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

## Table of Contents

Preparatory Notes for Instructors
Unit 2 - Part 1: Establishment and Operationalization of Security Council Mandates in Peacekeeping Operations
Unit 2 - Part 2: How United Nations Peacekeeping Operations Function

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### Unit 2 - Part 1: Establishment and Operationalization of Security Council Mandates in Peacekeeping Operations

- Session Notes
- Introduction
- The Decision to Deploy a UN Peacekeeping Operation
- Implementation of Mandates, Transition and Withdrawal
- Learning Activity: Familiarization with Mandates
- Translating Security Council Mandates Into an Operational Framework
- Unit 2 – Part 1: Learning Assessment

### Unit 2 - Part 2: How United Nations Peacekeeping Operations Function

- Session Notes
- Introduction
- Components of a UN Peacekeeping Operation
- Authority, Command and Control in United Nations Peacekeeping
  - Strategic Level Authority
  - Head of Mission
  - Other Positions of Authority
- Management Structures in UN Peacekeeping Operations
- Understanding the Importance of Other Components’ Work
  - The Military Component
  - The Police Component
  - The Civilian Components
- Unit 2 - Part 2: Learning Assessment
- Common Questions from Participants
- Optional Learning Activity
Preparatory Notes for Instructors

Aim

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

Specifically, this unit familiarizes peacekeeping personnel with:

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

Learning Outcomes

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

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

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

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

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

Duration

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

<table>
<thead>
<tr>
<th>Minimum Session Time</th>
<th>Lecture/Presentation</th>
<th>Questions/Assessment</th>
<th>Session Activities</th>
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</thead>
<tbody>
<tr>
<td>120 minutes</td>
<td>45 min.</td>
<td>15 min.</td>
<td>60 min.</td>
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Additional Options

- Mission Specific
- Optional Film
- Optional Activity

Time to be determined by necessary content

Methodology

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

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

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

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

Instructor Profile

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

Required Readings

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

General Preparations

Equipment

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

Mission Specific Preparations for the Learning Activity on Mandates

Materials

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

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

1. If possible, it is strongly recommended that participants review the following documents before this session:

   - *United Nations Peacekeeping Operations Principles and Guidelines (also known as the Capstone Doctrine)*
   - *Mandates provided by the instructor (or provide classroom time for review)*

Materials Referenced in this Unit

- *Charter of the United Nations*
- *United Nations Peacekeeping Operations Principles and Guidelines (also known as the Capstone Doctrine)*
- *DPKO/DFS Policy on Authority, Command and Control, 2008*
- *DPKO Guidelines for United Nations Police Officers on Assignment with Peacekeeping Operations, 2007*
- *DPKO Policy on Functions and Organisation of Formed Police Units in UN Peace Operations, 2006*
- *DPKO Guidelines for the Development of Rules of Engagement (RoE) for United Nations Peacekeeping Operations, 2000*
- *DPKO Policy on JOC and JMAC, 2006*

Additional Resources

- *Model Memorandum of Understanding (MOU) between the United Nations and Troop Contributing Countries (A/C.5/60/26) and subsequent amendments (A/61/19 Part III)*
UNIT 2 – PART 1: Establishment & Operationalization of Security Council Mandates in PKOs

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)

مثال Example (Stories that illustrate a point or key message)

❓ Sample questions (A list of potential questions to pose to participants)

📝 Handout (Indicates a handout is provided to participants at this point)

🎥 Film  (A film that is suggested as either a core or optional activity)

🐾 Core Learning Activity  (An activity that is strongly recommended for inclusion)

➕ Optional Learning Activity (An activity that can be used if there is time and it is appropriate for the participant group. Guidelines for these activities are provided at the end of the unit or part – as indicated in the text)

🗝️ Key summary points (Key messages that are worth repeating at the end of the session. Alternatively, the instructor can ask participants what are the main messages they are taking from the session. Instructors can then fill in any points that have been missed.)

Note: Questions commonly asked by participants during this session are listed at the end of the unit.
UNIT 2 – PART 1: Establishment & Operationalization of Security Council Mandates in PKOs
UNIT 2 - PART 1: ESTABLISHMENT AND OPERATIONALIZATION OF SECURITY COUNCIL MANDATES IN PEACEKEEPING OPERATIONS

Introduction

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

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

- The written guidance you receive in the mission about your tasks and objectives is directly linked to the Security Council mandate for the peacekeeping operation.

- Security Council mandates can often be vague or open to interpretation, therefore, the UN Secretariat and the leadership of the peacekeeping operation also provide more detailed plans. These plans interpret the mandate and describe the roles and responsibilities of each component of the mission in implementing the mandated tasks.
The Security Council monitors the progress that peacekeeping operations make in implementing their mandates. Reports that you will write while in mission feed into the overall report that the Secretary-General provides to the Security Council as part of this monitoring process.

All peacekeeping personnel should be familiar with the mandate and the relevant guidance documents outlining their responsibilities.

The Security Council mandate provides the international legitimacy for the presence of a peacekeeping operation in a particular country. Peacekeeping personnel may be asked by locals about what they are doing there. You should be able to explain clearly why a peacekeeping operation is in a particular country and what its mandate and functions are.

Learning Outcomes

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

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

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

As explained in Unit 1, it is the Security Council which determines when and where a United Nations peacekeeping operation should be deployed. The Security Council will always address each crisis on a case-by-case basis in order to find the most suitable response for that particular case.

*Note to Instructor:* The peace and security activities slide has been included here to remind participants of the possible responses.

When there is a crisis or a dispute between countries, either a Member of the Security Council or the Secretary-General can ask the Security Council to consider and debate that particular situation. If the Security Council considers that the situation poses a risk to international peace and security, it may ask the Secretary-General to initiate conflict prevention or peace-making measures by the UN, or it may choose to monitor such measures that regional powers are already undertaking.

Depending on how the situation evolves, the Security Council may consider whether the United Nations should deploy a peacekeeping operation.
How does the Security Council decide whether it is appropriate to authorize a UN peacekeeping operation for a particular country?

The Security Council asks the Secretary-General for advice, in the form of a written report whether a peacekeeping operation should be deployed and what a potential peacekeeping operation should be mandated to do. In this report, the Secretary-General advises on whether:

- The situation is a threat to international peace and security
- A cease-fire exists and parties are committed to a peace process
- A precise mandate with an achievable political goal can be established for a peacekeeping operation
- Safety and security of UN personnel can reasonably be guaranteed

In practice this means that the Secretary-General considers the strategic level issues explained in Unit 1, such as whether the main parties to the conflict will consent to the deployment of a peacekeeping operation. If they will not consent to the peacekeeping operation, the Secretary-General will not recommend the deployment of a peacekeeping operation.

If the Secretary-General recommends the deployment of a peacekeeping operation, he or she will also make specific recommendations, based on a strategic assessment of the situation, about the potential mandate, functions and tasks of a potential UN peacekeeping operation.
Information and analysis of the possible mandate and capabilities of a UN peacekeeping operation involves not only DPKO and DFS, but also the wider UN system, including UN actors already in the country, as well as Member States who contribute troops, police and money. UN peacekeeping operations rely on funds, troops and police contributed by Member States and therefore they must also be involved in the planning process.

As will be explained in Unit 3 Part 2, UN peacekeeping operations do not have all the resources or expertise required to fulfil every aspect of their mandate, (for instance in areas such as Disarmament, Demobilization and Reintegration (DDR), Security Sector Reform (SSR) or Rule of Law). The peacekeeping operation will have to rely on the assistance of other UN agencies, funds and programmes to ensure long-term sustainable peace, and therefore they are also involved in the planning process.

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

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

The tasks a peacekeeping operation is required to implement are contained in the Security Council mandate resolution. In some cases, the Security Council may amend (change) or add to the original mandate in additional resolutions related to the peacekeeping operation.
The mandate will vary from situation to situation, depending on the nature of the conflict and the type of peacekeeping operation the Security Council has agreed to authorize (traditional, multi-dimensional or transitional authority).

Since UN peacekeeping operations are normally deployed to support the implementation of a cease-fire or peace agreement, Security Council mandates take into consideration the nature and content of those agreements. In this way, every mandate for a UN peacekeeping operation is adapted to a particular conflict situation and existing peace agreements.

Security Council mandates for peacekeeping operations also reflect the concerns of the international community on specific issues or themes. With respect to UN peacekeeping operations, the Security Council is particularly concerned about:

- **Women, peace and security** (the Security Council has issued two resolutions on this topic numbered 1325 and 1820 in the years 2000 and 2008 respectively);
- **Children and armed conflict** (the Security Council issued resolution number 1612 in the year 2005 on this topic);
- **Protection of civilians in armed conflict** (Security Council issued resolution number 1674 in the year 2006 on this topic).

The mandates for most multi-dimensional peacekeeping operations will include specific tasks related to the protection of women, children and civilians for this reason.

**Note to Instructor:** Unit 3 – Part 1 will familiarize peacekeeping personnel with the key aspects of these resolutions and how they should implement them when working in the field. Copies of these resolutions and the other related reference materials included in those sessions can be downloaded from http://peacekeepingresourcehub.unlb.org.
All peacekeeping personnel should have a thorough understanding of the mandate of the peacekeeping operation in which they are working. They should also be aware of any changes to the mandate authorized by the Security Council during their deployment. The Security Council mandate provides legitimacy for your presence in the country. It is a public document which can be shared with the local population. You should be able to explain clearly to anyone in the country, why the peacekeeping operation is there and what it does.

As will be explained later in this session, there are additional documents which will translate the Security Council mandate into more specific tasks for the different components of the peacekeeping operation. These documents, along with the Security Council mandate, will guide your work in the peacekeeping operation. These documents are based on the Security Council mandate, but they are documents for internal use within the mission.
After authorizing a peacekeeping operation, the Security Council continuously monitors how the Secretariat and the peacekeeping operation are implementing the mandate. They do this by requiring the Secretary-General to submit regular reports to the Security Council regarding the country's situation. The Security Council specifies how often those reports must be submitted.

The Under-Secretary General of Peacekeeping Operations will compile the reports on behalf of the Secretary-General using the information provided to him by the peacekeeping operation, including from its daily, weekly and monthly reports to headquarters.

Based on the information in these reports and on changes in the situation, the Security Council can adjust or change the mandate of the peacekeeping operation. Any changes to the mandate will be issued in a Security Council resolution.

Peacekeepers should keep themselves informed of any changes or additions to the original mandate resolution.
As with the deployment of UN peacekeeping operations, the Security Council makes decisions on withdrawal or transitions of UN peacekeeping operations based on the advice and recommendations of the Secretariat presented in reports of the Secretary-General.

For some cases, like traditional missions, the indicator for success of a mission is clear – a traditional mission has successfully completed its mandate once the states have agreed to a peaceful resolution of their conflict.

For complex multi-dimensional missions it is often much harder to define when the peacekeeping operation has successfully completed its mandate. Through Secretary-General’s reports and Security Council resolutions, the United Nations tries to set certain benchmarks or indicators for success for individual peacekeeping operations, but this is often difficult.
There is no standard “checklist” of benchmarks applicable to all situations. The appropriate benchmarks are adapted to each situation. The choice depends on the underlying causes of conflict and its dynamics. Benchmarks may also be amended over time as the situation evolves.

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

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

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

**Example:** While not every UN peacekeeping operation has clearly defined conditions or benchmarks for withdrawal, the United Nations Mission in Liberia (UNMIL) is one clear example of how the Security Council can use detailed benchmarks to measure progress and assess when the peacekeeping operation has successfully completed its mandate.
On the advice of the Secretary-General, some of the benchmarks monitored by the Security Council included, among other things:

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

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

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

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

For more information on these benchmarks, instructors can download the report of the Secretary-General of 5 September 2002 (S/2002/987) from www.un.org.
Learning Activity: Familiarization with Mandates

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

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

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

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

**Time Required:**

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

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

**Preparations:**

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

For training courses where participants do not yet know to which peacekeeping operation they will be deployed, instructors are encouraged to select a wide variety of mandates for both multi-dimensional and traditional peacekeeping operations. For example, instructors may consider
using the mandates from the following missions: MINURSO, UNMIL, MONUC, UNOCI, UNMIS, UNOMIG, UNMIT, MINUSTAH.

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

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

a. Which mandates have a specific reference to a peace agreement or cease-fire?

b. Which sentence, if any, indicates that the UN peacekeeping operation may use force to protect UN personnel or property? Does the Security Council use the same language in each mandate where this is mentioned?

c. Is there a sentence which shows that the UN peacekeeping operation may use force to protect civilians? Is this language the same for all mandates where it is mentioned?

d. Which mandates make a reference to humanitarian assistance or international humanitarian law?

e. How many references can be found in each mandate to women and children? Is there any mandate that does not include a reference to women or children?

f. Is there a mandate that does not include a reference to international human rights?

g. Which mandates have a reference to the disarmament, demobilization and reintegration (DDR) of combatants?

h. Which mandates have a reference to elections? In which of those cases is the UN peacekeeping operation mandated to conduct the elections itself? In how many of those cases is the UN peacekeeping operation mandated to support the national government in conducting the elections?
Activity Guidelines:

1. Divide the participants into small groups. If you are working with a small number of participants, you can divide them either into pairs or groups of 3-4. For this exercise it is advised that groups have a maximum of 8 people. For training courses where participants know which mission they are deploying to, divide them up into mission-specific groups.

2. Explain that they will be working together for approximately 20 minutes to compare the mandates they have received of different UN peacekeeping operations and discuss the answers to the questions.

3. Provide each group with handouts of the 3-4 mandates (including their mission of deployment) and the different sets of questions. Participants can double-up and read the handouts in pairs if necessary. Make sure that everyone in the group has the same handouts.

4. Let the groups know they will be "reporting back" their answers to the large group.

5. Ask if everyone is clear on the task and answer questions as needed to clarify.

6. Bring the groups back together after 20 minutes and have each group report back. If you have some groups that have the same mandates, ask them to answer different questions rather than having the same answers repeated. Ask the other groups whether they agree with the answers provided by the group reporting back.

7. Summarize points raised and reinforce this section's key messages, including the diversity of the way mandates are presented.

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

a. Mandates of multi-dimensional peacekeeping operations all mention the name of a specific peace agreement, because the mandate of the mission is to support the implementation of that peace agreement. Mandates for traditional peacekeeping operations often do not mention a peace agreement because it does not yet exist. A cease-fire may exist, however, and may be mentioned in the mandate.
b. Language on the use of force is often different between mandates. There is no standard language, it has evolved over time. Language may also be vague for political reasons. It is useful for instructors to highlight the lack of clarity that may exist at the political level, which is why additional documents explained in subsequent slides are necessary to operationalize the mandate.

c. As with question b) the language is often different or vague with respect to the protection of civilians. Even across the United Nations system, there is no agreed upon definition of the term “protection of civilians”. As with the use of force, language used by the Security Council has evolved. Recently, the Security Council has indicated that “without prejudice to the responsibility of the Government”, UN peacekeeping operations should protect civilians under imminent threat (see for example, the mandate of UNAMID).

d. Multi-dimensional peacekeeping operations are often mandated to facilitate humanitarian assistance. Usually the role of the mission is to provide security or support to humanitarian actors outside of the peacekeeping operation who are providing the humanitarian assistance. Peacekeeping operations generally do not provide humanitarian assistance directly.

e. Particularly the mandates for multi-dimensional peacekeeping operations will have one or more references to women and children because the Security Council recognizes that they often suffer most during a conflict. Sections 2.4 and 2.5 will talk more about those issues.

f. The mandates of all multi-dimensional peacekeeping operations include specific tasks for the mission to promote and protect human rights.

g. Most mandates for multi-dimensional peacekeeping operations include a reference to DDR.

h. Many multi-dimensional peacekeeping operations are mandated to assist Governments to organize national or local elections. In some cases they may also be mandated to observe the elections. It is less common for the UN peacekeeping operation to be mandated to carry out the elections itself. Different tasks can be assigned to different components of the mission and UN Country team. For instance, military and police components may help ensure security while civilian components in cooperation with the UN Development Programme (UNDP) may assist the Government in registering voters or organizing the elections. Integrated Support Services in missions may provide logistical support in cooperation
with, or in support of civilian electoral personnel in missions and in UN agencies. In some cases, the mission may be mandated to provide logistical support to the Government carrying out the elections. Mandated tasks related to elections often cut across several different components and illustrate why different components of the peacekeeping operation and UN Country Team should work together.

Translating Security Council Mandates Into an Operational Framework

<table>
<thead>
<tr>
<th>Security Council mandates are operationalized through the:</th>
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<tr>
<td>• Mandate Implementation Plan, or Integrated Strategic Framework (ISF)</td>
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<tr>
<td>• Concept of Operations (CONOPS)</td>
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<tr>
<td>• Rules of Engagement (RoE) and Directive on the Use of Force (DUF)</td>
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As illustrated in the preceding exercise, Security Council mandates are relatively vague. They are only meant to provide high-level strategic direction to the peacekeeping operation. Additional frameworks must be put in place to operationalize the Security Council mandate. The frameworks provide clarity on how to interpret the mandate and the roles and responsibilities of different components in implementing the mandated tasks.

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

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

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

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

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

### Key Operational Documents

<table>
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<tr>
<th>Document Type</th>
<th>Description</th>
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<tr>
<td>Mandate Implementation Plan, or ISF</td>
<td>A detailed operational strategy for implementing the Security Council mandate by the peacekeeping operation</td>
</tr>
<tr>
<td>Concept of Operations (CONOPS)</td>
<td>Sets out the strategic military and police objectives required to fulfill the mandate</td>
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</table>
In order to provide greater clarity about the UN strategy to implement the Security Council mandate and specific tasks required as part of this strategy, UN peacekeeping operations generally have a strategic planning document focused on the field level. It has different names in different missions, usually it is called either the Mandate Implementation Plan or the Integrated Strategic Framework (ISF). The Mandate Implementation Plan or Integrated Strategic Framework is a detailed and comprehensive operational strategy for implementing the Security Council mandate. They outline timelines and roles and responsibilities of different components of the mission (and in some cases the UN agencies working in the country). Generally, these planning documents are initiated by the Technical or Strategic Assessment team and finalized by the senior management group of the mission in collaboration with UN Headquarters in NY.

The Mandate Implementation Plan or ISF provides an overview of the priority tasks to be carried out by each component of the peacekeeping operation to fulfill the related aspects of the mandate and optimize the use of resources. Where a mission is “integrated” with the UN Country Team, the use of Integrated Strategic Frameworks are being used to define timelines, outputs, and roles and responsibilities for all tasks critical to consolidating peace by the entire UN system. In this context, the “entire UN system” means the UN peacekeeping operation and the UN Country Team.

Both the military and police components will have their own separate Concept of Operations (CONOPS). The CONOPS is a strategic planning document which outlines the key security objectives, requirements and tasks for the military and police components to fulfill their responsibilities in the Security Council mandate.

The Military CONOPS is prepared by the Military Planning Service of DPKO and is an internal UN document. In most missions, the Head of the Military Component (HoMC) may also issue a Military Operations Plan (often known as the military ‘Operation Order’) to supplement the CONOPs. This is the HOMC’s formal written direction to the Military Component and is developed to directly support the strategy and priorities of CONOPS.

The standard Police CONOPS is prepared by Police Division of DPKO and includes the latest situation update, the requirements of the Police components of the mission mandate, strategic directives from the UN Police Adviser, and programmes for delivery and the expected outcomes of Police operations and activities in the mission. The CONOPS also provides broad
guidelines on the command, coordination, administration and logistics, including the mandated strength of the Police component.

### Key Operational Documents (cont.)

**Rules of Engagement (ROE)**
- Directions to operational military commanders outlining when and how force may justifiably be used by designated UN military personnel.

**Directive on the Use of Force (DUF)**
- Instruction to the police component on when and how force may legally be used by designated UN Police personnel to implement the mandate.

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The **Rules of Engagement (ROE)** outline the authority of armed UN **military** personnel to use force in implementing the mandate. They also clearly state when force may not be used by armed UN military personnel. The Rules of Engagement apply to all armed military personnel and units in the mission and they are tailored to the particular mandate of that mission. They are legally binding and are documents internal to the United Nations.

The **Directive on the Use of Force (DUF)** applies to all armed **police** personnel and units in the mission. It indicates whether UN Police are armed and when they have the legal authority to use force in implementing their mandate. Each Directive on the Use of Force applies to a particular mission and it is specific to that particular mandate.

All armed UN peacekeeping personnel must be thoroughly familiar with the relevant RoE or DUF. UN Military or police personnel in a commanding role have a responsibility to ensure that the personnel under their command are thoroughly familiar with the relevant RoE or DUF.

**Note to Instructor:** If you are training military or police personnel who will be armed when they are deployed to a UN peacekeeping mission, indicate that in-depth training on their specific RoE or DUF will be included in the mission-specific elements of pre-deployment and induction training. It is important that instructors and contingent and FPU commanders devote appropriate time to such training and provide detailed training on all elements of the mission-specific RoE or DUF.
The Department of Peacekeeping Operations briefs Permanent Missions (the diplomatic representation of a country to the United Nations) in New York and provides copies of key documents including CONOPS, ROE and DUF. If an updated copy of the RoE or DUF for a particular mission is required in order to carry out such training, peacekeeping training institutions should contact their Permanent Mission to the United Nations in New York. For further technical advice on training on RoE or DUF, they may contact DPKO’s Integrated Training Service (ITS) at: peacekeeping-training@un.org.

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

Summary of Key Messages

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

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

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

Additional Documents

- Status of Forces Agreement (SOFA) or Status of Mission Agreement (SOMA) (in missions without armed personnel)
- Memorandum of Understanding (MOU)
- Results-Based Budget (RBB)

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

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

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

In UN peacekeeping operations with armed personnel, the United Nations concludes a Status of Forces Agreement (SOFA) with the host country, which applies to all mission personnel (military, civilian and police). For UN peacekeeping operations (or Special Political Missions) with only unarmed personnel, the United Nations concludes a Status of Mission Agreement (SOMA), which also applies to all mission personnel.
These agreements are legal agreements which ensure that all peacekeeping personnel, including military and police who are not UN staff, are provided “functional immunity” under the international Convention on Privileges and Immunities just like UN civilian staff. The agreements define the legal status and arrangements, among other things, for the UN’s use of facilities, transportation and other equipment, communications, its freedom of movement in the country, and sets out a mechanism by which disagreements on these issues should be resolved by the UN and the host country.

The Memorandum of Understanding (MOU) is a legal agreement outlining how the UN will reimburse the governments for the troops, formed police units or equipment that they are loaning to the peacekeeping operation. The MOU also details the obligations of the contributing government for ensuring the appropriate quality of those personnel and equipment. (As will be explained in Unit 4 – Part 1, since 2007, the MOU also spells out the detailed obligations of Troop Contributing Countries, contingent commanders and the troops in relation to prevention of sexual exploitation and abuse in UN peacekeeping operations).

The Results-Based Budget (RBB) is the budget mechanism by which the peacekeeping operation seeks and receives funding from the UN General Assembly to carry out its functions. It includes funds for activities, personnel, equipment, supplies, and facilities. It is important for all peacekeeping personnel who supervise personnel or require facilities and equipment to ensure that their needs are covered in the annual Results-Based Budget, otherwise there will not be funding for those personnel, facilities or equipment.
Questions

1. What does the Security Council request in order to monitor the progress of a UN peacekeeping operation?

2. Name three key documents that the UN Secretariat uses to operationalize the Security Council mandate for a UN peacekeeping operation.

3. Which two documents define how and when UN military and police may justifiably use force to carry out their mandate?

4. Name one condition typically used to indicate when a multi-dimensional UN peacekeeping operation has successfully completed its mandate.

Answers

1. The Security Council requests regular written reports from the Secretary-General on the progress in implementing the mandate of each UN peacekeeping operation.

2. Any three of the following: Mandate Implementation Plan (or Integrated Strategic Framework), Rules of Engagement (RoE), Directive on the Use of Force (DUF), or Concept of Operations (CONOPs),

   (or in a civilian or senior level military or police course, participants may also list the Status of Forces or Mission Agreement (SOFA/SOMA), the MOU between the UN and Troop Contributing Countries, or Results-Based Budget (RBB)).

3. The Rules of Engagement outline the justifiable use of force by UN military personnel. The Directive on the Use of Force outlines the justifiable use of force by UN Police.

4. Any one of the following:
   - Absence of violent conflict and large-scale human rights abuses
   - Completion of disarmament, demobilization and reintegration (DDR) of former combatants
   - National armed forces and national police are able to provide security and maintain public order with civilian oversight and respect for human rights;
   - Legitimate political institutions, such as a legislature, have been set up and started functioning after the holding of free and fair elections where women and men have equal rights to vote and seek political office.
UNIT 2 – PART 2: HOW UNITED NATIONS PEACEKEEPING OPERATIONS FUNCTION

Introduction

Why is this important for me?

Slide 1

Slide 2
As UN peacekeeping personnel, you are part of a peacekeeping operation made up of **hundreds and often thousands of personnel**.

Every individual has an important contribution to make, but the only way for the peacekeeping operation to have an impact is if all personnel are working efficiently and coherently towards the same goal.

For this reason, all peacekeeping personnel need to understand their own work, but also how it affects, and is affected by the work of other components in the mission. All peacekeeping personnel also need to understand authority, command and control structures and the coordination and management structures which direct and guide their work.

**Learning Outcomes**

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

1. Explain the relationship between the support and substantive components of a peacekeeping operation and mandate beneficiaries
2. List at least four main positions of authority in a UN peacekeeping operation
3. Explain the main role of the military, police and civilian components in UN peacekeeping operations
Note to Instructor: Introduce the session by letting participants know the intended learning outcomes for Part 2 (as shown in the slide above). You may want to also present an outline of Part 2.

Components of a UN Peacekeeping Operation

As explained in Unit 1, there are three main types of United Nations peacekeeping operations: traditional, multi-dimensional operations and, in rare cases, transitional authorities. However, there can be differences in the structures of those operations. (i.e. not all traditional peacekeeping operations will be structured in the same way. This is also true for multi-dimensional and transitional authority operations.)

These differences are because the structure of the operation is created to suit each mandate that has been authorized by the Security Council. The mandate itself is geared to the unique situation of the conflict of the country in question.

Therefore, there is no standard structure of a UN peacekeeping operation, nor is there a standard organizational chart for a traditional or multi-dimensional peacekeeping operation. Each peacekeeping mission is different.

Handout: The handout on page 37 shows additional details beyond what are shown on the slide above.

Regardless of the exact structure of a peacekeeping operation, all missions have a support and substantive component which must work together for...
the mandate beneficiaries (those persons or groups whom the mission is mandated to assist). As shown in the slide above and the handout (on the next page), the mission support components provide services to the substantive components (military, civilian, police). Those substantive components in turn provide services to the local **beneficiaries listed in the mandate**.

The handout shows that there are a large number of units or offices within the support and substantive components. Particularly on the substantive side, not all of these different units will exist in every mission – it depends on whether it is a multi-dimensional peacekeeping operation or a traditional one, and whether those tasks are included in the mandate. For example, landmines are not a problem in Timor-Leste so UNMIT – while it is a multi-dimensional mission - has no demining mandate and therefore no Mine Action Unit in the mission. UNMIT is, however, mandated to provide support to the Government in holding elections, therefore it has an Electoral Affairs Unit.

For all UN peacekeeping operations, it can be difficult to ensure that all components and units work together in a coherent and effective manner. For that reason, peacekeeping operations require clear command and control structures to ensure that decisions are effectively transmitted from the head of the mission down to the relevant components. It also means that peacekeeping operations require strong management structures across the various components to ensure that different components are using resources efficiently. And across the mission, it also requires that all peacekeeping personnel understand the contribution of other components and sections to the success of the mission, and the importance of collaboration across the mission. Unit 2 – Part 2, therefore, focuses on command and control, management structures and the importance of understanding the work of other components.
United Nations Field Mission Service Provision

The three levels of **authority, command and control** in UN peacekeeping operations are outlined on the slide.

The **strategic** level is the highest level of authority and focuses on the authority and responsibilities of the Security Council, Secretary-General and UN Secretariat. It also includes the Head of Mission. The **operational** level is focused primarily at the mission level, and overlaps both with the strategic level and the **tactical** level.

As you can see, the different levels of authority are not as clear cut as in most military organizations, and therefore will be explained in more detail in subsequent slides.
As explained in Unit 1, the Security Council provides the legal authority for all UN peacekeeping operations and authorizes the UN Secretary-General to establish a peacekeeping mission. In Unit 2, we discussed how the Security Council delegates responsibility to the Secretary-General and the UN Secretariat to establish and conduct the peacekeeping operation with responsibility for implementing the mission’s mandate.

Specifically, the Secretary-General delegates primary responsibility for the strategic level management and direction of all UN peacekeeping operations to the Under-Secretary-General of the Department of Peacekeeping Operations (USG DPKO). The current USG DPKO (shown in the slide photo) is Alain Le Roy.

In exercising this responsibility the USG is supported by other UN Departments responsible for strategic level financial management, safety and security oversight, and logistics and administrative support.

As part of this responsibility to establish, direct and manage peacekeeping operations, the United Nations has “Operational Authority” over all military and police personnel participating in UN peacekeeping operations. Operational authority is defined as:

“the authority transferred by Member States to the United Nations to use the operational capabilities of their national military contingents, units, Formed Police Units and/or military and police personnel to undertake mandated missions and tasks. Operational authority over
such forces is vested in the Secretary-General, under the authority of the Security Council”.

What this means is:

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

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

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

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

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1 UN DPKO/DFS Policy; Authority, Command and Control in UN Peacekeeping Operations, 15 February 2008, section D, p. 3
Head of Mission

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

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

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

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

The Head of Mission in MINURSO, a traditional mission, is a civilian Special Representative of the Secretary-General (SRSG), assisted by a Head of Military Component who is known as the ‘Force Commander’.
**Note to Instructor:** Ensure that you verify the continued accuracy of the information on the missions and senior management posts given in the examples. This information is available through the UN DPKO internet website: [http://www.un.org/Depts/dpko/dpko/index.asp](http://www.un.org/Depts/dpko/dpko/index.asp). To find the names and titles, and often pictures of the Mission Leadership, click on the mission name under Current Operations, and then click on Facts and Figures on the left side of the page.

**Other Positions of Authority**

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- **Head of Mission (HOM)**
  - Exercises “UN Operational Control”
  - May delegate “UN Tactical Control” of military personnel to subordinate military commanders
  - May also be HOM in traditional missions

- **Head of Military Component (HOMC)**
  - Exercises “UN Operational Control”
  - May delegate specific authority for individual officers & FPU's to subordinate police officers

- **Head of Police Component (HOPC)**
  - Normally appointed as the mission Police Commissioner

To maintain the integrity of the military and police chains of command chains, the HOM can only exercise authority over military and police personnel through the respective heads of the military and police components.

The **Head of the Military (HOMC)** reports to the HOM and exercises ‘UN Operational Control’ over all military personnel and units assigned to the mission. This authority allows the HOMC to deploy and direct forces to accomplish specific tasks that are limited by time, function and/or location.

The HOMC may also delegate military personnel and units under ‘UN Tactical Control’ of a subordinate military commander. This assists in tactical missions or tasks by allowing personnel to be directed locally.

The **Head of the Police (HOPC)** reports to HOM and exercises ‘UN Operational Control’ over all UN Police (UNPOL) in the peacekeeping operation, both the individual UN Police or Formed Police Units (FPU).
This authority allows the HOPC to assign separate tasks within the mission area to individual officers and Formed Police Units (FPU), as required. The HOPC may delegate this authority to subordinate police officers for specific purposes.

The Head of the Military Component is the principal adviser to the Head of Mission on military issues, and the Head of the Police Component is the principal adviser to the Head of Mission on police issues.

The HOMC and HOPC each maintain a technical reporting link to UN headquarters, to the UN Military Adviser and UN Police Adviser, respectively.

This reporting link ensures that the technical aspects of military and police field operations are conducted in accordance with overarching UN policies and standards. It also assists UN Headquarters as they are responsible for all official interactions with Member States regarding the operational employment of military and police in the field.

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

Key Civilian Authority Positions

<table>
<thead>
<tr>
<th>Director or Chief of Mission Support (DMS or CMS)</th>
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<tr>
<td>• responsible for ensuring provision of the necessary logistics and administrative support to the mission</td>
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<tr>
<th>The Chief of Staff</th>
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<tr>
<td>• performs a senior level staff and advisory function for the HOM and the senior management of the mission</td>
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<tr>
<td>– E.g. integrated management and coordination of mission activities, policy and planning</td>
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The Director or Chief of Mission Support (DMS / CMS) is the most senior UN official within the mission that is authorized to ‘expend UN funds’ associated with the mission’s allocated budget. Therefore, this is a critical function in all peacekeeping missions.
The DMS / CMS may also be supported by two civilian subordinate officials: a Chief Administrative Services (CAS) and a Chief Integrated Support Services (CISS).

UN peacekeeping operations also have a **Chief of Staff** for the mission who works closely with the HOM. The Chief of Staff **performs a senior level staff and advisory function for the HOM and the senior management of the mission**. While their role will vary from mission to mission, they are generally responsible for the effective and integrated management of all the mission’s activities in line with the strategic vision and guidance from the HOM.

The Chief of Staff also coordinates mission policy and planning activities among the various components of the mission, including the Mandate Implementation Plan or Integrated Strategic Framework and the RBB framework.

The Head of the Military Component, and often the Head of Police Component, often also have a military or police Chief of Staff to address similar issues within their own component.

**Note to Instructor:** The titles of Director or Chief of Mission Support (DMS or CMS) have replaced the terms Director of Administration (DOA) or Chief Administrative Officer (CAO).

### Management Structures in UN Peacekeeping Operations

![Management Structures Diagram](Slide 11)
Different management structures exist in order to allow the Head of Mission to manage the work of these different functions and ensure progress in implementing the Mandate Implementation Plan or Integrated Strategic Framework. These structures exist at the mission headquarters level. In larger missions there may also be regional management structures to coordinate the work of different parts of the peacekeeping operation in that particular region.

The top principals of the various components of the peacekeeping operation are brought together in the Mission Leadership Team (MLT), a senior level decision-making forum. The Mission Leadership Team is the mission's primary executive decision-making forum which supports integrated decision-making between different components, and in "integrated missions" with respect to the UN Country Team.

The Mission Leadership Team also establishes and communicates the shared strategic vision for achieving the mandate. The MLT generally comprises one or more of the Deputy Special Representatives of the Secretary-General (DSRSGs) representing usually multiple civilian components, and in integrated missions the UN Country Team. The DMS or CMS, HoMC and HoPC are also part of the Mission Leadership Team.

In addition, most peacekeeping operations, particularly larger ones, will have a Senior Management Group (SMG), which is a wider management, planning and coordination forum. The SMG tends to include the members of the Mission Leadership Team as well as the heads of various civilian components in the mission. The diagramme on the slide shows some examples of these components, such as political affairs, human rights, and public information, to name a few. Many of these may not exist in a traditional peacekeeping operation, therefore the SMG will be considerably smaller than in a multi-dimensional peacekeeping operation with a broad range of civilian components.

Note to Instructor: Mission Leadership Team and Senior Management Group are new terms arising from the 2008 Policy on Authority, Command and Control. On a day to day basis, some missions may still be using previous terminology informally.

In the diagramme, the DSRSG/RC/HC stands for the Deputy SRSG/ Resident Coordinator/Humanitarian Coordinator. The Resident Coordinator represents and coordinates the work of all the UN agencies, funds and programmes in the UN Country Team. The post of DSRSG/RC exists in "integrated missions" and
is the means by which the mission and the UN Country Team are integrated. In integrated missions where there is also a humanitarian emergency, the UN may appoint a Humanitarian Coordinator as well. The Humanitarian Coordinator is often also the DSRSG/RC. Unit 3 – Part 2 explains more about how missions work together with the UN Country Team and the humanitarian community.

Understanding the Importance of Other Components’ Work

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All peacekeeping personnel must have a basic understanding of:

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

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All peacekeeping personnel must have a basic understanding of the important contribution of each component and function within a mission. Everyone in a mission has an important contribution to make in achieving the mandate and the Mission Plan.

Understanding the importance of each other’s contributions is particularly vital in multi-dimensional peacekeeping operations. These missions have complex mandates and operate in difficult environments. The work of each component affects and influences the tasks of other components.

In order for any UN peacekeeping operation to achieve its mandate, it must strategically use the capabilities of the military, police and civilian components at the right moment. The strategy on how to do this is outlined in the Mandate Implementation Plan or Integrated Strategic Framework.

Putting this into practice requires that everyone in the peacekeeping operation has a basic understanding of the main tasks and functions of the different
components in a mission. It also means that peacekeeping personnel must know how and when to help each other in achieving the mandate.

All parts of a United Nations peacekeeping operation function under the same mandate, report to the same Head of Mission, share a single budget, and depend on the same integrated support services. However, there are significant cultural differences. These include national, institutional and professional differences. These differences are both within the components and between them.

Many civilian organizations and government departments routinely function with a high degree of tolerance for ambiguity (vagueness and uncertainty). They may also have highly flexible management models. Military and police staffs often minimize ambiguity by making informed assumptions within a strong planning culture.

Peacekeeping personnel must work to bridge these differing “institutional cultures”. At the same time, it is important to not to stifle the cultural and institutional diversity that is one of the United Nations’ main strengths.

Note to Instructor: Cultural differences of all kinds will be explored more fully in Unit 4 in the session on Respect for Diversity.

The following slides outline the main functions of the civilian, military and police components. We will also explore the integrated structures in which police, civilian and military work together.

The Military Component
Military components play an instrumental role in UN peacekeeping. In traditional peacekeeping operations, the military component is generally made up of unarmed military observers or lightly armed contingents carrying out monitoring or observation tasks. The military component carries out the mandated tasks to monitor or supervise any military arrangements that parties to a conflict have agreed upon while the peace process continues.

Over time, the tasks of UN military components have become increasingly complex. The conflicts in which they intervene no longer involve only national armies, but may also now include irregular forces, guerrilla factions, and even armed criminal gangs.

Consequently, the military capability under UN command has changed and is no longer the lightly armed intervention aimed at separating national armed forces that was typical during the first 40 years of UN peacekeeping.

In multi-dimensional peacekeeping operations, the primary function of the military component is to create a secure and stable environment for other elements of the peace process to be implemented. For example, human rights monitoring, national reconciliation and distribution of humanitarian assistance. Depending on the mandate, there may also be tasks associated with monitoring of a ceasefire or certain boundaries. In such cases, the military component may carry out these tasks in collaboration with other components, such as civilian political affairs officers.

In multi-dimensional peacekeeping operations, it is particularly important for the military component to work in close consultation with all mission components. This is because the success of those missions is measured by more than just the absence of conflict. The reestablishment and development of strong institutions and respect for the rule of law are also important conditions for success, and these cannot be achieved through the threat, or use, of military force alone. For those reasons, the military component must work with all other partners in this wider context to consolidate peace and security.
There are three main categories of military personnel in UN peacekeeping operations.

The biggest number of UN military personnel are deployed as formed military units or contingents. These are fully functioning units of armed soldiers with their own command structure which correspond to traditional military formations, e.g. companies (about 120-150 soldiers), battalions (500-1,000 soldiers) or brigades (4,000-10,000 soldiers).

Both traditional and multi-dimensional peacekeeping operations also have some form of “Military Experts on Mission”. These are unarmed military personnel who carry out specific observer or advisory functions outlined in the mandate, and carry various titles, including United Nations Military Observers (UNMO), Military Liaison Officers (MLO), Military Advisers (MilAd) and Arms Monitors (AM) depending on the mandate of the mission.

Note to Instructor: You may want to ask participants if they know the acronyms for the different military experts. If you have provided handouts of the slide, suggest that participants write down any acronyms that come up in the sessions.

All peacekeeping operations also have staff officers who are military officers deployed in an individual capacity to perform specialized functions at the mission’s force headquarters or in joint mission structures.

All categories of military personnel in a peacekeeping operation report to the Head of Military Component (HOMC).
armed military units, the Head of the Military Component (HOMC) is a serving military officer usually appointed in the functional title of ‘Force Commander’ (FC) at either the ‘two star’ or ‘three star’ General officer rank (‘Major-General’ or ‘Lieutenant-General’ equivalent).

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

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

- During the 2006 elections in the Democratic Republic of Congo, the military component of MONUC contributed to the success of the elections by providing escorts for the distribution and collection of electoral materials to 12,000 voter centres by UN civilian electoral personnel and national authorities.

- In 2006, UNMIL and the Government of Liberia set up a Rubber Plantation Task Force to normalize the situation in unstable or informally exploited (occupied) plantations, and in the long run, to increase Government revenue from rubber production and trade. From UNMIL, the Task Force involved the military and police components, the DDR, civil affairs, judicial, human rights and environment units to do joint planning, analysis and action. The first order of business for the Task Force was to address a plantation being operated by a group of former combatants, who had taken control of the plantation during the war. It was a joint operation with the UNMIL Force working in support of the substantive civilian sections within UNMIL, led by the DDR section. The UNMIL Force also insisted that it would not deploy troops until the UN Police and Liberian National Police were also ready to deploy and a series of Quick Impact Projects were in place to instantly improve conditions for the inhabitants of the plantation.

- Between about 2004 and 2006, armed groups controlled areas of the capital city (such as the area known as Cite Soleil) in Haiti, that neither MINUSTAH nor national police or authorities were able to enter and safely assist the population. In late 2006, the military contingents of MINUSTAH used urban combat operations to overcome the aggressive and organized resistance of the armed groups, with UN Police playing a supporting role by providing a standby force capacity and the use of non-lethal means to arrest gangsters. As the UN military component
gained control of the security situation in these neighbourhoods, UN Police were able to enter and work with the Haitian National Police to reestablish law and order, and civilians (civil affairs officers from the mission, as well as UN and NGO humanitarian and development agencies) were able to work with local authorities and community groups to reestablish public services. *Instructors using this example may also wish to show the video Ponte Forte which is contained in the Toolbox on the Peacekeeping Resource Hub at http://peacekeepingresourcehub.unlb.org or by contacting peacekeeping-training@un.org*.

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

**The Police Component**

![The UN Police Component (UNPOL)](Slide 15)

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

UN Police are usually police officers and other law enforcement personnel on active duty in their home countries who are temporarily seconded to a peacekeeping operation. The secondment is usually for about six months to one year.

Increasingly, there are two categories of UN Police. First are the individually deployed UN Police officers, and second are Formed Police Units (FPUs).

An FPU is a stand-alone unit of police officers that is deployed from the same country. The FPUs generally consist of about 140 officers. Their roles are to provide public order support to the peacekeeping operation.

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

The role of the Police Component differs between peacekeeping missions and so the Police Commissioner is chosen for the specific skills required for the mission’s mandate. Examples of these skills include: national police capacity building, mentoring and monitoring of national police, or exercising executive policing authority during a period of transition from international supervision to the installation of a new national government.

Potential Sources for Misunderstandings

Police officers come from different countries with different legal systems and different structures in which police operate. Countries with an Anglo-Saxon legal tradition tend to follow a common law system, while other countries with a continental or Napoleonic legal tradition tend to follow civil law. This can result in different approaches to the same issues. Sometimes these different approaches can lead to misunderstandings over the local legal systems.

The key for UN Police and those working with them is to quickly develop a basic understanding of the local laws, especially as they relate to arrest, detention, search, seizure and constitutional rights.

Another common source of misunderstanding is related to the role of the police.
In some countries, particularly from civil law jurisdictions, police are part of the judiciary while in common law jurisdictions, police are part of the executive branch of the state.

In some countries, police are subservient to military authority while, in others, they are separate. This can result in challenges in police-military relations between individuals who do not have the same experiences or traditions.

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

- In the United Nations Operation in Burundi (ONUB) which existed from 2004 to 2006, the Unit responsible for DDR and Security Sector Reform (SSR) received support from the UN Police in seeking donor funding for training and the provision of equipment for the Burundian National Police (PNB). Working together the UN Police and the DDR/SSR unit were able to convince donors to pay for 34 vehicles (4X4 HILUX) and 35 trucks, communication equipment, and housing blocks to serve as training centres. The ONUB Police provided material and technical assistance for the use of this equipment, thereby contributing to the overall objective of the DDR/SSR unit and the mission’s overall mandate. (Please note that in 2006 the United Nations Operation in Burundi (ONUB) was replaced by the United Nations Integrated Office in Burundi (BINUB).)

- During the first round of Presidential elections in Timor-Leste in 2007, UN Police played a lead role in ensuring security during the elections, for example by providing escorts when ballot papers were transported to the districts by national authorities in collaboration with the civilian Electoral Assistance Section, and through the provision of a visible presence at all polling centres. During the presidential campaign some 131 campaign events took place and minor security incidents were recorded in only 18 of the campaign events. Twelve of these events involved alleged intimidation, and after investigation none were considered to have had any tangible effect on voters).
There are a wide variety of civilian components and functions in UN peacekeeping operations on both the substantive and support sides of a UN peacekeeping operation.

The type of substantive civilian components that are in a peacekeeping operation depends on the mandate of the mission. Traditional peacekeeping operations are primarily military operations and therefore have a limited number of substantive civilian components. In multi-dimensional peacekeeping operations, there are many different civilian substantive components.

In general, some or all of the following substantive civilian components exist in most multi-dimensional peacekeeping operations: political affairs, civil affairs, human rights, gender, public information etc. The handout provides an overview of some of the main tasks of substantive civilian components that are typical in multi-dimensional UN peacekeeping operations.

There are no uniform or collective reporting lines for these substantive civilian components, although ultimately they all report to the Head of Mission.

As explained earlier, the Director of Chief of Mission Support is a civilian responsible for ensuring the provision of necessary logistics and administrative support to the mission. Civilian staff provide administrative services, such as ensuring payment of mission personnel, as well as other services such as health and safety personnel or IT and telecommunications.
services, all of which are crucial for the functioning of any peacekeeping operation.

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

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

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

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

- In MONUC in 2008, the Disarmament, Demobilization and Reintegration (DDR) unit worked with the Public Information Office (PIO) to produce a video that reached past the leadership of foreign armed groups in the
Democratic Republic of Congo to play on the homesickness of the rank and file and entice them to participate in the DDR programme.

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

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

<table>
<thead>
<tr>
<th>Component</th>
<th>Functions and activities</th>
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<tbody>
<tr>
<td><strong>Civilian</strong></td>
<td></td>
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<tr>
<td><strong>Substantive</strong></td>
<td>• Developing Disarmament, Demobilization, and Reintegration (DDR) programs with military, humanitarian, and development partners&lt;br&gt;• Electoral assistance&lt;br&gt;• Gender mainstreaming&lt;br&gt;• Justice and corrections&lt;br&gt;• Mine action assistance&lt;br&gt;• Public relations and communications&lt;br&gt;• Building human rights and rule of law&lt;br&gt;• Capacity building of the host country government&lt;br&gt;• Support to emergence of legitimate political institutions and participatory processes</td>
</tr>
<tr>
<td><strong>Mission Support</strong></td>
<td>• Administrative services&lt;br&gt;• Ensuring health and safety of mission personnel&lt;br&gt;• Communications&lt;br&gt;• Financial support: preparation and execution of mission budget, paying staff and vendors&lt;br&gt;• Logistical support to all components&lt;br&gt;• Recruitment, training, and career development&lt;br&gt;• Monitoring mission compliance with local laws and respect for UN privileges and immunities and status-of-forces or status-of-mission agreement</td>
</tr>
<tr>
<td><strong>Military</strong></td>
<td>• Security Sector&lt;br&gt;• Provision of a secure environment, through:&lt;br&gt;  o Conducting patrols&lt;br&gt;  o Establishing and operating checkpoints&lt;br&gt;  o Securing major routes to facilitate mobility&lt;br&gt;  o Securing key facilities (hospitals, power plants, police recruiting stations, etc.)</td>
</tr>
<tr>
<td><strong>Police</strong></td>
<td>• Restoration of rule of law&lt;br&gt;• Reform of host country police services&lt;br&gt;• Vetting, training, and mentoring of host country police&lt;br&gt;• Providing public order and responding to public security challenges, through:&lt;br&gt;  o Static guard and close protection duties for dignitaries&lt;br&gt;  o Preventive patrols and checkpoints&lt;br&gt;  o Tactical support for high-risk operations&lt;br&gt;  o Security for demonstrations&lt;br&gt;• Provision of executive policing (in the absence of an established national police framework)</td>
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</table>
In order to ensure better integration and utilization of resources and assets, UN peacekeeping operations use joint or integrated structures.

All missions have Integrated Support Services (ISS), a Joint Mission Analysis Centre (JMAC) and Joint Operations Centre (JOC).

All of these joint centres are headed by a civilian and bring together civilian, military and police specialists to ensure that information, action and resources are effectively used across all components of the mission.

The Integrated Support Services (ISS) are responsible for providing logistics support to all mission components including in regions or sectors. They therefore control all logistical resources in the mission (including UN-owned, commercially contracted and military logistics or enabling units such as construction and maintenance engineering, medical, movements control, supply and transport assets etc.). This means that the Chief of the Integrated Support Services exercises “Tasking Authority” over all uniformed personnel and resources assigned to the Integrated Support Services. This includes enabling units, transportation and movement units, such as military transport helicopters, but it does not include combat units, such as combat aviation units or combat/field engineers, which are tasked by the Head of the Military Component (HOMC).

In UN peacekeeping operations with military logistic units, known in UN peacekeeping as ‘enabling units’, a Joint Logistics Operation Centre (JLOC) is established as part of the Integrated Support Services. The role of the JLOC is to provide all mission components and other UN and non-UN
entities with a single point of coordination for all aspects of logistics support in the mission area.

There are also joint structures which deal on the substantive side of the mission. The Joint Mission Analysis Centre (JMAC) assists the Head of Mission (HOM) to gather and understand information available from all sources in a mission and country to produce medium and long term analysis on the actual and potential threats to mandate implementation.

The Joint Operations Centre (JOC) assists the Head of Mission (HOM) to remain aware of the operational situation in the mission area. The JOC is able to produce regular and timely integrated operations reports on all aspects of the mission’s operations. During a crisis event the JOC becomes the Head of Mission’s crisis management centre.

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

Summary of key messages

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

- The main components in a peacekeeping mission are the military, police and civilians.
- All peacekeeping personnel must have a basic understanding of the important contributions that each component makes in achieving the mandate and the mission plan. It is also important to know how to support the work of other components in the mission.
- There is a potential for misunderstanding between and within the different components because of the different national, institutional and professional cultures that people bring with them to the mission. It is important to take time to understand each other’s roles and interests.
- There is a strategic and field level of authority for peacekeeping operations. The Head of Mission plays a key role in linking the strategic and operational levels.
Each peacekeeping operation is different and will have different management and command and control structures. Common to all missions is the position of Head of Mission, Head of Military Component and Head of Police Component. Those positions may share other responsibilities as well. Other common positions are the Director or Chief of Mission Support and the Chief of Staff.
Unit 2 - Part 2: Learning Assessment

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

Questions

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

Answers

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

1. Can the General Assembly authorize a peacekeeping operation or is it only the Security Council?

   **Possible Responses**
   
   The United Nations Charter gives primary responsibility to the Security Council for the maintenance of international peace and security, and therefore also for the authorization of a peacekeeping operation. However, under General Assembly Resolution 377(V) of 1950, an exception to this general rule has been created so that “…if the Security Council, because of lack of unanimity of the permanent members, fails to exercise its primary responsibility for the maintenance of international peace and security in any case where there appears to be a threat to the peace, breach of the peace, or act of aggression, the General Assembly shall consider the matter immediately with a view to making appropriate recommendations to Members for collective measures, including in the case of a breach of the peace or act of aggression, the use of armed force when necessary, to maintain or restore international peace and security.”

   Under this resolution, the General Assembly has authorized one peacekeeping operation, the First United Nations Emergency Force (UNEF I). All UN peacekeeping operations since then have been authorized by the Security Council, which is the general practice, and consequently Unit 2 focuses on the process followed by the Security Council.

2. How does the United Nations decide on the structure of a peacekeeping mission?

   **Possible Responses**
   
   There is no standard structure or organigramme for a United Nations peacekeeping operation. The structure of each peacekeeping operation is developed based on the Security Council mandate. Generally, the Technical Assistance...
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
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<tbody>
<tr>
<td>3. What mechanism is in place so that peacekeeping missions are planned and executed in the most cohesive way?</td>
<td>For multi-dimensional peacekeeping operations, an “Integrated Mission Planning Process” (IMPP) is used to plan the mission in cooperation with the full UN system in order to ensure that there is one strategic vision for the UN in that country and for the cohesive and efficient deployment and operationalization of the mission.</td>
</tr>
<tr>
<td>4. How do armed peacekeepers know whether they can use force?</td>
<td>The Rules of Engagement (for military) and Directive on the Use of Force (for police) will indicate where and when force can justifiably be used, and the graduated levels of force that are appropriate for different situations.</td>
</tr>
<tr>
<td>5. Where is it clarified whether UN Police are armed or not?</td>
<td>This is specified in the Directive on the Use of Force specific to the particular mission and its mandate.</td>
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<tr>
<td>6. Why are the Heads of Military Components called different names, such as Force Commander (FC), Chief Military Observer (CMO) and Chief Military Liaison Officer (CMLO)?</td>
<td>The title assigned to a Head of the Military Component in a peacekeeping mission is intended to reflect the functional role intended when the mission was started. The role may change over time but the title may stay unchanged (e.g. ‘Force Commander’ of MINURSO where there is no longer any armed units).</td>
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<tr>
<td>7. Can a UN civilian staff member direct or give orders directly to a UN military or police person?</td>
<td>Yes, but only if that military or police person is being directly supervised by the civilian staff member (e.g. are members of a Joint Centre) and the direction can only be related to routine tasks and not tactical operations.</td>
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</tbody>
</table>
8. Do national rules and regulations governing the conduct and discipline of military and police still apply when serving in a UN peacekeeping mission? Yes. Military and police personnel are also required to comply with UN rules and regulations governing the conduct and discipline of peacekeepers.

9. Who drafts the Rules of Engagement and/or Directive on the Use of Force? The RoE are drafted by the Office of Military Affairs and the Directive on the Use of Force is drafted by Police Division in DPKO in New York, and approved by the UN’s Office of Legal Affairs.

10. Why is the use of force by military and police governed by two different legal documents? Military and police use force for different purposes in peacekeeping operations. The military uses force to deter or remove a security threat from armed forces or groups, while the police use force to arrest civilians and address criminal behaviour. The use of force by military and police are therefore also governed by different sources of law (the military is governed by humanitarian law and the police by human rights and domestic criminal law).

11. Do military and police always have separate CONOPs? Yes. Although both the police and military CONOPs are drafted at DPKO Headquarters in NY, they are separate documents handed over to the Head of the Police Component (HOPC) and Head of the Military Component (HOMC) respectively.

12. Do contingent commanders and/or sector commanders receive a copy of the military CONOPS, or do they draft their own CONOPS for their area of responsibility? The CONOPS applies only to the Head of the Military Component (HOMC). The HOMC uses the CONOPS to draft his/her Operational Order (or Plan) which applies to contingent and sector commanders, who are then required to draft their own plans for their area of responsibility based on the HOMC’s Operations Order (or Plan).

13. When UN military or UN Police are mandated to work directly with local Government security forces, does the UN exercise operational authority over No. The United Nations only exercises operational authority over those troops or police which have been provided to participate directly in a UN peacekeeping
the local security forces? operation. In rare cases where the United Nations has executive policing authority, may the UN Police possibly exercise operational or tasking authority over host country police officers. If this is the case, the level of authority and the limits to UN authority will be specified in a separate agreement with the local Government.

<table>
<thead>
<tr>
<th>14. How are military and police personnel working in joint or integrated structures selected?</th>
<th>Military and Police specialists serving in the JMAC, JOC, and JLOC are selected through a competitive process supervised by the Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS) in UN Headquarters in New York.</th>
</tr>
</thead>
<tbody>
<tr>
<td>15. Can staff officers also be deployed outside the mission headquarters?</td>
<td>In a few larger missions with significant regional or sector offices, staff officers may also be deployed to the regions. Generally, staff officers work in the mission headquarters.</td>
</tr>
</tbody>
</table>
Optional Learning Activity

Panel discussion on Tasks in Mission

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

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

Time Required:

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time</th>
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</thead>
<tbody>
<tr>
<td>Activity introduction</td>
<td>10 mins</td>
</tr>
<tr>
<td>Presentations</td>
<td>10 mins</td>
</tr>
<tr>
<td>Discussion</td>
<td>30 mins</td>
</tr>
<tr>
<td>Close activity</td>
<td>5 mins</td>
</tr>
<tr>
<td>Total time</td>
<td>75 mins</td>
</tr>
</tbody>
</table>

(assuming there are 3 panelists, time may be adjusted if there are fewer or more panelists)

Preparations:

1. Identify and invite two or three persons who have recently held senior positions in different areas of a UN peacekeeping operation (for example, contingent commanders, HOMC or HOPC or their deputies or Chiefs of Staff, civilian personnel who have been SRSG, DSRSG, Chief of Staff or the head of a civilian component) to participate in a panel discussion. Where possible it is useful to have a mix of civilian, police and/or military personnel.

2. Ask the panellists to provide a brief overview (10 minutes) of the expressed and implied tasks that they had in this position. In terms of expressed tasks, ask the speaker to identify which documents and/or directives they received when they started in the position. Ask them to also speak to their understanding of the other tasks that also needed to carry out in order to achieve their objectives, but were perhaps not explained to them. In this respect, ask them also to identify any lessons they learned in how best to collaborate with other components (e.g. military, civilian or police).
Activity Guidelines:

1. Introduce the activity and the panellists to participants.

2. Allow each panellist 10 minutes for their presentation and then encourage participants to ask questions of the panellists.

3. Be prepared to ask the panellists questions that will help bring out key messages from Unit 2.