open fire against peaceful demonstrators without cause

#### **Human rights violations that occur because of a lack of action:**

- A Government is not taking immediate action to provide basic rights and services such as food, water, and adequate shelter to that group of IDPs
- A local representative of the Ministry of Education is not taking any measure to enable girls to attend school the same as boys

## What Peacekeeping Personnel Can Do



Slide 24

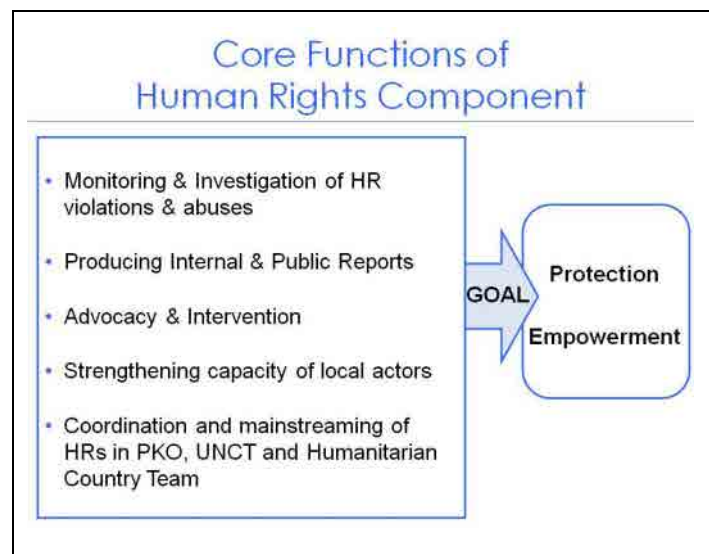
💬 If human rights violations are observed by peacekeeping personnel, they should:

- ☒ At the very least, take note of the facts and prepare a report based on the procedures in place within the mission. Immediately report the information through the chain of command or management structure and to the human rights component.
- ☒ When gathering information or reporting on human rights violations, ensure that sensitive information on identity of victims or witnesses or sources is not unduly disclosed as this would endanger their safety. Always consult with the human rights component on these issues.
- ☒ If you work together with a local translator, be sure of his/her integrity, profile and interviewing basic skills. (This is not human rights specific).
- ☒ Do not raise false expectations with victims, and witnesses. Be frank; explain your mandate and limits.
- ☒ If the situation and mandate allows, decide on appropriate intervention to stop the abuse. The kind of intervention will depend on the role of the component and the mandate of the mission. Military personnel may take direct military action to protect the lives of civilians, whilst UN Police may intervene through police authorities. In all cases, it is important to coordinate action with the human rights component of the

mission. Human rights work is very complex, and maximum care must be taken to avoid that ill-devised interventions harm, rather than helping, victims of violations.

- ☑ Continue to follow the situation, for example (in the case of military peacekeepers) through repeat patrolling and observation.
- ☑ Always keep human rights offices and other relevant components informed on human rights problems that require their unique intervention or assistance.

## Human Rights Roles in the Context of Peacekeeping Operations





Slide 25

- 💬 The Human Rights Component of the mission leads and coordinates the human rights work of the mission. Some of the core functions of the human rights component are:

- Actively **monitoring and investigating human rights violations and abuses**
- **Producing internal and public reports** on human rights issues and activities. (Internal reports are produced for use by and dissemination within the Human Rights component, the peacekeeping operation or OHCHR only. Public reports are disseminated to the public at large, including host societies, international bodies, donors and the media).
- **Advocacy and intervention** on human rights issues, which can range from quiet diplomacy to public condemnation

- **Strengthening the capacity of local actors** (Government, civil society, national human rights institutions etc.) to protect human rights
- **Coordination and mainstreaming of human rights across the work of the peacekeeping operation, UN Country Team (UNCT) and Humanitarian Country Team** by advising and assisting them on how they can best integrate human rights into their work.


 **Note to Instructor:** Part 2 provides a full explanation of the UN Country Team (UNCT) and the Humanitarian Country Team.

 As explained in the previous slides, the entire UN peacekeeping operation also has a responsibility to ensure the promotion of human rights across their mandates. The following slides provide some examples of how different components contribute to the promotion and protection of human rights through their work.

## Other Mission Components Contributing to Human Rights



Slide 26

 There is a lot of work done in the mission which is crucial for human rights protection and also for sustaining human rights when peacekeeping personnel will be gone. Many, if not all civilian offices in a mission, have a contribution to make to human rights protection. Some of the civilian offices that work most closely with the human rights unit in a mission are: rule of law or judicial affairs, corrections, gender, and child protection.



**Note to Instructor:** Depending on the experience in the group, instructors may choose to brainstorm about the roles of various civilian offices with participants or just describe them as outlined below.

- **Rule of Law/Judicial.** When present, the Rule of Law/Judicial Affairs component helps develop comprehensive strategies related to the rule of law and the reform of the justice system. The judicial affairs officers, amongst other responsibilities, provide advice and training to people working in the justice system and monitor justice developments. The ‘rule of law’ makes enjoyment of human rights possible, combats impunity and prevents violations and discriminatory practices in the context of the justice system.
- **Corrections.** The corrections office deals with operational aspects related to the prison system. To make things work better, they will advise on development of policy and procedures and it is important that these are in line with international human rights standards on detention. Rehabilitation of cells and prisons, coaching and mentoring of national corrections officers, including on proper treatment for detainees, is also part of their tasks. Human Rights components monitor places of detention as a key function. Coordination between the two components is essential.
- **Gender Advisor:** This office supports the establishment of laws, policies, institutions and practices which safeguard the equal rights of women and girls, and facilitates the implementation of human rights treaties that fight discrimination and enhance women’s participation in society.
- **Child Protection:** This office identifies protection needs of children, focusing on a variety of human rights challenges such as children affected by armed conflict, sexual abuse, abductions, trafficking and child labor. They monitor and report on activities relating to the implementation of relevant international human rights instruments such as the Convention on the Rights of the Child.

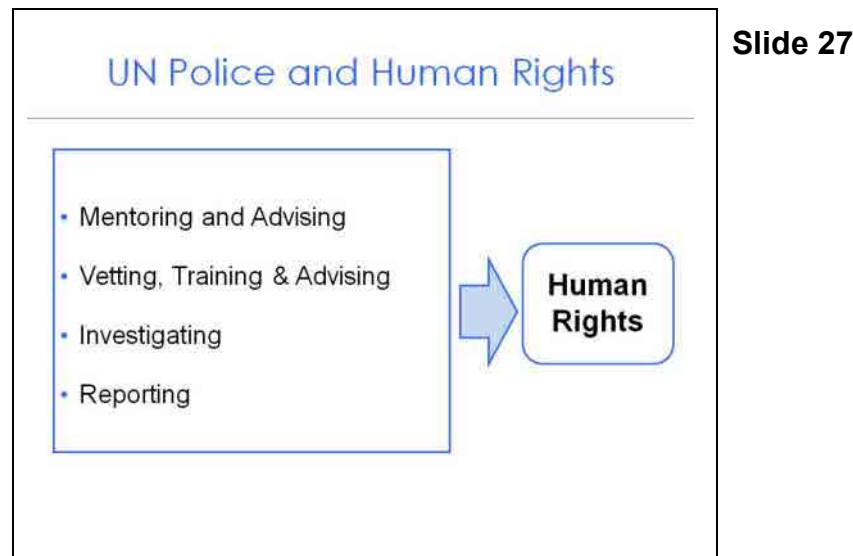
### Additional civilian offices that contribute to human rights protection in peacekeeping operations:

- **Security Sector Reform (SSR):** Peacekeeping mission components that are tasked with supporting SSR should ensure that reforms reflect human rights norms and principles. Human rights training should be incorporated into the core training of new military forces and police

services. Vetting of new forces and accountability mechanisms within security institutions should also be part of SSR strategies.

- **Civil Affairs:** All activities which involve building public administration, advising and training of civilian officials must ensure that the institutions and their officials understand human rights principles and how they apply to and govern their work of running a State.
- **Electoral:** The right to vote, and to be elected, is one of the basic political rights. Electoral units contribute towards fulfilling the human rights mandate of a mission by ensuring that the whole population understands the process, has the opportunity to register and the freedom to vote without interference, whether they are literate or not, and without discrimination.
- **Disarmament, Demobilisation and Reintegration (DDR).** Among other things, they ensure that minors and women are given special protection during the demobilisation of military forces and armed groups, and that there is a dedicated programme for their support and reintegration.
- **Political Affairs:** They watch political developments in the country, including in the conflict area, and provide advice to the mission leadership. They can play a crucial role in negotiating or renegotiating agreements between parties in conflict and they can support the inclusion of human rights in those discussions. They have information related to potential disputes and conflicts in the area, and by working with human rights partners they can prevent violations.
- **The SRSG's Office:** The SRSG must uphold human rights in the implementation of the mandate and give prominence to human rights in policy making and senior discussions. The SRSG her/himself should be a 'human rights' model and display the mission's clear commitments towards protection from and response to violations of international human rights and humanitarian law.

## UN Police and Human Rights



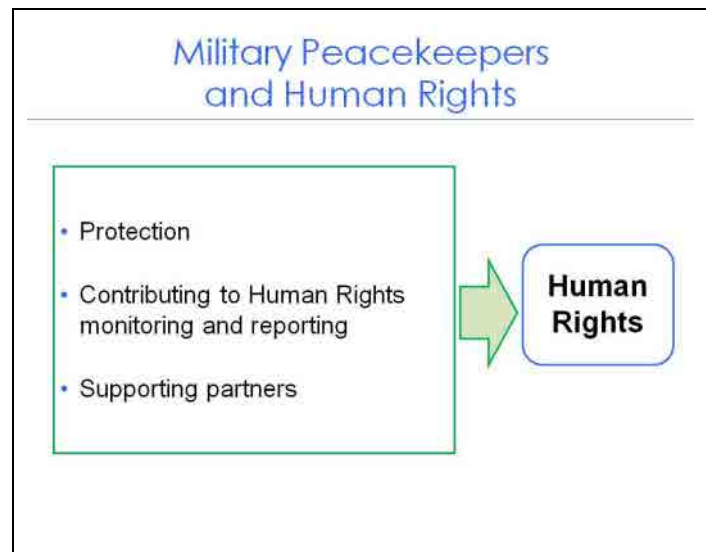
Ensuring respect for human rights is central to the work of UN Police in peacekeeping operations. The mandate of UN Police is different in each mission. In some missions it is limited to mentoring the host country police services, whilst in more complex missions the mandate includes training and advising, helping establish host country police services and enhancing their work, and, in some cases, actual law enforcement performing policing functions. In all aspects of their work they must ensure compliance with international human rights standards.

- **Mentoring:** UN Police are often mandated to mentor on a daily basis the national police, especially with regards to:
  - Arrest and detention procedures, to make sure that arrests are conducted legally, the rights of persons arrested are respected, they are registered, and treated humanely
  - Conditions of detention in police holding cells, to make sure that they comply with the UN minimum standards of detention
  - Investigations and interrogations, to make sure that purposes are legitimate and procedures respected
- **Vetting, training and advising**, also in the context of security sector reform. Often, after a conflict, or as a result of peace agreements between state and rebel forces, there will be a program of security sector reform which means that UN Police may be involved in vetting, training and advising a new or restructured local police service. This is a perfect opportunity to make sure that human rights principles are

incorporated into the core training of the new police service, and are understood and applied by all police. Human rights components often work alongside UN Police to provide human rights training for local police services and advise on vetting procedures.

- **Investigating:** UN Police may be called on to use their expertise to assist human rights teams with investigations into serious human rights violations. In some missions, UN Police officers have been seconded to staff investigative teams within Human Rights Components.
- **Reporting:** UN Police usually work alongside national police throughout the host country and, as with military peacekeepers, should act as the eyes and ears of the human rights component. They should carefully document all suspected human rights violations and share this information with their human rights component and other colleagues (i.e. child protection, gender advisor) for their analysis and follow up.

## Military Peacekeepers and Human Rights



Slide 28

Can Military contribute to human rights? In the conduct of their daily tasks, military peacekeepers can contribute in several ways to fulfil the human rights mandate of the mission:

- **Protection:** military peacekeepers provide protection, and often armed protection. They patrol, control borders, establish checkpoints and cordons close to refugees/IDPs camps or in areas characterized by conflicts. The peacekeepers' armed presence can act as an important

deterrent to human rights violations. Vulnerable groups and individuals can raise their living standards thanks to the improved security.

- **Contributing to human rights monitoring and reporting:** because they are often larger than other components and have a wide operational presence, military peacekeepers can observe and monitor the actions of both the armed groups and the civilian population. They can gather important information about the human rights situation and situations that can lead to violations. By reporting this information to the human rights component of the mission, appropriate analysis and response can be taken.
- **Supporting partners:** military peacekeepers offer escorts and exchange information with partners such as human rights officers. They discuss challenges related to a specific area and plan joint visits.
- Military peacekeepers are in contact with different regular and irregular armed groups. They can take up human rights issues with their counterparts, including local senior military personnel and leaders of armed groups. In some cases they may have a direct role in training and reforming local armed forces. They can provide the local armed forces with an example of a law-abiding military that respects the human rights of the population they protect.
- By protecting human rights, preventing violations and setting a standard for military conduct, military peacekeepers can maintain the credibility of the peacekeeping operation in the eyes of the host population and international community.

## Summary of key messages



**Note to Instructor:** Outline the main points that have been covered during the session.

- All peacekeeping personnel, whether civilian or in uniform, must be familiar with human rights concepts, principles and norms.
- Understanding human rights is necessary to better understand the mission mandate and perform peacekeeping functions effectively.
- Peacekeeping personnel must respect human rights at all times.
- Respecting and protecting human rights helps the operation's credibility and legitimacy.

- Integration of human rights in all aspects of peace operations so that all UN entities fulfill their human rights responsibilities is the key aspect of UN human rights policy reform. Coherence of leadership and integrated human rights work coordinated by experts is crucial.
- Reporting on violations is crucial but it is also a delicate function and peacekeeping personnel should get in contact with human rights experts to get guidance.
- Accountability is crucial to protect human rights! UN peacekeeping operations must prevent and respond effectively to human rights violations and abuses. Victims have a right to seek redress.

## UNIT 3 – PART 1C: WOMEN, PEACE AND SECURITY: THE ROLE OF UN PEACEKEEPING OPERATIONS

Part 1c: Women, Peace and Security: The Role of UN PKOs



UN

Slide 29


Learning Outcomes


On completion of Unit 3 – Part 1c, participants will be able to:

1. Explain the different impacts of conflict on women/girls and men/boys
2. Explain how women are both victims of conflict and key partners for peacekeeping and peace-building activities of UN peacekeeping operations
3. Provide examples of how peacekeeping personnel can help protect women and support gender equality in their daily work

UN

Slide 30

 **Note to Instructor:** Introduce Unit 3 – Part 1c and through the intended learning outcomes (as shown in the slide above).

 The Security Council, and DPKO/DFS policies, require that all peacekeeping personnel promote gender equality in their work. The Security Council has also instructed peacekeeping personnel to do a better job at involving women

in peace and security activities, and to protect women and children from sexual violence in conflict.

- 💬 This next section outlines how UN peacekeeping personnel can contribute to the promotion of gender equality, and thereby uphold the DPKO/DFS Policy on Gender Equality in United Nations Peacekeeping Operations (2006).

## Exploring the Roles of Men and Women



**Note to Instructor on the words “gender and sex”:** Many languages lack a literal translation for the word “gender”, so it is often impossible to translate the term. It is important to explain that there is a difference between the **biological differences between men and women**, and **what they learn from society as boys and girls about how each should behave**. The word “gender” is used to describe such learned behaviour.



### Learning Activity

#### Differences Between Men and Women:

#### Biological or Imposed by Society?

The purpose of this brainstorming activity is for participants to make a distinction between the differences between men and women that are biological and those that are stereotypes or roles that are imposed by society and culture.



**Time:** 10 minutes



#### **Preparations:**

1. Put two flipcharts up on the wall and put “Women/Girls” at the top of one flipchart and “Men/Boys” at the top of the other. Have more flipchart papers ready as needed. Alternatively you can use a whiteboard or blackboard.

**Note:** Make sure that you place the two sets of flipcharts close together so that you can move quickly between the two as people call out ideas.

**Alternative:** You might want to ask for two volunteers from the participant group to write the ideas as the group calls them out – one volunteer for the

female and one of the male side. If so, ensure that all ideas the participant group brainstorms are captured on the appropriate flipcharts.



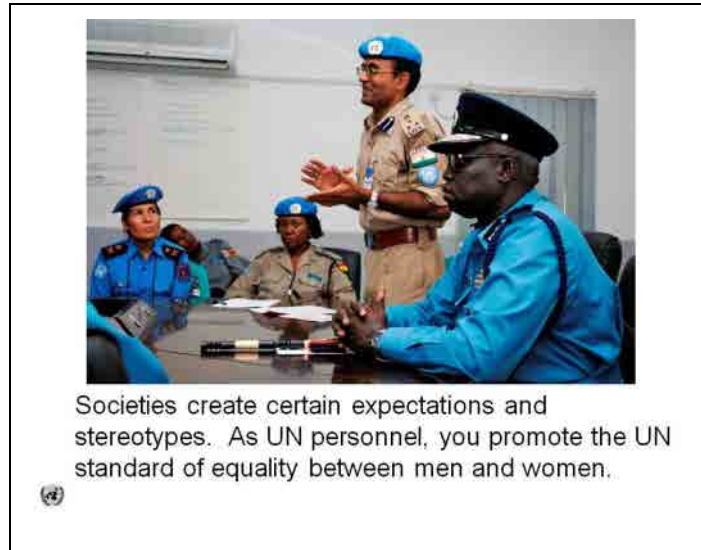
### **Activity Guidelines:**

1. Ask participants to brainstorm their ideas on what their own culture(s) expects of women/girls and men/boys. They don't need to agree with each other. There may be cultural differences represented in the room. The objective is to capture all experiences and ideas.



### **Brainstorming Questions:**

- What are some differences in how men/boys and women/girls are expected to behave?
  - What jobs are most common for women to have? For men to have?
  - What kinds of social or cultural restrictions are placed on men and women?
  - You might want to ask participants to finish the following sentences:
    - “Women and girls should never...”
    - “Men and boys should never...”
    - “Women and girls should always...”
    - “Men and boys should always...”
1. Write down all brainstormed points under the headings of “women/girls” or “men/boys”. Ask clarifying questions as needed.
  2. After you have captured all the ideas from the group, acknowledge all the contributions and make the points on the following pages. Some of these may have already come out in the brainstorming and you can just reinforce them.

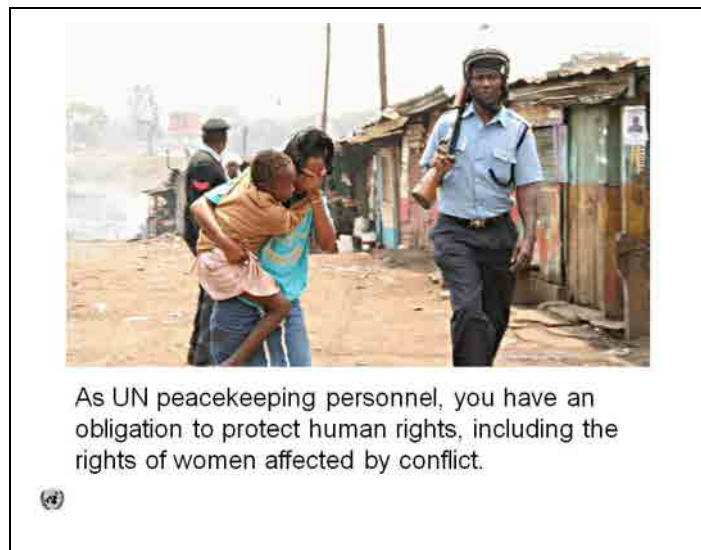


Slide 31

- 💬 Every **society creates certain expectations** about what women and men can and should do, say or act. **As UN personnel, you have to promote UN standards of equality between men and women.**
- 💬 History shows us that what our parents learned has changed — men and women are different from their parents and grandparents and act differently from them.
- 💬 What was considered inappropriate for men and boys to do a few decades ago, like cook or care for children, has changed in many cultures and men do these things now as well.
- 💬 In many cultures, women now have jobs and responsibilities that were not common for women before, such as working with heavy equipment, or leading large businesses or fighting in the army. These activities might have been considered inappropriate in their mothers' time.
- 💬 Every culture is changing all the time, and men and women change with it.
- 💬 Often war and conflict bring about rapid social and cultural changes and changes in what men and women do and how they think. [We will be exploring this further during this session.]
- 💬 The comment is often heard that, *"We are not here to change the culture."* That may be true, but a peace operation, by its very presence, contributes to cultural change. Culture is always in a state of change. It is not static. Conflict accelerates changes in the culture. As peacekeeping personnel, your job is to uphold what is fair and just, according to United Nations standards.

- As peacekeeping personnel, you should be aware of these kinds of changes, and support those changes which are bringing more equality between men and women.
- The Departments of Peacekeeping and Field Support have a strict policy that women and men are equal and that all peacekeeping personnel must promote the equality between men and women. This applies for all peacekeeping personnel no matter whether they are military, police or civilian substantive or support staff or whether they work in the field or in headquarters. Peacekeeping personnel must support specific actions to end discriminatory laws, policies and practices that prevent women and girls from accessing and enjoying their full and equal rights in post conflict societies.

**Note to Instructor:** *The DPKO Policy Directive on Gender Equality in UN Peacekeeping Operations (November 2006) provides guidance on how peacekeeping operations must implement UN Security Council Resolution 1325 on women, peace and security (October 2000). UN Security Council Resolution 1820 on women, peace and security (2008) reinforces 1325 and explicitly links sexual violence as a tactic of war.*



Slide 32

- Unit 1 explained that the UN Charter states that one of the main purposes of the United Nations is to promote human rights of all people. Unit 3 – Part 1a explained that international human rights standards do not allow discrimination against anyone on the basis of their sex.
- Most modern conflicts started because of violations of human rights. That is why the Security Council usually mandates UN peacekeeping operations **to**

**promote and protect human rights, including the rights of women** and children who may have suffered more during the conflict.

- 💬 One of the worst ways that women and girls suffer in conflict is because they are raped or sexually assaulted by the fighting forces. In some cases men and boys may also be sexually assaulted, but usually women and girls are targeted when rape is used as a weapon of war. For that reason, the Security Council has instructed peacekeeping operations and governments to do a better job of protecting women and girls from sexual violence in conflict.
- 💬 Another reason to protect women's human rights in conflict is that it can help the peace process. A society that has suffered from war and massive human rights violations can only be healed if all members (men and women) feel that justice is being done for the wrongs that they suffered.
- 💬 Often the wrongs done to women are not considered as serious as the violations against men. Ignoring the violations committed against women may slow down the national reconciliation and healing process and negatively affect the peace process.



Slide 33

- 💬 In addition to your obligation to promote human rights, you must also remember that as a **peacekeeper you are a role model for others. You are a kind of “ambassador” of the UN and your country.** Through your behaviour, you will show whether or not the UN is serious about principles of equality between women and men and non-discrimination based on sex. This means in your office or team site and in your relations with local people you should always treat women and men with respect.

- 💬 Peacekeeping personnel are powerful in relation to the local population. Peacekeeping personnel have money, mobility, access to food, water and other goods. They also have the ability to use force. This results in a power imbalance between peacekeeping personnel and the host population. Make sure you use this power to do good, supporting dignity and equality between women and men, as the UN Charter states that you should.
- 💬 The United Nations does not tolerate exploitation of local people. Under no circumstances should you exploit women because you are in a powerful position. Your behaviour can have far reaching impacts on the success of peacekeeping operations. Exploitation of women or children by even one of the mission's personnel can call into question the legitimacy of the whole peacekeeping operation.
- 💬 The United Nations has strict policies that women and men must be treated equally. For example, the Department of Peacekeeping Operations and Department of Field Support have a policy on Gender Equality in UN Peacekeeping Operations which you must follow. The rest of this section will explain in more detail what that policy says.
- 💬 There is also a strict “Zero Tolerance” policy prohibiting sexual exploitation and abuse by peacekeeping personnel which you will learn more about in Unit 4 – Part 1 on Conduct and Discipline.

## Impact of Conflict on Women and Men



### Learning Activity: Impact of Conflict

In order for peacekeeping personnel to protect women properly, they must first understand how conflict impacts women and girls.

The purpose of this brainstorming activity is for participants to become aware of the many different ways that conflict can affect women, men, boys and girls.



**Time:** 10 minutes



#### *Preparations:*

1. In the same way that you set up the previous exercise, set up two flipcharts on the wall and put “Women/Girls” at the top of one flipchart and “Men/Boys” at the top of the other. Have more flipchart papers ready for when needed. Alternatively you can use a whiteboard or blackboard.



#### *Activity Guidelines:*

1. Introduce the exercise with the following points:



Conflict has different impacts on women and girls, and men and boys. It is important for peacekeepers to know what those differences are so they can be taken into consideration when planning and conducting peacekeeping activities. Planning and working with those differences can make an enormous difference on the success of peacekeeping activities.

2. Ask participants to volunteer their ideas on the different impacts of conflict on the lives and roles of men and women. Ask the questions below to help start the brainstorming of ideas:



#### *Brainstorming Questions:*

- What kinds of things will women/girls have a harder time with in a conflict situation?
- What kinds of things will men/boy have a harder time with in a conflict situation?
- What kinds of things might happen to women/girls and men/boys?
- How might the roles of women/girls and men/boys change?

- What kinds of things might women/girls and men/boys be able to do that they were not able to do before?
  - What kinds of changes might happen to the situation of women and men after the conflict?
3. Write down all brainstormed points under the appropriate headings of “women/girls” or “men/boys”. Ask clarifying questions as needed.

**Possible answers that might come up are as follows:**


- Harder for women to get food, fuel and water in safety
  - Harder for men to support their families
  - Men might take up arms
  - Women might have more people to take care of
  - Women and girls are abducted and raped and used as sexual slaves and bush wives
  - Boys are forcefully conscripted into combat
  - After the conflict men may not be able to work and provide for their families
  - Men may become disillusioned and resort to violence
  - Women and girls who were abducted are rejected by their families and might find it difficult to find partners
  - W may resort to prostitution to survive
  - DDR programmes may target only boys and men who are deemed as having been combatants and ignore women and girls.
4. After you have captured all the ideas from the group go on to make the following points on the different impacts of conflict and what peacekeeping personnel can do.

## What Peacekeeping Personnel Can Do

### Changes in Responsibilities

#### Changed Responsibilities What Peacekeeping Personnel Can Do

- ☐ Consult with both women and men
- ☐ Talk to women and men separately
- ☐ Perhaps use a female peacekeeper for interviewing women to encourage participation
- ☐ Include women's info in reports To HQ



Slide 34

- 💬 **Changes in responsibilities.** When men go to war, women take on the responsibilities of the absent men.
- 💬 As heads of the family or households, they provide for their families and make all family decisions. This means they will find ways to earn money for their families, they will make decisions about when it is too dangerous to stay home and in case of danger where and when to flee. Some women may go to war as combatants.
- 💬 This means that women may have more informal decision-making powers in a community than you expect. Women may also have access to valuable information about how the community functions, about fighting or tension in the community or potential threats in the area. Female combatants may have valuable information about the fighting forces.
- 💬 Peacekeeping personnel involved in security or political assessments of local communities, or in re-building of local administrative or community institutions (for example UNMOs, Security Officers, UN Police, Political affairs officers, civil affairs officers, human rights officers etc.) should:
  - ☑ **Consult both women and men** about the status of their community, their needs and their perspective on threats and the impact of the conflict

- ☑ Peacekeeping personnel should **talk to women and men separately**, perhaps, using a **female peacekeeper to interview the local women to encourage their participation**
- ☑ **Include information received from women and women's groups in reports to HQ**

## Reintegration of Combatants

**Reintegration of Combatants**  
**What Peacekeeping Personnel Can Do**


- ☐ Successful DDR should meet the needs of all
- ☐ Consider needs of female ex-combatants
- ☐ Include wives and dependants of combatants
- ☐ Refer for access to psycho-social counselling





Slide 35

- 💬 Post-conflict demobilization and reintegration efforts should not focus only on male ex-combatants. The role of women is often neglected during and after conflict. In past demobilization exercises, female combatants have found their needs either partially or completely ignored in the demobilization incentive packages given to ex-combatants. Demobilization packages may have included only male clothing or implements of little use to women.  
**Disarmament, demobilization and reintegration (DDR) work should meet the needs of all and must consider the needs of female ex-combatants.**
- 💬 Disarmament activities can also gain from focusing on women as well as men. For example, women often know of stockpiles of weapons and are keen to rid their communities of arms.
- 💬 It is important to **include wives and dependants of combatants in DDR activities**. Women and girls are also abducted to serve as sex slaves for combatants. These women and girls may be rejected by their partners after the war. If they are not accepted back by their families, these women and their children may be abandoned and left destitute. They need help to find a job and


feed their children but may not be included in DDR programmes which have been designed only with the situation of male combatants in mind.

 **Example:** In Liberia combatants were able to enter DDR programmes if they handed over a gun. But many female combatants or camp followers did not have their own gun.


 When conflict changes responsibilities for women, it may also cause women to join fighting forces. As combatants, women experience equal treatment with men, which they may not have enjoyed in civilian life. As they experience the risks and responsibilities of combat together, male and female combatants may see each other as equals.

 **Some women may have chosen to join the fighting forces, but others may have been abducted and forcibly recruited.** Men and boys are often forcibly conscripted or abducted to serve in armed forces or militias and face the dangers of fighting and the risk of death or injury in combat. Women and girls are also forced to support combatants in a range of activities, as messengers, porters, cooks, and other roles.

 **Example:** In Nicaragua, about 30 per cent of the combatants of the Sandinista National Liberation Front were women.

 **Example:** In Sierra Leone during the war the role of women as fighters could be summarized in the following observation:

*“Captive wives of commanders exerted substantial power within the Revolutionary United Front (RUF) compounds. These “wives” were predominantly girls. When the commander was away, they were in charge of the compound. They kept communication with the commander and would select and send troops, spies and support when needed. These girls and young women decided on a daily basis who in the compound would fight, provide reconnaissance, and raid villages for food and loot. Some counseled their captor husbands on war strategies, troop movement and upcoming attacks.”*

 Peacekeeping personnel working on reintegration of combatants should:


- ☒ Peacekeeping personnel should consult with women separately when questioning community members about arms caches.
- ☒ Demobilization programmes **need to take account of and provide for dependants of combatants and other camp followers.**

- ☑ Peacekeeping personnel can ensure that **women's needs are taken into consideration in demobilization packages and services.**
- ☑ If available, provide information on where to **access programs and psycho-social counselling.**

## Displacement

**Displacement**  
**What Peacekeeping Personnel Can Do**

- ☐ Be aware of different numbers of women, men, boys and girls in refugee or IDP population
- ☐ Assess and report on numbers and particular needs and threats
- ☐ Ensure programmes and activities for men and women ensure equal safety



Slide 36

- 💬 **Displacement.** Conflict, especially conflicts within a country, results in major social and economic disorder. In recent years, civilians, mostly women and children particularly, have been deliberately targeted. Many flee their home communities in search of safety away from conflict zones.
- 💬 Women and children constitute the majority of refugees and internally displaced persons (IDPs). They often arrive at reception centres traumatized by attacks before and during flight. The nature of the attacks may vary depending on whether the victims were women and girls or men and boys. As a result, each group has different needs for support and rehabilitation.
- 💬 Women and girls in refugee camps and displaced camps may be subjected to further abuse, including sexual abuse by other camp residents or camp officials, who may demand sex in exchange for rations and other benefits. Men in refugee and displaced camps are often frustrated by the loss of their traditional roles as head of the household and protector of the family and can become depressed or violent.

- Peacekeeping personnel working with refugees or internally displaced persons (e.g. humanitarian liaison officers, UN Police, civil affairs and human rights officers etc.) should:

- ☑ **Be aware of the different numbers of women, men, girls and boys in the refugee or IDP population**
- ☑ **Assess the different needs and threats** that women and children face as IDPs or refugees in that situation
- ☑ Include information on different numbers of women and children and their needs in reports
- ☑ Ensure that, if needed, **different programmes or activities are put in place for men and women, so that they can have an equal level of safety and security**

## Violence Against Civilians and Sexual Violence

Long Term Impacts of  
Violence & Sexual Violence

- Psychological and physical damage
- Sexually transmitted diseases
- HIV/AIDS
- Unwanted pregnancy
- Community rejection



Slide 37


- ☑ **Violence against civilians, particularly sexual violence**, is a prevalent feature of current conflicts. Often without men to protect them, women and girls face increased risks of physical assaults and vulnerability to sexual and other exploitation.
- ☑ Women and girls, and often men and boys, too, are tortured and sexually abused with impunity. Sexual violence is used to humiliate, terrify and intimidate the victims and their loved ones. It is used as a weapon of war.

- 🗨 The Security Council has condemned sexual violence and called for stronger efforts to end sexual violence in conflict. The Security Council has requested that the Secretary-General include information on when and how rape and sexual violence is used as a weapon of war.
- 🗨 **Exposure to sexually transmitted diseases** such as HIV/AIDS is sometimes deliberate, as in Rwanda during the 1994 genocide.
- 🗨 **Unwanted pregnancy:** Women and girls may be raped as a weapon of war and with the intention that they bear the children of the enemy, as was the case in the conflict in the former Yugoslavia in the 1990s.
- 🗨 **Community rejection:** Communities are also more likely to accept back boys who were combatants than girls, especially if they came back with children born as a result of rape in war. Women and girls raped in war often face rejection by their families and communities once hostilities cease and may be victimized yet again. Men and boys who are victims of sexual violence and rape in war are reluctant to talk about the abuse because of the shame attached to it, therefore, it is seldom brought to light.

### Sexual Violence

#### What Peacekeeping Personnel Can Do

- ☐ Provide information to mission leadership about occurrences - where, when and the perpetrators
- ☐ Interview men and women separately, using female peacekeeper for women's interviews
- ☐ Find out about local organizations you can refer victims to for medical and psychological help



Slide 38


- 🗨 When facing situations where sexual violence occurs, peacekeeping personnel should:
  - ☑ **Provide information to mission leadership** about where and when sexual violence takes place and the alleged perpetrators
  - ☑ Peacekeeping personnel should **talk to women and men separately, perhaps, using a female peacekeeper to interview the local women**

- ☑ Find out about local organizations which provide medical and psychological assistance to victims in order to advise victims where they can get help

## Collapse of Law and Order

**Collapse of Law and Order**  
**What Peacekeeping Personnel Can Do**

- ☐ Know the numbers of women & men in communities
- ☐ Talk to women and women's groups about threats to their safety
- ☐ Ensure law and order restoration programs address women and men's concerns equally
- ☐ Encourage equal representation in local security forces & community organizations involved in safety



Slide 39

- 💬 During conflict, normal restraints placed on unacceptable conduct through formal regulatory systems of law and order or informal ones of tradition and culture may disappear. When these cultural, traditional and legal restraints disappear, it often means that women lose special protection.
- 💬 For example, poverty, desperation and the weakness of the rule of law may allow violent crime to increase dramatically in post-conflict societies, especially as small arms and weapons abound. Women and children are vulnerable to violent crime and often fall prey to organized crime as they face increasing pressures to earn a living. Some may be forced to turn to begging and prostitution. Trafficking of women and children is also a feature of a post-war, criminal economy. It is well documented that domestic violence by males in the home against women and children increases in post-conflict societies.
- 💬 Under no circumstances, may peacekeeping personnel take advantage of this situation. Exploitation and abuse, especially sexual exploitation and abuse, of women and children is strictly prohibited for all peacekeeping personnel.
- 💬 Peacekeepers involved in restoring rule of law in communities or refugee and IDP camps should:

- ☑ Know the different numbers of women and men in the community

- ☑ Talk to women and women's groups about threats to their safety
- ☑ Make sure that programmes to restore law and order address the concerns of women and men equally
- ☑ Encourage equal representation of women and men in local security forces or community organizations involved in community safety

## Collapse of Public Services and Infrastructure

**Collapse of Public Services & Infrastructure**



**What Peacekeeping Personnel Can Do**

- ☐ Investigate challenges in accessing social services
- ☐ Support equal access to jobs, contracts, land ownership and other economic opportunities and investigate barriers
- ☐ Work with mission partners to find creative long and short term solutions
- ☐ Work with companies with fair and equal employment practices




Slide 40

- 💬 Conflict destroys or disrupts government and social services, such as education and health; it causes shortages in goods and services. Prices of essential commodities may rise, and an illegal black market for such goods may grow.
- 💬 The physical infrastructure (roads, bridges, transport, power and communication lines) are often also badly damaged in times of conflict. Women also lose access to reproductive health care and schooling for their children.
- 💬 Peacekeeping personnel will find that the period immediately after war is volatile when violence can take many new forms. Men and women face different challenges when normal services and infrastructure collapse and have different needs and reactions to those challenges. Peacekeeping personnel should be aware of such differences and factor them into planning and implementing peacekeeping activities and report on them in their routine reporting duties.

-  Men and women often lose their peacetime jobs and pensions. The land they used to work may have been mined or their crops destroyed. Women, who may already have limited access to jobs and means of survival before the conflict, are particularly vulnerable in this environment. They may now be heading households and may be sole providers for extended families of children and elderly relatives.
-  Peacekeeping personnel who can affect economic opportunities (for example civil affairs officers, DDR personnel, support personnel who issue contracts or recruit local personnel to local companies etc.) should:
  - ☒ **Investigate challenges in accessing social services**
  - ☒ **Make sure that women and men have equal access to land ownership and any other economic opportunities in society,** as well as jobs and contracts in the mission
  - ☒ **Investigate why women may not have equal access to such economic opportunities**
  - ☒ **Work with partners in your mission to find creative short term or long-term solutions.** e.g. advertise mission vacancies in media which women are more likely to see. Seek out and work with companies that have fair and equal employment practices

## **Summary of key messages**

 **Note to Instructor:** *Outline the main points that have been covered during the session.*

There are many different tasks and activities of a peacekeeping operation that can have a direct, beneficial impact on women's safety, security and gender equality. Some general tasks are listed here that peacekeepers can do to promote these areas.

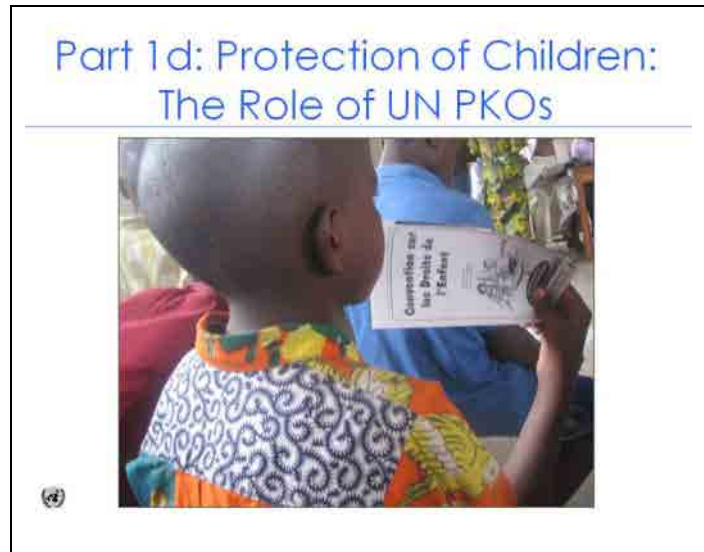
- **Promote equality!** Make sure that as a peacekeeper any assistance you give, any service you provide, any jobs or contracts you create benefit women and men equally.
- **Observe carefully!** When on patrol, or involved in any other activity, observe what the different activities of men and women are, where and when they carry them out. Consider the security issues for children on

the way to school, and the different risks for boys and girls. Where do women go to get food, fuel, water? How safe are these areas?

- **Investigate properly!** Talk to both the women and the men to find out the full story. Do not assume that men can give you the whole picture, or know what the women think. Local women may be more comfortable talking to female peacekeepers or talking in a group.
- **Report accurately!** Make sure your reports reflect the realities for both women and men. Always have a checklist of the issues you need to cover in your reports so that you include the relevant facts about the situation for women and for men.
- **Behave respectfully!** Peacekeeping personnel are powerful in relation to the local population. Peacekeeping personnel have money, mobility, access to food, water and other goods. They also have the ability to use force. This results in a power imbalance between peacekeepers and the host population. Make sure you use this power to do good, supporting dignity and equality between women and men. The United Nations does not tolerate exploitation of local people. Your behaviour can have far reaching impacts on the success of peacekeeping operations.



## UNIT 3 - PART 1D: PROTECTION OF CHILDREN: THE ROLE OF UN PEACEKEEPING OPERATIONS



Slide 41

### Film: Children in Armed Conflict in a Changing World

👤 Film Time: 7 minutes 👤

#### 👉 Activity Guidelines:

1. Show the film: Documentary on Children and Armed Conflict in a Changing World.
2. Start a discussion with the following questions.

#### ❓ Potential Discussion Questions


1. What are some of the impacts of conflict upon children that you saw in the film?
2. What impacts suffered by children were different from those suffered by adults. Why were the impacts different?
3. Why is this important for peacekeeping personnel to know?

### Learning Outcomes

On completion of Unit 3 – Part 1d, participants will be able to:

1. Provide the definition of a “child” in international law
2. Explain how international law protects children affected by armed conflict
3. Describe the impact of violent conflict on children
4. Explain what peacekeepers can do to promote child protection and children’s rights in armed conflict

Slide 42




 **Note to Instructor:** Go through the intended learning outcomes for Part 1d (as shown in the slide above).

### All Children Have Human Rights

- These include the right to special protection from violence, abuse, exploitation, neglect and cruelty
- For all UN peacekeeping personnel a child is any person under the age of 18 years



Slide 43

-  As explained in Part 1a, all people have human rights. Certain groups, such as children, also have special protection under international law.
-  International human rights law, specifically the Convention on the Rights of the Child, sets out all the **human rights of children**, covering everything from the right to go to school, the right to healthcare and the right to express their views freely.
-  It also states that all children have the **right to protection from violence, abuse, exploitation, neglect or cruelty**. Acts that cause violence, abuse,


exploitation or cruel treatment of children are prohibited. And so is inaction, or looking the other way, when these things happen.

- ☞ Specifically, this means that the State and adults have an obligation to protect children from economic exploitation and harmful work, from abuse in the criminal justice system, from all forms of sexual exploitation and abuse, and from physical or mental violence, including the special protection in times of war and protection.
- ☞ Peacekeepers must promote human rights because one of the main aims of United Nations is to promote human rights. Unit 1 explained that this the UN Charter states that one of the main purposes of the United Nations is to promote human rights of all people.
- ☞ **For all UN Peacekeeping personnel a child is any person under the age of 18 years.**

International Humanitarian Law (IHL)  
also requires that:

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- Children are entitled to special protection, care and assistance in IHL
- As civilians, children should not be the object of attack
- Child recruitment and participation in hostilities is prohibited



**Slide 44**

- ☞ Children are also **specifically protected under IHL** – either as civilians or as combatants.
- ☞ This means they benefit in particular from all the provisions relating to the treatment of protected persons **and should not be the objects of attack**. These state the basic principle of humane treatment, including respect of life and physical and moral integrity, and forbidding, inter alia, coercion, corporal punishments, torture, collective penalties and reprisals.
- ☞ The Additional Protocol 1 to the Geneva Convention lays down the principle of special protection for children:

*“Children shall be the object of special respect and shall be protected against any form of indecent assault. The parties to conflict shall provide them with the care and aid they require, whether because of their age or for any other reason”*

- 💬 These provisions apply in both international and non-international conflicts.
- 💬 The Additional Protocols to the Geneva Conventions also provide more detailed provisions on how children should be protected during conflict. For example, it requires that children affected by conflict should be provided the care and aid they require, in particular education. Children should be protected from participation in hostilities, and if they do participate in hostilities and are captured, they still have a right to special protection in detention.
- 💬 International humanitarian law strictly **prohibits the recruitment of children** under the age of 15 years **into any armed forces as well as their participation in hostilities** (armed confrontations between warring parties). Recruiting children under the age of 15 or allowing their participation in hostilities is considered a war crime in the statute of the International Criminal Court.

👉 **Note to instructor:** For more information on the special protection measures required under IHL, see article 77 of the first Additional Protocol to the Geneva Conventions and in article 4 of the second Additional Protocol to the Geneva Conventions.

👉 Both the Geneva Conventions and the Convention on the Rights of the Child state that children under the age of 15 years shall not be recruited into armed forces or used in hostilities. It is the Optional Protocol to the Convention on the Rights of the Child on the involvement of children in armed conflict which is the treaty that aims to raise the age of compulsory recruitment and participation in hostilities to 18 years. The Optional Protocol has been ratified by 131 States as of April 2009. For more information go to:  
<http://www2.ohchr.org/english/bodies/crc/index.htm>

**War violates every right of a child** - the right to life, the right to be with family and community, the right to health, the right to the development of the personality and the right to be nurtured and protected.



Quote: Ms. Gracia Machiel

## Slide 45




- Children are vulnerable at all times, but particularly in situations of armed conflict. **War violates every right of a child - the right to life, the right to be with family and community, the right to health, the right to the development of the personality and the right to be nurtured and protected.**

- Basic needs are denied
- Exposure to landmines, violence
- Displacement, separation from parents
- Sexual abuse



## Slide 46

- Basic needs are denied.** A conflict often disrupts supplies that fulfil children's basic needs of food, water, health care, shelter and the like. Armed conflict also usually causes such basic social services as education and clinics to cease functioning. The long term social and economic impact of conflict has a lasting effect on children's access to education, health services, employment and wealth.

-  **Land mines, violence.** During wartime children become victims of mines, being exposed to mined areas because of their playing and house chores. Children often witness such acts of violence as the killing of their parents and rape of female adults or older girls. Often they become victims of violence themselves.
-  **Refugees, displacement.** Many children become refugees or internally displaced persons when they flee from fighting and violence. Some are **separated from their parents**.
-  **Sexual abuse.** During wartime, the sexual abuse of children increases dramatically because of general lawlessness and the breakdown of social taboos and peacetime protection measures. At greatest risk are those close to the fighting, for example, child soldiers, camp followers and girls who are forced to clean and cook for soldiers and become “bush wives”. Girls are particularly vulnerable to sexual exploitation, family and community violence and discrimination that are worsened in areas of armed conflict. Gender equality must be a cross-cutting concern for peacekeeping personnel, who should give special attention to the vulnerability of girls.

## Child Soldiers



### Learning Activity: What does a Child Soldier Look Like?

The purpose of this activity is to raise participants’ awareness of the issues related to child soldiers and the many ways that children are made to participate in armed groups. Specifically it aims to highlight to participant that it is not always easy to tell whether a child is a child soldier or affected by armed conflict just by looking at them.



#### Time Required:

5 minutes for viewing and discussing photos  
10 minutes for discussion in large group

Total time: **15 minutes**



**Preparations:** Please see notes on preparations in the “Preparations Notes” at the beginning of this unit.



#### Activity Guidelines:

1. Show participants 4 - 5 photos with children in a conflict area.

## Options

- a. If working in small groups, use sets of photos as described in the Preparations Notes at the beginning of this unit.
  - b. If you are staying in the large group, you can use the slide at the very end of Unit 3's PowerPoint presentation (titled Children Associated with Armed Groups) or use a slide you have made yourself.
2. Ask participants to identify the child soldier from the photos.
    - In some photos, it will be considered obvious and participants will agree, while in others it may not be very clear to everyone whether the child is in fact a child soldier.
  3. After discussing the photos, make the following points:
    - 💬 Boys and girls are often forced to become soldiers, or they join one of the fighting factions as their best means of survival.
    - 💬 Child soldiers are not only children/boys carrying weapons. Children may be recruited and used by armed groups in many ways. We therefore use the term “children associated with armed groups” to identify all children affected in this way:
    - 💬 The Paris Principles of 2007, contain a widely accepted definition of child soldiers:
 

*A child associated with an armed force or armed group” refers to any person below 18 years of age who is or who has been recruited or used by an armed force or armed group in any capacity, including but not limited to children, boys and girls, used as fighters, cooks, porters, messengers, spies or for sexual purposes or girls used as concubines.*

*It does not only refer to a child who is taking or has taken a direct part in hostilities.*
    - 💬 Children typically represent 10% to 50% of the armed forces' or groups' strength. In 2006 over 250,000 children were recruited or used by armed groups and armed forces in twelve countries.



Slide 47

- ☞ In the past decade there has been an increasing understanding that conflicts have far-reaching and devastating consequences upon children and that the protection of children in conflict situations is a significant peace and security concern.
- ☞ In 1999, the **Security Council** issued its first resolution **calling for better protection of children affected by armed conflict** (Security Council resolution number 1261) In that resolution, the Security Council undertook to give special attention to the protection, welfare and rights of children in its actions aimed at promoting peace and security.
- ☞ Since 2001, the SC has included specific provisions on child protection in peacekeeping mandates. At least 12 peacekeeping mission mandates have contained specific provisions on child protection. This also means they have a Child Protection Office to help advise different components of the peacekeeping operation on how best to protect children in their work.
- ☞ The Council in its Resolutions has also repeatedly called for the integration of protection of children affected by armed conflict into all aspects of peacemaking carried out by Special Envoys, UN peacekeeping operations or any other entities.

## What Peacekeeping Personnel Can Do

**What Peacekeeping Personnel Can Do**

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Collect and Report information on:

- ☐ Recruitment or use of child soldiers
- ☐ Incidents of killing or maiming of children
- ☐ Rape or sexual abuse against children
- ☐ Abduction or kidnapping of children
- ☐ Attacks against schools or hospitals
- ☐ Denial to humanitarian access for children

Slide 48

- 💬 Collect and report information on violations against children, mainly:
  - ☒ **Recruitment or use of child soldiers**
  - ☒ **Incidents of killing or maiming of children**
  - ☒ **Rape or sexual abuse against children**
  - ☒ **Abduction or kidnapping of children**
  - ☒ **Attacks against schools or hospitals**
  - ☒ **Denial to humanitarian access for children** – such as refusing access to food, water, urgent medical intervention ...
- 💬 Child protection is the responsibility of all persons within the mission not just the child protection section. Each person has a role to play. As a military observer, police, civilian or whatever capacity you are deployed, you should promote child protection.
- 💬 The seven key questions to ask are:
  1. What happened?
  2. Where did it happen?
  3. How did it happen?
  4. When (what date/time) did it happen?

5. Why did it happen?
6. Who were the victims?
7. Who were the alleged perpetrators?

- Information received on child protection is sensitive and should be kept CONFIDENTIAL
- DO NOT INTERVIEW CHILDREN VICTIMS. Just note down the basic information and share this with the Child protection officers who are trained to work with children.
- DO NOT take pictures of children victims of violence or use these in reports. Child protection officers in the mission will share with you the protocol for information sharing on the ground, who to contact and how to contact them.

Remember you are a role model

- Sexual activity with children is strictly forbidden
- Do not exploit children for labour
- Remember you are an ambassador for the UN



Slide 49

- UN peacekeeping personnel are **role models**. The integrity of your actions affect the legitimacy of the whole peacekeeping operation. That is one reason, for example, that UN peacekeeping operations will not deploy military or police personnel under the age of 18 years.
- As a role model, all peacekeeping personnel must remember that:
- Sexual activity with children** (persons under the age of 18) **is prohibited for all UN peacekeeping personnel** (military, police and civilian). THIS IS WITHOUT EXCEPTION.

💬 **You may not exploit children for labour** either at the workplace or in your home.

💬 Prohibited employment for children includes:

- Work that is done all day by children under the age of 15
- Work that PREVENTS CHILDREN kids from going to school
- Work that is dangerous and may hurt kids physically, emotionally or mentally

Summary

**What Peacekeeping Personnel Can Do**

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- Be observant
- Consider best interests of children in planning activities
- Stay in contact and share information with Child Protection Advisors in your zone
- ALWAYS behave appropriately



**Slide 50**

## 🔑 Summary of key messages

👉 **Note to Instructor:** Outline the main points that have been covered during the session.

- Children have a right to special protection during conflict. This is set out in international human rights law and international humanitarian law.
- The Security Council has instructed UN peacekeeping operations to do a better job of protecting children from violence, abuse, exploitation, cruelty and neglect.
- Child protection is everyone's responsibility in the mission. You are the eyes of the Child Protection in the field from your respective perspective and activities: This means you should:
  - ☑ **Be observant**, pay extra attention to situations where groups of children are gathered and live in groups

## 78 ▪ Unit 3 – Part 1: Legal Framework and Peacekeeping Obligations

- ☑ Always **consider the best interest of children when planning an activity**
- ☑ **Stay in contact and share information with the Child Protection Advisor in your zone**
- ☑ **ALWAYS Behave appropriately**

## Unit 3 – Part 1 Learning Assessment

The following questions can be informally asked of the whole participant group at the end of the session or can be used in written form. At the conclusion of the training, instructors may want to again choose some of the following questions for review.

### International Law - Part 1a Questions

1. What are two reasons that peacekeepers must be aware of international humanitarian law and international human rights law?
2. Do civilians enjoy more protection than combatants during armed conflict?
3. Name four of the essential rules of international humanitarian law.
4. Name three groups of persons who are protected by international human rights law.
5. Name at least three examples of human rights protected under international law.

### Answers

1. Ensuring respect for these laws is part of the mandate of UN peacekeeping operations, and peacekeepers are bound by international humanitarian law and international human rights law.
2. Yes, civilians are entitled to more protection than combatants during armed conflict.
3. Any four of the following:
  - Civilian targets cannot be attacked.
  - Civilians and anyone no longer taking part in hostilities must be respected and treated humanely.
  - Anyone who surrenders or stops fighting (e.g. wounded) cannot be killed.
  - Torture is prohibited at all times and in all circumstances
  - Captured combatants must be respected and protected.
  - It is forbidden to use weapons or methods of warfare that are likely to cause excessive injury or unnecessary suffering.
  - Wounded and sick must be collected and cared for.
  - Medical personnel must be respected.

- The Red Cross and Red Crescent emblems are signs of protection and must be respected.
4. Any three of the following: Women, children, minorities, detainees, persons with disabilities, and refugees and internally displaced persons (IDPs).
  5. Any three of the following:
    - the right to life
    - the right to be free from torture
    - the right to be protected from discrimination
    - freedom of expression
    - the right to a fair trial
    - the right not to be held in slavery
    - the right to join a trade union
    - the right to education
    - the right to food
    - the right to housing
    - the right to medical care
    - the rights to social security and to work
    - the right to equal pay for equal work

## Human Rights Protection- Part 1b

### Questions

1. What is the difference between a human rights violation and a human rights abuse?
2. Why are the protection and promotion of human rights key elements of peace and security activities?
3. What should peacekeeping personnel do if human rights violations or abuses are identified?

### Answers

1. A human rights violation means that a human right has been violated by an action or an omission of an action by a State official agent (e.g. police, soldier, judge, local administrator, etc.) while they've been acting in their official capacity. A human rights abuse is a broader term that includes abuses of human rights by non-State actors such as rebel groups, corporations etc.

2. It is the UN position that development, security and human rights are mutually dependent on each other.

Bonus Answer: The former Secretary-General Kofi Annan phrased the reason very well: “We will not enjoy development without security, we will not enjoy security without development, and we will not enjoy either without respect for human rights”.

3. If violations or abuses are identified, peacekeeping personnel should:
  - Note the facts
  - Report the violation
  - Take action that is in keeping with the mandate, your function and the situation
  - Coordinate with the human rights component
  - Follow the situation

## Women, Peace and Security: The role of UN Peacekeeping Operations - Part 1c

### Questions

1. Why is it important to understand gender relations in peacekeeping?
2. Give two examples of how women and girls and men and boys are affected by conflict.
3. Why is it important for women to participate in peace building?
4. Name at least three activities that peacekeepers can undertake to promote gender equality.
5. Is sexual violence a concern of UN peacekeepers?

### Answers

1. It is important to understand gender relations in peacekeeping in order to know that women and girls and men and boys are affected differently by conflict. This allows peacekeepers to respond appropriately and not perpetuate discrimination and inequalities. Understanding these relations will enable peacekeepers to understand that often war and conflict brings about rapid social and cultural changes and changes in what women and men do and how they think.
2. Possible examples: Men usually participate in combat so they are killed or maimed, boys are usually forcefully recruited as child soldiers, women and

girls are abducted to serve as sexual slaves for combatants and are subjected to sexual violence. Women and girls are also forced to support combatants in a range of activities such as porters, cooks, messengers and other roles.

3. Women should participate in peace building because both women and men have a key role to play and their perspectives need to be represented. It is important for all women and men, girls and boys to contribute to peace building efforts and benefit from peace building and reconstruction efforts.
4. Peacekeepers should observe the different activities of women and men, where and when they carry them out, consider security issues for the different groups; they should investigate properly by talking to both women and men to get the full story and they should report accurately by making sure the reports reflect the realities for both women and men. They should also behave respectfully to the host population.
5. Yes. Sexual violence is a concern of UN peacekeepers because in some cases it is used as a weapon of war. UN Security Council 1820 links sexual violence as a tactic of war with the maintenance of international peace and security.

## Child Protection - Part 1d

### Questions

1. When you are in a UN peacekeeping operation, whom should you consider to be a child?
2. Children are protected from violence, abuse, exploitation and neglect under international human rights law. True or False?
3. Is the recruitment of children under the age of 15 into fighting forces legal or illegal under international humanitarian law?
4. Name at least three violations of child rights, which UN peacekeeping personnel should watch for and report on.
5. When are UN peacekeeping personnel allowed to have sexual relations with children?

### Answers

1. Anyone under the age of 18 years.
2. True.
3. Illegal. It is considered to be a war crime.
4. Any three of the following:

- a. Recruitment or use of child soldiers
  - b. Incidents of killing or maiming of children
  - c. Rape or sexual abuse against children
  - d. Abduction or kidnapping of children
  - e. Attacks against schools or hospitals
  - f. Denial to humanitarian access for children – such as refusing access to food, water , urgent medical intervention ...
5. Never. This is strictly prohibited for all peacekeeping personnel in all circumstances.

### Common Questions from Participants

Possible Questions	Possible Responses
1. Is the International Criminal Court (ICC) part of the United Nations?	No. The International Criminal Court is an independent international organization and it is not part of the United Nations system. Its seat is at The Hague in the Netherlands. Although the Court's expenses are funded primarily by States Parties to the Rome Statute, it also receives voluntary contributions from governments, international organisations, individuals, corporations and other entities.
2. How is the ICC different from the international criminal tribunals set up for Rwanda and the former Yugoslavia?	The International Criminal Court is the product of a multilateral treaty, whereas the Tribunals for the former Yugoslavia and Rwanda were created by the United Nations Security Council. These tribunals were created in response to specific situations and will be in existence for a limited time period.
3. What is the difference between the ICC and the International Court of Justice?	The International Court of Justice (ICJ) does not have criminal jurisdiction to prosecute individuals. It is a civil tribunal that deals primarily with disputes between States. The ICJ is the principle judicial organ of the United Nations, whereas the ICC is independent of the UN.
4. What is the difference between the ICC and the International Court of Justice?	The International Court of Justice (ICJ) does not have criminal jurisdiction to prosecute individuals. It is a civil tribunal that deals primarily with disputes between States. The ICJ is the principle judicial organ of the United Nations, whereas the ICC is independent of the UN.
5. Does gender equality mean that women and men are the same?	<p>Gender equality means equal rights, responsibilities and opportunities of women and men, girls and boys.</p> <p>Gender equality does not mean that women and men will become the same.</p> <p>Gender equality means that women and men have the same opportunities: Their rights, roles and responsibilities do not depend on</p>

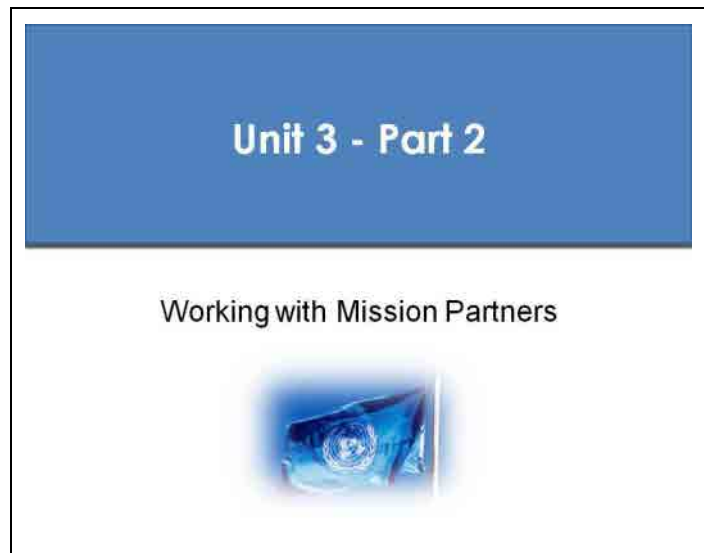
	whether they were born male or female.
6. Is gender mainstreaming the same as gender balance?	Gender mainstreaming means ensuring that in all areas of our work and all planned action including laws, policies and programmes we take into account the different experiences, concerns, needs, and priorities of women, men, girls and boys. Women, men, girls and boys should benefit equally from all development. Gender balance refers to the equal representation of women and men at all levels of employment. This means that in our recruitment we must have equal number of women and men employees' i.e. 50/50 where possible. It is one of the ways to mainstream gender.
7. Can men be gender experts?	Yes, men too can be gender experts and are being encouraged to work in peace keeping operations as gender officers. A few are already working in this field but more are needed.
8. All women are vulnerable?	No, women are only vulnerable in certain circumstances. But their vulnerability increases during conflict, when they are fleeing from conflict and when they are in refugee or internally displaced camps.
9. Doesn't culture oppose gender?	No, culture changes. Gender roles also change, especially after conflict.
10. Are quotas unfair to men?	Quotas are temporary measures to bridge historical gaps between women and men, girls and boys. In many countries women are excluded from decision-making positions, and quotas are used as measures to promote equitable representation.
11. Why does gender focus only on women?	Gender encompasses both sexes and refers to the particular roles and relationships, behaviors and values that society ascribes to men and women. Women though still face discrimination and disadvantages compared to men. This justifies particular attention to the situation of women and girls when being gender responsive. However, addressing particular needs of men and boys is also part of addressing gender in peacekeeping.

<p>12. Why does women, peace and security matter to the military or police?</p>	<p>Understanding issues of women, peace and security means acknowledging and responding to the different security needs of women. People have different security needs due to their gender, ethnicity, age etc. For example while women may face a higher risk of domestic violence, men may face a higher risk of gun violence.</p>
<p>13. Is the recruitment of anyone under 18 into armed forces a human rights violation or a war crime?</p>	<p>According to both IHL and international human rights law, the forced recruitment of anyone under 18 and their participation in hostilities is strictly forbidden. This has been prosecuted as a war crime. Under human rights law, countries are permitted to allow children between the ages of 15 and 18 to voluntarily join the armed forces of a State. If 15-18 years old are forced to join armed forces or other armed groups that are separate from the State's armed forces, then this may be considered a violation of their human rights.</p>

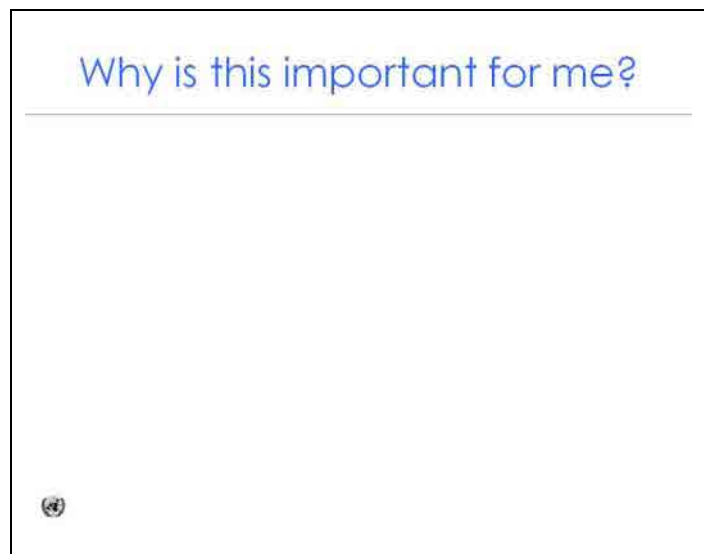
## UNIT 3 – PART 2: WORKING WITH MISSION PARTNERS

### Session Notes

### Introduction



Slide 1



Slide 2

### Why is this important for me?

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As peacekeeping personnel you are expected to...

- Work in an integrated manner with the UN Country Team
- Work with national partners – the key stakeholders
- Understand and support the work of humanitarian actors in the area




Slide 3

### Learning Outcomes


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On completion of Unit 3 – Part 2, participants will be able to:

1. Explain the benefits of an integrated approach between a peacekeeping operation and UN Country Team
2. Explain why national actors are key partners for UN peacekeeping operations
3. Define humanitarian assistance
4. Name the primary humanitarian coordination function/structure that exists in UN peacekeeping operations



Slide 4

 **Note to Instructor:** Review the importance of the session and the intended learning outcomes for Part 2 (as shown in the slide above) with participants. By the end of the session, the participants will be able to answer each of the above points.

## Mission Partners

**Mission Partners**

- United Nations Country Team
- National Partners
- Regional and International Partners



Slide 5

👉 *The success of the peacekeeping mission depends not only on its peacekeeping personnel, but on effective working relationships with other actors working in the country.*

*These actors fall within three broad categories: **the United Nations Country Team, national partners and the regional and international partners.** In this session we will discuss each of these areas.*









## Benefits of cooperation with the UN Country Team

**United Nations Country Team**

			
Food and Agriculture Organization (FAO)	United Nations Development Programme (UNDP)	United Nations Children's Fund (UNICEF)	World Food Program (WFP)
			
United Nations High Commissioner for Refugees (UNHCR)	United Nations Development Fund for Women (UNIFEM)	United Nations Office of the High Commissioner Human Rights (OHCHR)	

Does not include all agencies that may be present

Slide 6


-  The United Nations Country Team (UNCT) is made up of all the United Nations agencies, funds and programmes who operate in that particular country.
-  This slide shows some of the UN agencies most commonly found in the countries where UN peacekeeping operations exist. This list is not exhaustive.
-  In the induction training in mission there will be more information about which agencies are working with that peacekeeping operation.
-  Some of these organizations, such as the **World Food Programme (WFP)** are involved primarily with providing humanitarian assistance. They tend to have larger offices or programmes during the stabilization phase of a peacekeeping operation.
-  Others organizations, such as the **Food and Agricultural Organization (FAO)**, are more involved in long-term development assistance and may only appear in the country as a peacekeeping operation is ready to transition or withdraw.
-  And yet other organizations, such as the **United Nations Children's Fund (UNICEF)** and the **United Nations Development Programme (UNDP)** are involved in both conflict prevention and recovery issues immediately after the conflict as well as development issues, adjusting their programmes as the situation evolves. They tend to be present before, during and after the existence of a UN peacekeeping operation and are also key partners for the peacekeeping operation's exit strategy.
-  International financial institutions like the **World Bank** and the **International Monetary Fund (IMF)** which are part of the wider UN family may also be full members of the UN Country Team (e.g. in Liberia) although sometimes they may operate more independently of the UNCT and the peacekeeping mission. Either way, these financial institutions play an extremely important role in the development and economic recovery of post-conflict countries. Therefore, the UN SRSG, D/SRSG, and other key UN personnel coordinate closely with them in all cases.
-  The UN's engagement in countries emerging from conflict rarely begins with the deployment of a peacekeeping mission. In most cases, many of the UN partner agencies listed above will be operating on the ground long before the deployment of a UN peacekeeping mission. Many of those partners will stay long after the mission leaves. War generally arises because of a lack of

human needs and respect for human rights, and these root causes can only be addressed with the help of the UN Country Team.

**UN Country Team:  
A Valuable Resource to PKOs**

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- A source of knowledge on host country & conflict
- Assists in identifying and building relationships with key national partners
- Ensures peace-building activities are carried over into development phase
- A source of financial resources and expertise in programming



**Slide 7**

🗨️ The UN Country Team provides a valuable resource to any peacekeeping operation because it:

- Is a **source of** extensive **knowledge about the host country and the conflict** situation, particularly for those agencies present prior to the arrival of the peacekeeping operation;
- Can help **identify and build relationships with key national partners** (national and local authorities as well as with local civil society groups);
- Create mechanisms to **ensure that peace-building activities** introduced during the stabilization or humanitarian phases **are carried over into the development phase** when the peacekeeping operation withdraws;
- Has **financial resources and expertise** in programming, which peacekeeping operations often do not.

👉 **Note to instructor:** *For courses with civilians, staff officers, or senior officers from contingents or FPU, you may want to indicate that UN peacekeeping operations often have a very significant overall budget, however, their budgets generally do not include money for capacity-building or reconstruction projects. Peacekeeping operation budgets may include money for Quick Impact Projects (QIPs) designed for short-term projects, such as rebuilding of schools or roads or other activities which generate support for the mission and build confidence in the peace process. The money for QIPs is significantly less than*

*the financial resources that the UNCT has available for longer term humanitarian assistance or development cooperation. See the Commonly Asked Questions for more information on funding arrangements, and consult the DPKO/DFS Policy Directive on Quick Impact Projects (QIPs) or the DPKO/DFS Guidelines on Joint Operational Initiatives: UN Peacekeeping Operations and the World Bank for more information.*

## The “Integrated Approach” and Multi-dimensional Peacekeeping Operations

### An Integrated Approach

- UNPKO and UNCT work towards same strategic vision
- UNCT Agencies have:
  - Different mandates & decision-making structures and funding arrangements
  - Different time frames and associated roles & perspectives



Slide 8

- 💬 In multi-dimensional UN peacekeeping operations, where the mandate has strong linkages with the objectives and programmes of UN agencies, the United Nations has adopted an “integrated approach” for all parts of the UN system that are active in that country.
- 💬 This means the **UN peacekeeping operation and the UN Country Team are all working towards the same strategic vision**. They engage in joint planning and, depending on the context, they are likely to have joint projects in key areas. There may also be regional UN offices outside the capital where mission and UNCT personnel share the same facilities.
- 💬 While this may appear obvious, integration presents a number of challenges. UN partner agencies are governed by **mandates, decision-making structures, and funding arrangements** that are different from those of the peacekeeping mission.








- 💬 For example, peacekeeping missions are ultimately accountable to the Security Council, whereas other UN agencies are accountable to the host nation, donors and other UN governance structures outside of the Security Council.
- 💬 Furthermore, **time frames** for operations are different. Humanitarian actors tend to focus on the immediate term; peacekeepers operate on a political timetable, and development agencies look toward longer-term sustainability in their activities.
- 💬 The UN Country Team is also made up of purely civilian agencies and programmes, whereas peacekeeping operations are made up of military, police and civilian components. As a result, there are differences in institutional cultures and management styles.
- 💬 Therefore, these agencies can have vastly **different roles and perspectives**. It can seem at times that the peacekeeping mission and UN partner agencies are working at opposing purposes, each following its own mandate and principles to the extent that there are competing objectives.
- 💬 This inevitably can cause disagreement, so it is important to keep in mind that all objectives can and should ultimately contribute to the overall goal of improving the lives of the host population.
- 👉 **Note to instructor:** *The commonly asked questions at the end of this section include responses to potential questions on funding arrangements of the UNCT, humanitarian assistance and/or peacekeeping operations.*


### Effective Strategic Partnership

- Doesn't necessarily mean physically working together or locating in the same building
- Can decide case-by-case on integration of individual tasks/activities
- Important for all peacekeeping personnel to:
  - share information with UN Country Team partners
  - ensure activities are coordinated to achieve maximum impact for the local population



**Slide 9**

-  Achieving a coherent and mutually supportive approach does not necessarily mean that the peacekeeping operation and the UN Country Team must be **physically working together or located in the same building**.
-  Instead, what is required is an effective strategic partnership between the peacekeeping operation and the UN Country Team. This partnership is under the leadership of the SRSG.
-  This partnership should be based on a shared vision among all UN actors as to the strategic objectives of the UN presence at the country-level. The vision should be based on a shared understanding of the operating environment. This means that planning should always be on the basis of an integrated approach.
-  Whether or not **individual activities or tasks** required to achieve the strategic objectives must be carried out in an integrated manner depends on whether or not it will add real value and improve the impact of the United Nations engagement. This is **decided on a case by case basis**, depending on the particular situation, the mandate and the resources and capabilities of the particular mission and UN Country Team on the ground (see examples listed below).
-  Consequently, some, but not all multi-dimensional peacekeeping operations may be structurally integrated with the Deputy SRSG of the mission also carrying out the function of the Resident Coordinator of the UN Country Team. The Deputy SRSG may also carry out the function of the Humanitarian Coordinator within the humanitarian community.
-  This means he or she carries the title of DSRSG/RC/HC and is also part of the Mission Leadership Team – the senior level decision-making forum of the peacekeeping operation.
-  Regardless of whether your peacekeeping operation is formally considered an “integrated mission” or not, it **is important for all peacekeeping personnel to share information with their UN Country Team partners and ensure that their activities are appropriately coordinated to ensure the maximum impact for the local population**.

 **Examples:** UN support to elections is a common task where peacekeeping operations and UNCTs work in an integrated manner, regardless of whether the mission is formally an integrated mission or not. Both in **Afghanistan** and **East Timor**, the United Nations created “integrated electoral teams” in which mission personnel from electoral affairs sections and logistics units and others

worked in the same team as personnel from UN agencies such as UNDP. The aim of these integrated teams was to present a united front to the national stakeholders as well as donors and to avoid the perception that the UN is divided and in competition with itself.

DDR is another task in which the UN commonly uses an integrated approach. In **UNMIS**, for the first time an integrated DDR unit was created combining mission personnel and UNDP and UNICEF staff and who were physically located in the same office.

In Nepal, during the start up phase of the **United Nations Mission in Nepal (UNMIN)**, a special political mission that was not formally considered to be an “integrated” mission, UNDP started registering combatants for the DDR process because mission personnel were not yet fully deployed. As mission personnel deployed UNDP handed over those tasks to the UNMIN arms monitors but UNMIN and the UN Country Team continued to cooperate closely to ensure that efforts of both complemented each other and the UN spoke with one voice in Nepal.

The **United Nations Mission in Liberia (UNMIL)**, which is an integrated mission, illustrates some best practices of how integration works in practice. UNMIL’s work to support local authorities is derived from UN Security Council Resolution 1509 which mandates the mission among other things to re-establish national authority throughout the country, including a functioning administrative structure at both the national and local levels.

In order to maximize the impact of the peacekeeping operation and the UN Country Team across the country, Country Support Teams (CSTs) made up of all UN actors present in the county were established in each of the 15 counties in 2006. The CST mechanism is a joint-UN initiative, aimed at building the capacity of local government to increasingly assume responsibility at the county level. In addition to being a mechanism for joint UN work, the CST also has (UNDP managed) project funds directly attached to it.

The Country Support Teams are a mechanism for coordination and information sharing with the county authorities and between all UN actors. The CST initiative also has a project element which covers:

- Rehabilitating / constructing county administrative buildings, providing vehicles and office and communications equipment;

- Developing the capacity of county officials through training, including training jointly organised with the Liberian Institute of Public Administration (LIPA);
- Strengthening information management capacity in the counties (through the development of County Information Packs, Information Management Offices and other tools).

At the national level, the work of all Country Support Teams is managed by a Joint Steering Committee which is co-chaired by the DSRSG/RC/HC and the Minister for Internal Affairs.



**Note to Instructor:** Instructors who would like more information on this example can download the joint UNDP-DPKO study on local governance in Liberia entitled “The example of ‘County Support Teams’ as an integrated mission approach at the local level in Liberia”, (November 2007) from <http://peacekeepingresourcehub.unlb.org>

## National Partners

### National Partners

- Host government is most important non-UN actor with whom a PKO collaborates – has most at stake
- Keep in contact with:
  - other political parties and factions
  - religious leaders, women and student associations, academics, professional organizations, and the many other parts of the national civil society
- Potential partnerships must consider impartiality, representation, inclusiveness & gender issues

Slide 10

- As challenging as it might be for the different parts of the UN to work together, many mission personnel will have to spend even more time working with non-UN actors.
- While coordination within the peacekeeping mission and integration with other UN agencies is necessary to the success of a mission, it is not enough. Efforts must be aimed at ensuring that the host government (on both a national and local level) can better meet the needs of its people.

- 💬 **The host government is by far the most important non-UN actor** with whom a peacekeeping mission collaborates. It has **the most at stake**.
- 💬 The interaction between the UN peacekeeping mission and the host government occurs on many levels from high-level political discussions between the SRSG and the President or Prime Minister, to the frequent interaction between mission support personnel and their national counterparts to obtain and secure UN offices, or to facilitate logistics support to the mission components.
- 💬 In multi-dimensional peacekeeping operations, substantive personnel generally work with and through national governmental authorities to organize elections, conduct de-mining, or develop programs for the disarmament, demobilization, and reintegration of ex-combatants. This is in keeping with the UN peacekeeping principle of consent.
- 💬 The UN mission's interaction with the host population is not solely conducted through the national government. Direct and **constant contact is often essential with political parties and even faction leaders**.
- 💬 Regular dialogue is maintained with **religious leaders, women and student associations, academics, professional organizations, and the many other parts of the national civil society**, which are central to the rebuilding of their country. It is through these contacts that mission personnel can get to understand the society in which they are working, and support them to help ensure the sustainability of the peace. Dialogue with civil society groups and different political parties is an important element of maintaining impartiality and ensuring national ownership in order to solidify the peace process.
- 💬 As explained in Unit 1, **partnerships** with national actors should be agreed upon with due regard to **impartiality, wide representation, inclusiveness, and gender considerations**. Missions must recognize that there are wide varieties of political views and social groups within the host country that should be taken into account. All opinions and views need to be understood, ensuring that ownership and participation are not limited to small elite groups.

## International and Regional Non-UN Partners



Slide 11

- In addition to national civil society actors, **international non-governmental organizations (NGOs)** also form part of “civil society” and work with UN peacekeeping operations. OXFAM, Save the Children and Concern are just three examples among many.
- At times, peacekeeping missions work directly with many of these groups through funding agencies as implementing partners for Quick Impact Projects (QIPs), which can take the form of small infrastructure rehabilitation projects or short-term employment activities.
- Peacekeeping missions also provide transport for NGO workers in many countries. The UN OCHA and/or UNDP offices should be able to provide more information about which organizations are working in the country, what projects they are supporting, and where they are intervening. Many NGOs will have been operating in the country for much longer than the UN and know the territory well. Solicit their local knowledge and practice humility in order to avoid friction.
- The 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 agency staff must allocate time and attention to the diplomatic community to retain their confidence and support. Furthermore, many of these countries also are providing technical and financial assistance directly to the national authorities. They are doing this either through their embassies or national development agencies, such as

the British Department for International Development (DFID), Japan International Cooperation Agency (JICA), or USAID based in the United States. Close coordination is essential to prevent duplication of effort or misunderstandings.

- There may be **other regional or international political/military actors** working in the host country, including regional bodies such as 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**), and others, with whom the peacekeeping mission will cooperate.

**e.g. Example of partnership between the UN and national and international partners:** The United Nations collaborated with the Haitian and Canadian governments on the restoration of Haiti's police infrastructure in the Southern Province. As a result of the project, 14 police stations were refurbished, 24 cars and 22 motorcycles were delivered. Work equipment was distributed among 21 police stations, including computers, chairs, printers, radios and investigation kits. The project 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) and was carried out by a partnership between the Haitian Police Force, UNDP, the **United Nations Mission for the Stabilization in Haiti (MINUSTAH)** and the United Nations Office for Project Services (UNOPS). UNDP and UNOPS were able to provide MINUSTAH, and specifically the police component, with expertise in project management, fundraising and expenditure of donor funds, that it did not have. Because MINUSTAH has UN Police working directly with the Haitian National Police in their stations, they were able to provide technical advice on how best to spend the donor funds to have the maximum impact.

## Collaboration with the Humanitarian Community

Slide 12

### What Are Humanitarian Activities?

- Independent activities aimed at saving lives, protecting human dignity and alleviating suffering.
- Using the principles of:
  - Humanity
  - Neutrality
  - Impartiality



**Note to Instructor:** Particularly for courses involving staff officers or senior level military or police personnel, instructors may wish to supplement this information with additional guidance on civil-military relations in complex emergencies contained in the *Inter-Agency Standing Committee (IASC) Guidelines and References for Complex Emergencies*, January 2009, available at: <http://www.humanitarianinfo.org/iasc/> (and click on the link “Products”).

As you have seen in Unit 2, the Security Council mandates many UN peacekeeping operations to facilitate the “safe provision humanitarian assistance” or to “humanitarian access”. It is important to note that the Security Council generally does not mandate UN peacekeeping operations to deliver humanitarian assistance directly, because this is best done by impartial and neutral humanitarian actors who are independent of the mission.

In order to understand the humanitarian element of a UN peacekeeping mandate, all peacekeeping personnel must understand what the United Nations considers as humanitarian activities. Humanitarian activities are **activities that aim to save lives, protect human dignity and alleviate suffering of the local civilian population**. Humanitarian activities involve two main kinds of work:

- Assistance: the provision of supplies or services which allow the civilian population to access the minimum requirements to sustain their lives

with dignity, for example access to water and sanitation facilities, provision of food, provision of supplies for health services or education.

- **Protection:** ensuring respect for basic rights of suffering populations. For example, by lobbying governments and armed groups to do more to protect civilians or helping local communities to organize themselves to reduce violence against civilians.

💬 At first glance, these may seem the same as, or overlap with development activities or peacebuilding activities. However, there are some key characteristics which define whether an activity is humanitarian or not.

💬 Humanitarian activities are aimed at alleviating suffering of civilian populations and is delivered according to three basic principles:

- **Humanity:** The sole purpose of humanitarian activities is to prevent and alleviate human suffering wherever it is found.
- **Neutrality:** Humanitarian assistance is provided without taking sides in hostilities or engaging in controversies of a political, religious or ideological nature.
- **Impartiality:** Humanitarian assistance is provided without discriminating as to ethnic origin, gender, nationality, political opinion, race or religion. Relief is guided solely by needs and priority is given to the most urgent cases of distress.

💬 These three principles mean that humanitarian activities are apolitical (meaning there is no political dimension or aspect because they are neutral, impartial and focus on the most pressing needs). They are therefore separate and distinct from the UN's peacemaking, peacekeeping or peacebuilding activities which are politically motivated actions aimed at ending conflict with the authority and legitimacy of the UN Security Council.

👉 **Note to Instructor:** *The humanitarian definition of impartiality, and its combination with the principle of neutrality, results in a different approach than the UN peacekeeping principle of impartiality as explained in Unit 1. The UN peacekeeping principle of impartiality means peacekeeping operations do not show favour or prejudice to any one side, but they may have to take action against a spoiler or party that is blocking the peace process. Humanitarians focus solely on providing assistance where it is needed and avoid playing that kind of role of a “referee” or engaging in controversies.*



Slide 13

- Humanitarian activities are civilian activities and should be supported by military only in extreme circumstances. This perspective stems from their humanitarian principles of neutrality and impartiality. Some humanitarian actors are concerned that too close an association to military will jeopardize those principles. Some humanitarian actors feel that those principles may even be jeopardized by an association with the UN as a whole.
- Therefore, when working with humanitarians it is important to recognize their independence, respect their principles and be sensitive to their approach in remaining neutral and impartial. For this reason, when peacekeeping operations undertake “Quick Impact Projects”, which are community support projects and other activities meant to win the “hearts and minds” of the local population, these are not considered to be humanitarian assistance.
- UN peacekeeping operations**, therefore, are generally not humanitarian actors themselves – although they may **provide a secure and stable environment** which allows other humanitarian actors to carry out activities. That distinction will be explained clearly in the mandate.
- Note to Instructor:** *Instructors should remind participants of the exercise in Unit 2 where they examined the language related to humanitarian assistance. In virtually all cases, the mission is tasked with “facilitating” humanitarian assistance or access, and not “providing”. This is why it is important for peacekeeping personnel to understand who actually delivers humanitarian assistance, because those are the groups for whom the mission should be facilitating access.*

**Note to Instructor:** The slide graphically illustrates that if the host country has the capacity to initiate, coordinate and deliver humanitarian assistance, they are the one who should do so. The slide also illustrates that if the host country does not have the capacity, international and national humanitarian actors will take these roles on. Note that the UN PKO's role is to provide a secure environment.

- The primary responsibility for meeting the needs of the civilian population lies with the host country.** It has the primary responsibility to initiate, coordinate and deliver humanitarian assistance within its territory. Local community-based organizations and private individuals may respond at the same time. The majority of all humanitarian assistance – and certainly the fastest response – is provided locally.
- Where local capacities are overwhelmed **a variety of international or national humanitarian actors may become involved.** Some of these belong to the United Nations, some are independent, some are non-governmental organizations or some of these represent regional organizations. Each humanitarian agency has its own mandate and is highly autonomous.
- One important actor is the International Committee of the Red Cross (ICRC) whose mandate to protect and assist victims of armed conflict is specified in international humanitarian law and recognised by all States. It is a neutral, independent, impartial humanitarian actor, neither a part of the UN nor an NGO. The ICRC is part of the International Red Cross and Red Crescent Movement, together with National Red Cross and Red Crescent Societies, and the Federation of Red Cross and Red Crescent Societies.

### How Do Humanitarian Agencies Do Their Work?

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1. Support to the Host State
2. Direct Implementation
3. Contracting Services
4. Programme Aid




Slide 14

There are three main ways of delivering humanitarian services:


1. **Support to the Host State** - technical assistance to a Government agency in order to support and strengthen government service structures. For example, the provision of funding and secondment of an international technical adviser to a Ministry of Health to run local health clinics.
2. **Direct Implementation** – meaning delivery of supplies or services by the agency itself. This is often undertaken by international humanitarian agencies which maintain a strongly independent approach such as the ICRC or Médecins Sans Frontières.
3. **Contracting Services** - provided or distributed by other (usually local agencies). For example, UNICEF may provide funds to a local NGO to provide nutrition and healthcare for a certain number of children in a particular community.
4. **Programme Aid** - the provision of direct funding for a particular humanitarian assistance programme.

The approach used will depend on the humanitarian agency and the situation. Many UN agencies prefer to work directly through the host government or use partners such as non-governmental organizations (NGOs) or private contractors. But they may also deliver services directly if no partners are available, for instance in highly remote or insecure areas.





 **Note to Instructor:** For more information on humanitarian activities, humanitarian actors and their approaches in specific countries (including appeals for funding), go to [www.reliefweb.org](http://www.reliefweb.org). This is a website for humanitarian actors run by the Office for the Coordination of Humanitarian Affairs (OCHA).




### How Do PKOs Coordinate with Humanitarian Actors?


1. Through the Humanitarian Coordination System
2. Through OCHA Field Offices
3. By participating in clusters




**Slide 15**

-  There is no command and control system among humanitarian actors. Humanitarian action is coordinated – meaning that decisions are based upon consent and made through consensus-building. UN Peacekeeping operations must also fit in with this approach and coordinate with humanitarian actors.
-  The exact coordination structures will vary from country to country. However, there are certain basic concepts which underpin humanitarian coordination.
-  First, the host government has the right and responsibility to coordinate humanitarian assistance because they have the primary responsibility to provide humanitarian assistance to their people. This can mean that the Government sets up a Ministry or working group at the central government level to coordinate humanitarian activities, or it may mean that Government officials at regional levels are given formal authority to coordinate activities or participate in coordination meetings with humanitarian actors.
-  The UN complements the government's coordination of humanitarian activities with 3 mechanisms to ensure that UN humanitarian agencies and humanitarian actors who work with the UN are working effectively together and with the government.

-  At the start of a major emergency, a **UN Humanitarian Coordinator** (HC) for that country is appointed. Usually that person is the Resident Coordinator (RC) of the UN Country Team. In “integrated” peacekeeping missions, to ensure effective coordination and integration of efforts, this means that there is a Deputy SRSG who is also the Resident Coordinator and Humanitarian Coordinator at the same time.
-  A second coordination mechanism which the UN often employs at the same time that it appoints a Humanitarian Coordinator, is the establishment of a field presence of the UN Office for Coordination of Humanitarian Affairs (OCHA). The **OCHA field office** supports the work of the Humanitarian Coordinator and may also include UN Civil Military Coordination Officers to strengthen relationships between the humanitarian community and the military component of a peacekeeping mission and/or other military forces in the country. The military component of the peacekeeping mission may also have a civil-military coordination officer among its staff officers at the mission HQ.
-  Third, the UN often also sets up “**clusters**” (working groups) of all humanitarian agencies including UN, government and NGO agencies, who are working in a particular sector. Depending on the emergency, there will be clusters covering sectors such as education, health, logistics, protection, shelter, telecommunications, water and sanitation etc. Depending on the mandate of the mission and various components, peacekeeping personnel may participate in cluster meetings to make sure that their work is coordinated properly with the work of humanitarian actors in that field.

 **Example:** In Liberia as part of the 2004-05 Results Focused Transitional Framework, the Government decided that all international assistance, including humanitarian assistance, would be coordinated by the Ministry of Planning and Economic Affairs. There were ten Working Clusters set up each of which was led by a Minister, and UN humanitarian agencies as well as peacekeeping personnel participated in meetings of the Working Clusters.

 **Example:** In East Timor, the Government designated the Ministry of Labour and Solidarity as having the primary role coordinating humanitarian assistance to internally displaced persons after the violence in the capital city (Dili) in April-May 2006. Clusters were set up for protection, shelter, health, and food distribution, among others. Some clusters were chaired by government officials and some by UN humanitarian agencies. The protection cluster was jointly chaired by the Ministry of Labour and Solidarity and UNHCR, with human rights officers and UN Police from the mission participating in the

meetings, as well as CIMIC liaison officers from the Australian military that was operating outside of the UN mission.

## What Peacekeeping Personnel Can Do

**What Peacekeeping Personnel Can Do**

- ☐ Respect humanitarian principles of humanity, neutrality and impartiality & understand that these guide the work of humanitarian actors
- ☐ Don't confuse mission's Quick Impact Projects with humanitarian assistance
- ☐ Remember - HA is generally a civilian activity
- ☐ Get guidance on coordination mechanisms in the country
- ☐ Share information transparently & professionally

Slide 16

🗨 All peacekeeping personnel, particularly in peacekeeping missions with a mandate to support or facilitate humanitarian assistance, should:

- ☑ **Respect the humanitarian principles of humanity, neutrality and impartiality and the fact that these guide the work of humanitarian actors**
- ☑ **Do not refer to the mission's Quick Impact Projects as humanitarian assistance**, in order to prevent confusion about mixing humanitarian principles with the UN peacekeeping principles of impartiality and consent
- ☑ **Remember that humanitarian assistance is primarily a civilian activity**, and that the role of military is to provide a secure environment for humanitarian assistance to be delivered, but not to deliver that humanitarian assistance directly
- ☑ Find out from the mission's relevant civil-military coordination specialists, the UN Humanitarian Coordinator's Office and/or OCHA for **guidance on the coordination mechanisms used in that country** for their mission, and **share appropriate information transparently and professionally**



**Handout:** Instructors may wish to provide the Peacekeeping Practice Note (PPN) “An Introduction to the humanitarian coordination system for UN Peacekeepers” as a handout, particularly for courses made up of civilians, or higher level military and police officers. The PPN can be downloaded from [www.peacekeepingresourceshub.org](http://www.peacekeepingresourceshub.org).



## Summary of key messages



**Note to Instructor:** Complete the session by highlighting the following key points:

- The United Nations Country Team is a valuable resource for UN peacekeeping operations because they have knowledge, expertise and resources and can establish mechanisms to allow for a smooth handover of peace-building activities when the mission withdraws.
- Multi-dimensional peacekeeping operations should always establish an effective strategic partnership, under the leadership of the SRSG, with the UN Country Team based on a shared vision and understanding of the operating environment.
- Outside the UN, the host government and national civil society are the most important partners for UN peacekeeping operations.
- UN peacekeeping operations must also establish constructive working relationships with international civil society, the diplomatic community, regional and/or financial organizations, such as the African Union or the World Bank.
- UN peacekeeping operations should coordinate with humanitarian actors. At the highest level, UN peacekeeping operations should work with the UN Humanitarian Coordinator, who may also be the Resident Coordinator and Deputy SRSG.
- Humanitarian assistance is provided according to the principles of humanity, neutrality and impartiality.
- UN peacekeeping operations generally do not provide humanitarian assistance directly. However, they may play a crucial role in creating a secure and stable environment for civilian humanitarian actors to provide assistance safely.

## Unit 3 – Part 2 Learning Assessment

The following questions can be informally asked of the whole participant group at the end of the session or can be used in written form. At the conclusion of the training, instructors may want to again choose some of the following questions for review.

### Questions

1. Is the UN Country Team usually already present in a country when a peacekeeping operation starts up?
2. Name at least two reasons why the UN Country Team is a valuable resource for a UN peacekeeping operation.
3. Name the most important partner outside the United Nations for UN peacekeeping operations.

### Answers

1. Yes.
2. Any two of the following reasons:
  - The UNCT is a source of extensive knowledge about the host country and the conflict situation, particularly for those agencies present prior to the arrival of the peacekeeping operation;
  - The UNCT can help identify and build relationships with key national partners (national and local authorities as well as with local civil society groups);
  - The UNCT creates mechanisms to ensure that peace-building activities introduced during the stabilization or humanitarian phases are carried over into the development phase when the peacekeeping operation withdraws;
  - The UNCT has financial resources and expertise in programming, which peacekeeping operations often do not.
3. National actors (national government and national civil society).

**Note:** these questions and answers are also at the end of the PowerPoint Presentation

## Common Questions from Participants

Possible Questions	Possible Responses
1. What is the difference between a mission component and a mission partner?	A mission component refers to an office, unit or section within the mission that reports to the Head of Mission. A mission partner refers to organizations or institutions that are external to the peacekeeping mission offices, sections or units. These can be UN partners, like the UN agencies, funds and programmes, or national partners, like the government or local NGOs etc.
2. How are United Nations peacekeeping operations funded?	All Member States share the costs of United Nations peacekeeping operations. Member States provide “assessed contributions” to the United Nations to cover the costs of UN peacekeeping operations. The General Assembly decides on the scale of assessments applicable to peacekeeping. This scale takes into account the relative economic wealth of Member States, with the permanent members of the Security Council required to pay a larger share because of their special responsibility for the maintenance of international peace and security. For more information on this issue, go to: <a href="http://www.un.org/Depts/dpko/dpko/contributors/financing.html">http://www.un.org/Depts/dpko/dpko/contributors/financing.html</a> .
3. How are the UN peacekeeping, humanitarian and development budget cycles different?	UN peacekeeping operations are funded by the General Assembly, which seeks “assessed contributions” from all Member States. This budget cycle works on a one year basis (see <a href="http://www.un.org/Depts/dpko/dpko/contributors/financing.html">http://www.un.org/Depts/dpko/dpko/contributors/financing.html</a> for more information).  The main mechanism by which the humanitarian community (both UN and non-

	<p>UN humanitarian actors) seeks funds is the “Consolidated Appeals Process” or CAP, which generally also works on a one year cycle. It is a tool used by aid organisations to plan, implement and monitor their activities together and produce funding appeals, which they present to the international community and donors (see <a href="http://ochaonline.un.org/humanitarianappeal">http://ochaonline.un.org/humanitarianappeal</a> for more information).</p> <p>The UN Country Team uses the UN Development Assistance Framework (UNDAF) as a similar tool to plan, implement and monitor the UNCT's development activities, and raise funds from the international community. The UNDAF generally works on four year cycles and takes a longer term approach. (See <a href="http://www.undg.org">www.undg.org</a> for more information).</p>
<p>4. What is the difference between a human rights officer and a humanitarian affairs officer?</p>	<p>A UN human rights officer works to promote and protect human rights in accordance with international human rights law outlined in Unit 3 Part 1. She or he will therefore deal with the human rights of all persons.</p> <p>A humanitarian affairs officer, when part of a UN peacekeeping operation, generally works to support the Humanitarian Coordinator and acts as a liaison between the humanitarian community and the peacekeeping operation to ensure that humanitarian assistance is provided in accordance with international humanitarian law and humanitarian principles. Humanitarian affairs officers work to ensure the rights of civilians, non-combatants, prisoners of war and all categories of persons protected by international humanitarian law.</p>

5. What is the difference between the humanitarian principle of impartiality and the principle of neutrality? Is that different than the fundamental principle of impartiality in peacekeeping in Unit 1?

The humanitarian principle of neutrality means that humanitarian assistance is provided to those persons in need without considering whether the political views of that group, their political leaders or government are considered to be “right” or “wrong” in any way. The humanitarian principle of impartiality means that humanitarian assistance should be equally accessible to all who need it, regardless of their ethnic origin, gender, nationality, political opinion, race or religion. The peacekeeping principle of impartiality is slightly different because it aims to keep the peace process moving forward by ensuring that the UN does not show bias or prejudice to any one party. However, where parties or spoilers may be blocking the peace process, the peacekeeping principle of impartiality allows the UN to respond through diplomatic or other action. The UN thereby takes a stand as to what actions are considered to be legitimate in moving the peace process forward.

# UNIT 4: STANDARDS, VALUES AND SAFETY OF UN PEACEKEEPING PERSONNEL

## Table of Contents

<b>Unit 4 - Part 1: Conduct and Discipline .....</b>	<b>1</b>
Preparatory Notes for Instructors.....	1
Unit 4 – Part 1a: Introduction to Conduct and Discipline.....	7
Session Notes.....	7
Introduction .....	7
Learning Activity: Ground Rules .....	8
Standards of Conduct .....	10
Definitions of Misconduct .....	13
Reporting Misconduct .....	17
Leadership and Accountability on Conduct.....	19
Unit 4 – Part 1b: Sexual Exploitation and Abuse .....	21
Session Notes.....	21
Definitions of Sexual Exploitation and Abuse .....	21
Learning Activity: Defining Sexual Exploitation and Abuse .....	22
Uniform standards on SEA.....	25
Commonly Asked Questions on SEA.....	26
Learning Activity: Guidelines and Prohibitions on SEA.....	27
Unit 4 – Part 1c: The Consequences of Misconduct.....	29
Session Notes.....	29
Learning Activity: Consequences of Misconduct in the Scenarios .....	29
Measures and mechanisms to address Misconduct.....	34
Unit 4 – Part 1 a-c: Learning Assessment.....	39
Questions for Scenarios.....	46
Scenarios.....	47
Answers for Misconduct Scenarios.....	50
Common Questions from Participants .....	54
<b>Unit 4 – Part 2: HIV/AIDS and UN Peacekeeping Operations.....</b>	<b>55</b>
Preparatory Notes to Instructors.....	55
Session Notes.....	59
Introduction .....	59
Definition of HIV/AIDS.....	61
How is HIV Spread?.....	62
Film: Hidden Risk.....	62
The ABCs of Prevention.....	65
Learning Activity: Condom Demonstration .....	70
The Importance of Voluntary Counselling and Testing .....	72
Unit 4 – Part 2: Learning Assessment.....	76
<b>Unit 4 – Part 3: Respect for Diversity.....</b>	<b>77</b>
Preparatory Notes to Instructors.....	77
Session Notes.....	80
Introduction .....	80
What is Diversity? .....	82
Diversity in a Peacekeeping Operation .....	84
Learning Activity 1: Brainstorm on Diversity & Culture Within Mission .....	84
Cultivating An Awareness of Diversity .....	86
Learning Activity 2: Diversity Iceberg.....	87

UN Core Values on Respect for Diversity .....	91
Common Differences and Practicing Respect.....	92
Learning Activity 3: Case Studies .....	101
Unit 4 – Part 3: Learning Assessment.....	105
Optional Learning Activity: Diversity Line.....	107
<b>Unit 4 – Part 4: Safety and Security .....</b>	<b>109</b>
Preparatory Notes to Instructors.....	109
Session Notes.....	114
Introduction .....	114
Designing Security Training.....	114
Designing Road Safety Training .....	116
Ensuring access to health information, immunization and appropriate prophylaxis prior to deployment.....	118
Tips for Maintaining Personal and Food Hygiene in Peacekeeping Environments.....	120
Stress Management.....	121
Unit 4 – Part 4: Learning Assessment.....	122
Security.....	122
Road safety.....	123
Health .....	123
Common Questions from Participants.....	124





## UNIT 4 - PART 1: CONDUCT AND DISCIPLINE

### Preparatory Notes for Instructors

#### Aim

The aim of Unit 4 - Part 1 is to ensure that all peacekeeping personnel understand the United Nations norms of conduct, particularly regarding the prohibition of sexual exploitation and abuse, and the standards of behaviour required of them.

Part 1 also informs peacekeeping personnel about the consequences of misconduct, their duties and responsibilities to report misconduct and the mandate of key entities to address conduct and discipline issues.

#### Learning Outcomes

***On completion of Unit 4 - Part 1, participants will be able to:***

1. List the three key principles governing the conduct of peacekeeping personnel
2. Describe what constitutes misconduct with reference to serious misconduct and misconduct
3. Describe what constitutes sexual exploitation and abuse, with reference to the uniform standards that peacekeeping personnel are expected to uphold
4. Outline the consequences of misconduct - particularly sexual exploitation and abuse - for peacekeeping personnel, the host population and the mission
5. Outline the Department of Peacekeeping Operations's three-pronged approach to addressing sexual exploitation and abuse

#### Training Sequence

Part 1 is currently part of Unit 4 (Standards Values and Safety of UN Personnel). However, you may cover Unit 4 – Part 1 (Conduct and Discipline) at any point in the training, including immediately after Unit 1 (Strategic Overview of Peacekeeping) to link it to the issue of legitimacy and to demonstrate the prominence of conduct and discipline issues.

### Duration

Minimum Session Time 205 minutes	Lecture/Presentation	Questions/Assessment	Session Activities
Part 1a	55 min.		10 min.
Part 1b	45 min.		45 min.
Part 1c	30 min.		10 min.
All of Part 1		15 min.	
Additional Options	Mission Specific	Optional Film	Optional Activity
	Time to be determined by necessary content		

### Methodology

The following points outline a suggested methodology. Experienced instructors may choose to use alternative methods and activities to present the material and key messages in this unit.

#### Part 1:

- Presentations using the provided PowerPoint Slides
- Informal question and answer periods (as determined by instructor)
- Scenario activity
- Learning assessment questions at the end of Part 1\*

The unit is divided into three distinct parts. The first part considers standards of conduct, misconduct categories, the reporting of misconduct and the role of managers/commanders in maintaining the highest standards of conduct. The second part is based on a series of scenarios and covers sexual exploitation and abuse (SEA) and the uniform standards on SEA. The final part looks at the consequences and measures in place to address misconduct.

\* Please Note: It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question and answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure participants are clear on the key messages.

Wherever possible, the experience of the instructors and participants should be brought in to reinforce the key points in each part of the unit.

It is recommended that a short break is taken between the three sessions.

## Instructor Profile

This unit should be facilitated by one male and one female instructor (where there are male and female participants) who can encourage questions and participation from both male and female participants. The instructor/s should have peacekeeping experience in a United Nations context, including some experience in dealing with misconduct and in particular, cases of sexual exploitation and abuse (SEA).

It is also advisable that the instructor/s' awareness of the various consequences of serious misconduct - particularly in cases of sexual exploitation and abuse - is strong. Where this is not possible, it is strongly advised that an external expert on sexual exploitation and abuse is brought in as a resource person for the second and final sections of the unit.

Depending on the workshop participants, a senior civilian official/high-ranking military/police official should be invited to attend the start of the session and send a strong message underlining the importance of conduct and discipline for United Nations peacekeeping.

## Preparations

### General

#### Equipment

1. Computer and session slides
2. Projector and screen for slides
3. Flipcharts or whiteboard and markers

#### Materials

1. Make copies of the following:
  - 10 Rules/Code of Personal Conduct for Blue Helmets (for uniformed participants)
  - We are UN Peacekeeping Personnel (for military and police) (page 44)

## 4 ■ Unit 4 - Part 1: Conduct and Discipline

- 1-page reference document (for civilian participants)
  - Scenario Guiding Questions (page 48)
  - Scenarios covering prohibited acts of Sexual Exploitation and Sexual Abuse for the various categories of United Nations Personnel (pages 49 - 51)
  - Answers to the scenario questions (pages 52 - 55)
2. Pre-prepare the following flipcharts:
    - Definition of SEA (slide 14)
    - The Consequences of SEA (page 32)
  3. Participants often appreciate copies of the PowerPoint presentations. If printing of the PowerPoint presentations is possible, it is suggested that they are printed in 'handout' format, with 3 slides to a page so participants have room to make notes.

### Instructor Preparations

1. Familiarise yourself with the UN Charter, with regard to the meaning of terms such as integrity, efficiency and competence.
2. Familiarise yourself with the UN definition of retaliation and reprisal.
3. You should be fully conversant with the Ten Rules: Code of Personal Conduct for peacekeepers and the Secretary-General's Bulletin on "Special measures for protection from sexual exploitation".

### Mission Specific

1. Any mission-specific code of conduct should be shared and referred to throughout the session.
2. Familiarize yourself with the reporting mechanisms in place, if the mission is known
3. Research and provide information on structures in place in the mission of deployment that address misconduct, including the Conduct and Discipline Team's contact details.
4. Mission-specific conduct concerns or cases can be referred to, where appropriate.











## References

- *United Nations Charter, articles 100 and 101 (3)*
- *Revised draft model Memorandum of Understanding between the United Nations and Troop Contributing Countries, including annex containing “We are the United Nations Peacekeepers” from the UN General Assembly Report of the Special Committee on Peacekeeping Operations and its Working Group on the 2007 Resumed Session (A/61/19 Part III)*
- *United Nations Staff Rules, as contained in the latest Secretary-General’s Bulletin (currently ST/SGB/2008/3)*
- *United Nations Staff Regulations, as contained in the latest Secretary-General’s Bulletin (currently ST/SGB/2008/4)*
- *United Nations Financial Regulations and Rules (ST/SGB/2003/7)*
- *United Nations Volunteers Conditions of Services*
- *Contractors’ General conditions of contracts*
- *Secretary-General’s Bulletin on “Special measures for protection from sexual exploitation and sexual abuse” (ST/SGB/2003/13) 9 October 2003*
- *Secretary-General’s Bulletin on “Protection against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations” (ST/SGB/2005/21) 19 December 2005*
- *Secretary-General’s Bulletin on “Status basic rights and duties of United National staff members” (ST/SGB/2002/13) 1 November 2002*
- *Secretary-General’s Bulletin on “Status, basic rights and duties of officials other than Secretariat and experts on mission” (ST/SGB/2002/9) 18 June 2002*
- *Secretary-General’s Bulletin on “Observance by United Nations forces of International Humanitarian law” (ST/SGB/1999/13)*
- *Secretary-General’s Bulletin on “Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority” (ST/SGB/2008/5)*
- *Secretary-General’s Bulletin on “Use of Information and Communication Technology Resources and Data” (ST/SGB/2004/15) 29 November 2004*
- *Directives for Disciplinary Matters involving Civilian Police Officers and Military Observers (DPKO/MD/03/00994)*
- *10 Rules/Code of Personal Conduct for Blue Helmets*
- *We are United Nations Peacekeepers 1998*
- *General Assembly Resolution on Criminal accountability of United Nations officials and experts on mission (A/RES/62/63)*

## 6 ■ Unit 4 - Part 1: Conduct and Discipline

- *Recommendations of the Special Committee on Peacekeeping Operations (A/59/19/Rev.1) adopted by the General Assembly (RES/59/300)*

### Symbols Legend

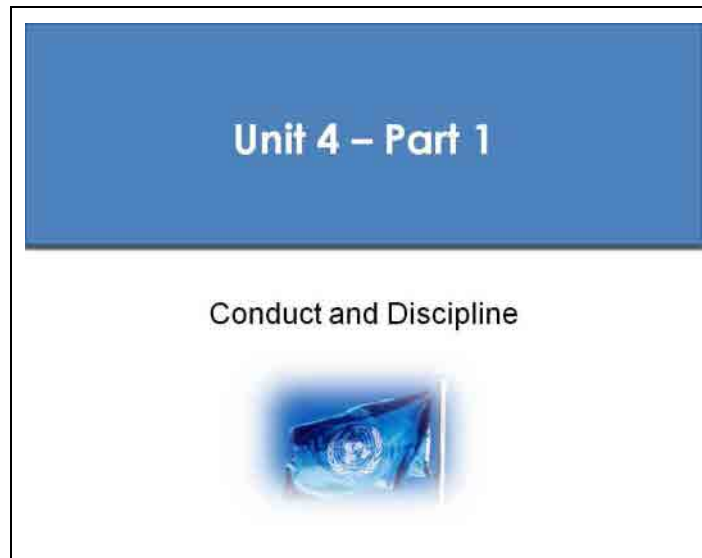
-  Note to the Instructor (Some background information for consideration)
-  Speaking Points (The main points to cover on the topic. Ideally the speaking points are presented in the instructor's own words versus being read to participants. Please note, text in the slides is highlighted in bold, blue fonts in the associated speaking points.)
-  Mission Specific (A point where the session will benefit from mission specific information)
-  Example (Stories that illustrate a point or key message)
-  Sample questions (A list of potential questions to pose to participants)
-  Handout (Indicates a handout is provided to participants at this point)
-  Film (A film that is suggested as either a core or optional activity)
-  Core Learning Activity (An activity that is strongly recommended for inclusion)
-  Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group. Guidelines for these activities are provided at the end of the unit or part – as indicated in the text)
-  Key summary points (Key messages that are worth repeating at the end of the session. Alternatively, the instructor can ask participants what are the main messages they are taking from the session. Instructors can then fill in any points that have been missed.)

**Note:** Questions commonly asked by participants during this session are listed at the end of the unit.

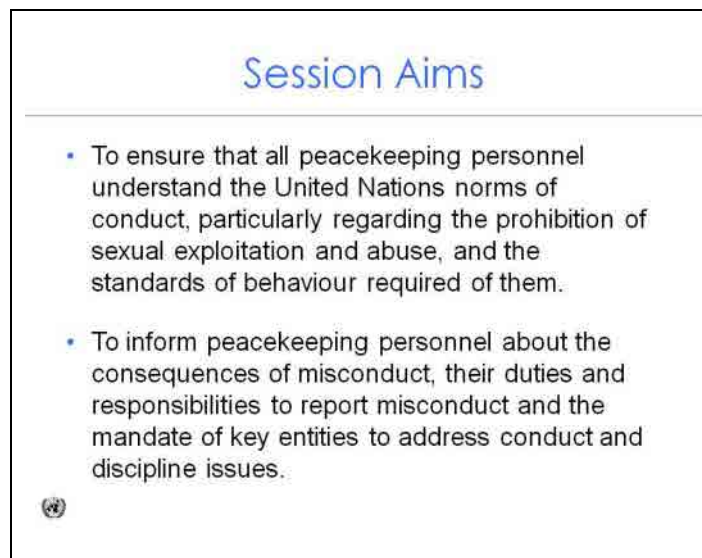
## Unit 4 – Part 1a: Introduction to Conduct and Discipline

### Session Notes

#### Introduction



Slide 1



Slide 2

- 💬 This section highlights the peacekeepers' role in fulfilling the mission's mandate to help countries recover from the trauma of conflict by fostering security and protecting human rights.

## 8 ▪ Unit 4 - Part 1: Conduct and Discipline

- Most importantly, you will be able to identify what constitutes misconduct, particularly sexual exploitation and abuse or SEA. SEA has taken place in a variety of forms in all missions.
- Presentations, discussion and group work will be used to create what should hopefully be an interactive session.

### Learning Outcomes

- List the three key principles governing the conduct of peacekeeping personnel
- Describe what constitutes misconduct with reference to serious misconduct and misconduct
- Describe what constitutes sexual exploitation and abuse, with reference to the uniform standards that peacekeeping personnel are expected to uphold
- Outline the consequences of misconduct - particularly sexual exploitation and abuse - for peacekeeping personnel, the host population and the mission
- Outline the DPKO's three-pronged approach to addressing sexual exploitation and abuse

Slide 3

- This slide represents the learning outcomes for this module.
- All peacekeeping personnel have an obligation to maintain the highest standards of integrity and conduct, including creating and maintaining an environment that prevents sexual exploitation and abuse.



### Learning Activity: Ground Rules

This activity sets the tone for the session and helps instructor/s and participants agree how they will work together. Ground rules should encourage the interaction of all participants, while acknowledging that the norms governing conduct are fundamental to fulfilling the mission's mandate.



**Time Required:**

- 2 minutes to introduce the activity
- 7 minutes to brainstorm and agree on the ground rules
- 1 minute to wrap-up

---

Total time: **10 minutes**


**Preparations:** *You will need:*

1. Materials to record the ground rules (flipchart paper, objects/symbols to depict a specific ground rule e.g. a watch for timekeeping)

**Activity Guidelines:**


1. Explain that the topics to be covered, particularly regarding sexual exploitation and abuse, as well as sexual harassment might generate strong reactions
2. Acknowledge the sensitive nature of misconduct, in its impact on individuals (e.g. sexual exploitation and abuse, discrimination, harassment, including sexual harassment, and abuse of authority) and acknowledge that some participants will have directly or indirectly experienced this.
  - Ask participants to think about how they plan to work together during the session.
  - Explain that participants have approximately 2 minutes to suggest as many ground rules as they can think of.
  - Write all of the suggestions down on the flipchart, as they are given.
  - Review the list of suggestions with the participants.
  - Give participants up to 5 minutes to propose a list of ground rules they can agree on.
  - Emphasize that the session is not for disclosing personal cases or identifying alleged perpetrator(s).
  - Ask participants for their help in keeping to the ground rules.
  - Ensure that the ground rules are visible to participants for the remainder of the session.
  - Wrap up by clarifying that if participants have any specific cases or personal issues they wish to discuss, the instructor can provide them with appropriate contacts, after the session is over.

## Standards of Conduct



 **Note to Instructor:** This session introduces the three key principles underpinning the UN standards of conduct.


UN Standards of Conduct:  
Three Key Principles


1. Highest standards of efficiency, competence and integrity
2. Zero tolerance policy on sexual exploitation and abuse
3. Accountability of those in command who fail to enforce the standards of conduct



Slide 4

-  The standards of conduct are general principles to be observed by all UN personnel.
-  There are several policy documents which form the UN Standards of Conduct. Some apply to all UN personnel, and others have been developed for specific categories of personnel, for example civilian, military and police personnel.

 **Note to Instructor:** Present the slide that is most appropriate to participants on the definition of misconduct (slide 5 for civilian personnel, slide 6 for uniformed personnel - military and police)

 The next question and slide 5 can be omitted ONLY if all participants are uniformed personnel.

## Sources of UN Standards of Conduct for Civilians – (Omit if there are no civilians in the training)



**What are the main documents which set out standards of conduct for civilian staff? List as many documents as you can think of. (5 minute brainstorm)**

UN Standards of Conduct  
**Sources – Civilian Personnel**  
(including UN staff members, UNVs, Consultants and Contractors)

---

- UN Charter
- UN Staff Regulations and Rules
- UN Financial Regulations and Rules
- Status, basic rights and duties of UN Staff members (ST/SGB/2002/13)
- Measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13)
- Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority (ST/SGB/2008/5)
- Other Administrative Issuances, including on the use of information and communication technology (e.g. pornography, gambling)



**Slide 5**

**Omit if  
no  
civilians  
are in  
the  
training**

- 💬 The answers are provided in slide 5 on sources for civilian staff.
- 💬 United Nations Volunteers (UNVs), consultants and contractors are part of the civilian category. Contractors may be individuals, enterprises or agencies, for example implementing partners.
- 💬 Specific documents cover the norms of conduct for those personnel. However, these norms are similar to those applying to UN Staff members.
- 👉 **Note to Instructor:** The next question and slide 6 can be omitted ONLY if all participants are civilian personnel

## Sources of UN Standards of Conduct for Uniformed Personnel (Omit if there are no uniformed personnel in the training)

- ? What are the main documents which set out standards of conduct for uniformed personnel? List as many documents as you can think of. (5 minute brainstorm)






Slide 6

Omit if no  
uniformed  
personnel  
in the  
training




- 💬 The answers are provided in slide 6 on sources for uniformed personnel.

## Privileges and Immunities

- ? Do privileges and immunities mean that peacekeeping personnel who violate standards of conduct will get away with it?
- 💬 No. Immunities and privileges exist to enable civilian and police personnel as well as military observers to perform their functions.
- 💬 In the same way, national contingent personnel have privileges and immunities, through the provision of the Status of Force Agreement (SOFA), to enable them to perform their functions.
- 💬 ALL peacekeeping personnel, however, are expected to maintain the highest UN standards of conduct.
- 💬 Immunities and privileges can and have been lifted by the Secretary-General when this is in the interests of the UN. Individuals accused of crimes, for example, have had their immunities lifted and have been prosecuted for those crimes.

-  Where participants include uniformed personnel, copies of the *Ten Rules/Code of Personal Conduct for Blue Helmets* should be distributed.
-  Where participants include military personnel, *We Are the UN Peacekeeping Personnel* should be circulated.
-  Where participants include civilian personnel a 1-page resource citing directives should be circulated.

## Definitions of Misconduct

-  **Note to Instructor:** *This part of the session defines both misconduct and serious misconduct.*
-  *Present the slide that is most appropriate to participants on the definition of misconduct (slide 7 for civilian personnel, slide 8 for members of military national contingent and military staff officers, slide 9 for UN Police and military observers)*
-  The following slides gives definitions of misconduct relevant to you:

**Definition of Misconduct for  
Civilian Personnel**


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Failure by a staff member to:

- Comply with his/her obligations under UN Charter, Staff Regulations & 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 missions




### Slide 7

**Omit if  
no  
civilians  
are in  
the  
training**

Definition of Misconduct for **Uniformed Personnel**  
Members of National Contingent and Military Staff Officers

- Misconduct means any act or omission that is a violation of United Nations 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)




Slide 8

**Omit if no uniformed personnel (as described) are in the training**

Definition of Misconduct for **Uniformed Personnel**  
UN Police and Military Observers

- 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 standard operating procedures, 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)



Slide 9

**Omit if no uniformed personnel (as described) are in the training**

- Misconduct is defined in the United Nations Staff Rules - Rule 310.1 (ST/SGB/2008/3). The principles, however, apply to all peacekeeping personnel.
- The consequences of misconduct will be explored later on in the session.

### Misconduct Categories

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**Category I: Serious misconduct includes**

- Sexual Exploitation and Abuse (SEA)
- Criminal activities e.g. offences against the person, offences against property, including fraud

**Category II: Misconduct includes**

- Simple theft and fraud
- Sexual or other work-related harassment
- Traffic related incidents e.g. speeding



**Slide 10**

- 💬 For administrative and investigative purposes, there are two main categories of misconduct; **Category I and Category II**
- 💬 High-risk, complex matters and serious criminal cases constitute serious misconduct and belong to Category I. These would include all sexual exploitation and abuse matters and criminal activity such as offences against the person, including rape and offences against property, including fraud.
- 💬 Inquiries into Category I matters are best handled by independent, professionally trained and experienced investigators.
- 💬 **Category II** or misconduct offences include matters such as **minor theft and traffic offences e.g. speeding and sexual and other work-related harassment**. This categorization mainly refers to the administrative and investigative process for dealing with such allegations.
- 💬 It should be noted that although discrimination, harassment (including sexual harassment) and abuse of authority is classified as category II, it can be extremely distressing for the victim.
- 💬 Inquiries into Category II matters are normally handled within the mission structures. There are specific guidelines for dealing with discrimination, harassment, including sexual harassment, and abuse of authority.
- 💬 When allegations of misconduct are made, they should either be brought to the attention of the Conduct and Discipline Teams (CDTs) in the respective missions or directly to the Office of Internal Oversight Services (OIOS).
- 💬 Measures for addressing misconduct will be discussed later.



Instructors may wish to give other examples of misconduct that they have encountered in peacekeeping operations. Participants may also have examples they can cite, without going into detail and maintaining anonymity.

**Category I** cases would normally include the following:

- Serious or complex fraud
- Sexual exploitation and abuse (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 United Nations regulations, rules or administrative issuances

Cases of lower risk to the Organization are classified by OIOS as belonging to **Category II** and include the following:


- 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



**Mission Specific:** Where up to date information is available, monitoring data on types of misconduct and the outcome may be shared.

Participants can also be referred to the Conduct and Discipline Unit website <http://www.un.org/Depts/dpko/CDT/index.html>

## Reporting Misconduct


 **Note to Instructor:** This part of the session outlines the duty of UN personnel to report misconduct, cooperate in investigations and provide information in good faith.

### Reporting of Misconduct: Duties







UN personnel are duty bound to:

- Report suspected misconduct
- Report in good faith supported by evidence
- Cooperate with UN investigations
- Make reports to UN officials, to OIOS or to others in special circumstances
- Report misconduct directly to OIOS without a need for supervisory approval (ST/SGB/273, para 18)

Reference: ST/SGB/2005/21



**Slide 11**

-  All UN personnel have a duty to report suspected misconduct, cooperate with investigations and provide information in good faith which is supported by evidence.
-  According to SGB/2005/21 - staff members have a duty to report any breach of UN rules and regulations, and to cooperate with duly authorized audits and investigations.
-  The bulletin provides protection for the individual who makes an allegation in good faith. It states that any individual who cooperates in good faith with an audit or investigation has the right to protection from retaliation. This applies to all staff members.
-  The mission's Conduct and Discipline Team (CDT) is the primary body for receiving reports of alleged misconduct.
-  Other reporting channels include the Head of Mission, The Force Commander or Police Commissioner, OIOS, Ethics Office and the Ombudsman.
-  The CDT also supports mechanisms for dealing with misconduct, which we will discuss in the final part of the section on conduct and discipline.



**Mission Specific:** Mission-specific information on reporting of suspected misconduct should be given here. Ensure any examples used respect anonymity.

### Reporting of Misconduct: Protection from Retaliation

Retaliation is defined as direct or indirect detrimental action recommended, threatened or taken against a person who reports misconduct. The following should be noted:

- 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

Reference: ST/SGB/2005/21

Slide 12

- Slide 12 gives a definition of retaliation and outlines provisions to protect those who report misconduct from retaliation.
- It should be noted that allegations made in bad faith and the spreading of unsubstantiated rumours are not protected by the SGB. These types of allegations are also treated as acts of misconduct.
- Retaliation violates the fundamental obligation of staff members to uphold the highest standards of efficiency, competence and integrity. Retaliation is in itself, therefore, seen as misconduct.
- So far, we have focused on standards of conduct, defining misconduct, reporting misconduct and protection from retaliation.
- Before looking at the second key principle of zero tolerance towards sexual exploitation and abuse, we will look at the responsibilities of leadership.

## Leadership and Accountability on Conduct



**Note to Instructor:** This part of the session outlines the duty of leadership to be accountable and responsible for maintaining the highest standard of conduct and preventing, monitoring and responding to misconduct. It relates to the third key principle underpinning UN standards of conduct: Accountability of those in command who fail to enforce the standards of conduct.

### Manager's / Command responsibility regarding misconduct, including sexual exploitation and abuse



Those in command are expected to maintain standards of conduct and to prevent, monitor and respond to misconduct. Normally when misconduct takes place, issues of poor leadership are also raised.



### How can Managers and Commanders work to prevent and respond to misconduct?

Answers particularly relevant for SEA include:

- Be familiar with the Mission's Action Plan to Prevent Sexual Exploitation and Abuse.
- Organized campaigns for specific groups (e.g. anti-child prostitution campaigns).
- Insert performance objectives into work-plans of managers relating to prevention of misconduct, and evaluate through performance appraisals.
- Remind senior personnel of their role in "setting the tone" and "leading by example".
- Appoint Focal Points for Sexual Exploitation and Abuse in field locations.
- Actively and publicly support efforts of the mission CDT and focal points to address SEA.
- Awareness-raising (town-hall briefings, meetings with senior management, meetings by managers with their staff, raise issue at key meetings with contingent commanders, heads of offices etc.).
- Ensure that the mandatory SEA training is undertaken by all personnel under your supervision/command, including contingent members.
- Include session on sexual exploitation and abuse in induction briefings.

- Senior leadership appearance at the start of conduct and discipline training sessions to emphasize the leadership's commitment to addressing conduct and discipline issues.

Answers relevant to prevention measures in particular include:

- Setting the tone/role modeling
- Provision of welfare and recreation facilities
- Regular troop rotation in remote areas
- Induction and ongoing misconduct training

Answers relevant to enforcement measures in particular include:

- Establish internal complaints mechanisms
- Emphasize the duty to report
- Establish non-fraternization policy, curfew, off-limits locations, patrols
- Coordination of investigations




**Mission Specific:** Mission specific managerial measures can also be shared here.

**Leadership on Addressing Misconduct:**  
Accountability and Overall Responsibilities

---

- Implement prevention, enforcement & remedial policies
- Ensure misconduct prevention training
- Conduct periodic misconduct risk assessments
- Address potential or actual violations
- Report all misconduct to the Conduct and Discipline Team or OIOS








**Slide 13**




- 💬 There are many ways in which managers can work to prevent and respond to misconduct, and SEA in particular.
- 💬 Slide 13 gives an overview of leadership responsibilities.

## Unit 4 – Part 1b: Sexual Exploitation and Abuse

### Session Notes

-  **Notes to Instructor:** Part 1b of this unit emphasizes the uniform standards personnel are expected to maintain, rather than participant perceptions of sexual exploitation and abuse. Standard responses to commonly-asked questions on prohibited behaviour have been provided for the instructors' convenience (page 26).
-  It is particularly important in this session to ensure that it is well-managed and stays on topic.
-  Ensure that confidentiality and anonymity are maintained in any examples used during discussions.
-  Ensure that sexual harassment is not confused with sexual exploitation and sexual abuse. Sexual harassment is a workplace-related offence, so it involves staff or related personnel and not members of the general public.
-  Some issues of the SGB on SEA have been interpreted differently. Note that a guide is still forthcoming to clarify the SGB.

### Definitions of Sexual Exploitation and Abuse

-  This session deals with one of the most widespread forms of misconduct within peacekeeping missions.
-  Allegations of sexual exploitation and abuse by UN peacekeeping personnel had been made in many missions, from Bosnia and Herzegovina and Kosovo in the Balkans in the early 1990s, to Cambodia and Timor-Leste in Southeast Asia in the early and late 1990s and to West Africa and the Democratic Republic of the Congo (DRC) in recent years.
-  Participants may want to talk about Sexual Exploitation and Abuse cases that they are aware of. However, confidentiality and anonymity must be maintained and organizations, victims and alleged perpetrators should NEVER be mentioned by name.

## 22 ▪ Unit 4 - Part 1: Conduct and Discipline

- Information will be available at the end of the section on where to report allegations of misconduct.
- Regardless of your perceptions of the problem or the likelihood for SEA to occur in your mission ALL peacekeeping personnel have an obligation to create and maintain an environment that prevents sexual exploitation and abuse and to uphold the standards of conduct.
- Regardless of legality or the cultural norms in your country and/or the host country, there is a zero-tolerance policy regarding sexual exploitation and abuse by UN personnel.



### Learning Activity: Defining Sexual Exploitation and Abuse

This activity enables participants to understand the UN definition of sexual exploitation and abuse, using real-life examples.



<b>Time Required:</b>	5	minutes to define SEA and introduce the activity
	10	minutes for small group work
	15	minutes for groups to report back (time allocation/group will depend on the number of small groups)
	10	minutes for guided discussion
	5	minutes to wrap-up with key summary points

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**Total time: 45 minutes**

### Definition of Sexual Exploitation and Abuse (SEA)

ST/SGB/2003/13

- Sexual exploitation: Actual or attempted abuse of a person's vulnerability, differential power or trust for sexual purposes, including profiting monetarily, socially or politically from the exploitation
- Sexual Abuse: Actual or threatened physical intrusion of a sexual nature, by force or under unequal or coercive conditions

Sexual Exploitation and Abuse constitute serious misconduct for all UN personnel

**Slide 14**

**Activity Guidelines:**

1. Ask a participant to read slide 14 Definition of Sexual Exploitation and Abuse (SEA).
2. Put the flipcharts you've prepared with the definitions of SEA in a visible area for easy reference.
3. Ask participants to split into small groups (up to 8 people). Explain to participants that they have up to 10 minutes to list examples of SEA that occur in their home country or in peacekeeping missions. Explain that a group spokesperson will need to share their examples. Remind participants not to use any names.
4. After the 10 minutes, ask each group to share their examples with the wider group (the number of examples that can be shared will depend on the size of the training group). (15 minutes maximum)
5. Correct any examples given that are not SEA, for example, sexual harassment and other forms of misconduct.

Examples of sexual exploitation and/or sexual abuse could include:

- Providing assistance or aid of any kind, including food, clothing and lodging, in exchange for sexual favours
  - Threatening to withhold assistance or aid of any kind in exchange for sexual favours
  - Buying sex from prostitutes, even where prostitution is legal in the host country
  - Forcing a young boy to engage in sexual acts
  - Rape
  - Human trafficking of people for prostitution
  - Procuring prostitutes for others
6. Facilitate a short, guided discussion on the following questions. Provide the answers below if they are not given by participants. (10 minutes)

**What makes members of the host community vulnerable?**

- Collapsed economy with many fighting for survival in desperate circumstances
- Lack of awareness of rights and obligations

- History of unequal power relations that can be exploited
- Prevalence of sexual and gender-based violence



**What does differential power mean in the peacekeeping context?**

- An imbalance between economic, social or education status
- A dependence by one on the assistance of another to sustain living
- A position of authority over another



**Why is it important that trust is not abused?**

- Further victimization of vulnerable persons
- Violates victims' human rights
- Disrupts families and communities

7. Wrap-up the discussion with the following summary points (5 minutes)



SEA contradicts the mandate of the UN in general, and the peacekeeping mandate in particular



The UN has a zero-tolerance policy to SEA, this means it is classified as serious misconduct and that managers/commanders have a responsibility to prevent, enforce and respond to SEA



SEA damages individuals and the credibility of the peacekeeping mission



Privileges and immunities can and have been waived to address serious misconduct, including SEA



We create the demand.....we are part of the problem

## Uniform standards on SEA

### Uniform Standards on Sexual Exploitation and Abuse

1. Sexual activity with children (persons under the age of 18) is prohibited
2. Exchange of money, employment, goods, assistance or services for sex, e.g. sex with prostitutes, is prohibited
3. Use of children or adults to procure sexual services for others is prohibited
4. Sexual relationships with beneficiaries of assistance are strongly discouraged



Slide 15

- Slide 14 outlines the prohibitions as stated in the SGB on special measures for protection from SEA. These prohibit sexual activity with persons under 18; exchange of money, employment, goods or services for sex or sexual favour, use of children or adults to procure sex for others and strongly discourage sexual relationships with beneficiaries of assistance.
- The previous learning activity and key summary points to define SEA should help clarify for participants WHY the uniform standards exist.

## Commonly Asked Questions on SEA



**Note to Instructor:** The following responses have been provided to assist instructors in the event these questions are asked during the session.

Questions Commonly Asked By Participants	Responses
Does having consensual sex with a prostitute automatically become sexual exploitation?	Yes, it is prohibited.
Does it matter if SEA occurs outside of the mission area in the officer's own country (or another country) while on leave?	It does not matter. This policy is applicable to UN personnel wherever they are.
Who are the beneficiaries of assistance?	<p>Beneficiaries include those directly receiving assistance e.g. Refugees, IDPs and - due to the nature of peacekeeping - the local population of the host country. This is because peacekeeping personnel have money, food and shelter, whereas the local population is often very vulnerable and with limited access to these essentials, creating a power differential.</p> <p>Such circumstances increase the risk of sexual exploitation, which is why relationships between peacekeeping personnel and beneficiaries are strongly discouraged.</p>
My national standards of conduct are different to the UN standards. Which standards apply to me?	Regardless of whether the national standards are higher or lower, the uniform standards on SEA are the minimum standards for UN personnel.



## Learning Activity: Guidelines and Prohibitions on SEA

This activity helps participants apply their understanding of guidelines and prohibitions on SEA by looking at seven scenarios, all of which depict SEA.



**Time Required:** 5 minutes to introduce the activity  
 15 minutes for small group work  
 20 minutes for groups to report back (time allocation/group will depend on the number of small groups)  
 5 minutes to discuss and wrap-up with key summary points

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**Total time: 45 minutes**



**Preparations:** *You will need:*

1. Flipchart paper and pens
2. Copies of the scenarios and the questions







**Activity Guidelines:**

1. Split participants into groups of no more than eight.
2. Handout the scenario questions (page 41) and the SEA scenarios (pages 42-44).
3. Assign each small group at least two scenarios (where there are less than five small groups they can look at more scenarios) and a question sheet.
4. Inform the small groups that they have 15 minutes to read the scenarios and to answer the six questions. Note that there is room on the scenario handouts for their answers.
5. After the groups have had 15 minutes, call their attention back to the large group.
6. Allow up to 20 minutes for participants to give responses to the scenarios. If there are several small groups (i.e. more than five – 40 participants in total) decide the most appropriate way to field responses e.g. each group answers one question only. Where there are less than five small groups (i.e. less than 40 participants) a group representative can briefly give responses for each scenario.

7. It may be useful to also hand out the answers to the scenarios (pages 52 - 55).

8. Wrap-up the activity, making the following key summary points:


-  All scenarios constitute serious misconduct and a prohibited act
-  All scenarios depict sexual exploitation as they all depict actual or attempted abuse of a position of vulnerability, differential power and/or trust
-  Most of the scenarios depict sexual abuse, as they depict actual or threatened physical intrusion of a sexual nature, by force or under unequal or coercive conditions
-  All scenarios have negative consequences for those involved




***Note to Instructor regarding a break:*** *If you have not already called a break, this is a good point to take one.*

## Unit 4 – Part 1c: The Consequences of Misconduct

### Session Notes

 **Note to Instructor:** Part 3 of this unit builds on the scenarios of serious misconduct depicting SEA, by looking at the consequences of misconduct and UN measures to address misconduct, with an emphasis on SEA.

 Any mission-specific data on the outcome of misconduct cases and the mechanisms for dealing with misconduct should be included in this section.



### Learning Activity: Consequences of Misconduct in the Scenarios

The purpose of this brainstorming activity is for the participants to consider the consequences of misconduct using the scenarios from the previous activity.

Keep this brainstorming activity brief as the slides will be used to reinforce the main points.



**Time Required:** 2 minutes to introduce the activity  
8 minutes for the whole group to give their ideas  
(including prompting the participants as necessary)

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**Total time: 10 minutes**



#### **Preparations:**

1. Choose one of seven scenarios from the previous activity for this. You may decide upon a scenario before the session or, alternatively, choose a scenario based on what you've heard during the reports from the participants' small group work.
2. Divide a piece of flipchart paper into quadrants with headings as shown on the next page.

Victim, victim's family, baby	Host population
Perpetrator/s (UN personnel)	Peacekeeping mission

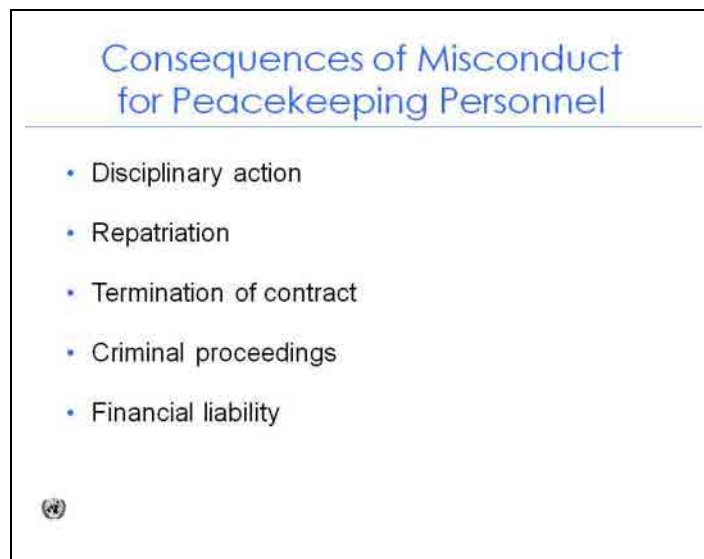


**Activity Guidelines:**

1. Introduce the activity by telling participants “We are now going to consider the consequences of misconduct, with reference to the earlier scenarios we looked at.”
2. Show participants the pre-prepared flipchart and let them know you will be filling it in with information they provide on the consequences.
3. Ask them the following question:

② With regard to (insert the specific scenario) what are the consequences of sexual exploitation and abuse on the following four groups?

- The victims, their family members and any baby born as a result of sexual exploitation and abuse
  - The perpetrators (UN peacekeeping personnel)
  - The host population
  - The peacekeeping mission
1. Write all the participants' responses on a flipchart pad, in the appropriate quadrant.
  2. When the brainstorm appears exhausted, prompt the group on any consequences they have not mentioned e.g. disciplinary measures, risk to the credibility of a peacekeeping mission, health issues, such as the transmission of sexually transmitted infections STIs), including HIV transmission.
  3. Wrap up the brainstorm and introduce slide 15 on the Consequences of Misconduct for Peacekeeping Personnel. Keep the flipchart visible.



Slide 16

- 💬 These are the main consequences of misconduct for peacekeeping personnel.
- 💬 Where a UN investigation substantiates any type of misconduct, including sexual exploitation and abuse, the UN can **take disciplinary action** against civilian personnel (e.g. summary dismissal).

## 32 ▪ Unit 4 - Part 1: Conduct and Discipline

- The UN can only take limited action against uniformed personnel (e.g. **repatriation** and barring from future service) and rely on Member States to take disciplinary and/or criminal action against such personnel.
- UN investigations are administrative in nature. If a peacekeeper is alleged to have committed a crime such as rape, the matter is referred to the appropriate Member State for a criminal investigation after a preliminary assessment of the matter by the UN.
- Consequences are also determined by the privileges and immunities a peacekeeper enjoys. Uniformed personnel remain liable to disciplinary action and even **criminal proceedings** for violations of their national code of conduct that amounts to criminal acts.

[Ref: Revised draft model Memorandum of Understanding between the UN and Troop Contributing Countries] and General Assembly Resolution on Criminal accountability of United Nations officials and experts on mission (A/RES/62/63)]



The instructor and participants may be able to cite anonymized examples of the consequences of misconduct for peacekeeping personnel.

### Consequences for Peacekeeping Mission

- Violates victim's human rights
- Misconduct contrary to UN Principles
- Violates integrity and impartiality
- Reduces credibility and image of UN
- Threatens security
- Undermines rule of law and fosters crime




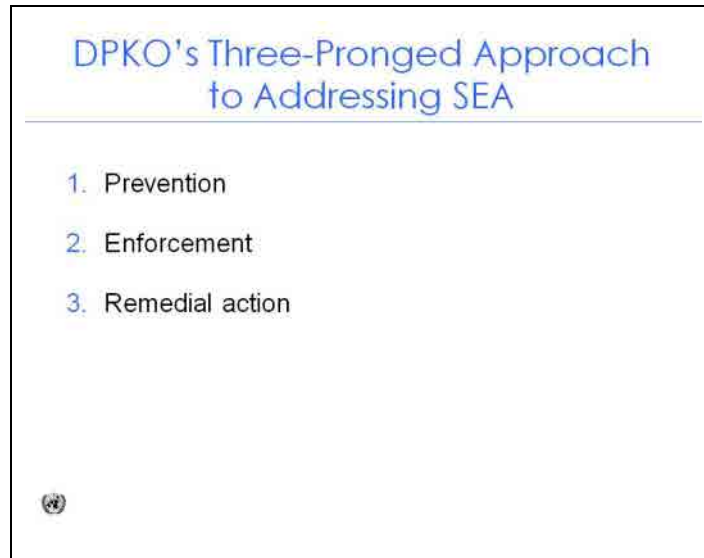
**Slide 17**

- Acts of serious misconduct, particularly sexual exploitation and abuse seriously damage **the image and credibility of the mission**, in turn impeding the implementation of the mission's mandate.

- 💬 Sexual misconduct by United Nations peacekeepers could result in violent retaliation by family members and communities against the perpetrators, the entire contingent or even the mission.
- 🗨️ e.g. The instructor and participants may be able to cite anonymized examples of the consequences of misconduct for peacekeeping missions.
- 💬 The consequences of incidences of cases or allegations of misconduct, including sexual exploitation and abuse, can be dramatic:
  - Could impede the implementation of the political and operational mandate of the mission. (Example: In the DRC, media reports have at some point gravely impacted the mission's credibility and the UN's reputation, to the point that SEA appeared to overshadow efforts of the mission to address the very critical political issues faced by the mission.)
  - Could affect the reputation of the UN and of the country sending you, both in the international arena as well as in the host country.
  - The duty of care of the peacekeepers appears to be a vain statement, people talk about impunity and the failure of the UN to take responsibility for the suffering of victims of such acts.
  - May in fact and very concretely put the **security of peacekeepers** at risk.
  - May open the ground for false allegations of all types against the mission and the UN.
- 💬 Peacekeeping personnel need to act as role models
- 💬 Compliance with the UN standards of conduct is the best guarantee of security and fulfilling the mandate of your mission
- 💬 Peacekeeping personnel are on duty 24 hours a day, 7 days a week
- 💬 Peacekeeping personnel are ambassadors of the United Nations and of their country

## Measures and mechanisms to address Misconduct

 **Note to Instructor:** Some aspects of this three-pronged strategy have already been covered in earlier parts of the unit e.g. training and standards of conduct, uniform standards (prevention); disciplinary measures (enforcement).



Slide 18

- The final topic in the section covers the UN **DPKO three-pronged strategy for addressing sexual exploitation and abuse**. The principles on prevention and enforcement are also relevant for addressing other types of misconduct.
- Slide 17 outlines DPKO's approach to misconduct, particularly sexual exploitation and abuse.
- The Department of Peacekeeping Operations developed a comprehensive strategy to address sexual exploitation and abuse in all United Nations peacekeeping operations.

[Reference: based on the recommendations of the Special Committee on Peacekeeping Operations (A/59/19/Rev.1) adopted General Assembly (A/RES/ 59/300)]



Slide 19

- 💬 DPKO measures in place to prevent SEA include the **uniform standards on SEA**, covered earlier and mission-specific codes of conduct.
- ❓ Test if the participants recall the uniform standards on SEA (no sexual activity with under 18s, no sexual activity with prostitutes, no use of children or adults to procure sexual for others and strong discouragement of sexual relations with beneficiaries of assistance).
- ❓ Test if the participants can recall other forms of serious misconduct.
- 💬 **Training:** In addition to this pre-deployment training, for example, there is induction and on-going training on misconduct and SEA.
- 💬 **Public information/outreach:** awareness-raising measures including poster campaigns, briefings during town hall meetings, intranet web sites, newsletters, radio broadcasts. A pro-active approach to the release of information on misconduct and SEA allegations, investigations and follow-up action.
- 💬 **Welfare and recreation:** Missions have been requested to improve welfare and recreation facilities and Member States urged to fully utilize welfare payments provided by the UN for their soldiers.
- 📄 **Mission Specific** information on prevention measures for SEA and other misconduct can be shared at this point.

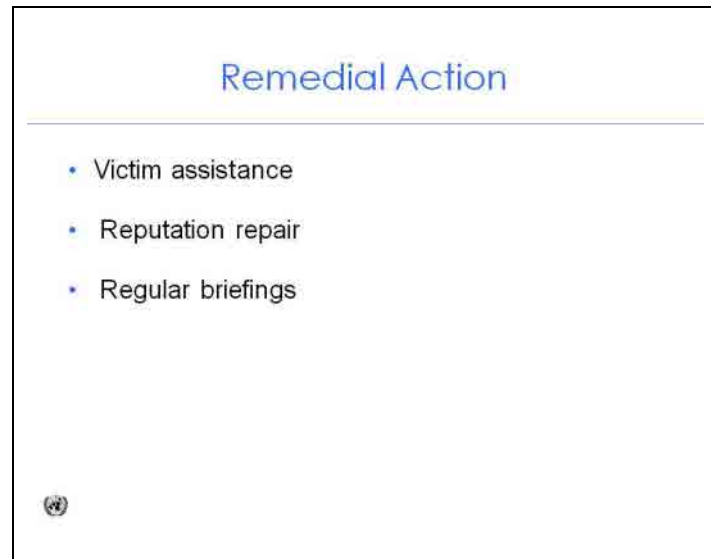
### Enforcement Measures

- Complaints Mechanism/Reporting/follow-up
- Investigations
- Data management
- Follow-up




- Global DPKO measures in place to enforce norms of conduct include the disciplinary and administrative processes discussed earlier when we looked at the consequences of misconduct for UN personnel.
- Test if the participants recall the disciplinary consequences of misconduct (e.g. termination, repatriation, criminal charges etc).
- Complaint Mechanisms/Reporting and follow-up:** CDTs and OIOS are the main complaint reception mechanism. A range of measures are in place e.g. locked drop-boxes, private meeting rooms to allow reporting in a confidential setting, telephone hotlines, secure e-mail addresses, regional/country focal points, outreach to civil society including local, women's organizations and use of the local UN-NGO network of focal points on sexual exploitation and abuse to refer complaints received by other agencies.
- Investigations:** While the Conduct and Discipline Unit (CDU) and the Conduct and Discipline Teams (CDTs) have no formal investigative role, they may be required to perform assessment of allegations prior to referring cases for investigation.
- Investigation processes for serious misconduct and misconduct have been covered earlier. These include investigations by national authorities, for military personnel, OIOS and mission entities (Special Investigation Unit, Force Provost Marshall and UN Police Unit). Conduct and Discipline Teams monitor that complaints are investigated.

- 🗨️ **Data management:** Mission Conduct and Discipline Teams record all allegations of misconduct, including SEA, received and refer them for investigation by the UN or national authorities.
- 🗨️ The misconduct tracking system (MTS) is a global database for **follow-up** on allegations and cases.
- 📌 **e.g.** Specific information on enforcement measures for SEA and other misconduct can be shared here.



Slide 21

- 🗨️ **Victim assistance:** Missions are required to refer alleged victims of SEA to existing support services, e.g. medical and psycho-social services.
- 🗨️ **Reputation repair:** Communication of the outcome of investigations to an external audience. Information is provided on substantiated and unsubstantiated cases.
- 🗨️ **Regular briefings:** held to release information on specific allegations of misconduct, including sexual exploitation and abuse that are deemed to have a potentially significant, negative impact on the image and credibility of the mission or ability of the mission to implement its mandate.
- 📌 **Mission Specific** information on remedial action for SEA and other misconduct can be shared here.

## Summary of key messages



**Note to Instructor:** *Outline the main points that have been covered during the session.*

- In this session we have discussed the three key principles governing the conduct of peacekeeping personnel. These are: 1) Highest standards of efficiency, competence and integrity; 2) Zero tolerance policy on sexual exploitation and abuse; and 3) Accountability of those in command who fail to enforce the standards of conduct.
- We have reviewed the main documents that outline UN Standards of Conduct for different peacekeeping personnel and discussed what constitutes different levels of misconduct, the duty to report suspected misconduct and the protection for retaliation if misconduct is reported.
- We have examined leadership's responsibility in terms of maintaining the highest standards of conduct.
- Finally, we have clarified the UN definition of Sexual Exploitation and Abuse, examined particular cases of SEA and considered the serious consequences to all involved.

## Unit 4 – Part 1 a-c: Learning Assessment

A selection of the questions can be informally asked of the whole participant group at the end of the session or can be used in written form. At the end of the entire unit and/or the conclusion of the training, instructors may want to again choose some of the following questions for review.

### Questions

1. List the three key principles governing the conduct of peacekeeping personnel.
2. Give at least two examples of serious misconduct.
3. Give at least two examples of misconduct.
4. Sexual exploitation involves the abuse or attempted abuse of what for sexual purposes?
5. Sexual abuse is defined as actual or threatened physical intrusion of a sexual nature, under which conditions:
6. What are the four uniform standards on SEA?
7. Give at least three consequences of misconduct for peacekeeping personnel:
8. Give at least three consequences of sexual misconduct for the victim and the wider host population:
9. Give at least three consequences of misconduct for the mission:
10. What is the UN three-pronged approach to addressing sexual exploitation and abuse?

### Answers

1. List the three key principles governing the conduct of peacekeeping personnel
  - Highest standards of efficiency, competence and integrity
  - Zero tolerance policy on sexual exploitation and abuse
  - Accountability of those in command who fail to enforce the standards of conduct
2. Give at least two examples of serious misconduct
  - Sexual exploitation and abuse

## 40 ▪ Unit 4 - Part 1: Conduct and Discipline

- Serious or complex fraud
  - 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 United Nations regulations, rules or administrative issuances
3. Give at least two examples of misconduct:
- Discrimination, harassment, including sexual harassment and abuse of authority
  - 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
4. Sexual exploitation involves the abuse or attempted abuse of what for sexual purposes?
- A person's vulnerability
  - Differential power
  - A person's trust
5. Sexual abuse is defined as actual or threatened physical intrusion of a sexual nature, under which conditions:
- Force
  - Unequal or coercive conditions
6. What are the four uniform standards on SEA?
- Sexual activity with children (persons under the age of 18) is prohibited.
  - Exchange of money, employment, goods, assistance or services for sex, e.g. sex with prostitutes, is prohibited.
  - Use of children or adults to procure sexual services for others is prohibited.
  - Sexual relationships with beneficiaries of assistance are strongly discouraged.

7. Give at least three consequences of misconduct for peacekeeping personnel:
  - Disciplinary action
  - Repatriation
  - Termination of contract
  - Criminal proceedings
  - Financial liability
8. Give at least three consequences of sexual misconduct for the victim and the wider host population:
  - Violates victim's human rights
  - Further traumatises people who may have experience conflict/sexual violence, etc.
  - Victims of sexual exploitation and abuse may be stigmatised within their community
  - Unwanted pregnancy
  - Sexually transmitted infections (STIs)
  - Erodes trust and confidence in the UN
9. Give at least three consequences of misconduct for the mission:
  - Misconduct contrary to UN Principles
  - Violates integrity and impartiality
  - Reduces credibility and image of UN
  - Threatens security
  - Undermines rule of law and fosters crime
10. What is the UN three-pronged approach to addressing sexual exploitation and abuse?
  1. Prevention
  2. Enforcement
  3. Remedial action

## **WE ARE UNITED NATIONS PEACEKEEPING PERSONNEL**

The United Nations Organization embodies the aspirations of all the people of the world for peace. In this context the United Nations Charter requires that all personnel must maintain the highest standards of integrity and conduct.

We will comply with the Guidelines on International Humanitarian Law for Forces Undertaking United Nations Peacekeeping Operations and the applicable portions of the Universal Declaration of Human Rights as the fundamental basis of our standards.

We, as peace-keepers, represent the United Nations and are present in the country to help it recover from the trauma of a conflict. As a result we must consciously be prepared to accept special constraints in our public and private lives in order to do the work and to pursue the ideals of the United Nations Organization.

We will be accorded certain privileges and immunities arranged through agreements negotiated between the United Nations and the host country solely for the purpose of discharging our peacekeeping duties. Expectations of the world community and the local population will be high and our actions, behaviour and speech will be closely monitored.

## We will always:

- Conduct ourselves in a professional and disciplined manner, at all times;
- Dedicate ourselves to achieving the goals of the United Nations;
- Understand the mandate and mission and comply with their provisions;
- Respect the environment of the host country;
- Respect local customs and practices through awareness and respect for the culture, religion, traditions and gender issues;
- Treat the inhabitants of the host country with respect, courtesy and consideration;
- Act with impartiality, integrity and tact;
- Support and aid the infirm, sick and weak;
- Obey our United Nations superiors/supervisors and respect the chain of command;
- Respect all other peacekeeping members of the mission regardless of status, rank, ethnic or national origin, race, gender, or creed;
- Support and encourage proper conduct among our fellow peacekeeping personnel;
- Report all acts involving sexual exploitation and abuse;
- Maintain proper dress and personal deportment at all times;
- Properly account for all money and property assigned to us as members of the mission; and
- Care for all United Nations equipment placed in our charge.

## We will never:

- Bring discredit upon the United Nations, or our nations through improper personal conduct, failure to perform our duties or abuse of our positions as peacekeeping personnel;
- Take any action that might jeopardize the mission;
- Abuse alcohol, use or traffic in drugs;
- Make unauthorized communications to external agencies, including unauthorized press statements;
- Improperly disclose or use information gained through our employment;
- Use unnecessary violence or threaten anyone in custody;
- Commit any act that could result in physical, sexual or psychological harm or suffering to members of the local population, especially women and children;
- Commit any act involving sexual exploitation and abuse, sexual activity with children under 18, or exchange of money, employment, goods or services for sex;
- Become involved in sexual liaisons which could affect our impartiality, or the well-being of others;
- Be abusive or uncivil to any member of the public;
- Willfully damage or misuse any United Nations property or equipment;
- Use a vehicle improperly or without authorization;
- Collect unauthorized souvenirs;
- Participate in any illegal activities, corrupt or improper practices; or
- Attempt to use our positions for personal advantage, to make false claims or accept benefits to which we are not entitled.

We realize that the consequences of failure to act within these guidelines may:

- Erode confidence and trust in the United Nations;
- Jeopardize the achievement of the mission;
- Jeopardize our status and security as peacekeeping personnel; and
- Result in administrative, disciplinary or criminal action.

### Questions for Scenarios

Please read the scenario/s and answer the following questions:

- a. Has the UN personnel actually or attempted to abuse a position of vulnerability for sexual purposes?**

Yes/No

- b. Has the UN personnel actually or attempted to abuse differential power for sexual purposes?**

Yes/No

- c. Has the UN personnel in this scenario actually or attempted to abuse trust, for sexual purposes?**

Yes/No

- d. Does this scenario constitute prohibited act(s)?**

Yes/No

- e. Which uniform standards on sexual exploitation and abuse have been violated? List as many as apply.**

## Scenarios

EXAMPLE OF PROHIBITED ACT	ANSWERS
<p>1. Betty is a 16 year old girl living in a small village. Betty has four younger brothers and sisters. Her parents do not have very much money and find it very difficult to provide the costs for education, clothing and food for all of the children. There had even been some discussion about Betty dropping out of school to assist her mother in working at the market. However, all the problems have been solved as Betty has started a sexual relationship with Johnson, a senior UNHCR officer. He has promised to pay for her school fees and help to pay for her brothers and sisters to continue with their education. Betty's parents are very relieved that this opportunity has come and encourage Betty to maintain the relationship. It has really helped the family and now all the children can continue in school.</p>	<p>a. Yes <input type="checkbox"/> No <input type="checkbox"/>      b. Yes <input type="checkbox"/> No <input type="checkbox"/>  c. Yes <input type="checkbox"/> No <input type="checkbox"/>      d. Yes <input type="checkbox"/> No <input type="checkbox"/>  e.</p>
<p>2. Carlos, a military commander posted in the southern district, has helped set up a boys' soccer club in the town where his national contingent is deployed. Carlos enjoys the soccer games, but he particularly enjoys the access the club gives him to local adolescents. He gives presents (magazines, candy, sodas, pens) to various boys in exchange for sexual acts. He thinks there's nothing wrong with this, since the boys like the presents he gives them.</p>	<p>a. Yes <input type="checkbox"/> No <input type="checkbox"/>      b. Yes <input type="checkbox"/> No <input type="checkbox"/>  c. Yes <input type="checkbox"/> No <input type="checkbox"/>      d. Yes <input type="checkbox"/> No <input type="checkbox"/>  e.</p>

<p><b>3.</b> Joey is a locally-hired driver for a UN agency, who transports relief items from the warehouse to the refugee camp where the items are distributed. On one of his trips he recognized a 15-year old refugee girl walking on the side of the road and gave her a lift back to the camp. Since then, to impress her and win her over, he frequently offers to drive her wherever she is going and sometimes gives her small items from the relief packages in his truck, which he thinks she and her family could use. The last time he drove her home she asked him inside her house to meet her family. The family was pleased that she had made friends with a UN worker. Joey really likes the girl and wants to start a sexual relationship with her. He knows her family will approve.</p>	<p>a. Yes <input type="checkbox"/> No <input type="checkbox"/>      b. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input type="checkbox"/> No <input type="checkbox"/>      d. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>e.</p>
<p><b>4.</b> Marie is a 30-year-old refugee whose desperate circumstances have forced her into prostitution. On Saturday night she was picked up by John, a UNICEF staff member in a UN car, as he was driving back home after dinner. John took her home and paid her for sex. As prostitution is not illegal in the country where he is posted, he figured he was doing nothing wrong.</p>	<p>a. Yes <input type="checkbox"/> No <input type="checkbox"/>      b. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input type="checkbox"/> No <input type="checkbox"/>      d. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>e.</p>
<p><b>5.</b> Josie is an adolescent refugee girl in one of the camps. Pieter, one of the food distribution staff, who works for WFP, has offered to give her a little extra during the distribution if she will be his “special friend”. She agrees willingly. Both of them agree that they should start a sexual relationship and neither one of them think that anything is wrong. Josie hopes that the relationship will be a passport to a new life in another country, and Pieter does nothing to discourage these hopes.</p>	<p>a. Yes <input type="checkbox"/> No <input type="checkbox"/>      b. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input type="checkbox"/> No <input type="checkbox"/>      d. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>e.</p>

<p><b>6.</b> Darlene is a CIVPOL. She's always on the lookout for good business opportunities since she has to support her family back home. She's asked by another CIVPOL, Stanislas, to contribute some of her MSA towards renovating a bar in the town, in return for a cut of the bar's profits. Darlene soon finds she's getting a steady income from the bar, and gives more money to hire more staff, including security, and so on. She herself doesn't go to the bar, but she knows that there is a lot of prostitution going on there and that several peacekeepers and CIVPOLs use the bar often. However, she doesn't think that concerns her, since she isn't directly involved in those issues. She's just glad of the extra money.</p>	<p>a. Yes <input type="checkbox"/> No <input type="checkbox"/>      b. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input type="checkbox"/> No <input type="checkbox"/>      d. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>e.</p>
<p><b>7.</b> Sven is a Military Observer. He has developed a close relationship with his landlady, Amanna, who also does his cleaning. They eat meals together and talk in broken English. Amanna's family (her husband and three young children) was killed in the violence that engulfed the country five years ago, so she is very lonely and enjoys the opportunity to talk. One night Sven returns from a reception for the Force Commander who has been visiting the district where he is deployed. Sven is drunk. He has not had sex for eight months. He presses Amanna to come to his bedroom, urging her to make love with him. Amanna looks extremely embarrassed, and tries to leave the room. Sven's sure she likes him, but is just being shy. Then he changes tactics, and tells her he will have to think of leaving her house and finding a new home if she won't come to bed with him. Amanna is horrified at the prospect of losing her only source of income, so she complies with his demands. After all the violence she has seen, she has come to expect this kind of behaviour from men, but she had thought that Sven would be different. She was wrong about that.</p>	<p>a. Yes <input type="checkbox"/> No <input type="checkbox"/>      b. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input type="checkbox"/> No <input type="checkbox"/>      d. Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>e.</p>

## Answers for Misconduct Scenarios

### Scenarios covering prohibited acts of Sexual Exploitation and Sexual Abuse for the various categories of United Nations personnel

The following scenarios demonstrate examples of prohibited acts under the current standards of conduct expected of all categories of UN personnel (civilian, civilian police, military observers and military members of national contingents) as set out in the UN Staff Rules and Regulations and/or the DPKO Disciplinary Directives (including the Ten Rules: Code of Personal Conduct for Blue Helmets). These acts also specifically violate standards listed in: ST/SGB/2003/13 on Special Measures for Protection from Sexual Exploitation and Sexual Abuse; and ST/SGB/1999/13 on Observance by United Nations Forces of International Humanitarian Law. N.B. Allegations and reports of sexual harassment are covered by separate procedures described in ST/SGB/253 and ST/AI/379 (as may be amended).

The acts described below constitute misconduct and could lead to the appropriate disciplinary and administrative measures, such as summary dismissal or recommendation to repatriate. More information on determining the relevant procedures to be followed when alleged acts of misconduct occur should be obtained from the relevant Department/Agency Headquarters.

EXAMPLE OF PROHIBITED ACT	WHY IT CONSTITUTES MISCONDUCT
<p>1. Betty is a 16 year old girl living in a small village. Betty has four younger brothers and sisters. Her parents do not have very much money and find it very difficult to provide the costs for education, clothing and food for all of the children. There had even been some discussion about Betty dropping out of school to assist her mother in working at the market. However, all the problems have been solved as Betty has started a sexual relationship with Johnson, a senior UNHCR officer. He has promised to pay for her school fees and help to pay for her brothers and sisters to continue with their education. Betty's parents are very relieved that this opportunity has come and encourage Betty to maintain the relationship. It has really helped the family and now all the children can continue in school.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  e. Sexual activity with children (persons under the age of 18) is prohibited.  Exchange of money, employment, goods, assistance or services for sex, e.g. sex with prostitutes, is prohibited.  <b>Full Explanation:</b>  Under section 3.2 (b) of the Secretary-General's Bulletin ST/SGB/2003/13, Johnson is prohibited from sexual activity with anyone under 18, regardless of the local age of consent. This encounter also constitutes sexual exploitation as defined in section 3.2 (c) of ST/SGB/2003/13: Johnson has abused a position of differential power for sexual purposes, by exchanging money for sexual access.</p>

<p>2. Carlos, a military commander posted in the southern district, has helped set up a boys' soccer club in the town where his national contingent is deployed. Carlos enjoys the soccer games, but he particularly enjoys the access the club gives him to local adolescents. He gives presents (magazines, candy, sodas, pens) to various boys in exchange for sexual acts. He thinks there's nothing wrong with this, since the boys like the presents he gives them.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>e. Sexual activity with children (persons under the age of 18) is prohibited.</p> <p>Exchange of money, employment, goods, assistance or services for sex, e.g. sex with prostitutes, is prohibited.</p> <p><b>Full explanation:</b></p> <p>Carlos' acts are in violation of the Ten Rules: Code of Personal Conduct for Blue Helmets and ST/SGB/1999/13 on Observance by UN Forces of International Humanitarian Law. He has abused a position of differential power for sexual purposes, by exchanging money and goods for sexual favours. Such acts constitute serious misconduct. In addition, Carlos is in breach of the same policy for performing sexual acts with children (anyone under 18, regardless of the local age of consent).</p>
<p>3. Joey is a locally-hired driver for a UN agency, who transports relief items from the warehouse to the refugee camp where the items are distributed. On one of his trips he recognized a 15-year old refugee girl walking on the side of the road and gave her a lift back to the camp. Since then, to impress her and win her over, he frequently offers to drive her wherever she is going and sometimes gives her small items from the relief packages in his truck, which he thinks she and her family could use. The last time he drove her home she asked him inside her house to meet her family. The family was pleased that she had made friends with a UN worker. Joey really likes the girl and wants to start a sexual relationship with her. He knows her family will approve.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> <p>e. Exchange of money, employment, goods, assistance or services for sex, e.g. sex with prostitutes, is prohibited.</p> <p><b>Full explanation:</b></p> <p>Under section 3.2 (b) of the Secretary-General's Bulletin ST/SGB/2003/13, Joey is prohibited from sexual activity with anyone under 18, regardless of the local age of consent. Moreover, the rules also strongly discourage sexual relationships between UN staff and beneficiaries of assistance, since they are based on inherently unequal power dynamics and undermine the credibility and integrity of the work of the UN (see section 3.2 (d) of ST/SGB/2003/13).</p>

<p>4. Marie is a 30-year-old refugee whose desperate circumstances have forced her into prostitution. On Saturday night she was picked up by John, a UNICEF staff member in a UN car, as he was driving back home after dinner. John took her home and paid her for sex. As prostitution is not illegal in the country where he is posted, he figured he was doing nothing wrong.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  e. Exchange of money, employment, goods, assistance or services for sex, e.g. sex with prostitutes, is prohibited.</p> <p><b>Full explanation:</b></p> <p>The exchange of money for sexual services violates the standards of conduct expected of any category of UN personnel. In this case, (involving a civilian staff member) the act violates section 3.2 (c) of the Secretary-General's Bulletin ST/SGB/2003/13.</p>
<p>5. Josie is an adolescent refugee girl in one of the camps. Pieter, one of the food distribution staff, who works for WFP, has offered to give her a little extra during the distribution if she will be his "special friend". She agrees willingly. Both of them agree that they should start a sexual relationship and neither one of them think that anything is wrong. Josie hopes that the relationship will be a passport to a new life in another country, and Pieter does nothing to discourage these hopes.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  e. Exchange of money, employment, goods, assistance or services for sex, e.g. sex with prostitutes, is prohibited.</p> <p><b>Full explanation:</b></p> <p>Pieter's relationship with Josie constitutes sexual exploitation: exchange of goods for sex or sexual favours is explicitly prohibited under section 3.2 (c) of ST/SGB/2003/13. This includes any exchange of assistance that is due to beneficiaries of assistance. Moreover (and irrespective of the local age of consent) if Josie is under 18, Pieter is in violation of section 3.2 (b) of ST/SGB/2003/13.</p>
<p>6. Darlene is a CIVPOL. She's always on the lookout for good business opportunities since she has to support her family back home. She's asked by another CIVPOL, Stanislas, to contribute some of her MSA towards renovating a bar in the town, in return for a cut of the bar's profits. Darlene soon finds she's getting a steady income from the bar, and gives more money to hire more staff,</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  e. The peacekeepers and CIVPOLs using prostitutes are exchanging money for sex, and sex with prostitutes, is prohibited.</p> <p><b>Full explanation:</b></p> <p>Darlene and Stanislas are aiding sexual</p>

<p>including security, and so on. She herself doesn't go to the bar, but she knows that there is a lot of prostitution going on there and that several peacekeepers and CIVPOLs use the bar often. However, she doesn't think that concerns her, since she isn't directly involved in those issues. She's just glad of the extra money.</p>	<p>exploitation. This violates the Ten Rules: Code of Personal Conduct for Peacekeepers. The peacekeepers and CIVPOLs who frequent the bar are engaged in sexual exploitation. For these categories of personnel, using a prostitute violates the Ten Rules: Code of Personal Conduct for Blue Helmets and the ST/SGB/1999/13 On Observance by UN Forces of International Humanitarian Law.</p>
<p>7. Sven is a Military Observer. He has developed a close relationship with his landlady, Amanna, who also does his cleaning. They eat meals together and talk in broken English. Amanna's family (her husband and three young children) was killed in the violence that engulfed the country five years ago, so she is very lonely and enjoys the opportunity to talk. One night Sven returns from a reception for the Force Commander who has been visiting the district where he is deployed. Sven is drunk. He has not had sex for eight months. He presses Amanna to come to his bedroom, urging her to make love with him. Amanna looks extremely embarrassed, and tries to leave the room. Sven's sure she likes him, but is just being shy. Then he changes tactics, and tells her he will have to think of leaving her house and finding a new home if she won't come to bed with him. Amanna is horrified at the prospect of losing her only source of income, so she complies with his demands. After all the violence she has seen, she has come to expect this kind of behaviour from men, but she had thought that Sven would be different. She was wrong about that.</p>	<p>a. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      b. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  c. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>      d. Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>  e. Exchange of money, employment, goods, assistance or services for sex, e.g. sex with prostitutes, is prohibited.</p> <p><b>Full explanation:</b></p> <p>Sven has breached the Ten Rules: Code of Personal Conduct for Peacekeepers, by using his differential position of power to coerce Amanna into having sex with him.</p>

Produced by the Inter-Agency Standing Committee Task Force on Protection from Sexual Exploitation and Abuse

**Acknowledgement:** A number of the scenarios above have been adapted from materials contained in the Facilitator's Guide: *Understanding Humanitarian Aid Worker Responsibilities: Sexual Exploitation and Abuse Prevention*, produced by the Coordination Committee for the Prevention of Sexual Exploitation and Abuse in Sierra Leone.

### Common Questions from Participants

Possible Questions	Responses
<p>1. Where can one find numbers for investigated and resolved cases of SEA?</p>	<p>Annual General Assembly reports on investigations (OIOS report).</p> <p>Information circular on Disciplinary Measures taken by the Secretary General.</p> <p>Annual report on Special Measures for Protection from Sexual Exploitation and Abuse.</p>
<p>2. Why does the United Nations not have authority over Member States with regards to individual SEA cases?</p>	<p>Member States are sovereign, according to Article 2 in the UN Charter.</p> <p>Uniform personnel sent by Member States remain under the jurisdiction of these states.</p> <p>Civilian staff members working for the UN have a contractual employment relation with the UN and this provides a degree of administrative jurisdiction to the UN on these staff members.</p>
<p>3. How is misconduct linked to the domestic jurisdiction of the host country and the home country of the staff member?</p>	<p>The presence of UN personnel in the host country gives that country the jurisdiction over UN personnel, other than members of national contingents, for misconduct that amounts to breaches of the law in that host country, subject to lifting of the UN privileges and immunities.</p> <p>For members of national contingents, they remain subjected to the laws of their own country. UN personnel, other than members of national contingents, could also be prosecuted for breaches to the national laws of their own country even if those breaches are committed outside of their own country.</p>

## UNIT 4 – PART 2: HIV/AIDS AND UN PEACEKEEPING OPERATIONS

### Preparatory Notes to Instructors

#### Aim

The aim of this section is to provide peacekeeping personnel with basic knowledge of HIV, including modes of transmission and preventive measures that everyone should adopt in order to protect themselves and others from HIV infection.

This module, therefore aims to fulfil the obligations of the United Nations and Member States to provide the appropriate training to peacekeeping personnel, as outlined in Security Council resolution 1308 on HIV/AIDs and international peacekeeping operations (2000). This training is also guided by the policies of the United Nations, as officially stated in the Secretary-General's Bulletins on HIV/AIDs in the Workplace (ST/SGB/2003/18 and ST/SGB/2007/12).

#### Learning Outcomes

***On completion of Unit 4 – Part 2, participants will be able to:***

1. Explain how HIV is transmitted
2. List the ABCs of preventing HIV
3. Be able to utilize a condom correctly
4. Explain whether it is possible to tell if a person is infected with the HIV virus from their appearance

#### Training Sequence

This training can be placed anywhere after Unit 1 of the Core Pre-Deployment Training Materials. It may be helpful to place this session sometime after the session on women, peace and security has been completed since some of the messages in that session will provide a foundation for this session.

## Duration

The times shown below are the minimum recommended time periods. Additional activities and discussions can be added as time permits.

Minimum Session Time	Lecture/Presentation	Questions/Assessment	Session Activities
80 minutes	20 min	Participant Questions/ Discussion: 10-15 min. Assessment: 10 min.	Video: 20 min. Condom Demonstrations: 15 min.
Additional Options	Mission Specific	Optional Film	Optional Activity
	as needed		

## Methodology

The following points outline a suggested methodology. Experienced instructors may choose to use alternative methods and activities to present the material and key messages in this unit.

- A film followed by a discussion of key issues raised in the film
- Presentations using the provided PowerPoint slides
- Informal question and answer periods (as determined by instructor)
- Learning assessment questions at the end of the section\*

\* **Please Note:** It is up to the learning institution to decide whether the learning assessment questions are used informally in a group question and answer session, or if they are provided to the participants as a written quiz. In either case, it is recommended that the correct answers are provided at the end of the assessment in order to ensure participants are clear on the key messages.

Instructors are encouraged to add examples and mission-specific information related to the specific deployment of participants, if known.

## Instructor Profile

This session has a practical orientation and is best presented by instructors familiar with the fundamentals of HIV, the impact of behaviour on personal risk and the risk HIV presents to society. S/he must be comfortable in discussing

issues related to sex and sexual relationships, including the use of condoms, as well as recreational drug use.

## Instructor Preparations

### Required Reading

Security Council Resolution 1308 on HIV/AIDs and international peacekeeping operations (adopted in 2000).

DPKO/DFS Policy on the Role and Functions of HIV/AIDs Units in UN Peacekeeping Operations.

### General Preparations

#### Equipment

1. Computer and session slides
2. Projector and screen for slides and the film
3. DVD player and speakers will be needed if film is being shown
4. Male and female condoms and equipment to demonstrate their use.

#### Materials

1. Movie entitled *Hidden Risk*. This can be obtained from DPKO's Peacekeeping Resource Hub website <http://peacekeepingresourcehub.unlb.org> or by emailing [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org)
2. Flipchart marking pens and flipchart paper or white board/pens
3. If training military contingents, instructors should also print out a copy of the DPKO/DFS Policy on Roles and Functions of HIV/AIDs Units in UN Peacekeeping Operations and provide it to the contingent's focal point on HIV/AIDS.
4. Participants often appreciate copies of the PowerPoint presentations. If printing of the PowerPoint presentations is possible, it is suggested that they are printed in 'handout' format, with 3 slides to a page so participants have room to make notes.

## **Mission Specific Preparations**

1. There will be a mission-specific induction briefing by the HIV/AIDS adviser in mission upon arrival. Nevertheless, instructors who wish to provide mission-specific information to participants, can find updated information on prevalence rates, prevention strategies and other key issues on the UNAIDS website at:

<http://www.unaids.org/en/CountryResponses/Countries/default.asp>

## **Materials Referenced In This Section**

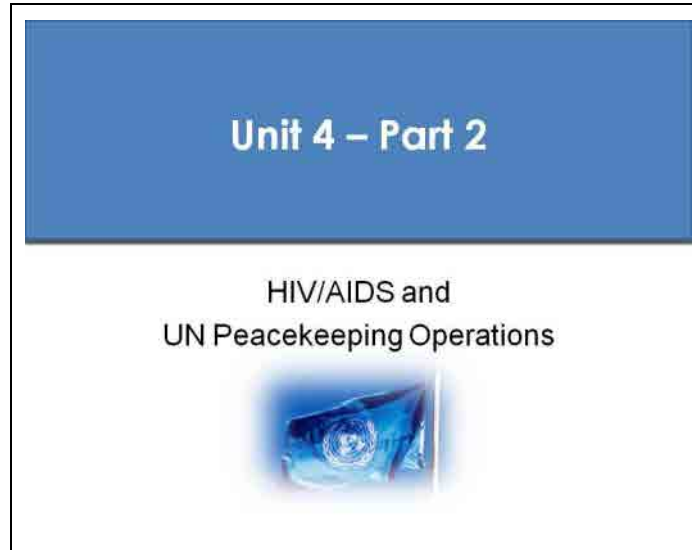
- DPKO/DFS Policy on the Role and Functions of HIV/AIDS Units in UN Peacekeeping Operations.
- Secretary-General's Bulletins on HIV/AIDS in the Workplace (ST/SGB/2003/18 and ST/SGB/2007/12).
- Security Council resolution 1308 on HIV/AIDS and international peacekeeping operations.

## **Additional References**

- *DPKO Guidelines on Reconciling the availability of condoms and the policy of zero-tolerance in United Nations peacekeeping operations, 2008*

## Session Notes

### Introduction



Slide 1

Why is this important for me?

Peacekeeping operations carry a risk for HIV transmission. You need to know about prevention so you can:

- Protect your health
- Protect the health of others
- Protect the legitimacy of the mission



Slide 2

- Deployed peacekeepers live and work in high risk settings. Deployment increases the likelihood of peacekeeping personnel either becoming infected or transmitting infection of HIV while in mission. For **their own health as well as others**, **all** peacekeepers, uniformed as well as civilian, must understand the impact of the HIV pandemic.
- Some UN peacekeeping operations have been accused of spreading HIV in host countries. Although this can be debated, once that accusation has been


made, the legitimacy and credibility of UN peacekeeping and the mission are called into question. As we discussed in Unit 1, maintaining the legitimacy of the peacekeeping operation is an important success factor. So peacekeeping personnel need to act responsibly to prevent the transmission of HIV not just for their own protection, but also to **protect the legitimacy of the mission**.

- 💬 For these reasons, the Security Council and the UN Secretary-General require that all UN personnel are regularly educated on prevention of HIV transmission. This session fulfils that requirement, and in addition, you will also have a more detailed briefing in mission on the country-specific aspects of HIV/AIDS pandemic.

### Learning Outcomes

On completion of this session, participants will be able to:

- Explain how HIV is transmitted
- List the ABCs of prevention of HIV
- Describe how to use a condom properly
- Explain whether it is possible to tell if a person is infected with the HIV virus from their appearance



Slide 3

- 👉 **Note to Instructor:** Review the intended learning outcomes of this section (as shown in the slide above) with participants.

## Definition of HIV/AIDS


What does HIV mean?

**H** = Human

**I** = Immunodeficiency

**V** = Virus

HIV = a virus that causes the weakening of the human defence system against diseases.



Slide 4

- **HIV** stands for **Human Immunodeficiency Virus**. This is the virus that causes the weakening of the human defence system against diseases. HIV is the virus that causes AIDS.


What does AIDS mean?

**A** = **Acquired** virus has been received from another infected person

**I** = **Immune** the body's defence system against disease

**D** = **Deficiency** not working properly – the immune system is weak

**S** = **Syndrome** collection of symptoms associated with a particular disease



Slide 5

- **A** stands for **acquired**. This means that a person has received the disease from another infected person. (They acquired it.) It is not a genetic disease and does not come from changes in cells.

- 💬 **I** stands for **immune**, referring to the body's immune system. The immune system uses "soldier cells" to protect the body from disease. The human immune deficiency virus (HIV) attacks and kills those soldier cells.
- 💬 **D** stands for **deficiency**. Deficiency means lacking or not having enough of something. In this case, the body does not have enough soldier cells to protect it against infections. HIV enters the body and acts like a sniper, hidden for as long as it takes to weaken the immune system. Over time the body's soldier cells are killed and the immune system becomes too weak to protect the person from disease. The person carrying HIV then becomes sick with AIDS.
- 💬 **S** means that the disease is a **syndrome**. A syndrome is a group of health problems that indicate a particular disease or condition.

## How is HIV Spread?



### Film: Hidden Risk

The film *Hidden Risk* has been prepared by the Department of Peacekeeping Operations (DPKO) in order to illustrate the key concerns regarding HIV/AIDS in peacekeeping.

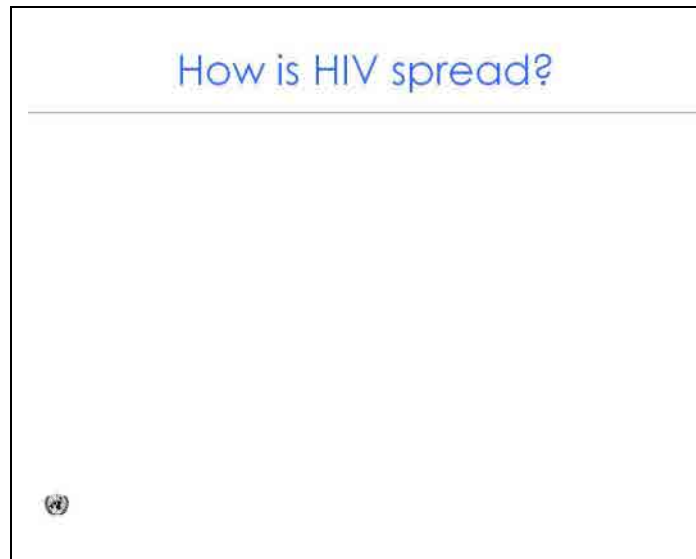


**Film Time: 20 min and 20 sec.**




**Note to Instructor:** *Introduce the film and indicate to participants that a discussion will follow on the key points raised in the film.*

*Show the film and then proceed to the following slides. The next several slides pose questions for the participants to brainstorm answers to. Each question slide is followed by a slide with the correct answers.*




Slide 6

 **Note to Instructor:** Ask participants “**How is HIV spread?**” This was covered in the film. Acknowledge participants’ ideas and add to their points with the points on the next slide. Ensure you correct any incorrect ideas on how it is spread. (Info on how it is NOT spread is covered on slide 9.)



Slide 7

 The four most important ways in which an individual can be exposed to HIV transmission are:

- **Unprotected sex: vaginal, oral** and **anal** as long as there is contact with an infected person’s semen or vaginal fluids.

## 64 ▪ Unit 4 - Part 2: HIV/AIDS and UN Peacekeeping Operations


- Insufficiently screened **blood or blood products** may lead to transfusion of HIV **infected blood**.
  - Transmission following the use of **contaminated injecting equipments** such as by **sharing needles** in injecting drug use. Use of contaminated syringes or other surgical instruments can also result in HIV transmission.
  - **Mother to child transmission**: Transmission from a HIV infected mother to her child during **pregnancy**, during the **delivery** or after delivery through **breast-feeding**.
- 💬 Anyone who is infected with HIV can transmit the infection, whether or not they appear sick, have an AIDS diagnosis, or are receiving treatment for their HIV infection.
- 💬 There is no way to know whether a person has a Sexually Transmitted Infection (STI) or is infected with HIV, just by looking at them.



👉 **Note to Instructor:** Ask participants **how HIV is NOT spread**. This was also covered in the film. Acknowledge participants' ideas and add to their points with the points on the next slide. Ensure you correct any incorrect ideas.

### HIV is **NOT** spread by...

1. Animals or insects
2. Water
3. Non-sexual contact between people in daily activities
4. Using toilets or showers
5. Visiting a hospital or medical wing
9. Coughing or sneezing
4. Touching, hugging or shaking hands
5. Sharing food or eating or drinking using utensils
6. Working, socializing, living with or sharing the same room with an HIV positive person




Slide 9

- 💬 HIV is not transmitted by **casual (non-sexual) interaction** between people, like **shaking hands, touching and hugging or eating food prepared by someone with HIV**.
- 💬 Children playing or sharing a bath with an HIV-positive person are not at risk. HIV is not spread through non-sexual kissing, even deep kissing.
- 💬 HIV has been found in saliva but in only extremely tiny amounts. No one has ever contracted HIV through kissing.

👉 **Note to Instructor:** Ensure all points on the slide are covered.

## The ABCs of Prevention

### What are the "A, B, Cs" of HIV Prevention?



Slide 10




**Note to Instructor:** Ask participants of if they can say what is meant by the **ABCs of HIV prevention** (as described in the film). Acknowledge responses and make the points on the following slide.

### The "A, B, Cs" of HIV Prevention




**A** = Abstinence - No sex

**B** = Be faithful - Stick to one non-infected spouse or partner

**C** = Use Condoms, if needed



**Slide 11**

-  **Abstinence** is an important HIV prevention method, and some peacekeepers may be able remain abstinent during the deployment period. Peacekeeping personnel should also remember that there are strict rules limiting sexual relations with the local population. Exchange of money, employment, goods or services for sex, including sexual favours or any other forms of exploitative behaviour, is prohibited. Sex with prostitutes or anyone under the age of 18 is also strictly forbidden.
  
-  Being sexually **faithful** to one partner is also safe, if this partner is not infected and he/she is also faithful. An important HIV prevention strategy is to "Know your own HIV status and be faithful to your faithful partner who knows her/his status".
  
-  If you do have sex, **use a condom** and use it correctly. The availability of condoms in mission does not mean that you are allowed to violate the UN rules against having sex with prostitutes or anyone under 18 years of age. If you have sex with anyone other than your non-infected regular partner, always use a condom.

### Facts and Myths about Condoms

- Myth: Condoms are too slippery
- Fact: If the sex is not great, it's not the condom's fault!
- Myth: Condoms are too small for me



**Slide 12**

- 💬 Some people do not like to use condoms as protection. You may want to contemplate how to respond to a partner who does not want to use a condom. It is important to keep in mind that you have a right to protect yourself and your health. You also have a responsibility to protect your partner.
- 💬 Using a condom does feel different, and there are a lot of myths about the use. A phrase used by some is that “you don’t eat chocolate with the wrapping on” or “you do not have a shower with the clothes on”. This is a statement that no man or woman should be proud of saying! Using a condom can be a matter of life and death!
- 💬 Some men claim that condoms are **too slippery** or that they ruin sex. Having sex with the same partner does not always feel the same way. Using a condom will just add two more dimensions, one about sensitivity and one about the positive feelings and emotions created by your partner sincerely caring about your health. It will be different and it will still not feel the same every time, but the change may very well be for the better as it allows peace of mind. **If the sex is not great, it is not the condom’s fault.**
- 💬 Some men argue that condoms are **too small** for them. But in reality, condoms can hold up to 7 litres of fluid!



Slide 13

- You are again reminded that the **UN strictly prohibits personnel to engage in sexual activity with prostitutes or anyone under the age of 18. The UN also strongly discourages sexual relationships between peacekeeping personnel and the local population.** This is based on the fact that the local population is a beneficiary of the mission's assistance and therefore a relationship between mission personnel and a local will be unbalanced in terms of power. While there is a more balanced relationship between peacekeeping personnel, you are also reminded of the UN policy against sexual harassment and abuse.

**Note to Instructor:** Please refer to the “DPKO Guidelines on Reconciling the availability of condoms and the policy of zero-tolerance in United Nations peacekeeping operations, 2008” for additional information if needed.

- As a health and safety measure to prevent sexually transmitted infections (STIs), HIV and pregnancy, peacekeeping operations do make both male and female condoms discreetly available. Always plan ahead and bring your own condoms if you think you might want to have sex. Do not rely on your partner to bring condoms.
- Condoms should be used whenever there is anal, vaginal or oral sex, whether it is between a man and a woman or between men. Condoms should be used whenever there is penetration, even if the partners do not seek to climax or ejaculate.
- Female condoms are for vaginal use only.

- Only one condom should be used at a time. The use of one condom provides better safety than two. When two condoms are used there is friction between them and it creates a danger of tearing. This is true for the use of two male condoms as well as the use of one male and one female condom.



## Learning Activity: Condom Demonstration

The purpose of this demonstration is to ensure all participants clearly understand how to use male and female condoms correctly and consistently.



**Time Required:** 8 minutes to go through the points  
7 minutes for questions during demonstration

Total time: **15 minutes** (depending on questions and discussion)



### Preparations:

1. Have 2 (or more) condoms available for the demonstration.
2. Note: If equipment for a female condom demonstration is not available, it is sufficient to mention that female condoms exist.



### Activity Guidelines:

1. You may want to choose to pass condom packages around for participants to look at as you are speaking.
2. Go through the following points with the participants, demonstrating as appropriate.
3. **Male Condom**
  - a) Check the expiry date and that the packing of the condom has not been damaged or perforated. (*Show participants where the date is located on the package. Demonstrate how they can press and make sure there is a pocket of air to indicate that the packaging has not been compromised*)
  - b) Open the pack carefully on the serrated edge without damaging the condom; do not use your teeth, nails or a sharp instrument or you may risk tearing the condom. (*Demonstrate opening.*)
  - c) Wear the condom only after the penis has become fully erect. Do not perform any sexual act involving penetration without using a condom.
  - d) Pinch the air from the tip of the condom to leave space for the semen and place the condom at the tip of the erect penis. Be careful with sharp finger nails as they can rip the condom!

- e) Carefully roll the condom down over the erect penis until it is completely unrolled and /or the entire penis is covered. Ensure that there is no air in the condom.
- f) If you need extra lubrication, do not use Vaseline, baby oil or any other oil-based lubricants as they can weaken the material the condom is made out of. Use water based lubricants such as KY liquid/jelly.
- g) Once the sexual act has ended, pull out while the penis is still semi-erect and hold the base of the penis to make sure that the condom does not slide off.
- h) Remove the condom by holding the base of the condom and sliding it off, being very careful not to allow the sperm onto your hands.
- i) Do not re-penetrate after the condom is off, and do not let your partner touch your unprotected penis, as it may still have sperm on the skin or the head.
- j) Wrap the used condom in toilet paper or tissue and dispose it in an appropriate manner so children cannot find it and use it as a balloon.
- k) Do not flush it down the toilet as it may block the pipes. Follow the three Bs: Bin, Burn or Bury.

#### **4. Female Condom**

- a) Check the expiry date and that the packing of the condom has not been damaged or perforated.
- b) Open the pack carefully, tearing from the arrow on top. Do not use your teeth, nails or a sharp instrument as or you may risk tearing the condom.
- c) Always insert the condom prior to the man entering. The female condom can be inserted up to 8 hours before sex is initiated.
- d) Squeeze the smaller ring at the covered end and insert the condom into the vagina. Utilize fingers to insert it further into the vagina until it rests comfortably against the cervix, behind the pubic bone. The outer ring remains outside.
- e) The female partner needs to hold down the outer ring against her flesh and guide her male partner to make sure he doesn't accidentally enter on

the side or push the condom inside the vagina with entry. When the man enters his penis should be “surrounded” by the outer ring.

- f) Once the sexual act has ended, hold the outer ring and twist it twice before pulling out to avoid spillage or contact with semen.
- g) Do not re-penetrate after the condom is out, and do not touch your partner’s unprotected penis, as it may still have sperm on the skin or the head.
- h) Dispose the used condom in an appropriate manner. Follow the three Bs: Bin, Burn or Bury.

## The Importance of Voluntary Counselling and Testing

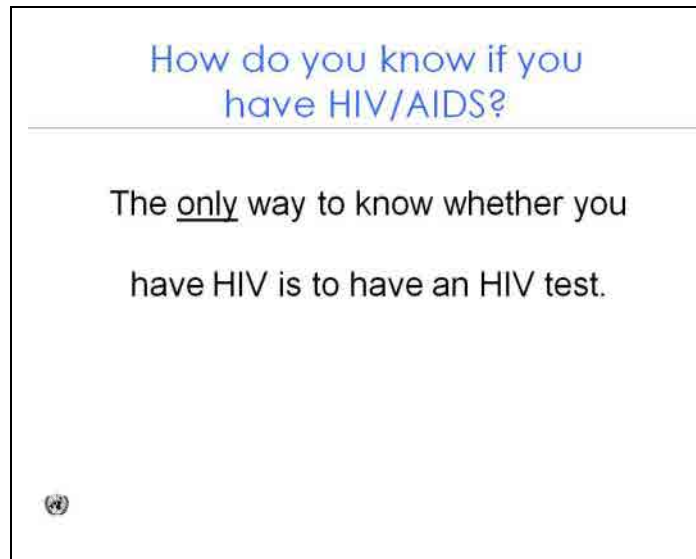


Slide 14



**Note to Instructor:** Ask participants how a person knows if they have HIV/AIDS or not. This point was covered in the film.

*If there are responses, acknowledge if the correct answer is given. Show the following slide with the one correct answer.*



Slide 15

- 💬 The only way to know whether you have HIV is to have an HIV test.
- 👉 **Note to Instructor:** Ask participants to consider the advantage of having a test and make the following points.
- 💬 Knowing your status (whether you are or are not infected with HIV) helps you to:
  - Protect yourself. If you find out you are HIV-negative it provides you with a “clean slate” (the knowledge that you do not have the virus). You can then find out from a counsellor how to develop and maintain safe sex practices that will help you have a satisfying sex life and still remain HIV-negative.
  - Protect others. Finding out that you are HIV positive and discussing it with your counsellor will help you avoid putting your loved ones and sex partners at risk of HIV infection. You can develop safe sex practices that do not risk passing on the virus to anyone. Those who know they are infected can also take steps to avoid pregnancy or measures to reduce the likelihood of transmitting HIV to the baby.
  - Plan lifestyle changes. Those who find out they are HIV positive can make the healthy changes needed to extend their life and improve their quality of living. This can be done through lifestyle changes such as healthier eating, having a structured life with enough rest and lowering alcohol consumption (amount drank).

## 74 ▪ Unit 4 - Part 2: HIV/AIDS and UN Peacekeeping Operations

- Medical considerations. It is also important to consider treatment or prevention of the many kinds of infections that can occur because the immune system is weakened (opportunistic infections). There is no vaccine or cure for HIV or AIDS, but antiretroviral drug treatment, if appropriately followed, can allow HIV positive persons to slow the progression to AIDS.



Slide 16

- 💬 **Anyone can become infected** with the virus! Very often the psychological and social consequences of HIV infection that result from stigma (social disgrace) and exclusion can be as severe or worse than the health impact. UN personnel are mandated to ensure that the rights to confidentiality, equality and non-stigmatization of persons living with HIV are fully respected!

### 🔑 Summary of key messages

- 👉 **Note to Instructor:** Outline the main points that have been covered during the session.

In this session we have been exploring ways of protecting ourselves and the host population in peacekeeping operations from HIV. The key points to remember are as follows:

- HIV transmission is preventable.
- You can protect yourself from getting HIV through Abstinence, Being Faithful, and using a Condom when necessary.
- You should get tested to find out if you have HIV or AIDS and protect yourself and your partner.

- Anyone can become infected with HIV. Respect persons living with HIV and AIDS.
- Preventive measures are not only important for protecting yourself and others but also are critical to protecting the legitimacy of the peacekeeping mission.

## Unit 4 – Part 2: Learning Assessment

The following questions can be informally asked of the whole participant group at the end of the session or can be used in written form. At the end of the entire unit and/or the conclusion of the CIT, instructors may want to again choose some of the following questions for review.

### Questions

1. You can get HIV from being bitten by a mosquito. **True or False**
2. You can become infected with HIV from having sex with a person one time. **True or False**
3. You can contract HIV by sharing syringes or needles used to inject drugs. **True or False**
4. What are the A, B, Cs of HIV prevention?
5. You can tell by looking at someone whether he or she has HIV. **True or False**
6. What is the only way to know that you have HIV or AIDS?
7. A person's HIV status should always be treated confidentially whether they work for the UN or not. **True or False**
8. A person can be infected with HIV for 10 years or more yet show no symptoms. **True or False**

### Answers

1. You can get HIV from being bitten by a mosquito. **False**
2. You can become infected with HIV from having sex with a person one time. **True**
3. You can contract HIV by sharing syringes or needles used to inject drugs. **True**
4. **Abstinence; Be Faithful; Use a Condom**
5. You can tell by looking at someone whether he or she has HIV. **False**
6. By being tested.
7. A person's HIV status is always confidential whether they work for the UN or not. **True**
8. A person can be infected with HIV for 10 years or more yet show no symptoms. **True**

## UNIT 4 – PART 3: RESPECT FOR DIVERSITY

### Preparatory Notes to Instructors

#### Aim

The aim of this session is to increase awareness of the kind of diversities that may be encountered in a peacekeeping mission, including cultural diversity. The intention is also to reduce the possibilities for misunderstandings to occur while enhancing opportunities for clear and positive communications.

#### Learning Outcomes

***On completion of Unit 4 – Part 3, participants will be able to:***

1. Explain what is meant by “diversity”
2. Describe how cultural differences and different kinds of diversity might be evident in the mission environment and in the host country
3. Describe what is involved in respecting diversity in relation to working effectively in a multicultural peacekeeping environment
4. Describe strategies for enhancing communications

#### Training Sequence

This training can be placed anywhere after Unit 1 of the Core Pre-Deployment Training.

#### Duration

The times shown below are the minimum recommended time periods. Additional activities and discussions can be added as time permits.

Minimum Session Time	Lecture/Presentation	Questions/Discussion	Session Activities
120 minutes	45 min.	15 min.	60 min.
Additional Options	Mission Specific	Optional Film	Optional Activity
	Time to be determined by necessary content		10-15 min.

## Methodology

This is an interactive session with both large and small group activities. It also utilizes short, slide-supported lectures.

Instructors are encouraged to add examples and deployment mission-specific information. Questions are included for an informal assessment at the conclusion of the session.

## Instructor Profile

This session has a practical orientation and is best presented by trainers with personal experience of working with different cultures in a peacekeeping context. If possible, this session is ideally co-facilitated by two people who are able to provide perspectives and examples that represent diverse and complimentary backgrounds.

## Preparations

### General

#### Equipment

1. Computer and session slides
2. Projector and screen

#### Materials

1. Flipchart papers
2. Flipchart marking pens
3. Participants often appreciate copies of the PowerPoint presentations. If printing of the PowerPoint presentations is possible, it is suggested that they are printed in 'handout' format, with 3 slides to a page so participants have room to make notes.

### Mission Specific

1. Research the culture(s) of the mission's host country and be prepared to provide participants with an introduction on relevant laws, customs and traditions. Things to consider researching and presenting to the participants include:
  - Dress codes, including concepts of modesty and propriety

- Expectations of formality
- Relevant religious practices, places of worship or places of religious and historical significance
- Norms for greeting and being courteous
- Gender considerations
- Relevant laws and consequences (e.g. alcohol prohibition, littering laws, etc.)
- Norms of what is acceptable in public
- Meanings of common gestures, including anything to avoid

## Session Notes

### Introduction



Slide 1

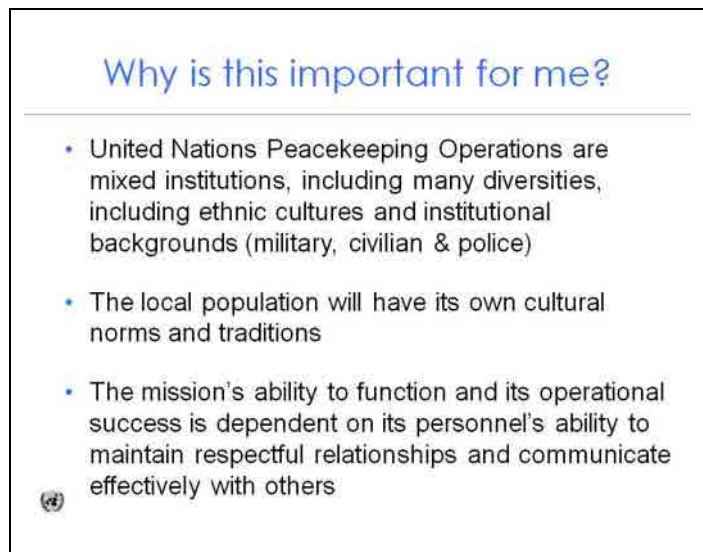


Slide 2


- 💬 The **Organizational Core Values in the United Nations are Integrity, Professionalism and Respect for Diversity**. In this session we are going to focus on Respect for Diversity.






Slide 3



Slide 4


 **Note to Instructor:** Ask participants why this topic is important to peacekeeping personnel. Acknowledge answers given and emphasize the following points:

-  A peacekeeping operation involves peacekeepers working **in a very mixed institution, both culturally and in terms of diverse institutional backgrounds between military, civilian and police.**
-  The success of a peacekeeping operation also requires respect for the **local population which will have its own cultural norms and traditions.**
-  The mission's ability to function well and to work effectively with the host country **depends on each peacekeeper's ability to maintain respectful**


**relationships and communicate effectively with others.** Being aware of the diverse backgrounds and being sensitive to different ways of doing things will help peacekeepers to make mindful and responsible choices in all aspects of their work.

### Learning Outcomes

1. Explain what is meant by “diversity”
2. Describe how cultural differences and different kinds of diversity might be evident in the mission environment and in the host country
3. Describe what is involved in respecting diversity in relation to working effectively in a multicultural peacekeeping environment
4. Describe strategies for enhancing communication



**Slide 5**



 **Note to Instructor:** Review the intended learning outcomes of this section (as shown in the slide above) with participants. By the end of the session, the participants will be able to answer each of the above points.

## What is Diversity?

### What is Diversity?

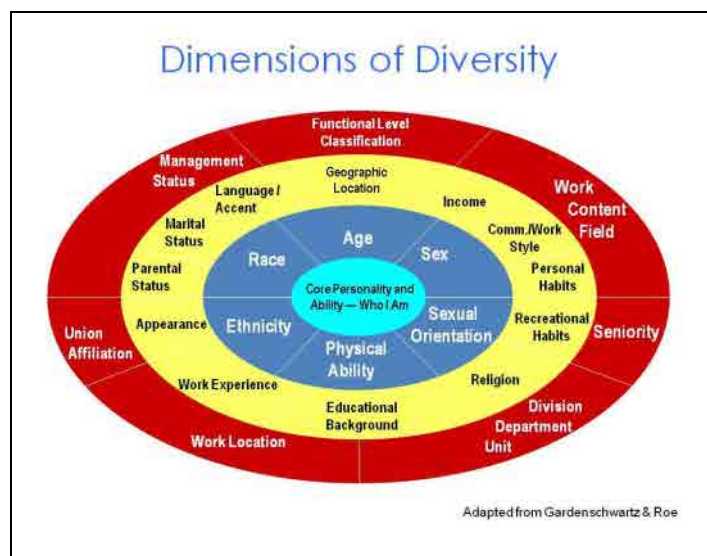
Diversity = variety, different kinds of things

Diversity in a human context refers to differences such as of ethnicity, race, professional backgrounds, religious or political beliefs, and much more.

**Slide 6**

- ☞ In its simplest definition, **diversity** means “**variety**”. It refers to things that are different from each other.
- ☞ When we speak about **diversity in a human context we are talking about differences such as of ethnic backgrounds, race, professional backgrounds, religious or political beliefs and much more.**



Slide 7

- ☞ The graphic in the slide shows a way of looking at the many layers and elements of diversity.
- ☞ The innermost core in the diagram shows our personality, the part that distinguishes us from everyone else.
- ☞ The next ring (shown in the darker blue) are things we cannot change about ourselves, such as our age, race and physical ability.
- ☞ The next ring of elements (in the yellow ring) reflects our personal circumstances and the individual choices we make, such as geographic location, work style, educational background, etc.
- ☞ The outer ring represents the organizational aspects of diversity. These include things such as our field of work, how long we've been in the organization and the part of the organization we work in. Other aspects are classification levels and staff or management status. In some organizations, union affiliation is also a consideration.
- ☞ We don't necessarily think of these organizational aspects immediately when we think of diversity but they are very much a reality and can make a big

difference in how we relate to one another, particularly in a work environment such as a peacekeeping mission.

As was discussed in Unit 2, even though all parts of a United Nations peacekeeping operation work under the same mandate, report to the same Head of Mission, share a single budget, and depend on the same integrated support services, there are significant differences across the mission. These include national, institutional and professional differences. These differences are both within the components and between them.

In this next activity we are going to look at some of those diversities.

## Diversity in a Peacekeeping Operation



### Learning Activity 1: Brainstorm on Diversity & Culture Within Mission

The purpose of this brainstorming activity is to engage participants' in thinking about the kinds of diversity that may be present in a peacekeeping operation, both within the mission and the host country.



**Time Required:** 2-3 minutes for activity introduction and instructions  
5-7 minutes for brainstorming

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**Total time: 10 minutes**



#### **Preparations:**

1. Place a flipchart on the wall and write at the top: "Diversities/Cultures in a Peacekeeping Operation".



#### **Activity Guidelines:**

1. Ask participants to reflect on the different kinds of people that they will likely meet and work with while deployed to a peacekeeping mission. Refer them to the graphic and to their own life experiences if they have not been to a peacekeeping mission before.
2. Provide a few obvious examples such as: "Nationality" and "Military". and also a couple of examples that might be less obvious, such as "Education Level" and "Income".
3. Write the examples down and ask participants to provide their own ideas of the kinds of diversities and cultures that may be present in the mission.

4. Write down everything participants say, asking for clarification as needed. Be prepared to prompt a bit if you don't get many ideas from the participants.

Possible responses from participants might include:

<i>Race</i>	<i>Military</i>
<i>Sex</i>	<i>Civilian</i>
<i>Religion</i>	<i>Police</i>
<i>Professional Background</i>	<i>Talkative/Quiet people</i>
<i>Age/generation</i>	<i>Experience with UN</i>
<i>Income</i>	<i>Headquarters /Field experience</i>
<i>Educational Level</i>	<i>Sexual Orientation</i>
<i>Language</i>	<i>Vegetarian</i>
<i>National staff</i>	<i>Physical abilities</i>
<i>International staff</i>	<i>Fitness level</i>
<i>Diplomats</i>	<i>Ethnic groups engaged in conflict</i>
<i>NGO staff</i>	

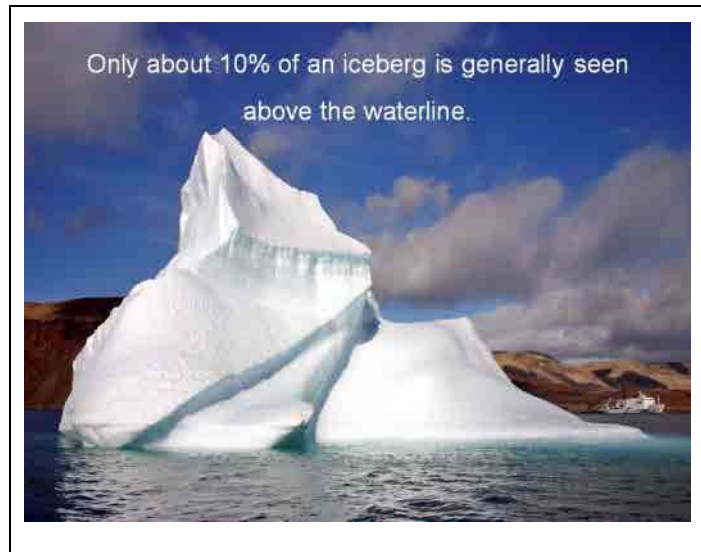


**Note to Instructor:** Acknowledge responses and add some from the list above if needed. Add others that you think are important to include.








**Optional Learning Activity:** At the end of Part 3 there are instructions for an optional learning activity that explores the diversity within the participant group. It gets people moving around and takes about 10-15 minutes.

## Cultivating An Awareness of Diversity



Slide 8

 **Note to Instructor:** Ask if anyone has ever seen an iceberg – either in real life or in a picture or movie (e.g. *The Titanic* movie). If a participant responds, ask them to describe what an iceberg is. Acknowledge and, if necessary, add to their definition with the following points:

-  An iceberg is a very large piece of ice that is floating in the ocean. Only **about 10% of the iceberg can be seen above the waterline** and the rest is not easily visible.
-  The part of the iceberg that is under the water is invisible and has an unknown shape. While the iceberg is beautiful, it is also potentially dangerous to boats navigating in those waters. They might run into the submerged part of the iceberg in their lack of awareness.
-  Diversity is like an iceberg that way. There are some things we can easily notice about people (above the waterline) and there are other parts that are less obvious (under the waterline). Our lack of awareness of the less obvious differences can sometimes lead to misunderstandings and even conflict.
-  In this next activity we're going to explore which aspects of diversity are easily noticeable and which are less obvious.



## Learning Activity 2: Diversity Iceberg

The purpose of this brainstorming activity is to engage participants' in thinking about different levels of diversity – the obvious and less obvious. This activity provides a foundation for subsequent discussions on practicing awareness and respect for diversity within a peacekeeping mission.



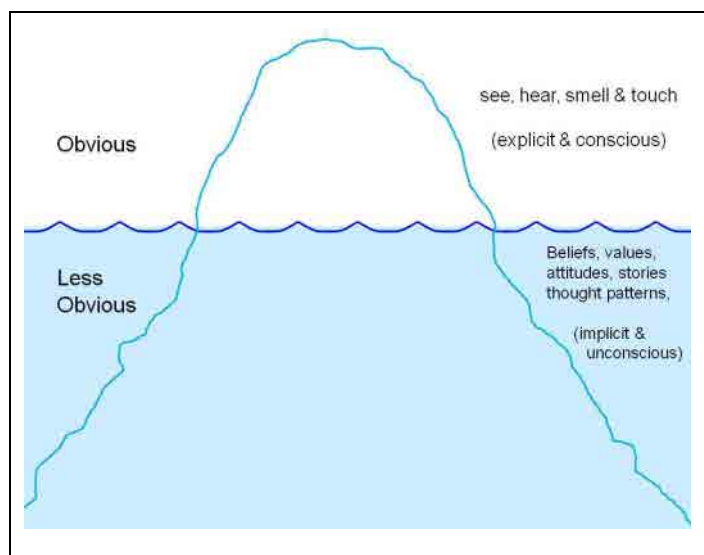
**Time Required:** 3-5 minutes for activity introduction and instructions  
10 minutes for brainstorming (may need a bit more)

**Total time: 15 minutes**



### Preparations:

1. On a piece of flipchart paper, draw an outline of an iceberg with a wavy line near the top to indicate the waterline. Make sure you leave enough room to so that you can easily add words into the top and bottom of the iceberg. (See slide 9-11 for examples.)



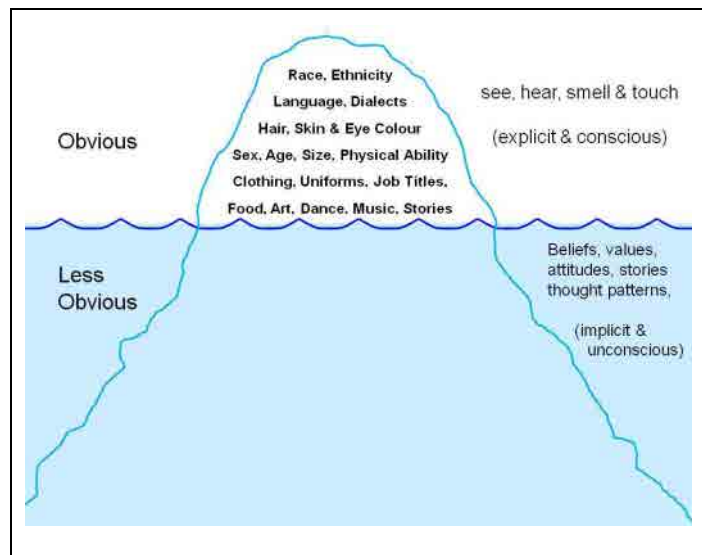
Slide 9

2. Above the waterline, write the words “Obvious” and “see, hear, smell and touch”. (You can also write “explicit and conscious” if it will be useful for the group.)
3. Below the waterline, write the words “Less Obvious” and “beliefs, values, attitudes, thought patterns and stories”. (You can also add “implicit and unconscious” if useful.)



### Activity Guidelines:

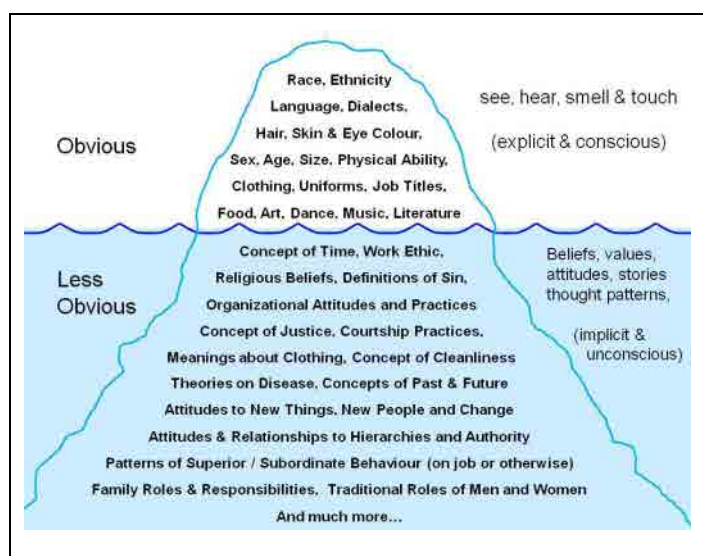
1. Acknowledge that participants have provided examples of many different kinds of diversities that might be present in the peacekeeping mission and now you are going to explore what kinds of things are obvious and easy to notice and what kinds of things are less obvious.
2. Take a few examples of obvious differences from what was written in the previous exercise to “seed” (start) the brainstorm and write them above the waterline in the iceberg. Examples of the more obvious aspects of diversity and culture are things like race, language, age and different kinds of food.
3. Ask participants to call out other examples of differences that are obvious.
4. Write the participants’ responses inside the iceberg above the waterline. If necessary, clarify with the group if a point is actually something that would be easy to notice or not. If not, make a note of it and bring it up again in a few moments when you’re discussing the less obvious aspects of diversity.
5. Once you have as many responses about obvious diversities as possible, show slide 10 (shown below).



**Slide 10**

6. Now ask participants to think of examples of characteristics of diversity and culture that might be less visibly obvious (below the waterline). Some examples that you can give are “courtship practices” and “concepts of time”. Write these or another one or two examples inside the iceberg, below the waterline.

7. Ask participants to give other examples of aspects of diversity and culture that might be less obvious. (Perhaps there are some examples from the previous brainstorming exercise that belong below the waterline in this activity.)
8. Write the participants' responses inside the iceberg below the waterline. If necessary, clarify with the group if a particular point should be above or below the waterline. You might ask them questions like, "Would this be something you'd notice quickly? Or would you find this information out after a while – maybe after you've had more experience with the person (or group) - perhaps even worked with them?"



Slide 11

9. Show the slide above and add any additional points to your flipchart if desired. Make sure points about hierarchy, authority and patterns of superior/subordinate behaviour are included below the waterline (in whatever words make sense to the group). These points will be followed up on later in the session with regard to attitudes and positions within a peacekeeping mission. Summarize the activity with the following points.

- 💬 Our cultural backgrounds, life experiences and personal preferences colour everything we see and do. It is not possible to totally put these things aside during our interactions with others. However, cultivating an awareness of our own backgrounds and how we perceive things will help us understand more about how we interpret situations and events.
- 💬 Being aware of our own perspectives also allows us to consider the possibility that there may be other ways of seeing a situation. This in turn gives us an opportunity to make conscious choices versus just reacting reflexively.



*Ask participants if they have ever noticed challenges that have occurred because of a lack of understanding about the kind of differences that are listed under the waterline. If time permits, ask for an example or two or perhaps give your own example.*


It is important to be aware of...



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Stereotypes =	Beliefs about all people of a certain type
Prejudices =	<p>Judgements or opinions that are formed without real knowledge or examination of facts</p> <p>Prejudices are generally negative</p>

## Slide 12

- As human beings, we have a tendency to make assumptions about groups of people or diversities that we don't know much about. Assumptions and generalizations can lead to stereotypes which in turn can lead to prejudices.
- Stereotypes** are **beliefs about all people of a certain type**. For example, all tall people are confident and all people with glasses are smart. Stereotypes are not necessarily positive or negative but, by their nature, they can have negative impacts.
- Prejudices** are **judgements or opinions that are formed without real knowledge or examination of fact. Prejudices are generally negative.** Examples of prejudices in action are hiring practices that exclude people because of their age, race or sex. This kind of practice is based on a prejudice that the person will not be able to do as good a job because of those attributes.
- We start a cycle of prejudice when we start to judge other cultures by our own set of standards as our means of defining the world around us. Prejudice is often based on imperfect information and is normally filtered through our own backgrounds and experiences. Ignorance or unwillingness to learn can result in unintentional conflict or misunderstanding.
- When working in a culturally diverse environment such as a peacekeeping operation, you must be able to question your own beliefs and expectations in

 order to avoid stereotyping, forming prejudices against others and acting from that mindset. Ask participants to consider the kinds of assumptions and stereotypes that might exist in a peacekeeping operation.


-  For example, people sometimes make assumptions that ‘all people in the military are a certain way (fill in the blank)’. However, the reality is that the military is itself made up of many different professions and organizational cultures. Additionally, professional cultures might vary considerably from country to country. This might show up in different ways, such as attitudes to authority and hierarchy. It might be perfectly acceptable in one country for someone in the military to question a superior’s decision but unthinkable in another country.
-  This is an example of how there are always many factors at play and how stereotypes generally will not stand up when examined. They can cause serious misunderstandings and get in the way of a good working environment.

## UN Core Values on Respect for Diversity

UN Core Value  
Respect for Diversity

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- 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 and demonstrate this understanding in daily work and decision-making



**Slide 13**



Slide 14

💬 The United Nations Core Organization Values identify several ways that **respect for diversity** can be practiced. These outline that peacekeeping personnel will:

- **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 and demonstrate this understanding in daily work and decision-making**
- **Examine own biases and behaviors to avoid stereotypical responses**
- **Do not discriminate against any individual or group**

👉 **Note to Instructor:** Be prepared with one or two examples that illustrate the points above.

❓ Ask participants to think about the different points that have been outlined by the UN and if they can give specific examples of how they have seen respect for diversity practiced in the workplace.

## Common Differences and Practicing Respect

💬 The following slides illustrate some of the most striking differences that new peacekeeping personnel might encounter in mission and some ideas on how to demonstrate respect.

### Attitudes Regarding Authority and Management

- Remember that the difference may be cultural
- Take time to understand what is happening
- Be clear & respectful in your communications and expectations



Slide 15

### Attitudes Regarding Authority and Management

- As mentioned previously you will likely encounter different ways that people relate to authority and management positions. At one extreme, a person may seem to be acting subserviently and at the other end of the spectrum, a person may seem disrespectful. Remember that the difference may be cultural.
- Take time to understand what is happening.** It may be that the person comes from a national or professional culture where:

- One should never disagree with a superior
- One should always air their opinions, even if they are in direct disagreement with a superior
- Opinions and ideas should not be shared openly
- Deals are made outside of public meetings

Add other examples...

- 
- 
- 

- Consider the implications of those ways of seeing the world. Try to understand what is motivating the other person. Ask advice if necessary from trusted colleagues on how to approach problematic situations.

- Be clear and respectful in your communications and expectations. The reality is that a peacekeeping mission is a hierarchical structure and there are certain protocols in how communications work.

### Body Language & Gestures

- Observe and acquaint yourself with what is culturally appropriate
- Ask colleagues for advice as needed





Slide 16

## Body Language and Gestures

- Body language communicates many things that you do not actually say. It is commonly believed that only 7% of communication is the actual words and the rest is our tone of voice and body language.
- Add to this fact that gestures have different meanings in different cultures and you have a situation that is full of possibilities for misunderstanding.
- For example, a thumbs up gesture in some countries is a sign that things are going well. In other countries it is considered a rude gesture.
- A polite handshake is accepted in many cultures but this kind of physical contact is not welcomed everywhere. Also, in some cultures it is acceptable for men to shake hands with men but not with women.
- Men commonly walk hand in hand in many cultures, and women do likewise, indicating that they are friends and trust one another. In other countries, however, men who touch each other in public may be exhibiting physical attraction to one another.
- The key is to find out what is culturally acceptable in the host country and with your colleagues' cultures and practice respect and tolerance.

- Take time to observe and acquaint yourself with what is culturally appropriate. Ask colleagues for advice as needed.

### Religion

- Be aware of different religious beliefs and customs, particularly local ones
- Practice respect for all religious beliefs
- Practice respect for religious artifacts and places of worship



Slide 17

## Religion

- Peacekeepers must be **aware of the religious beliefs and customs** in the mission area. You will find a variety of religions among local people and among other peacekeepers as well. Please **respect all religions including religious artifacts and places of worship**.

### Family and Roles

- Pay respect to elders
- Understand family ties
- Understand local roles and traditions for men and women



Slide 18

## Family and Roles

- 💬 Family ties are a key to a culture. Elders are greatly respected in many societies. As a rule, you will never go wrong by **paying respect to elders**.
  - 💬 It is also important to **understand the kinds of family ties** in the local population. The expectations and responsibilities may be very different than where you come from.
  - 💬 Take time to **understand the local roles and traditions for men and women** in the host country. These can vary greatly in different areas.
  - 💬 Remember, your respect for local customs and traditions will reflect on the entire peacekeeping operation.
  - 💬 If you need specific information in order to be able to do your work, talk to the Gender Advisor or Gender Focal Point in the mission.
- 👉 **Note to Instructor:** *Specific issues relating to women, peace and security are covered in Unit 3.*

### Dress Code

- Be aware of local cultural norms and climate
- Adapt yourself to local dress codes



Slide 19


## Dress Code

- 💬 Dress codes can vary greatly between cultures based on prevailing **customs, climates** and religious traditions. Being sensitive and adapting to local clothing **norms** and concepts of modesty when in public can go a long way in demonstrating respect and facilitating connection with the host community.

## Slide 20

### Concepts of Time

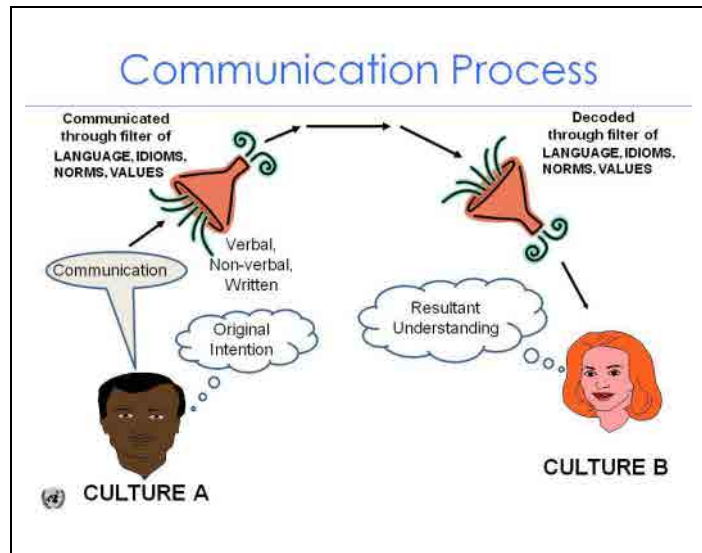
- Don't over generalize about any group's ways of perceiving or managing time
- Reserve judgment about the meaning behind different attitudes and practices regarding time



UN Pre-Deployment Training (PDT) Standards  
Core PDT Materials 1<sup>st</sup> Ed. 2009

### Concepts of Time

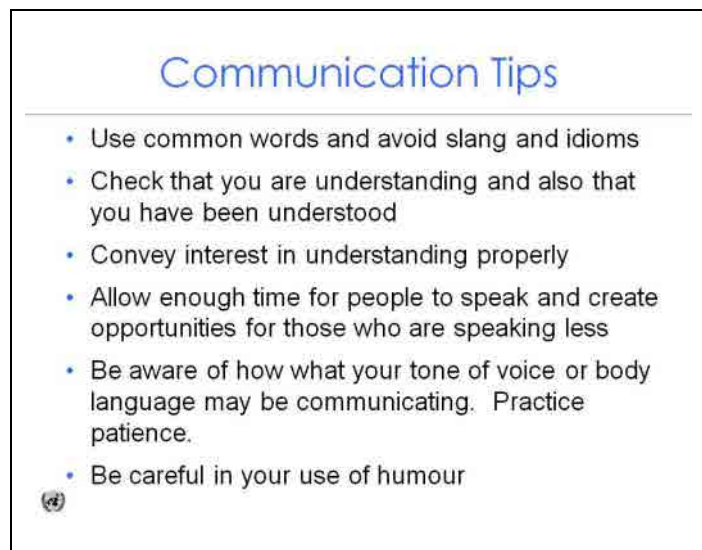
- 💬 There are many different perspectives on time and how to manage it and some of these may be reflected in cultural norms. However, **it is important to not make assumptions or over-generalize** on this point.
- 💬 Some people see “time as money” while others have a more flexible perspective and may take what might seem like long time to “get down to business”. There may be a high value placed on social interaction as part of the overall process of doing business. Misunderstandings and hard feelings can occur when either viewpoint is imposed as the ‘correct’ way to operate.
- 💬 Being ‘on time’ is relative in different contexts. The military has its own understanding of punctuality, or what being “on time” means, which may differ greatly from civilian practices or what the local community does. Being late can have different meanings culturally and should not necessarily be taken as a sign of disrespect or lack of consideration. Try to **reserve judgement about the meaning behind different attitudes and practices regarding time**.



Slide 21

## Communication Process

- Language is culture-specific. Cultural undertones always exist in a person's choice of words.
- Communication involves both speaking and hearing. When we speak our message (**original intention**), we are using the **language and idioms** of our own culture. Our message is also embedded with our **cultural norms and values**.
- The listener is hearing our message through their own **filter** of language, use of idioms, norms and values. The message they receive may not be the same as the one we have intended to send. It is going through the receiver's own filters and **results in their own understanding**.



Slide 21


## Communication Tips

- 💬 To aid communication, **use commonly used words** and **check if you are being understood** whenever as possible. Avoid idioms and slang as much as possible.
- 💬 To **check on your own understanding** of a communication, rephrase what you have heard back to the speaker. If you don't understand something, ask the person to repeat or rephrase their statement.
- 💬 **Allow enough time for people to speak and create opportunities** in meetings and discussions **for those who are speaking less**.
- 💬 Communicating across cultures can be challenging. Remember to **practice patience** and demonstrate this in your voice and body language as well.
- 💬 Humour is good, but be aware that humour is not cross-cultural — your humour may not translate with the meaning that you intend and may sometimes cause confusion or offense. **Be careful in your use of humour.**

### Learning from Others

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- National colleagues are a great resource of cultural information
- Other colleagues who have worked in other missions and cultures may also be able to provide guidance



**Slide 22**

## Learning from Others

- 💬 Your **greatest cultural resource is your national colleagues**. Like beneficiaries of the assistance of a peacekeeping operation, they have witnessed and experienced a lot during the conflict. Be empathetic, but take

advantage of their indigenous knowledge to ask questions and gain an insider's perspective.

- 💬 Create an office atmosphere where national personnel are encouraged to review programmes through a cultural lens.
- 💬 Ask national personnel what outsiders most often don't understand about their home and mistakes that are commonly made and work at demonstrating respect and understanding.
- 💬 Find out if there are any local gatherings or cultural events that you can attend with them to learn more about the culture and make connections.
- 💬 You will also be working with **international colleagues** from all over the world while you are in mission. They bring a richness of perspectives and ideas to the work. They may also bring experience in working in other missions and with different cultures. These people are another potential source of assistance and guidance.

### Learning Activity 3: Case Studies

The purpose of this case study activity is to engage participants in examining meanings and repercussions of common actions and misunderstandings.

60

**Time Required:** 3-5 minutes for activity introduction and instructions  
 20 minutes for small group discussions  
 25\* minutes to report back (allowing 5 minutes per group)  
 10 minutes to debrief and close activity

**Total time: 1 hour** \*may require more time to report back if there are many small groups



#### **Preparations:**

1. Print out copies of the different case studies for each group. (1-2 per group) Case studies can be found on the following page.



#### **Activity Guidelines:**

1. Divide the participants into groups of 3-4, and no larger than 8.
2. Explain that they will be working together for approximately 15 minutes to discuss the case study they have been given and come up with answers to the questions. Let the groups know they will have about 5 minutes to “report” their answers back to the large group.
3. Provide each group with a handout (case studies & questions). Assign each group one case study. You may want to give each group a second case study in case they finish the first one quickly.
4. Answer questions as needed to clarify the task.
5. Get the groups back together after 15 minutes and have them report back on their case study and the answers they came up with.
6. Ask questions as needed to clarify responses and allow time for others in the group to ask questions. Be prepared to open the discussion to the possible ramifications of responses that could lead to difficulties or go against UN policies.
7. Summarize points raised and reinforce this section’s key messages as shown below.

## Scenarios

### Scenario 1

#### **“Harmony in movement control”**

A European country was responsible for movement control at one peacekeeping mission during the 1990s. The non-commissioned officers in charge were strict in exercising their authority. One of the corporals had once insisted to the Force Commander that they had to abide by United Nations rules.

During rotation of a contingent from a Muslim troop-contributing nation, a delay unexpectedly occurred at Sarajevo airport. It was time for prayers so the Muslim contingent knelt toward Mecca to pray. Meanwhile, boarding time arrived and the aircraft was scheduled to depart within a short time. The corporal had a tight schedule to follow and could not understand why the departing troops were not boarding. He rudely interrupted the prayers, upsetting the Muslim peacekeepers and causing a quarrel to ensue.

#### **Group discussion:**

1. What did you learn from this story?
2. What steps would you have taken to ensure that the objectives of movement control were achieved without causing a cultural clash?

## Scenario 2

### **“An honour to walk hand in hand”**

A commander wrote to tell us how he contained his embarrassment but was later gratified to learn that he had all along been highly honoured in the eyes of another contingent at the same mission.

“My contingent was among the first to arrive at the harbour of our new mission location. We were rather well organized and equipped, which was a bit unusual for my nation.

“We helped another contingent with material handling, security and transport support, among other tasks, as they arrived. They were very hospitable and invited us to share their kitchen and whatever else they could provide. I was also invited to visit their camp after they had settled in.

“When I arrived on the appointed day, I was surprised to be welcomed at the gate by their battalion commander, who was a colonel, while I am just a major. What’s more, he walked me all around the camp, holding my hand all the time.

“I felt quite embarrassed, as in my nation men do not hold hands. A man can do that only with a woman.

“Later I learned that he had bestowed on me a great honour by letting all see him holding my hand.”

### **Group discussion:**

1. What did you learn from this story?
2. How would you have reacted, if you had been the major?
3. What are some possible consequences of different ways of reacting?

## Summary of key messages



**Note to Instructor:** *In this section we have been exploring ways of practicing respect for diversity.*

- Peacekeeping personnel must be aware of the diversities and cultures around them and sensitive to areas of commonality and difference.
- Respect for Diversity is a core value of the United Nations system and there are specific strategies that have been outlined.
- We each have cultural filters. We can practice awareness of our own views and biases.
- Our language and cultural norms can affect communication. It is important to ensure understanding in both directions.

## Unit 4 – Part 3: Learning Assessment

### Questions

1. What do we mean when we talk about ‘diversity’ in this context?
2. What kinds of diversities and cultural differences might you experience in a peacekeeping mission and the host country?
3. How does the UN expect personnel to demonstrate respect for diversity?
4. What are some specific ways that you can practice respect for diversity?
5. What are some ways you can enhance communications in a culturally diverse environment?

### Answers

1. In this context, the word ‘diversity’ refers to the differences such as ethnicity, race, professional backgrounds, religious and political beliefs, etc.
2. Possible answers include: race, ethnicity, language, sex, gender, physical appearances, physical abilities, clothing norms, eating habits and food preferences, religion, concepts of time, ways of working and perspectives on priorities, body language and meanings of gestures, style of communicating, etc.
3. The UN identifies the following ways UN personnel is expected to demonstrate respect for diversity:
  - Working effectively with people from all backgrounds
  - Treating all people with dignity and respect
  - Treating men and women equally
  - Showing respect for and understanding of diverse points of view and demonstrates this understanding in daily work and decision-making
  - Examining own biases and behaviours to avoid stereotypical responses
  - Not discriminating against any individual or group

4. Specific ways to practice respect for diversity include (but are not limited to):

- Take time to observe and acquaint yourself with what is culturally appropriate
- Respect others religions as we would our own beliefs
- Pay respect to elders
- Be sensitive to local clothing norms and concepts of modesty and propriety
- Reserve judgment about the meaning behind different attitudes and practices regarding time
- Seek advice from national colleagues and those who have experience working internationally and in peacekeeping missions

5. Ways to enhance communications include (but are not limited to):

- Use common and simple words
- Avoid slang, jargon and idioms
- Check if you are understanding
- Convey interest in understanding
- Check if you are being understood
- Allow enough time for people to speak and provide opportunities for those who speak less
- Be aware of your body language and tone of voice and the impact they might have
- Be conscious and careful in your use of humour

### Optional Learning Activity: Diversity Line

The purpose of this activity is to quickly illustrate areas of commonality and difference and also to bring some physical movement into the sessions.

**Please note:** Unlike some diversity line exercises, in this context this activity is not intended for people to go deeply into their experiences of belonging to a particular area of diversity. This is simply to allow people to see that they have some things in common and some differences that cut across their nationalities, professions and ethnic cultures.

This activity requires a big enough space that people can easily move back and forth across the room.



**Time Required:** 2-3 minutes for activity introduction and instructions  
5-7 minutes for movement

---

**Total time: 10 minutes**



#### **Preparations:**

1. Set up the room so that there is a division down the middle of the space. If desired, you can use masking tape or a rope to indicate the middle of the room.
2. Be prepared with several examples of areas of diversity/commonality that you can call out. Be careful to choose examples that are not controversial so as to avoid putting people in a position of having to make difficult choices about how much they want to reveal about themselves.



#### **Activity Guidelines:**

1. To begin, get all participants to move to one side of the room.
2. Explain that this is a quick little activity to show areas that they have in common with each other and differences.
3. Explain that you are going to call out statements and that people should move to the side of the room that you indicate. Let people know that you aren't going to ask anything embarrassing or difficult and that these will just be simple questions.
4. Start by asking for everyone to move to one side of the room if they are ..(fill the blank). Here are some examples: "Everyone who likes playing

cricket move to this side of the room.” “Everyone who is from India move to this side of the room.”). Those that the statement is not true for stand on the other side of the room.

Some examples to choose from include:

- From southern / northern hemispheres
  - Have worked in a peacekeeping operation before
  - Speak a particular language (e.g. French – name likely languages)
  - Have a certain nationality (use ones that are present in the group)
  - Like playing sports (or reading or watching movies or doing some kind of art, etc.)
  - Are vegetarian
  - From a large family
  - Are an only child
  - Are married / single
5. Keep giving examples, asking everyone who the statement is true for to move to one side of the room. Try and mix the examples up so that everyone will have a chance to move around.
  6. Do this maybe 10 or 15 times, leaving enough time in between for people to notice who they are standing with.
  7. When you are finished, ask people what they noticed. People might comment on noticing there were times when they were in one group or another and that it kept changing. They might notice that they had something in common with almost everyone.

## UNIT 4 – PART 4: SAFETY AND SECURITY

### Preparatory Notes to Instructors

#### Aim

The session is different from the others in the Core Pre-deployment Training Materials because it does not provide specific talking points or slides. Rather, it seeks to provide guidance to course directors and instructors in how to develop sessions related to safety and security issues in peacekeeping (security, road safety, health and stress management). Many of these topics will have to be tailored to the types of participants, available training facilities and equipment, mission-specific information and additional national requirements on safety and security training which may exceed UN standards.

Therefore, the purpose of this section is to guide instructors on key UN peacekeeping safety issues (such as road safety, health) and security issues (including stress management) which should be taken into account when developing sessions on safety and security. The aim for instructors should be to design the sessions to inform all participants about the risks to their safety and security and tools to mitigate those risks (personal security, road safety, health and, as appropriate, stress management).

#### Learning Outcomes

The following pages provide course directors and instructors with guidance on designing security training, designing road safety training, ensuring access to health information, immunization and prophylaxis prior to deployment, and additional stress management training. The learning outcomes for each section are listed below.

#### Designing Security Training

##### ***On completion of this session:***

1. Participants will be familiar with UN security Management System including the UN security phases system;
2. Participants will be familiar with the procedures for security clearance for travel to a UN mission.
3. Eligible personnel (required for civilians and individually deployed military and police officers, and recommended for contingent and FPU

commanders) will have completed the Basic and Advanced Security in the Field (B/ASITF) on-line course\*

- *\* Where Peacekeeping Training Institutes do not have sufficient IT facilities, it is sufficient that eligible personnel are informed of their obligation to complete B/ASITF upon arrival in mission.*

## Designing Road Safety Training

***On completion of this session, participants will be able to:***

1. List the four basic UN rules of road safety; and
2. Explain that peacekeeping personnel require a UN driver's permit in order to drive a UN vehicle and how to obtain a UN driver's permit.

## Designing Health Information, Immunization and Prophylaxis Training

***On completion of this session, participants will:***

1. Be familiar with appropriate personal and food hygiene measures and personal behaviours that can protect their health while in mission;
  2. Be familiar with, and have completed, all required and recommended vaccinations for their mission;
  3. Be familiar with, and have received, any required prophylaxis for their mission deployment.
- *(If adding sessions on either Basic First Aid or Stress Management, which should be delivered by appropriately certified professionals, those instructors should develop the appropriate learning outcomes for the specific audience.)*

## Training Sequence

The sections listed above can be broken up and delivered separately or presented together as considered appropriate by the instructor. In principle, all these sessions are best presented some time after Unit 1, as most topics link back to the Fundamental Principles of Peacekeeping contained in Unit 1 – Part 2.

The Department of Peacekeeping Operations (DPKO) recognizes that topics such as health, and specifically, the provision of immunizations and/or prophylaxis, are often the responsibility of organizations or institutions other than the peacekeeping training institution that delivers the rest of the topics in

the Peacekeeping Pre-deployment Training Standards. Therefore, those topics may be delivered at a different time and location than the rest of the pre-deployment training course. This training sequence is acceptable, as long as the peacekeeping training institution is able to provide evidence that all the topics in this section are being addressed effectively and that DPKO/DFS policies listed below are properly implemented. Such documentation will have to be presented to DPKO by any peacekeeping training institution that applies for Training Recognition.

## Duration

The times shown below are the minimum recommended time periods. Additional activities and discussions can be added as time permits.

Minimum Session Time	Lecture/Presentation	Questions/Discussion	Session Activities
xx minutes	To Be Determined by Instructor	To Be Determined by Instructor	To Be Determined by Instructor
Additional Requirement (not necessarily during this training)	Online Security	Optional Film	Optional Activity
	3 hrs.		

## Methodology

The Basic and Advanced Security in the Field is an individual self-study on-line course (see Preparations section below for more information on hardware and software requirements). Instructors should design their own mission-specific security training or briefing for contingents or Formed Police Units (FPU) based on their national requirements and lessons learned.

Road safety can be presented as a briefing or, where facilities exist, it can include practical driving exercises designed to ensure that participants are able to pass the driving test in mission (as described on page 116).

The section on health includes a combination of practical application related to immunizations and prophylaxis required for the mission to which participants will deploy, as well as briefings and/or handouts on personal and food hygiene.

## Instructor Profile

*Basic and Advanced Security in the Field* is a self-study on-line course that does not require additional instructor support. If supplementing the on-line

course, or if mission-specific security information is provided for FPU or contingents, it is best presented by someone with experience in a UN peacekeeping operation after the creation of the Department of Safety and Security (DSS) at the end of 2004.

*Road safety* is best presented by someone with practical driving skills and, where possible, has some experience with traffic risks in peacekeeping operations.

*Provision of immunizations, prophylaxis and the related information* must be addressed by a certified health care provider, such as a registered nurse or doctors. Similarly, if a session on *Basic First Aid* is included, it must be presented by a certified professional.

If included, *stress management* should be presented by a certified professional, or if not available, instructors may use the on-line course listed on page 121.

## Preparations

### General Preparations

Preparations will largely depend on how instructors have designed the sessions on security, road safety, health and stress management.

For those courses using Basic and Advanced Security in the Field:

1. Instructors may wish to indicate when and where participants will be expected to complete Basic and Advanced Security in the Field during this particular course. If so, the location must be confirmed before the course.
2. Instructors and participants can access the course over the internet (in English, French, Spanish, Arabic, Chinese and Russian) at <http://dss.un.org/bsitf> and <http://dss.un.org/asitf> These sites work best when using Windows XP running Internet Explorer 6 or 7. In case of difficulty accessing these sites, instructors may also request copies of CD ROMs from [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org).
3. The course will request the user to enter their name and password. For new users, the password field simply allows them to set their password for future use. If the first name/last name combination is found in the system, it will check against the password already in the system – if they match, it allows the user to return to the bookmark where they left off in the course.

If the passwords do not match, it will allow the user to a) try again or b) mark themselves as a new user (i.e. “I’m a different John Smith, and I don’t know who the other John Smith is.”), in which case it sets up a second account using the password they’ve entered.

4. Instructors should also ensure that the participants arranging their own travel to a mission (or the relevant national institution or office that arranges travel) have requested security clearance for individually deployed military and police personnel as well as civilians. Information on the UN security clearance procedure is available at:  
<http://157.150.164.9/extranet/Tools/ISECT/tabid/59/Default.aspx>

### Mission Specific Preparations

1. Instructors should download the Pre-deployment Information Packages relevant for each participant’s mission and ensure they have received a copy. These can be downloaded from the Peacekeeping Resources Hub at: <http://peacekeepingresourcehub.unlb.org>.

### References

- *United Nations Field Security Handbook, January 2006*
- *Basic Security in the Field: Staff Safety, Health and Welfare (ST/SGB/2003/19). United Nations, 9 December 2003.*
- *DPKO/DFS Policy on the Applicability of the Arrangement of the United Nations Security Management System to Individually Deployed Military and Police Personnel in DPKO- or DPA-led Missions. May 2008*
- *Surface Transport Manual for the Field, Department of Field Support (DFS) United Nations, September 2007.*
- *DPKO/DFS Medical Guidelines for Peacekeeping Operations: Prophylaxis, Diagnosis and Treatment of Malaria, 2003*

## Session Notes

**Please note:** All notes in Part 4 are notes to instructors versus speaking points.

### Introduction



**Note to Instructor:** Unit 4 - Part 4 has guidance for course directors and instructors on designing security training, designing road safety training, ensuring access to health information, immunization and prophylaxis prior to deployment, and additional stress management training. These can be delivered together, separately and using a variety of methods ranging from the provision of handout materials and briefings to the use of practical exercises to ensure that participants are able to apply their skills in practice.



Instructors are strongly encouraged to regularly check the Peacekeeping Resource Hub website (<http://peacekeepingresourcehub.unlb.org>) for additional training tools on these sub-sections, as well as more mission-specific information relevant to security and health issues in particular.

### Designing Security Training








**Note to Instructor:** The United Nations Security Management System (UNSMS) prescribes UN system-wide arrangements for the protection of United Nations civilian personnel and property, and individually deployed UN Police (UNPOL), staff officers and military experts on mission (military observers, military liaison officers, arms monitors etc.). It does not cover military contingents or Formed Police Units (FPUs) deployed to UN peacekeeping operations, which are responsible for their own security. Therefore, security training sessions in pre-deployment training need to be tailored to the different types of personnel participating in the training.





In addition to providing training on security, as outlined below, instructors should also be aware that civilians and individually deployed military and police personnel are required to have security clearance for travel to their mission. Peacekeeping Training Centres (and/or the relevant national institution which organizes the travel for individually deployed military and police officers) should ensure that all personnel have security clearance prior to their travel to mission and should request such clearance from their UN counterpart. Civilians and any personnel who already have a UN email address shall request a security clearance electronically through ISECT (UN


Department of Safety and Security (DSS) website at <http://157.150.164.9/extranet/Tools/ISECT/tabid/59/Default.aspx>). For help in arranging security clearance, please contact [dsshelp@un.org](mailto:dsshelp@un.org).

-  For training **courses which include civilians or individually deployed military or police officers**, instructors should design their security session using the Basic and Advanced Security in the Field courses (B/ASITF), which is the minimum training requirement for the United Nations. The B/ASITF courses will familiarize personnel with the structures and functions of the UN Security Management System, roles of the Designated Official and Security Adviser, common security threats and how they can be addressed, Minimum Operational Security Standards (MOSS) and the basics of stress management.
-  Civilians must complete B/ASITF prior to their travel to the mission. Wherever possible, all individually deployed military and police personnel should also complete both online training courses prior to their deployment. If individually deployed police or military personnel do not have access to computer facilities, they must complete the B/ASITF courses upon arrival. Instructors should design their security training session in order to allow these personnel to complete these minimum UN security training standards during pre-deployment training, whenever Peacekeeping training institutes have the appropriate IT facilities. Please see the Preparations notes at the beginning of this section for further information on how to access B/ASITF.
-  All personnel who have completed the B/ASITF must always keep a copy of their certificate. They will be asked to present it to the administration once they arrive in mission, and may also be asked to present the certificate at other times during deployment.
-  In addition to the B/ASITF courses, or where IT facilities do not allow participants to complete B/ASITF during pre-deployment, instructors should provide participants with additional information on the Security Management System and the UN security phase system outlined in Chapter 5 “Security Planning in the Field” of the UN Field Security Handbook which can be downloaded from the Peacekeeping Resource Hub at <http://peacekeepingresourcehub.unlb.org>.
-  Instructors may choose to supplement the B/ASITF training with any additional mission-specific information or existing relevant training (e.g. for persons


deploying to missions with landmine threats, instructors may choose to incorporate the United Nations Mine Action Service (UNMAS) on-line Landmine Awareness training that can be downloaded from the Trainer's Toolbox at: <http://peacekeepingresourcehub.unlb.org>.


 For training courses **for military contingents or FPUs**, instructors should tailor those courses using mission-specific information which can be gathered from the Pre-deployment Information Packages (PIPs) available at the UN Peacekeeping Resource Hub at <http://peacekeepingresourcehub.unlb.org> from their own national sources and lessons learned exercises.

 In addition, it is recommended that contingent or FPU commanders and liaison and/or CIMIC officers also complete the B/ASITF on-line course in order to familiarize themselves with the UN Security Management System (UN SMS), or instructors may design a session on the UN SMS and the UN security phases system as explained in Chapter 5 of the Field Security Handbook (downloaded from <http://peacekeepingresourcehub.unlb.org>).


 Where national governments have additional security training requirements, these should also be incorporated into the pre-deployment training in addition to the minimum UN security training standards outlined here.

## Designing Road Safety Training


 Road accidents are one of the most common causes of injury and death of UN personnel in the field, due to the frequency and severity of vehicular incidents. There are a number of reasons for this, related to the road and traffic conditions in individual mission areas as well as to climatic factors and driver experience. Consequently, there are a number of rules, regulations and expectations regarding the use and control of UN-provided vehicles in UN peacekeeping operations.


 Using the information below, and as appropriate the Surface Transport Manual for the Field, instructors should include relevant information on driver safety through whatever means they feel fits their target audience best. The aim of that session should be to prepare all participants who will be driving a UN vehicle to successfully pass the UN driving test upon arrival in mission. For instructors wishing to add more detailed information on defensive driving techniques, they may use the Road Safety module contained in the Specialized Training Materials for UN Police Officers (this can be downloaded


from the Peacekeeping Resource Hub at <http://peacekeepingresourcehub.unlb.org>).


 Peacekeeping personnel who will be driving UN vehicles (UN Police, military experts on mission, civilians, and depending on the context some contingent members) should be made aware of the basic rules related to driver safety that apply to all UN peacekeeping operations (for instance through a briefing, a handout etc.). These can be summarized as:

1. wearing of seatbelts when travelling in UN vehicles is mandatory
2. Driving under the influence of alcohol or drugs is strictly prohibited
3. Drivers of UN vehicles are prohibited from using mobile phones whilst the vehicle is in motion
4. The speed limits, as posted by local authorities and within UN, must be observed at all times

 Instructors should also inform participants that peacekeeping personnel will receive a briefing on road safety rules and conditions upon arrival in mission. In addition, they will be required to obtain a UN driver's permit. **No person shall operate a UN vehicle unless they are in possession of a valid UN driver's permit issued by the mission in question.** Peacekeeping personnel can only obtain a valid UN driver's permit if they are in possession of a valid National/International/Military driver's license and if they have passed the UN driver's test upon arrival in the mission. They must show their national driver's licence in order to be able to take the UN driver's test, so they must bring it with them to the mission.

 Peacekeeping personnel have maximum three chances to successfully pass the theoretical and practical UN driving test. UN Police and Military Experts on Mission who are unable to pass on the third attempt may be repatriated to their home country.

 Instructors are strongly encouraged to include **practical driving exercises** in their courses, and may wish to indicate when and where those exercises will take place.

 In order to prepare the exercises where it is known to which missions participants are deploying, instructors should find out from the Pre-Arrival

*Information Package whether those countries are right or left-hand drive and design their course accordingly. Generally, most peacekeeping missions use four-wheel drive vehicles and instructors may want to use such vehicles in their practical exercises whenever possible. Exercises should be designed to allow participants to practice all the skills which will be tested in the UN driver's test as outlined in the next paragraph.*



*In order for participants to be able to pass the UN driver's test in mission they must be able to:*

- *Move the vehicle safely into traffic*
- *Be able to change gears and control the clutch*
- *Start and stop up hill*
- *Signal correctly and in good time*
- *Adhere to all traffic signs and lights*
- *Appropriately check traffic in all directions when changing lanes, turning or passing*
- *Approach junctions/crossroads/circles*
- *Turn left and right in traffic and execute a three-point turn*
- *Adhere to passing rules when overtaking another vehicle*
- *Negotiate curves safely*
- *Park safely and be able to reverse into a parking space*
- *Execute a controlled stop in an emergency*
- *Anticipate and react to changing road situations and demonstrate awareness of other road users including pedestrians and cyclists.*

## **Ensuring access to health information, immunization and appropriate prophylaxis prior to deployment**



*In addition to traffic accidents, another common risk to safety of peacekeeping personnel is illness and disease. Instructors should therefore include briefings on protecting the health of peacekeeping personnel while in their mission and ensure that personnel have obtained the appropriate vaccinations and preventive medicine (prophylaxis) prior to deployment.*



*Instructors should ensure that all peacekeeping personnel are familiar with appropriate personal and food hygiene measures and personal behaviours that can protect their health. Instructors may also want to remind participants,*

or link it to the session on HIV/AIDs which also includes information on personal behaviours which minimize risk of HIV/AIDs and other sexually transmitted infections.



**Handout:** Instructors are encouraged to provide participants with the Tips for Maintaining Personal and Food Hygiene in Peacekeeping Environments (see next page). If providing it to junior officers in contingents or FPU, instructors are encouraged to translate it into their local language or use other methods, as appropriate, to ensure that everyone has a full understanding.



*Instructors should also ensure that all peacekeeping personnel are informed of the required and recommended vaccinations and preventive medicine (prophylaxis) for their mission, and that these are provided by a certified health professional. Information on required and recommended vaccinations is contained in the mission-specific Pre-deployment Information Package (PIP) that can be downloaded from: <http://peacekeepingresourcehub.unlb.org>,*



*In addition, instructors should ensure that the DPKO/DFS Medical Guidelines for Peacekeeping Operations: Prophylaxis, Diagnosis and Treatment of Malaria are followed for personnel or units deploying to countries or regions in which malaria is common, in particular para. 3 which states:*



*“Due to the operational needs of a peacekeeping mission, all mission members shall use pharmaceutical prophylaxis, which can be safely given at least a year”.*



*If training contingents, instructors should provide the contingent’s medical personnel with a copy of the DPKO/DFS Medical Guidelines for Peacekeeping Operations: Prophylaxis, Diagnosis and Treatment of Malaria.*



*Instructors are also encouraged, as appropriate, to include a lesson on Basic First Aid to be delivered by a certified professional.*



*Where national governments have additional medical requirements, these should also be incorporated into the pre-deployment training.*

## **Tips for Maintaining Personal and Food Hygiene in Peacekeeping Environments**

### **Good personal hygiene is the best way to prevent disease!**

- ☑ Maintain good personal hygiene and always wash regularly with clean water.
- ☑ Eat healthy, varied foods.
- ☑ Exercise regularly.
- ☑ Dress protectively.
- ☑ Inspect your skin for bite marks.
- ☑ Air and dry your boots regularly to prevent bacteria from breeding in them.
- ☑ Iron all clothes regularly, if possible, to kill bugs, insects and bacteria.
- ☑ Be prudent in using alcohol and refrain from using recreational drugs.
- ☑ Don't have sex without a condom.

### **Always make sure what you eat and drink is safe!**

- ☑ Drink water only in bottles or from containers marked as drinking or “potable” water.
- ☑ If drinking water is not available, boil your water for at least 10 minutes, or use water purification tablets, allowing enough time for the tablets to work.
- ☑ Never keep opened bottles of drink more than 6 hours.
- ☑ Meat must be thoroughly cooked (“well done” and not medium or rare).
- ☑ Eggs must be fully coagulated before eating.
- ☑ If you store food, keep it in tightly closed containers.
- ☑ Eat only food produced in clean or approved facilities and use clean utensils.
- ☑ To control the rodent population, eat only at designated eating areas.

## Maintaining Your “Personal Space”

- ☑ Use mesh screens or netting to cover doors and windows at all times.
- ☑ In areas with malaria, dengue or other mosquito-borne diseases, always sleep under a mosquito net.
- ☑ Keep all surfaces clean by washing them regularly.
- ☑ Do not eat or keep food on and around beds, so rodents and insects will not be attracted.
- ☑ Ventilate your bedding regularly in direct sunlight, to kill bugs and bacteria.
- ☑ Change and wash your bedding regularly.

## Maintain a Hygienic Compound and Communal Areas

- ☑ Keep facilities and communal areas clean and tidy at all times.
- ☑ Ensure proper disposal of leftover food.
- ☑ Ensure sanitary disposal of liquid and solid wastes.
- ☑ Keep all rooms clean, ventilated and protected against rodents and insects.
- ☑ Eliminate breeding areas for disease-carrying animals or insects; for example, drain pools of stagnant water and puddles after rain.

## Stress Management



**Note to Instructor:** As appropriate, instructors may choose to supplement the training on stress management contained in *Basic and Advanced Security in the Field*, with their own sessions on stress management. Instructors are encouraged to develop their own national sessions based on their context and experience in UN peacekeeping. Instructors seeking a model session which they can begin to adapt to their needs, can go to:

[www.unssc.org/web/programmes/LS/sm/WELCOME.HTM](http://www.unssc.org/web/programmes/LS/sm/WELCOME.HTM)

## Unit 4 – Part 4: Learning Assessment



*This section provides advice to instructors on assessment tools that they may use when designing their specific training sessions as outlined above.*

### Security

Basic and Advanced Security in the Field (B/ASITF) includes an assessment at the end of the course. If participants do not pass the final test, they are unable to print out their certificate. Personnel who arrive in mission without a certificate will be required to complete the B/ASITF until they pass the test and can print out their certificate.

Additional learning assessment questions which instructors may use, if they are not using the B/ASITF courses are:

#### Questions:

1. Who is the highest level UN official responsible for the security management arrangements of the United Nations system in a particular country?
2. How does the UN ensure that security arrangements are managed and coordinated in an integrated manner between all UN agencies, programmes, offices and peacekeeping operations in a country?
3. Name the five UN security phases.
4. Why does the UN require security clearance for travel?

#### Answers:

1. The Designated Official (DO)
2. Through the establishment of a UN Security Management Team.
3. The five UN security phases are:
  - Phase One – Precautionary
  - Phase Two - Restricted Movement
  - Phase Three - Relocation
  - Phase Four - Emergency Operations
  - Phase Five - Evacuation

4. In order for the Designated Official and Security Management Team to be aware of who is at the duty station at any given time, all travel to the duty station in any declared security phase requires clearance from the Designated Official.

## Road safety

The Specialized Training Materials for Police Officers contains a module on Road Safety with a Learning Assessment that instructors may also choose to use in combination with this section of the Core Pre-deployment Training Materials. This material is available at: <http://peacekeepingresourcehub.unlb.org>

## Health

- ☒ Do all participants know the required and recommended vaccinations for their mission?
- ☒ Have all participants completed the required and recommended vaccinations, or are they already planned prior to deployment?
- ☒ Do all participants know if a prophylaxis, such as malaria prophylaxis, is required for their mission?
- ☒ Have they received such prophylaxis already, or will they receive it prior to deployment?

## Common Questions from Participants

### Unit 4 – Part 2: HIV/AIDS and UN Peacekeeping Operations

Possible Questions	Possible Responses
1. Does the UN require that its personnel be tested as part of the recruitment or deployment to a UN peacekeeping mission?	No. It is UN policy that candidates for recruitment (to civilian staff positions) will not be screened for HIV prior to their recruitment, nor will staff be screened prior to their service (see ST/SGB/2003/18). Some Troop and Police Contributing Countries (TCCs/PCCs) may require HIV testing for their military or police personnel prior to deployment. These are national policies of those particular TCCs or PCCs.
2. If I go for an HIV/AIDS test while in mission, will my boss or my colleagues find out?	Testing is voluntary and confidential. If you go for a test, you have a right to full confidentiality about the fact that you have taken such a test, as well as the results regardless of whether they are negative or positive.

### Unit 4 – Part 4: Safety and Security

Possible Questions	Possible Responses
1. What is the relationship between the civilian UN Security Adviser and the military and police components?	The UN Chief Security Adviser/Officer is responsible for developing and updating the mission security plan, which is approved by the mission leadership, supported by the Security Management Team (SMT). Armed military and police members of the mission will have specific roles assigned to them, particularly in crisis situations, to ensure the safety and security of all staff members.

	Unarmed military and police personnel will also be guided by the measures established in the mission security plan.
2. How can I prepare myself for the driver's test so that I know the specific rules of the road that apply in the host country?	You will be provided with the regulations governing the use of the mission's vehicles and/or a "UN Driver's Handbook" minimum 24 hours prior to the driving test, which should give access to the local or international road signs and road regulations that are applicable to the mission area in order that they can be understood prior to the test/assessment being conducted. For this purpose, each mission produces a UN Driver's Handbook. You should obtain a UN Driver's Handbook from the Transport Section as quickly as possible after your arrival.
3. What if I violate the UN's driver safety rules?	If you violate the driver safety rules, or cause an accident due to negligence or unsafe driving while you are in a UN vehicle, you will be subject to disciplinary procedures (see Unit 4 – Part 1).
4. Do all UN peacekeeping operations have medical facilities?	All UN peacekeeping operations will have some form of medical facility. The level of service that can be provided at the mission's medical facility will vary depending on the size of the mission, the medical facilities and health care that is available in the country and other factors. You will receive more information on the Medical Unit when you arrive in mission.
5. What if I arrive in mission and I don't have the right vaccinations or medication?	If you are concerned, go to the UN Medical Unit in the mission to check the required and recommended vaccinations and whether any prophylaxis is recommended or required. They can advise you whether you

	have the appropriate immunizations and medications, or they can tell you where to find out.
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