UNIT 1: A STRATEGIC LEVEL OVERVIEW OF UNITED NATIONS PEACEKEEPING

Table of Contents

Unit 1 - Part 1: Introduction to UN Peacekeeping ................................................................. 1
  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

Unit 1 - Part 2: Fundamental Principles of UN Peacekeeping ............................................. 45
  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.
Unit 1 – Part 1: Introduction to United Nations Peacekeeping

Duration

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

2. For the section on the Spectrum of Peace and Security Activities, instructors are encouraged to use specific examples of the activities from

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:*


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**


**Materials Referenced in this Unit**

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

Unit 1 – Part 1

Introduction to United Nations Peacekeeping

Slide 2

Why is this important for me?
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

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

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

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

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.

**United Nations Charter**

- The United Nations Member States are bound by the United Nations Charter
- The Charter is an international treaty that guides the work of the United Nations, including peace and security activities

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](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 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.
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 HQ as well as the supervision of individual personnel. This management is exercised at various levels by subordinate commanders of specific components and civilian heads at levels below the Mission HQ.

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

The General Assembly (GA) is made up of representatives of all the UN Member States. 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
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.
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

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
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.

The Department of Political Affairs (DPA) provides substantive direction to many 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

![Diagram of Linkages & Overlaps in Peace and Security Activities](image)

**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

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.
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.

Peacemaking

Peacemaking

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

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 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 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** 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.
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

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).

### 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
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](http://www.un.org/Depts/dpko/dpko/bnote010101.pdf)

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**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

---

**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

<table>
<thead>
<tr>
<th>Special Political Missions (SPMs)</th>
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<tbody>
<tr>
<td>• Three types of SPMs:</td>
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<tr>
<td>– Field Missions</td>
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<td>– Special Envoys</td>
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<tr>
<td>– Expert Panels to monitor Security Council sanctions</td>
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<tr>
<td>• SPMs vary in mandate, size and duration</td>
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<tr>
<td>• Field missions have very few or no uniformed personnel</td>
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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](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](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

Fundamental Principles of United Nations Peacekeeping

Slide 2

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

✍ 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.

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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-defense 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**

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**All UN peacekeeping operations** 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 spoiled 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.
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.

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**

Slide 6

<table>
<thead>
<tr>
<th>Principle #3: Non-use of force except in self-defense &amp; defense of mandate</th>
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<tbody>
<tr>
<td>• Use of force permitted in self-defense &amp; defense of mandate</td>
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<tr>
<td>• SC may authorize a mission “to use all necessary means” to defend the mandate</td>
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<tr>
<td>• Use of force permitted as a measure of last resort</td>
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<td>• Minimum use of force</td>
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<tr>
<td>• The RoE or DuF clarify level of force</td>
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- 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

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**

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

<table>
<thead>
<tr>
<th>Promotion of National and Local Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Fosters trust and cooperation</td>
</tr>
<tr>
<td>• Reinforces perceived legitimacy of the mission</td>
</tr>
<tr>
<td>• Ensures sustainability of the peace-building process</td>
</tr>
<tr>
<td>• Should include all parts of society</td>
</tr>
<tr>
<td>• All opinions need to be heard and understood</td>
</tr>
</tbody>
</table>

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.

### Slide 10

**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 11

**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
UN Peacekeeping Personnel:

- Meet the highest standards of efficiency, competence and integrity
- Are impartial
- Are mindful of the need to prioritize peaceful solutions
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- Use good judgment and are able to communicate the reason for their actions
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- 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. I) Consent 2) Impartiality 3) Non-use of force except in self-defense

2. In order to 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

<table>
<thead>
<tr>
<th>Possible Questions</th>
<th>Possible Responses</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. What is the difference between a Chapter VI and a Chapter VII peacekeeping mission?</strong></td>
<td>Chapter VI of the UN Charter deals with the &quot;Pacific Settlement of Disputes&quot; and Chapter VII contains provisions related to &quot;Actions with Respect to Peace, Breaches of the Peace and Acts of Aggression&quot;. 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. What is of critical importance on the ground are the <strong>specific mandates of the mission and rules of engagement</strong>. 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.</td>
</tr>
<tr>
<td><strong>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?</strong></td>
<td>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 where held for more than a year in all the continents.</td>
</tr>
<tr>
<td><strong>3. What is the difference between impartiality and neutrality?</strong></td>
<td>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</td>
</tr>
</tbody>
</table>
4. **Who else can make decisions related to Peace and Security if the permanent members of the Security Council make use of their veto?**

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.

5. **What is the timeline for when multi-dimensional peacekeeping operations replaced traditional peacekeeping operations?**

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.
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Can the UN Security Council intervene in a conflict in a country that is not a Member of the UN?</td>
<td>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.</td>
</tr>
<tr>
<td>7. How long have the Fundamental Principles and Guidelines on UN Peacekeeping Operations been applicable?</td>
<td>They have been applicable since the beginning of peacekeeping operations, however, the recent publication confirmed their validity and added refinements.</td>
</tr>
</tbody>
</table>

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UN Peacekeeping PDT Standards, Core Pre-Deployment Training Materials, 1st ed. (2009)
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:

- 15-20 minutes for activity introduction and instructions
- 60-180 minutes for independent research (may be conducted over several days)
- 90 minutes for in-class presentations (5 minutes per presentation plus discussion)
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.

<table>
<thead>
<tr>
<th>The United Nations</th>
<th>…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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>UN Member States</td>
<td>…192 sovereign states who come together to discuss common problems and vote on major issues. They are bound by the UN Charter.</td>
</tr>
<tr>
<td>The UN Charter</td>
<td>…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.</td>
</tr>
<tr>
<td>UN Security Council</td>
<td>…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.</td>
</tr>
<tr>
<td>Secretary-General</td>
<td>…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.</td>
</tr>
<tr>
<td>-------------------------</td>
<td>-----------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Department of Peacekeeping Operations</td>
<td>…is led by the Under-Secretary-General of DPKO. Responsible for the executive direction and administration of all peacekeeping operations.</td>
</tr>
<tr>
<td>Department of Field Support</td>
<td>…is responsible for delivering dedicated support to UN field operations, including peacekeeping operations and special political missions. Support includes: personnel, finance, procurement, logistical, communications, information technology and other administrative and general management issues</td>
</tr>
<tr>
<td>Department of Political Affairs</td>
<td>…provides substantive direction to many special political missions. Collaborates with peacekeeping missions as a partner, particularly on political analysis and electoral assistance.</td>
</tr>
<tr>
<td><strong>Conflict Prevention</strong></td>
<td>... 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.</td>
</tr>
<tr>
<td>-------------------------</td>
<td>--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Peacemaking</strong></td>
<td>... involves measures to deal with existing conflicts. It usually involves diplomatic action to bring hostile parties to a negotiated agreement.</td>
</tr>
<tr>
<td><strong>Peace Enforcement</strong></td>
<td>... 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.</td>
</tr>
<tr>
<td><strong>Peacekeeping</strong></td>
<td>... a technique designed to preserve the peace, where fighting has ended, and to assist in implementing agreements achieved by the peacemakers. ...deployed in situations where the main parties to a conflict have shown their commitment to a cease-fire or a peace process.</td>
</tr>
</tbody>
</table>
| 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.  

... a complex, long-term process of creating the necessary conditions for lasting peace. |
|----------------|--------------------------------------------------------------------------------|
| Traditional Peacekeeping | ...deployed as an interim (temporary) measure to help manage a conflict. It also creates safer conditions for other actors to work on peacemaking activities.  

... do not normally play a direct role in political efforts to resolve the conflict. |
| Multi-dimensional Peacekeeping | ... 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. |
| Consent          | All UN peacekeeping operations should be deployed with the ________ of the main parties.
|                 | Security Council action taken without the ________ of the parties is typically a peace enforcement mission, rather than a peacekeeping mission. |
| Impartiality    | 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. |
| Non-use of force except in self-defense & defense of mandate | A fundamental principle that peacekeeping personnel must keep in mind, particularly in situations where there is a ‘robust mandate’. |
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. Guehénno, 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. Guehénno 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:

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 ad hoc 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.