

Considerations for
Mission Leadership in
United Nations
Peacekeeping Operations

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Foreword

The complex and multidimensional nature of modern peacekeeping operations requires senior mission leaders capable of managing a vast array of tasks and challenges, ranging from human rights and reconciliation efforts and the establishment of the rule of law to complex disarmament processes and the protection of civilians, among many others. United Nations Department for Peacekeeping Operations and Department for Field Support's work to develop guidance for senior mission leadership aims to assist them in grappling with these constantly emerging challenges, and in adapting to the ever-changing contexts in which peacekeeping operations are deployed.

As we ensure that peacekeeping doctrine continues to address the challenges facing UN peacekeeping, it is important to periodically pause and reflect on the complexities involved in implementing Security Council mandates. Considerations for Mission Leadership in United Nations Peacekeeping Operations offers a detailed snapshot of multidimensional peacekeeping in 2010, and draws on previous experiences, as well as the most recent thinking on a range of issues. Although all operations are different, and no two situations are alike, a number of best practices have emerged and may be considered and/or applied in a variety of scenarios. As such, the Considerations study represents an important contribution to the understanding of the issues and challenges facing peacekeepers at all levels.

I would like to express my gratitude to the Challenges Partnership for undertaking the considerable task of producing this study. I am equally pleased about the comprehensive and inclusive process that went into its making, drawing on the accumulated knowledge and experience from dozens of institutions and individuals from across the global peacekeeping community. Finally, I am grateful for the intention of the Challenges Partners to make Considerations a living document, which will be reviewed and updated on regular intervals in the coming years, so that it may continue to serve as a valuable tool to mission leaders and all other staff serving in peacekeeping operations around the world.

December 2010

Mr. Alain Le Roy
Under-Secretary-General for Peacekeeping Operations
United Nations

Acknowledgements

Around the world, mission leadership teams in United Nations peacekeeping operations face increasingly complex challenges. At a time of global fiscal crisis, missions are expected to fulfil ever more ambitious mandates. Given the expanding scope and content of contemporary operations, difficult decisions need to be made by mission leaders on a wide range of issues as they translate mandates into mission implementation plans.

Issues requiring thoughtful consideration include: what are the preconditions for success? What are the responsibilities and coordination requirements? What resources are needed and available? What are the challenges and risks? Which objectives should the mission pursue? Which outputs will support those objectives? Which activities will deliver the selected outputs? Which resources are required to undertake those activities? What risks and challenges are involved and what should the short-, medium- and long-term benchmarks be? In essence, what needs to be prioritized and how can the mission leadership team best sequence its efforts?

The present independent study is the result of a systematic and comprehensive series of workshops hosted by the Challenges Partnership in 2009 and 2010 aimed at offering analysis and practical thoughts on what mission leaders in United Nations peacekeeping operations may wish to consider as they set about planning and implementing their mandates authorized by the Security Council.

The International Forum for the Challenges of Peace Operations is a global, inclusive Partnership of organizations, involving leading civilian, military and police practitioners, diplomats, and academics (see Annex 2 for the list of Challenges Partner Organizations). Partners represent a balanced number of civilian and military organizations, countries from the South and North, including major troop and police contributors, financial donors, and organizations from the five permanent member countries of the Security Council. Their common denominator is a fundamental commitment to seeking better solutions to current challenges for modern peace operations. The Partnership appreciates the active engagement and contributions made to the Challenges Forum by officials of international organizations, including the United Nations and major regional organizations.

The present study would not have been possible without the commitment and contributions by the Challenges Partnership organizations and dedicated

individuals in those organizations generously sharing their human, intellectual and financial resources during the process. The comments and inputs from the United Nations, and in particular the Department of Peacekeeping Operations and the Department of Field Support, have been invaluable to ensure the quality, timeliness and relevance of the study. Some twenty current or former Special Representatives of the Secretary-General, Force Commanders and Police Commissioners have reviewed the document, generously sharing their assessments and comments.

The Challenges Partnership is pleased to share the present study with the broader international community of peacekeepers in the six official languages of the United Nations. It is the hope of the Partnership that the study can be of assistance when mission leaders and their teams around the world consider ways in which to translate challenging mandates into effective missions, now and in the future.

December 2010

Mr. Jean-Marie Guéhenno
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Introduction

The Challenges Partnership has a history of sustained engagement with the United Nations Department of Peacekeeping Operations (henceforth DPKO) in support of the doctrinal development of United Nations (henceforth UN) peacekeeping. Most recently, in 2006 and 2007, the Partners were actively involved in organizing and facilitating a series of workshops to help develop DPKO's "Principles and Guidelines for UN Peacekeeping Operations," commonly known as the "Capstone Doctrine", published in 2008.¹ Committed to remaining engaged with DPKO's overall doctrine project, the Partners agreed with DPKO in late 2008 that, as a specific next step, the Challenges Partnership should focus on identifying some of the principles and concepts underpinning the three core functions of UN multidimensional peacekeeping as articulated in the Capstone Doctrine. As such, there would be no attempt to write doctrine for DPKO but rather, by identifying and discussing the concepts needed to "operationalize" the three strands of core business for contemporary peacekeeping, make an enabling contribution to a wider understanding of the issues facing senior mission leadership. Such was the genesis of this Study that has become known as "Considerations for Mission Leadership in UN Peacekeeping Operations."

The aim of the work was identified as to contribute to conceptual thinking and a wider understanding of the core functions of multidimensional peace operations in order to assist the development of operational level guidance material for DPKO's peacekeeping practitioners in the field.

There are a multitude of tasks, or lines of activity, needed to support a mandate designed to move an immediate post-conflict environment towards one in which there is a prospect of a sustainable peace. Contemporary, multidimensional peacekeeping missions have the political leadership of the process, but often lack the necessary authority, budget, expertise or resources to undertake all the tasks covered by the mandate. In order to help peacekeeping missions focus on their most essential business, the Capstone Doctrine identified the core functions in its Chapter 2.3:

- *Create a secure and stable environment while strengthening the State's ability to provide security with full respect for the rule of law and human rights;*

1 Available at http://peacekeepingresourcehub.unlb.org/Pbps/Library/Capstone_Doctrine_ENG.pdf.

- *Facilitate the political process by promoting dialogue and supporting the establishment of legitimate and effective institutions of governance;*
- *Provide a framework for ensuring that all UN and other international actors pursue their activities at the country level in a coherent and coordinated manner.*

The Capstone Doctrine gives guidance at the strategic level (although its principles and guidelines have resonance at all levels). The bridge linking the strategic and the tactical level is the operational level where all the complex lines of activity leading to success need to be knitted together and integrated into one plan. This is the business and responsibility of the Mission Leadership Team (MLT), led by the Head of Mission (HoM). The following Study endeavours to address a wide array of considerations for the HoM and MLT as they attempt to implement complex Security Council mandates under the three core functions. As such, it takes over from where the Capstone Doctrine left off. While it cannot be comprehensive, it focuses and navigates issues at the operational level and may serve as a helpful reference document for senior leaders in the field. To achieve a full understanding of the issues addressed will require supplementary reading of more specialized documents.

Scope

The Study has been written at a time when global demand for multidimensional peacekeeping remains high, while resources are limited. At the same time, the developing understanding of the nexus between peacekeeping and peacebuilding and of the importance of security sector reform and the (re-)establishment of the rule of law as an exit strategy for a peacekeeping mission, all serve to add further complexity to the task of a peacekeeping mission's senior leadership. This Study addresses this environment, which is characterized by Security Council mandates calling for a multidimensional engagement to tackle the spectrum of a conflict, while applying Chapter VII provisions to allow for the use of force at the operational and tactical level to protect civilians and those covered by the mandate. It is therefore essentially focused upon contemporary, multidimensional peacekeeping as it continues to evolve.

Methodology

There are dangers in stereotyping missions and their problems, and so any conceptual guidance should not be a prescriptive checklist of things that must be done but more of a helpful discussion, under generic headings, of the

things that the MLT might like to consider as best practice. The methodology of this Study has therefore been to:

- Outline the preconditions for success, even though not all of them are likely to be in place at the time of deployment of a mission;
- Identify the various key objectives based on analysis of various mandates and from the Capstone Doctrine that need to be tackled by the MLT;
- Identify a generic set of outputs that support each objective;
- Identify from these outputs a set of operational activities that might need to be undertaken by the mission in order to achieve the desired outputs;
- Attribute to the outputs a broad benchmarked framework based on short-term, medium-term, and long-term priorities, many of which go beyond the life-cycle, and mandated responsibilities and budgets, of a mission;
- Associate with the outputs appropriate responsibilities, resources, challenges and risks, and considerations for remedial action;

all in order to inform senior mission leadership thinking. This methodology corresponds with UN best practices, including logic models suggested by the United Nations Office of Internal Oversight Services.²

However, not all considerations respond to a treatment which attempts to group them under objectives, and so the first two chapters of this Study focus upon leadership, mandate implementation, integration, coordination and mission critical, cross-cutting issues, which together provide the normative framework for senior mission leadership.

Subsequently, Chapters 3 – 6 focus upon the four key objectives extracted from mandate analysis and the core functions of peacekeeping, namely:

- Chapter 3: Facilitating the Political Process;
- Chapter 4: Creating a Secure and Stable Environment;
- Chapter 5: Strengthening Rule of Law with Respect for Human Rights;
- Chapter 6: Promoting Social and Economic Recovery.

Principles of United Nations Peacekeeping

In considering the tasks needed to be undertaken by the MLT in support of the core functions of peacekeeping, sight must never be lost of the Capstone

² See more in the OIOS Inspection and Evaluation Manual, available at http://www.un.org/Depts/oios/ied/ied_manual_v1_6.pdf.

Doctrine's key principles of peacekeeping and how they have been nuanced to reflect today's new demanding environment:

- Consent – a commitment to the peace process by the parties and their acceptance of the peacekeeping operation, translating into physical and political freedom of action of the mission to carry out its mandated tasks;
- Impartiality – a peacekeeping mission must implement its mandate without favour or prejudice to any party. Impartiality, however, should not be confused with neutrality, inactivity or inaction;
- Non-use of force except in self- defence and defence of the mandate. A nuanced principle from its original articulation for traditional peacekeeping, and which now implies that force may, and often should, be used in support of the mandate and those protected by it.

And the key factors for the success of a peacekeeping mission:

- Credibility;
- Legitimacy;
- National/local ownership.

These principles provide the lens through which all the activities of a mission are viewed and considered. How they interact, conflict and/or mutually support each other needs to be fully understood in order to provide a guidance and analysis tool to senior mission leadership.

Political Primacy

Finally, the Study attempts to stress the primacy of the political nature of contemporary peacekeeping. The peacekeeping mission led by its HoM signals the political engagement of the international community. The scope of this engagement is much wider than purely the leadership of the peacekeeping mission and extends to the complex of actors working within the mission area, the host country, neighbouring states, regional and international organizations and interested Member States, including the troop and police contributing countries (TCCs and PCCs). The importance of the political engagement of the MLT is therefore stressed throughout and forms the background to all the considerations in the Study. The engagement of the MLT can never be a mechanistic process but a skilled articulation of refined political judgement. Nevertheless, it is recognized that this judgement can be better informed by knowledge of best practice and some generic considerations.

Leadership, Coordination and Integration

1.1 The Critical Importance of Mission Leadership

Highly effective leadership by the MLT is arguably the single most important factor for the success of all peacekeeping operations. Under such leadership, UN missions can optimize the use of scarce resources, motivate mission personnel, set proper examples for the host nation in state- and peacebuilding, and strengthen the credibility and reputation of the Organization.³

UN peacekeeping missions are increasingly complex, requiring imaginative and dedicated leadership grounded in integrity and competence. The multifaceted nature of peacekeeping operations has been documented in the lessons learned from a multitude of missions over the past six decades. These lessons, reflecting the expectations of the international community in a continually changing global environment, have recognized the increasing incidence of intra-state conflict, the strengthening of regional entities, and greater presence of non-state actors; and have revealed a trend as regards multidimensional operations. Traditional peacekeeping based on the maintenance or observation of a ceasefire between consenting states remains a valid UN peacekeeping task but, since the 1990s, there has been a marked increase in the requirement for integrated UN missions to conduct peacekeeping within states and in contested environments. Security Council mandates are now more demanding and challenging as the functions of peacemaking, peacekeeping and peacebuilding are recognized as increasingly overlapping. These changes to traditional peacekeeping tasking have placed greater demands on mission leadership, requiring MLTs to be better prepared, resourced and accountable for their actions.

MLT composition will vary depending on the specific requirements of a mission. In today's multidimensional peacekeeping operations, the HoM and leader of the MLT is usually the Special Representative of the Secretary-General (SRSG). The HoM is often supported by one or two Deputy SRSGs (DSRSG), one of whom is frequently designated as the Resident Coordinator (RC) and/or Humanitarian Coordinator (HC) of the UN agencies and programmes that make up the UN Country Team (UNCT). Multidimensional and integrated

³ For a comprehensive study on the challenges and responsibilities of leading a peacekeeping operation, see Connie Peck, *On Being a Special Representative of the Secretary-General*, UNITAR, 2006.

missions are likely to comprise a variety of civilian and uniformed components, the heads of which will normally form the MLT. These senior leaders include the Force Commander, the Police Commissioner, and the Director/Chief of Mission Support, as well as the mission's Chief of Staff. The individual leadership qualities of the MLT membership are of crucial importance, but can be optimized only if personalities complement each other and the MLT operates compatibly as an inclusive, coherent team in which the members are respectful of each other's competencies and mandates.

1.2 Mandate Implementation

The principal task of the MLT is to implement the mandate given to the mission. Mandates contain many tasks and directions that often are added to or adjusted by the Security Council over time. Often, mandates reflect political concerns of Member States rather than realistic assessments of the practicality of implementing them.⁴ UN leaders have to operationalize these complex and sometimes ambiguous mandates with little guidance on how to define success. Depending upon the mission's leadership, mandates can be viewed either as a limitation on action or an opportunity for engagement and pro-active thinking. Prior to deployment, the HoM should have a frank discussion with the leadership of the Department of Peacekeeping Operations (DPKO) and other relevant Departments/Offices (e.g. the Department of Political Affairs) in order to arrive at a common understanding of the mandate and its intent.

The primary nature of any strategy, whether it is in the context of humanitarian relief, peacebuilding or peacekeeping, is the relationship between *ends*, *ways*, and *means*. In peacekeeping, *ends* is the objective, for instance creating a secure and stable environment or implementing a peace process; *ways* is the form through which a strategy is pursued, such as diplomatic efforts or supporting elections or reconciliation; and *means* relates to the resources available, including personnel, equipment, political influence, and international support. It is critical to make sure that the relationship between *ends*, *ways* and *means* is fully understood, and that it is logical, practical, and clearly established from the outset. If this relationship is vague, the entire mission plan is seriously flawed and successful mandate implementation might be at risk.

⁴ International Peace Institute, "From New York to the Field: A Dialogue on UN Peace Operations", *IPI Meeting Note*, January 2010.

Early on, the MLT will have to determine the priorities of the mission and consider what can practically be achieved within certain timelines, and then be prepared to adjust those priorities as circumstances change (as they will). The MLT will need to balance its plans against the available human and financial resources, and should clearly define strategic goals, develop coordinated work plans, and prioritize activities in order to ensure the efficient and effective delivery of support and a judicious resource allocation. In any event, national engagement is essential; indeed, as often argued, the more intrusive a mandate is to the sovereignty of a state, the more important it is to have local actors involved.

A critical tool in determining priorities is the strategic assessment and subsequent integrated planning. This analysis should take into consideration a number of factors, including the root causes of the conflict, the history and characteristics of the host country, and the role of regional and international actors. A strategic assessment is the building block that forms the basis for the development of the UN's shared goals, the formulation of the mandate, and the basis for the Integrated Mission Planning Process (IMPP). The assessment should provide an analysis of the conflict, including an understanding of the key factors, actors, and capacities on the ground, the resources to undertake the operations, as well as the impact of ongoing operations. In addition, it should assess the strengths, weaknesses, opportunities and threats that may trigger change or influence transition. The purpose of the strategic assessment is to:

- Ensure a common analytical framework for understanding the underlying causes and consequences of the conflict in question, as well as the dynamics supporting or undermining peace efforts;
- Support a conflict-sensitive approach to programming within the UN system in a period of transition;
- Build a common approach to post-conflict needs assessment or other inter-agency planning instruments, as well as facilitate the development of an overall targeted transition strategy.

While much information and analysis will be available from UNHQ and will have been used to develop the mission's mandate, further analysis needs to be undertaken at mission level based on information obtained from local actors, other international organizations, Member States and external expertise (such as academia). Mission analysis should be a collaborative undertaking, which addresses all the various activities that UN components, agencies and programmes propose to undertake. The process of mandate analysis by the MLT should be dynamic, continuous and reflect the changing environment.

As part of mission analysis, the MLT, in consultation with the UNCT, also needs to agree which early peacebuilding activities are achievable and might be initiated by the mission in support of other international and regional actors and the host country. The analysis should take into consideration the level of stability and the feasibility of reconciliation in the given circumstances. Early opportunities to lay the foundations for sustainable peace and development need to be aligned with the broader national and international responses and the ability to coordinate with local authorities and other partners, including the UNCT. The MLT should also consider the benchmarks that indicate the efficiency, effectiveness and legitimacy of national institutions and their ability to take over responsibility from external partners. Regardless of whether the UNCT is formally integrated into the mission or not, it will be essential to ensure that measures of effectiveness are incorporated into any subsequent implementation plan in order to measure and assess the impact that the mission is having, and to identify, where necessary, corrective action.

Finally, the MLT will need to be aware that, in implementing a mandate, the relationship between the mission and the host government will be dynamic and will likely change over time. The close political engagement, which is needed and sought after in the early days of a mission, may become resented as national ownership and pride (re-)asserts itself. What is possible at first may become harder to achieve later in the process, e.g. after elections. The MLT needs to be alert and prepared for this shift, which points to a waning influence of a mission and its ability (if there ever was one) to bring needed change on its own. These shifts need to be communicated to the Security Council, as its sustained political engagement is critical throughout the development of a peacekeeping operation.

How well a mission starts may well determine its further progress and its credibility. The perception of a mission by the host government and population is often formed in the early days of a mission's deployment. If public perception is poor, the mission will find it hard to win the trust and confidence of the people it has been sent to assist. Chances of recovery from a poor start-up may be difficult. As ever, once lost, credibility is hard to recover without a major effort.

1.3 Integrated Missions

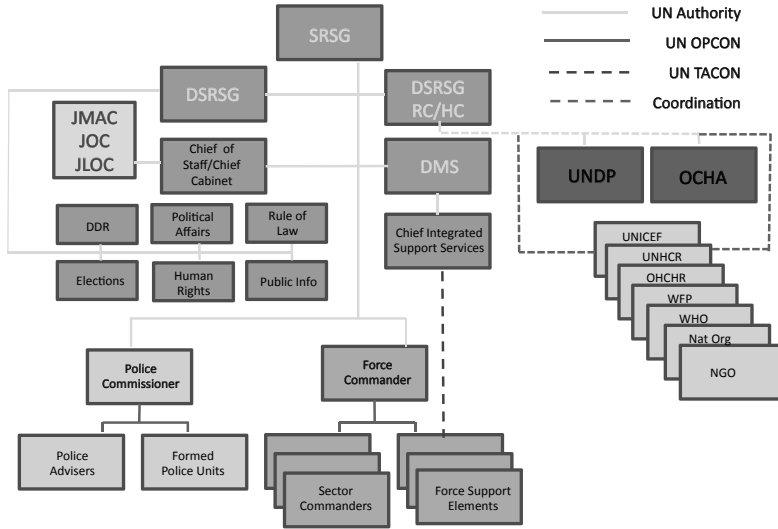
The concept of integration continues to develop. An integrated mission is one in which there is a shared vision among all UN actors as to the strategic objectives of their common presence at the country-level. This strategy should reflect a shared understanding of the operating environment as well as agreement on how to maximise and measure the effectiveness, efficiency, and impact of the overall UN response. The challenges for HoMs and MLTs are greater, and the consequences of failure more severe, in complex multidimensional peacekeeping operations, which demand interaction with a wide range of international, regional and local actors.

Integrated missions are designed to facilitate a coherent system-wide approach to assist countries emerging from conflict. The UN system has the ability to employ, under a unified leadership, a mix of civilian, military and police capabilities in support of a fragile peace process. They are often deployed alongside a variety of national and international actors with widely differing mandates, agendas and time horizons.

One schematic example of a UN integrated mission is shown below. It should be noted that the model is purely illustrative, since the structure will vary from one mission to the other, depending on its mandate, the resources available, and the conditions on the ground. The model illustrates the linkages between mission components and between the mission and the UNCT, which help optimize integration and unity of purpose. While it shows separate functional components, their operation in the field should be within integrated teams. In complex environments, the MLT should meet regularly in order to build trust, enhance teamwork, and develop consensus on implementation of the mandate. In integrated missions, it is essential that regular meetings between the MLT and the heads of the various UN agencies of the Country Team also take place. In addition to the maintenance of open communication lines, the MLT can improve its shared understanding and effectiveness through a number of joint institutions, such as the Joint Operations Centre (JOC), the Joint Mission Analysis Centre (JMAC), and an Integrated Support Service (ISS) that harnesses all logistical resources for the mission through a Joint Logistics Operations Centre (JLOC). Overall, the structure of the mission should be determined by function, not by a bureaucratic logic. Expertise should be placed where it is most needed, which may not necessarily be within its apparent parent component.

Figure 1

AN ILLUSTRATIVE INTEGRATED MISSION STRUCTURE



The engagement of UNCTs is critical throughout all phases of peacekeeping and peacebuilding.⁵ All members of the MLT need to understand the roles and responsibilities of the various UN agencies and programmes that are either part of the mission or co-exist in the mission area. It is important that the MLT takes the lead in promoting the best possible working relations between UN entities operating in the same country or conflict zone. This task is often the responsibility of the triple-hatted DSRSG/RC/HC, who coordinates the linkages between the peacekeeping mission and all other UN entities. The SRSG, together with the DSRSG/RC/HC, will need to strike a delicate balance between creating a secure and stable environment through the work of the military forces and police services while preserving the ‘humanitarian space’ for UN agencies and their partners on the ground. Ensuring effective civil-military cooperation and coordination among UN elements is one of the most difficult challenges for the MLT. In order to support this relationship, the MLT may want to utilize the Civil-Military Coordination (CMCoord) officers within the military component to facilitate liaison and information-sharing between the military and civilians. They may also play a useful role in exchanging information between the mission and the UNCT.

In order to fulfil the mission’s integrated mandate, the HoM and MLT should develop and implement a shared vision, which reflects a shared understanding of the operating environment. In situations where the UNCT is structurally

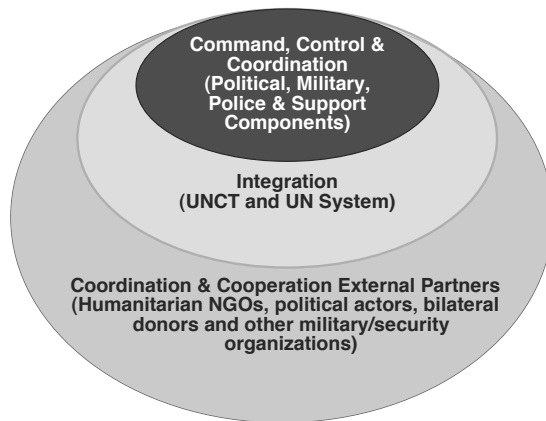
5 The Secretary-General, “Remarks to Security Council Open Debate on Transition and Exit Strategies for Peacekeeping Operations”, 12 February 2010.

integrated with the mission through a DSRSG/RC/HC, protocols should be formulated to ensure that the mission and the UNCT are able to operate with a common vision.

In addition to ensuring integration with the UNCT, integrated missions will also need to ensure that there is some degree of coordination between the mission and the range of other actors including interested member states and the host country. This requires the MLT to maintain a high degree of sensitivity to the interests and operating cultures of each of them, which can be a significant challenge, requiring well-developed senior leadership skills.

Figure 2

CHALLENGES OF MISSION INTEGRATION



1.4 Considerations

Considerations listed below may help guide MLTs in their efforts to improve integration within the mission, as well as with the UNCT and the wider range of national and international actors. While MLT adherence to these considerations will enhance the effectiveness of the senior mission leadership, the collective impact of action rests on the willingness and ability of the HoM and his/her team to develop a culture of learning, commitment, trust and mutual respect.

- Optimize collocation and aim for functionally integrated teams;
- Apply a collaborative and flexible approach;
- Develop shared understanding;
- Leverage organizational and cultural diversity;
- Accept responsibility and ensure accountability;
- Promote integrated planning and action
- Utilize planning and assessment tools effectively and creatively;
- Ensure prioritization and sequencing.

1.4.1 Optimize Collocation and Aim for Functionally Integrated Teams

Experience has shown that, when key elements of a mission are collocated, integration and trust develop more easily between leaders and staff of the various components. If component headquarters are dispersed and contact between members of the MLT is reduced, it may undermine both the mission's security and cooperation. The desirability of collocation should be stressed from the initial deployment, not least in negotiations with host governments that are responsible for allocating suitable facilities and sites. While many factors influence the selection of sites and facilities - such as security, proximity to entry ports, access to local authorities, availability and suitable accommodation for UN officials - the value of collocation has been seen to outweigh many other disadvantages.

The principle of collocation applies equally at regional/sector level, where it is indeed desirable for the civilian administration, military and police to be collocated whenever and wherever possible and appropriate. Humanitarian agencies may prefer to be located in separate facilities, and UN police may also need to position themselves adjacent to host-state police facilities.

1.4.2 Apply a Collaborative and Flexible Approach

The HoM should encourage the rest of the MLT to develop a *modus operandi* that is both collaborative and flexible and devolves authority to the sectors and/or field offices. This approach will permeate the mission and assist in the achievement of mission tasks. The MLT should be a 'learning organization' enabling component heads to share knowledge and combine expertise in an innovative manner to achieve results. The HoM should project an inclusive approach to decision-making and welcome the active participation of all MLT members.

It is recommended that the MLT encourage mission components to meet regularly and share information with relevant internal and external actors and, to the extent possible, harmonize messages and activities by seeking their input to the mission's planning process. In making decisions, the MLT should aim for collaboration between components and with the UNCT. This is best achieved by wide communication and consultation, devolution of authority, and frequent field visits. The MLT may put in place a range of consultative mechanisms and operating frameworks, which provide a platform for developing positive relationships and partnerships and through which all actors feel they are represented and heard. At the same time, it should be

noted that there are likely to be instances in which the hierarchical command structure will be required.

This collaborative and flexible approach needs to be extended by the MLT beyond the mission in order to strengthen relationships with the many external actors identified above. While some of these actors will be eager to coordinate with the mission, others will want to collaborate on mutual aims as partners, and some may be content to just co-exist with, or operate completely independently from, the mission.

It is also vital that the HoM and other MLT members establish professional and productive relationships with their host country counterparts at all levels. In addition to everyday issues of an operational nature, the HoM may occasionally need to convey tough political messages to national leaders and/or explain and apologize for inappropriate actions by UN personnel. Furthermore, it may be necessary on occasions to deal with non-state actors, including armed groups, hostile to the host government. Whatever the situation, care must be taken not to jeopardize the mission's impartiality, or to cause (or be seen to cause) any deterioration in the peace process. This requires fine political judgement. While MLT members should proactively establish close relations with leaders in the host country, be they political, religious, military, police, tribal, or community, all engagement should be fully transparent and intended to fulfil the mission's mandate. Such relationships are best based on mutual respect and conducted with proper recognition of local customs. In view of the potential sensitivities involved, MLT members should keep the HoM fully informed of their interaction and contact with national counterparts. Conversely, the HoM should encourage such contacts and not try to monopolize them.

It is important that the MLT maintain a close relationship with relevant departments and offices in the UN Secretariat through regular and transparent consultation and information sharing. Prime among these is DPKO, which is responsible for planning and managing integrated peacekeeping missions. In addition, regular contact with the Department of Field Support (DFS), the Department for Safety and Security (DSS), the Department of Political Affairs (DPA), the Office of the High Commissioner for Human Rights (OHCHR), and the Office for the Coordination of Humanitarian Affairs (OCHA) will be required and is encouraged. It is important that the HoM establish a personal relationship with the Secretary-General and the Under-Secretary-General for Peacekeeping Operations, as well as other senior officials in DPKO and relevant departments and offices. Similarly, other members of the MLT should establish relationships with their counterparts in the UN Secretariat (the

Force Commander with the Military Adviser, the Police Commissioner with the Police Adviser, the Director/Chief of Mission Support with DFS, etc.). It is essential that messages conveyed through these contacts are consistent with the thinking in the rest of the mission, and that the HoM is kept fully informed of these contacts.

In most missions, there will also be a need for the DSRS/RC/HC and senior members of the UNCT to establish close linkages with the headquarters/main offices of UN humanitarian, human rights, and development agencies and programmes. Working through DPKO, the MLT will also need to remain mindful of the views and dynamics of the Security Council, budgetary committees, troop and police contributing countries, and other concerned UN Member States. The HoM, and possibly other members of the MLT, will be required to periodically brief the Security Council on mission progress, often in connection with the renewal of the mission's mandate. Such visits to UNHQ provide an opportunity to consult with counterparts in the Secretariat, as well as troop/police contributors and other Member States.

MLT members will also need to establish good working relationships with a range of important regional and international actors, including bilateral donors, especially the World Bank, the International Monetary Fund, and the European Union; but also with countries providing non-UN military and police contingents under separate arrangements, diplomats and other political actors, and relevant international organizations (such as the ICRC), and NGOs.

1.4.3 Develop Shared Understanding

The MLT should develop a common understanding of the processes required to best achieve the mission's mandate, recognizing that the implementation of a peace process is basically a political activity, prone to political caveats, pressures and frustrations.

The basis of a shared understanding is a common situational awareness of the conditions within the mission area as well as the factors and activities that can influence and potentially change the situation. For a mission to be effective, all components should have a thorough knowledge of the environment, history and key personalities in respect to the conflict, and should possess adequate and inter-operable information-gathering capabilities.

Effective information inter-operability requires commitment to:

- Sharing information between components in accordance with agreed information management principles;
- Using common language, avoiding jargon and contested terminology;
- Strengthening a culture of mission collaboration;
- Adopting agreed standards and formats to manage and share information.

In a post-conflict environment, efforts should also be made to share relevant information with and between the mission and the national authorities and non-state actors, providing that they are not complicit in continuing the conflict or suspected of being responsible for ongoing human rights violations.

The HoM and MLT members need to effectively and relentlessly communicate the mission's mandate and its progress, both locally and globally. This is also important in managing expectations. Missions communicate as much through public information mechanisms as through their actions. It is important, therefore, that the HoM be provided with the necessary expertise in public information, and that the MLT contributes to, and is fully aware of, the mission's overall public information strategy.

There is a close relationship between the concept of 'shared understanding' and the concept of integration within a mission. Communication, cooperation and coordination are required between leaders and their components at all levels, as well as between the mission and relevant actors. Where and whenever possible, there should be consensus on the best way forward within the MLT, notwithstanding the HoM's responsibility to take tough and timely decisions and be held responsible for them.

1.4.4 Leverage Organizational and Cultural Diversity

The strength of an integrated mission is its organizational and cultural diversity. Potentially, this diversity provides the HoM and MLT with unique expertise and talent, but only if it is leveraged and applied properly, capitalising on the comparative advantage offered by different mission components. Each component provides certain capabilities and achievements for the mission that can be coordinated and harmonized to best effect. Organizational and cultural diversity within the mission can promote the best use of professional, technical and cultural disciplines, providing breadth to the mission and resilience to planning and implementation.

All components of a mission contribute to the implementation of the Security Council mandate; they share a single budget, and depend on the same integrated support services. At the same time, they may represent significant cultural differences, not least from a professional perspective. Some civilian components may function with a high degree of tolerance for ambiguity and flexible management models. By comparison, and for good reasons, military and police contingents operate within a defined command structure and with a strong planning culture, seeking to minimize ambiguity through informed assumptions where necessary. The MLT needs to understand, respect and strive to reconcile these different institutional cultures, while being careful not to stifle the cultural diversity that constitutes one of the major strengths of the UN system.

1.4.5 Accept Responsibility and Accountability

Responsibility and accountability are among the most important elements of successful leadership. MLT members are expected to exemplify the highest standards and should be held accountable for the performance of their respective components, including inappropriate decisions and behaviour. While responsibility and accountability may be shared within each component, it cannot be transferred. Leaders may lack resources to implement their tasks fully, requiring them to make justifiable choices and decisions, but failure to properly address assigned responsibilities is not a legitimate excuse for inaction. The performance of all MLT members should be regularly assessed and reported by their respective superiors. If failing to perform up to expectations, they should be counselled and, if necessary, removed from the mission, regardless of the views and pressures of national governments.

The MLT should prepare a mission implementation plan, specifying priorities and responsibilities to achieve the mandate. The establishment of relevant and realistic mission benchmarks at an early stage facilitates implementation and management. Particular attention should be given to identifying cross-cutting issues that require coordination between components. The MLT needs to agree the lead responsibility for core functions, including stabilization and peace-building tasks assigned in the mandate. The lines of responsibility and authority between the SRSG, DSRSGs, Force Commander, Police Commissioner and other component heads need to be clear, and command and control directives should be issued in order to clarify cooperative relationships and interface between all components at all levels. Based on these strategic concepts and plans, each component should prepare its own operational plan, to be shared with and cleared by the MLT before approval by the HoM. Performance should be measured against the effect of the ‘deliverables’ in these plans.

However, MLT members have a responsibility to keep the HoM advised of the resources required to undertake assigned tasks effectively, and the HoM has a responsibility to inform the Secretariat of shortcomings in assets and capabilities.

Over time, as security improves and reconstruction efforts progress, mission priorities will almost certainly change and increasingly focus on transition to peace-building and development activities. To maintain confidence in the direction and leadership of the mission, regular appraisal and assessment of the mission's activities and possible new requirements should be undertaken by the MLT, in consultation with the UN Secretariat, the host government, troop/police contributors and others concerned.

1.4.6 Promote Integrated Planning and Action

All peacekeeping stakeholders should have a thorough understanding of UN integrated planning and its interaction with mandate design processes, as well as of relations between UNHQ and the field. At the same time, there will always be different approaches to planning within an integrated mission, particularly between military/police and civilian components. The MLT should encourage flexibility and agility in planning processes, through close interaction and information-sharing.

Additionally, each UN field presence should have standing coordination arrangements that bring together the peacekeeping mission and the UNCT in an effort to provide strategic direction and planning oversight to the joint efforts of the UN to build and consolidate peace in the host country. The configuration and composition of integrated field coordination mechanisms will vary from one mission to another, based on the scale and nature of the UN operation and the level of strategic and programmatic coordination required in keeping with the principle of 'form follows function'. However, buy-in and engagement of the MLT is essential to a successful planning process. While maintaining overall coherence, the approach may vary from region to region and sector to sector within a mission area.

Regardless of their configuration, the coordination architecture should fulfil key functions at the strategic and operational levels. At times, existing coordination bodies of either the mission or the UNCT may be leveraged to create integrated field coordination structures. Strategic planners of all UN entities should have a shared understanding of their purpose, core tasks, composition of their teams, and organization of their work. This joint

understanding could be captured in a terms of reference that is developed under the direction of the MLT.

Each mission should develop an Integrated Strategic Framework (ISF) that reflects a shared vision of the UN strategic objectives and a set of agreed results, timelines, and responsibilities to achieve synergies in the delivery of tasks critical to consolidating peace. The purpose of an ISF is to:

- Bring together the mission and the UNCT around a common set of agreed peacebuilding priorities;
- Identify common priorities, and prioritize and sequence agreed activities;
- Facilitate a shift in priorities and/or resources, as required;
- Allow for regular stocktaking by senior managers.

The scope of the ISF should be limited to key peace consolidation priorities that are unique to the context of each mission area. In this regard, many typical peacebuilding initiatives (e.g. DDR, security sector reform, rule of law, return and reintegration of IDPs and refugees, restoration of state authority, addressing human rights violations and sexual and gender-based violence) are particularly challenging and time-consuming, as they involve highly political and sequenced activities by a number of UN actors. Thus, an ISF offers an opportunity to create clarity in the overall approach and priorities and establish a framework for mutual accountability.

1.4.7 Utilize Planning and Assessment Tools Effectively and Creatively

Peacekeeping planners should be aware of other assessment and planning processes and actively seek to create substantive linkages with the integrated mission planning process (IMPP) wherever possible. Such processes may include the Consolidated Humanitarian Appeal (CHAP)/Consolidated Appeal (CAP), Common Country Assessment (CCA), UN Development Assistance Framework (UNDAF), Joint Assessment Missions (JAM), Post-Conflict Needs Assessments (PCNA) and Poverty Reduction Strategy Papers (PRSP).

The IMPP is the process that brings the mission and the country team together. It should draw on and capture any elements contained in these parallel planning frameworks that are relevant to the achievement of the overall strategic objectives of the UN. Development of these linkages will help prevent circumstances in which uncoordinated initiatives create friction and spark conflict among the many actors. The mission should also be prepared to consider and use, where applicable, the wide range of guidelines, handbooks and standard operating procedures that have been developed

by partners, including UN agencies, the World Bank, bilateral agencies and major international NGOs.

Scenario and crisis planning by the mission and its partners in the field is essential. In moments of crisis, reliable reserve capacities remain a vital, yet unfulfilled, requirement for UN peacekeeping. Even the best prepared plans are ineffectual in the absence of a credible response. When a political crisis erupts or serious violence breaks out, the UN must be able to react rapidly and effectively. It is critical that mission headquarters and its leadership forge a unified political approach, with the full support of all partners, to address crisis situations. While multiple initiatives are essential, they should be mutually reinforcing.

1.4.8 Ensure Prioritization and Sequencing

In the early post-conflict period, national and international efforts should focus on meeting the most urgent and important peacebuilding objectives. The challenge is to identify which activities best serve these objectives in each context. Priority-setting should reflect the unique conditions and needs of the country rather than be driven by what international actors can or want to supply.⁶ There are many factors that frustrate the international community's efforts in a mission area. One of the most evident is the common attempt to do everything at the same time.

While several operational activities are required to realize an output, it is unlikely that they can all be implemented at the same time, given the limited resources available to a peacekeeping mission. Prioritization will ensure the optimal use of available resources.

There are subtle differences in prioritization and sequencing. Unlike sequencing, prioritization is a function of the importance of an activity. It does not mean that until a prioritized activity is completed, others cannot begin. Sequencing means that one activity should not start until another is completed.

During the planning stage, efforts should thus be made to both prioritize and sequence activities. Legitimate national and local representatives of the host country should participate in this effort. A plan sequencing actions is based on a notional understanding of how events might proceed. In reality, local conditions are likely to change during the duration of a mission. Planned

⁶ "Report of the Secretary-General on peacebuilding in the immediate aftermath of conflict", 11 June 2009, (A/63/881-S/2009/304).

sequencing will almost always be disrupted by the unpredictability of activities on the ground. Prioritization and sequencing must remain flexible in order to adapt to the changing situation.

Cross-Cutting Issues and Mission Management Considerations

2.1 Cross-Cutting Issues

There are a number of cross-cutting issues that have an impact on the implementation of the mandate of a peacekeeping operation. These issues need to be carefully considered by the MLT, as they require action in multiple fields, affect many or all components, and are not the responsibility of any single mission element alone, even if one component is usually in the lead. Nevertheless, they are all rooted in the need for political primacy and ultimately must be driven by the political leadership of the mission. However, a consultative approach to these issues will develop trust and teamwork in a mission and support effective leadership and integration. The issues themselves appear in numerous chapters of this study as they affect most objectives and many outputs. They are discussed here in advance, both to emphasize their cross-cutting, political nature and the importance of them receiving the close attention of the MLT.

2.1.1 Protection of Civilians

The presence of a peacekeeping mission raises expectations in the international and local communities that civilians will be protected. In reality, however, peacekeepers cannot protect everyone, everywhere. The protection of civilians by peacekeeping operations has been the focus of extensive debate in recent years, as peacekeepers and other actors struggle to turn the ambition into reality on the ground.⁷

At the same time, peacekeeping operations constitute one of the most important tools of the UN with regard to the protection of civilians, the provision of which underpins the legitimacy and credibility of the Organization. This point is clearly articulated in Security Council resolution 1894 (2009), which focuses exclusively on the issue of protection of civilians by peacekeeping operations. In addition to providing protection from physical violence where possible, missions carry out a number of other important protection tasks,

⁷ For additional information on protection of civilians, see Victoria Holt and Glyn Taylor with Max Kelly, *Protecting Civilians in the Context of UN Peacekeeping Operations: Successes, Setbacks and Remaining Challenges*, Independent study jointly commissioned by DPKO/OCHA, 2009.

including: promotion and protection of human rights; protecting vulnerable women and children; capacity-building in the area of rule of law; disarmament of ex-combatants and assistance to security sector reform (SSR); and creating conditions conducive to the delivery of humanitarian assistance. Through their political contacts with the host government, senior mission leaders will encourage the national authorities to consolidate institutions that are accountable to the people and that enjoy their trust; as well as identify areas where peacekeepers could provide support to the national authorities in helping them carry out their protection responsibilities.

The HoM will need to promulgate a mission-wide strategy outlining the concept of operations with regard to the protection of civilians, setting out roles and responsibilities of all mission components. Early consultation and planning with the host government, local communities, parties to the conflict, human rights actors, and other partners will be required. The protection of civilians requires clear operational guidance by the MLT to all components on the range of measures that should be taken, ensuring a cross-cutting mission-wide focus. The DPKO/DFS operational concept on protection of civilians suggests that missions achieve the implementation of protection mandates through a political process, as well as physical and other measures that protect vulnerable groups and establish an environment that enhances the safety and rights of civilians.

A number of UN humanitarian agencies and NGO partners also undertake a broad range of activities in support of the protection of civilians, usually under the framework of the Protection Cluster. Close coordination with these actors, national authorities and local communities is therefore essential in order to ensure that efforts undertaken by various protection entities reinforce rather than undermine the work of each other. Based on lessons learned and experiences of recent years, recommendations have been made by DPKO on the need to address issues of guidance, training and resources. More detail on this subject is included in Chapter 4 on “Creating a Secure and Stable Environment.”

2.1.2 Human Rights

The MLT has a responsibility to ensure that human rights are promoted and protected through and within the mission’s activities. While the responsibility to implement a mission’s human rights mandate lies primarily with a dedicated human rights section, all components should be familiar with the established policy on human rights in integrated missions. The MLT should develop a comprehensive strategy for human rights issues, and should consult

and make effective use of the human rights component and encourage other components to do so. The mission leadership should also meet regularly with local and international human rights organizations, civil society and host country authorities in order to ensure a transparent dialogue on the human rights situation. It is now standard operating practice for missions to issue jointly produced and regular public reports on issues of human rights concern. The MLT should also seek to solicit feedback on the impact of the mission's work in promoting and protecting human rights. In addition, human rights monitoring and investigations should feed into the mission's work related to evaluation, training, assessment, and advice on the formulation of legislation. As a matter of principle, a mission should never withhold information on human rights violations. In those situations where a direct release of information by the mission might jeopardize a delicate relationship with the host country, the mission should coordinate with OHCHR to ensure a release from Geneva.

While mission mandates differ, the promotion and protection of human rights remains a core goal of many peacekeeping missions, regardless of the phase of the peace process – the different phases or situations simply determine how the goal is best achieved. In most cases, the main aim is to assist and empower local communities, institutions and authorities to take charge on human rights issues. Human rights also represent an important part of the normative framework for UN action and establish the “rule book” for the activities of a mission and the conduct of its staff.

In addition to the human rights component, a number of other components may play significant roles in the promotion and protection of human rights, not least the child protection component, usually established and operated in close coordination with the SRSG on Children and Armed Conflict and UNICEF. Other relevant components include gender and rule of law. Some operations also benefit from dedicated components addressing specific aspects of transitional justice. It will always be essential to maintain a spirit of strong partnership with UN and other humanitarian, development, political and related actors on human rights issues. The MLT should be aware, however, that the promotion of human rights may at times leave the mission torn between difficult questions of peace versus justice.

Conflict and post-conflict situations typically exacerbate the levels of risk to which women are exposed. Conversely, women have a distinctive and important part to play in the promotion of human rights and the achievement of sustainable peace. Though these issues are widely understood and accepted, they are not always acted upon, or are even overlooked due to misconceived

‘gender neutral’ approaches to human rights. In this respect, the MLT should aim to ensure that the necessary action is taken to protect and support all vulnerable groups, including women, children and the elderly and sick, and that sufficient resources are available within the mission budget to facilitate human rights efforts more widely.

2.1.3 Gender

Conflict and violence affect men, women, boys and girls differently. The MLT needs to keep this in mind in order for the mission’s different activities to have the intended results. Gender mainstreaming means that, in all mission planning, implementation and evaluation, the MLT should consider, and report on, how activities, processes and procedures contribute to increasing equality between men and women. It is also important to ensure that the approach advocated by the MLT be culturally sensitive to the wider social context in which the mission is operating. The MLT has clear responsibilities to incorporate a gender sensitive approach in all mission activities and policies, as well as set standards and encourage action that demonstrate and promote gender balance and mainstreaming across all grades and mission components.

Given the functional importance of mainstreaming a gender perspective in all activities, policies and programmes of the UN, including peacekeeping operations, DPKO has taken a proactive approach to the issue of gender equality, especially in post-conflict environments. While all peacekeepers need to be aware of the mandate to promote gender equality, mission leaders bear a special responsibility and are accountable for ensuring that gender issues are indeed considered in all their actions and decisions.⁸

The MLT has an obligation to lead by example and to champion policies and strategies – both within the mission and in all dealings with national and local authorities – that incorporate gender perspectives at both the political and organizational level. The MLT should establish clear goals and ensure sufficient resources to facilitate gender mainstreaming within mission budgets. It should review and monitor progress on compliance with the policy on gender equality through regular meetings designed specifically for this purpose. The MLT should consult and make effective use of gender advisers and encourage other components to do so. The mission should also meet regularly and maintain a dialogue with women’s groups and more broadly with local communities and civil society in order to ensure a transparent

⁸ A key guidance document is Security Council resolution 1325 (2000), which is the first resolution that specifically addresses the impact of war on women, and women’s contributions to conflict resolution and sustainable peace.

dialogue on gender-related issues. The full participation of women in the peace process is essential, both as victims of the conflict and as important drivers of recovery and development.⁹

2.1.4 Mine Action

The contamination of landmines and explosive remnants of war (ERW) is prevalent in most post-conflict environments, and mine action is thus a key activity of many peacekeeping operations. In addition to any explicit tasks that may be included in a Security Council resolution, often derived from the *Mine Action Guidelines for Ceasefire and Peace Agreements*,¹⁰ mine action supports various aspects of mandate implementation. While area and route clearance facilitates a mission's deployment, mine action plays a greater, cross-cutting role in supporting the full complement of stabilization and peacebuilding activities, including the return of refugees and delivery of humanitarian aid, improving economic opportunities, and protection of civilians. The priorities of the mine action component will be driven by these explicit and implicit tasks.

The MLT should make a particular effort to ensure that all components understand the significance of mine action. Staff should be treated as an integral part of the mission and be provided with the necessary resources. Mine action by missions is conducted primarily by civilian staff and through NGOs and contractors engaged by the United Nations Office of Projects (UNOPS). Military units often play a more limited role, as they require significant modification of their usual procedures to conform to International Mine Action Standards (IMAS).

The clearance of mines and ERW is often seen as a tangible step towards a comprehensive conclusion to conflict, and in some cases mine action may be one of the few areas where parties to the conflict allow progress. In the past, mission leadership has seized on this to demonstrate continued movement and concrete results to the parties and affected communities.

2.1.5 Security Sector Reform

A critical activity for ensuring long-term security and stabilization in a mission area is reform of the security sector. Only the establishment and maintenance of professional indigenous security services that respond to the security needs

9 "Report of the Secretary-General on peacebuilding in the immediate aftermath of conflict", 11 June 2009, (A/63/881-S/2009/304).

10 Available at www.mineaction.org/doc.asp?d=924.

of the population and the state, while adhering to human rights standards, will assure long-term security. SSR is a complex process, involving a large number of internal and external actors. The mission's role will primarily be to assist national authorities in reforming the security sector. It is also a long-term process, which does not have a fixed end-date and is unlikely to be completed within the timeframe of a peacekeeping mission. Therefore, a long-term approach is needed, going beyond activities that can be achieved within the period of a mission's mandate. Support to SSR needs to be closely monitored by the MLT and will involve interaction between several mission components and with a host of external actors.

SSR focuses on building effective, accountable and sustainable security sectors within a framework of rule of law and respect for human rights. Support to SSR may include support to the strengthening of the rule of law through reform of defence, police and other law enforcement, corrections, intelligence services, as well as assistance to institutions responsible for border management, customs and civil emergencies. In order to ensure long-term security and stabilization, SSR should also include efforts to promote good governance and civilian oversight of those services. Initial investment in the creation of an integrated approach to support national SSR efforts through joint assessment and analysis, planning and adoption of a shared work plan and benchmarks will pay dividends over the medium and long term. This integrated approach should take into account the close relationship between SSR and the strengthening of rule of law, and should include all relevant mission components (e.g. police, judicial, corrections, among others). Hiring and retaining top-quality personnel in these areas is essential.

SSR is a difficult and highly political process, which is often related to the root causes of the conflict. It will often lead to questions of national sovereignty and tensions between the mission and the host country and donors. Recognizing this, the MLT needs to consider early in the peace process how the mission will support SSR efforts, discussing with national, regional and international actors the appropriate mechanisms to guide, implement and monitor these activities.

While local ownership and leadership are recognized as key elements of successful DDR and SSR processes, the processes could be undermined by weak local capacity or lack of genuine political will on the part of local actors. The political roots of internal conflict may continue into the post-conflict phase, and are often played out in competition within and between security institutions. This can undermine both the DDR and SSR processes. It is therefore critical that external technical and financial support to these

processes be complemented by active political engagement to resolve political issues.¹¹

2.1.6 Disarmament, Demobilization and Reintegration

Many modern-day peace agreements contain arrangements for the DDR of former combatants. As a result, most multidimensional missions need to assist national actors with the development and implementation of DDR programmes in cooperation with other partners. Ideally, such activity should be part of the country's broader SSR process. DDR is a difficult and challenging *political* process that will need to be supported by all components of the mission.

The overarching goal of the UN approach to DDR is to enhance security in support of the on-going political process so that post-conflict reconstruction and wider recovery can begin. Therefore, DDR programmes are often at the nexus of peacekeeping, post-conflict peace-building and development efforts, and involve a variety of national and international, military, police and civilian actors and institutions. Detailed considerations concerning DDR are covered in Chapter 4 on “Creating a Secure and Stable Environment.”

An effective DDR programme must provide ex-combatants with real and sustainable access to livelihoods and social standing, requiring thorough analysis and integrated planning to ensure that there are no critical gaps that can undermine the impact of the programme. The MLT needs to understand and apply the UN Integrated DDR Standards (IDDRS)¹², which represent the agreed policies and procedures of the UN for preparing and executing DDR programmes, and are based on the collective lessons learned of the entire UN system. Given the complexity of the undertaking, there is a need to involve a broad range of UN agencies, other external actors, local government and civil society. Coordination of activities will be much enabled by early joint analysis and planning, and the establishment of joint mechanisms to monitor progress and adapt to change.

Political will is an essential element for the success of any DDR process. In designing DDR programmes, it is critical that the MLT direct all mission components and UN agencies to recognize their role in supporting national actors in the DDR process, including by building national capacities within both government and civil society. In addition, the MLT should ensure that all

11 For additional information on SSR, see “Securing Peace and Development: the Role of the United Nations in Supporting Security Sector Reform”, Report of the Secretary-General, (A/26/659-S/2008/39).

12 Available at www.unddr.org.

mission components and relevant UN entities understand that they operate as part of a “coalition” with regard to DDR, developing and implementing an integrated plan covering all stages of the process.

2.2 Mission Management Considerations

Peacekeeping operations are complex multi-national, multi-cultural and multidimensional structures that are difficult to lead and manage. Consequently, the MLT needs to consider a number of critical management aspects, such as mission administration, staff welfare, training, auditing, external visits, and financial issues, which are likely to take up a major share of each leader’s valuable time. It is important that the MLT makes time for discussion of key mission activities among themselves.

2.2.1 Safety and Security

UN field missions often lack the human, technical, and financial resources to work safely in what are, at minimum, challenging, and, more often, outright dangerous environments, and there remains a dire need for a system-wide, multidimensional approach to safety. Security must not be looked at in isolation. Decisions need to be taken in cooperation between the UN as a system and the host government. A major challenge for the MLT is to strike a balance between the mission’s appearing visible and accessible, while ensuring the safety and security of its personnel.

In addition to being personally responsible for the security management arrangements of the mission itself, the HoM is often appointed the Designated Official (DO) for all UN agencies operating in the mission area. The DO is accountable to the Secretary-General, through the Under-Secretary-General (USG) for Safety and Security, for ensuring the safety and security of all staff members of the UN system, their eligible dependents and property, and the property of the Organization. Along with other members of the MLT, the HoM should discuss with the host government and other actors in the region their respective responsibilities under international law for the safety and security of UN personnel. While it is recognized that the host government is responsible for providing full protection to UN facilities and sites, the DO and the Security Management Team (SMT) – which includes several members of the MLT – should ensure that the mission has appropriate contingency plans in place to deal with any type of situation.

The MLT needs to ensure that the SMT is effectively analyzing and responding to safety and security issues, including training and advice to all components and individuals through the Chief Security Officer and Area Security Officers. Safety measures should include both passive and active security, including appropriate physical protection of facilities, observance of the agreed Minimum Operating Safety Standards (MOSS) and Minimum Operating Residential Security Standards (MORSS), an active warden system, preparatory exercises, and contingency planning, as well as adequate medical facilities and personnel. Mission safety and security requirements may conflict with the conduct of other operational and administrative activities, and may therefore involve difficult considerations on mission priorities.

2.2.2 Public Information

Effective communication and outreach is central to the mission's ability to achieve its mandate and contribute to the security of its personnel. It is important that the public information outreach activities, especially radio, are able to reach a maximum number of the local population, even if it may be logistically difficult or politically sensitive (e.g. the host government may delay or obstruct the granting of a broadcast license). A well-designed, early-deployed and skilfully implemented public information strategy, coordinated by the MLT and adhered to by all mission components and sectors, is essential to achieve an understanding of and confidence in the peace process; build trust among parties to a conflict; assist in maintaining consent, legitimacy and credibility; manage local and international expectations; and generate support for national reconciliation as well as the mission's work on the ground. In sum, the strategy should be designed to inform the population and the international community, influence the parties, and protect the image of the mission and its personnel.

The planning of public information activities and processes should be led by the MLT and fully integrated into all stages of the deployment of a peacekeeping operation. The MLT should also ensure that information and overall messages of the UNCT do not contradict but are mutually supportive of those of the mission. The mission spokesperson and/or chief of public information should be considered senior staff and be part of the MLT in order to advise on public information issues, strategies and outreach mechanisms. For their part, members of the MLT should be prepared to represent their components, the mission and the UN in discussions with international, national and local media.

2.2.3 Conduct and Discipline

The success or failure of a mission can rest on the performance and good conduct of its personnel. All cases of misconduct have a negative impact on the image and legitimacy of a mission, which in turn could erode consent with concomitant security implications for its personnel. The MLT should set the tone and exhibit the highest standards of personal conduct and behaviour at all times, and seek to ensure that UN policy is enforced and that all complaints are investigated thoroughly. Efforts should also be made to ensure welfare and recreation for personnel, as they will contribute to strengthening morale and discipline.¹³ Most missions have conduct and discipline teams that provide policy guidance and technical advice to the mission leadership on conduct and discipline issues, and organize training for mission staff.

The MLT has a command responsibility for ensuring that specific and proactive measures are taken to prevent cases of sexual exploitation and abuse, and that the UN's policy of zero-tolerance in this area is enforced.¹⁴ The MLT needs to be proactive in promoting a transparent system that sets and maintains the highest standards of discipline and conduct by all mission components. While the MLT plays a key role in this regard, close cooperation with the United Nations Office of Internal Oversight Services (OIOS) and TCCs/PCCs is essential to ensure good conduct and discipline and address violations of relevant UN policies.

2.2.4 Resources

The MLT needs to assess all its proposals and plans against available human and financial resources from the UN peacekeeping budget and other sources. While peacekeeping operations are funded through assessed contributions, programmatic aspects of the mandate, such as DDR, largely depend upon voluntary funding, which often falls short of pledges given. In many post-conflict situations, it will be relevant for the MLT to seek technical advice from World Bank representatives with regard to priority areas where it has a clear comparative advantage.

All MLT members and components need to focus on and contribute to the preparation of a mission budget that will support successful mandate implementation. The MLT should understand that the mission will have to

¹³ Report of the Special Committee on Peacekeeping Operations, 2010 substantive session, 22 February - 19 March 2010, (A/64/19).

¹⁴ For further guidance on the issue of sexual exploitation and abuse, see HRH Prince Zeid Ra'ad Zeid's report "A comprehensive strategy to eliminate future sexual exploitation and abuse in United Nations peacekeeping operations", March 2005, (A/59/710).

follow the UN's strict rules and regulations which have been laid down by the General Assembly. Budgetary considerations need to be factored in when deciding the goals, objectives, and particularly the priorities and sequencing of competing mission activities. Plans need to consider both the assessed budget and other funds and donors that can contribute to mission achievements.

The MLT needs to be aware that resource issues constitute a major source of friction within a mission, unless time and a cooperative understanding are expended upon their resolution. Within the MLT, close working relations based on good coordination, cooperation, consensus and effective communication go a long way to improve integration and ameliorate competition for limited resources.

The most important resource of a mission, however, is its personnel. Qualified, competent, and dedicated personnel at all levels can make or break a mission. While the recruitment of the leadership is the responsibility of UNHQ, the MLT should be closely involved in identifying and hiring staff with the necessary skills and integrity. Together with DFS, managers should make sure that vacancies are filled in a timely manner, and that staff receive the necessary training and opportunities for advancement. Ensuring a high morale in the mission is also an important factor in retaining competent staff members.

In implementing mandates, resources should be procured from local sources, where possible, to increase the peace dividend. In this context, however, the mission should be aware of and pay attention to possible local rivalries (e.g. political, ethnic, or religious), as imbalanced use of local resources and employment of service providers could be perceived as biased and damage the credibility or impartiality of the mission.

Facilitating and Supporting the Political Process

3.1 The Political Role of Peacekeeping Operations

The civilian leadership of most field missions reflects UN peacekeeping's fundamental political nature and profile.¹⁵ Today's multidimensional peacekeeping operations are both driven by and are the drivers of a political process. This central feature underlies and impacts every aspect of the mission's mandate. Accordingly, the MLT needs to positively and pro-actively facilitate the political process, while being constantly alert to the principle of national ownership and the fact that a mission is operating in someone else's country.

The political process can include a range of activities: the negotiations towards and enduring a comprehensive peace agreement between the parties to a conflict; the holding of what is hoped will be peaceful and credible elections and the strengthening of democratic processes; the assistance to the host government in the extension of state authority; national reconciliation; continual attention to the avoidance of a breakdown in the peace or political process; and supporting and facilitating an all-inclusive political process that can successfully and sustainably move the country from a post-conflict state towards a sustainable peace. All of these activities constitute core peacekeeping business.

Support for the political process towards the above goals can, depending on the mission's mandate, take up a sizable amount of the mission's time and resources. In particular, and depending on the mandate, the role of the HoM can be viewed on three levels: first, s/he is the lead political representative of the international community through the mandated authority of the Security Council and the Secretary-General; second, s/he is the head of the UN peacekeeping operation and responsible for all its mandated activities; and third, of increasing emphasis, s/he is the coordinator of all UN activities and programmes beyond peacekeeping and political/security tasks. All of these activities are aimed at helping a country's transition from post-conflict peacekeeping to a sustainable peace, and ensuring that the international community supports this effort vigorously.

¹⁵ United Nations DPKO/DFS, "A New Partnership Agenda: Charting a New Horizon for UN Peacekeeping", July 2009.

The political process in any country is complicated and riven by contending pressures and actors. The mission leadership will have to continually manage the expectations of the various players, and indeed the entire population, involved in the process. Accordingly, consent of the parties to mandate implementation can never be taken for granted. The impact of spoilers should also be taken into account. Perhaps more than in any other aspect of the mission's mandate, and owing to the centrality of the political process, the mission leadership should constantly gauge and re-adjust every single decision on the basis of the peacekeeping principles of impartiality, the non-use of force (except for self-defence and defence of the mandate), legitimacy, credibility, and promotion of national and local ownership. At the same time, consent must be monitored by the mission at all levels, including the working or local level, and with great political sensitivity to ensure that the mandate is properly implemented and that likely breakdowns in consent are anticipated and addressed.

In supporting a political process, all UN missions should bear in mind the thematic resolutions by the Security Council concerning particular groups that deserve special consideration. These include resolutions 1325 (2000), 1612 (2005) and 1820 (2008) on women and children.

3.1.1 Preconditions for Success

The following are preconditions for success:

- All major parties to the conflict are committed to an all-inclusive peace agreement as well as a dynamic and inclusive political process. Willingness to maintain and build the peace by those previously engaged in the conflict is fundamental but is not a given, and often needs the close attention of external actors;
- The peace agreement ending the conflict in the country addresses the concerns of all – or most – groups and tries to tackle the underlying causes of the conflict. In particular, the agreement must address the rights and concerns of hitherto disadvantaged groups; this includes giving recognition to gender-related issues;
- The mission leadership has a comprehensive and nuanced understanding of the factors and structural causes underlying the conflict as well as the continuing political tensions in the country in the period after the agreement. Such an understanding must emanate from a proper and rigorous conflict analysis; it should also be premised on and give precedence to local concerns and local knowledge;

- The mission is entrusted with the appropriate resources to carry out its mandate, in particular as it relates to its support to the holding of peaceful and credible elections; an onerous, and often expensive and logistically challenging activity;
- The international community, both through the Security Council as well as any groups or formations of interested regional/international partners ('Group of Friends' etc.), supports the political process and the efforts of the peacekeeping operation fully with political, financial and diplomatic means and pressure, and acts in concert with the efforts of the mission's leadership;
- Upon departure of the peacekeeping operation, international donor engagement beyond the life of the mission is sustained and committed through the various arms and institutions of the international donor and aid community;
- All parties to the conflict maintain confidence in the impartiality and integrity of the mission leadership.

3.1.2 Benchmarks

The following key benchmarks can be used in assessing progress in the political process:

- Key sectors of society have begun to participate in an inclusive process of national reconciliation that builds local stakeholders' confidence in the political process. The process has taken into account the concerns of women and those previously ignored in the country's political mainstream;
- DDR, a main enabler of the peace process, has commenced and is broadly supported by the former warring parties, national and local leaders, communities, civil society and the international community;
- The process leading to the holding of elections has been transparent, inclusive and democratic, respecting fundamental freedoms and human rights;
- Peaceful and credible elections have been held, giving rise to a representative government;
- Political processes are expanding local ownership and responsibility rather than undermining it;
- The host government is developing the necessary capacity to uphold and extend state authority and build legitimate, representative institutions that deliver needed services to the population;
- An independent civil society is developing the necessary capacity to demand accountability and legitimate representative institutions;

- While supporting and facilitating the political process, the mission has developed a strategy for handing over vital mission functions to local/national owners and institutions;
- The political process has led to a government and political dispensation that respects human rights and the equality of men and women, including those from minority groups;
- An active civil society, as well as independent media, is developing, encouraged and supported by the international community.

3.1.3 Outputs

The outputs that contribute to the role of the peacekeeping operation in the political process, elaborated below, are:

- Peace process supported;
- National reconciliation promoted;
- Peaceful and credible elections held;
- State authority and legitimate institutions strengthened;
- Civil society revitalised and independent media supported.

3.2 Output: Peace Process Supported

A peacekeeping operation can only succeed if the parties on the ground are genuinely committed to resolving the conflict through a peaceful political process. A mission deployed in the absence of such a commitment runs the risk of becoming paralyzed or, worse still, being drawn into the conflict. The signing of a cease-fire or peace agreement is an important indicator of whether or not the parties are ready to engage in political dialogue. However, at times agreements are signed as a result of international pressure. The real test of an agreement lies in its implementation.

Negotiating a political settlement is usually a complex and delicate process, which is likely to determine the challenges that will arise during the implementation phase. Close political engagement of the MLT is necessary to ensure that a fragile peace is sustained and strengthened.

If or when members of the MLT are involved in negotiating settlements, a number of issues should be considered, including:

- The political and military strength of the parties are often unequal;
- Those who support the political process should be supported and those who oppose it should be persuaded;
- There is a need to address the root causes of the conflict, which tend to be pervasive and include long-standing structural factors and differences that have permeated the politics and culture of a society. Interest-based causes are likely to contribute to a climate conducive to violent conflict or its further escalation in a competition for resources. While the symptoms of these causes of conflict may have to be dealt with in the short term, their solutions require thorough analysis and a long-term, structured approach;
- International and regional stakeholders are likely to be biased;
- Disagreements over implementation (especially as regards sensitive processes such as SSR/DDR and power- and wealth-sharing) can potentially undermine the peace process;
- Unrealistic goals and timetables can complicate or undermine implementation. Realistic, measurable goals, which enhance accountability are preferable;
- Without host government leadership, local politicians and leaders may conduct their affairs in disregard of the peace process;
- Political processes should include all parties that have the power or ability to cause violent obstruction, as well as marginalized groups, such as women and minorities, who may have been victimized or excluded in the past;
- The active engagement of the civilian population through public dialogue and civil society fora is a key factor in the success of any peace process;
- A successful peace process is supported by an effective communication strategy, which helps deliver credible and easily understood messages about the objectives of the process, and is able to manage expectations about the pace and dividends of its implementation.

3.2.1 Operational Activities

The operational activities by the mission that support this output include:

- Establishing negotiating mechanisms;
- Engaging local/regional/international stakeholders;
- Deploying political affairs/observers/liaison officers;
- Establishing a public information strategy;
- Establishing confidence-building measures;
- Establishing mechanisms to measure compliance and deal with violations.

3.2.2 Benchmarks

Short-term

- Ceasefire and/or peace agreements signed;
- Negotiating mechanisms established;
- Joint confidence building measures implemented;
- Public information strategy planned and implemented;
- Compliance mechanisms established;
- International and regional actors support the peace process;

Medium-term

- Established mechanisms for resolving disputes are being used, and violence against civilian population and institutions is decreasing;
- The factions are communicating with each other in a productive dialogue;
- The population feels that it is being included in the process, verified by various polling and sensing tools;
- The general population, factions and elites feel that their expectations are being met;
- The number and severity of violations are decreasing and are at a level that can be partly managed by the national authorities;
- The host government is able to extend its authority over the entire country.

Long-term

- The use of political violence has stopped;
- Governmental institutions are addressing grievances;
- Governmental institutions are functioning in accordance with the rule of law;
- The provisions of the peace agreement have been implemented.

3.2.3 Responsibilities and Coordination

The roles and responsibilities of the mission towards the peace process needs to be clearly spelt out and widely communicated. Within the mission, the HoM is responsible for all efforts pertaining to the political aspects of the peace process. The HoM and relevant members of the MLT should be involved in the political processes constantly, with the guidance and in close cooperation with the Secretary-General and DPKO and in consultation with the Department of Political Affairs, as well as the facilitators and/or guarantors of the peace agreement. It is important that senior military and police commanders work within the SRSG's direction when supporting the political process. Close coordination between the political, military and police components is crucial

in this regard, not least with regard to the establishment and application of mechanisms for the resolution of disputes. Additionally, the mission should coordinate peace-building activities with relevant UN agencies, such as the UN Development Programme (UNDP), and other international actors, e.g. the World Bank.

3.2.4 Resources

Sufficient resources should be allocated to support the mandated tasks, including adequate communications and key experts who can conduct sensitive negotiations and assess compliance. The MLT may consider seeking assistance from the Mediation Support Unit (MSU) of the Department of Political Affairs to enhance the mission's capacity to conduct and support negotiations. The MSU can assist in training mission leaders and their teams (including political and civil affairs officers) on negotiation and mediation techniques, and can also be called upon to strengthen local dispute management capacities through its own work as well as those of its partners. Long-term success of a political process also depends on marshalling donors to provide the financial and material support that keep the process on track.

3.2.5 Challenges and Risks

- Consent not universal;
- Lack of political will or withdrawal of consent by one or more of the major parties;
- Lack of understanding by the population of the UN role in the peace process;
- Lack of local ownership of the process;
- Conflict of vested interests;
- Insufficient resources;
- Donor fatigue;
- Lack of political will / engagement / coherence within the international community;
- Regional developments or instability spill over or have a negative impact on the peace process;
- Limited capacity within the national authorities of the host government;
- Parts of the population feel excluded from the peace process;
- The expectations of the population, including those of former belligerents, are not met in a timely manner;
- The peace process does not sufficiently address the root causes of the conflict.

3.2.6 Considerations

Peace accords lay out the long-term roadmap for returning to peace and achieving state resilience, but often leave the details related to the machinery of government relatively vague, beyond statements about reform and modernization. The following are trade-offs that should be considered:

- *Balancing short- and long-term needs.* The short-term need to provide security and basic services usually takes precedence over long-term development and issues of governance. Initially, engagement with the host government tends to focus on the sectoral agencies responsible for service delivery. Yet, for long-term government effectiveness and sustainability, other functional executive agencies (e.g. ministries of finance, planning, trade, etc.) need to be included, along with legislative bodies. In order to put in place the building blocks for responsive and representative government, avenues for citizen participation need to be opened up sooner rather than later. The peace process needs to balance these needs, and the mission should be aware of what is being negotiated, as it will affect its concept of operations.
- *Addressing urgent needs while fostering legitimacy.* A related trade-off is between meeting urgent needs and fostering legitimacy in the political institutions. It is important to find ways to include public agencies and officials in reconstruction planning, budgeting, and decision-making so that citizens perceive their government as responsive to their needs and those of the country. However, the capacity of the government is likely to be weak, or high-level officials may be more interested in political power and patronage than in effectively fulfilling their service delivery responsibilities. The mission needs to balance its urgent support for local authorities while ensuring that its partners are developing legitimate capacities.
- *Weighing specificity against ambiguity to avoid contentiousness.* Another trade-off is between specificity on key provisions that are likely to be contentious and vagueness that allows the process and negotiations to mature. Efforts to push toward specificity may lead political actors and their supporters to entrench themselves behind firm positions, which can delay implementation of peace agreements or even reignite violence. Without political structures and procedures that enable actors to work out ambiguities and disagreements peacefully, vague and ambiguous provisions may sow the seeds of future governance problems. However, if the focus is on interests rather than political positions, specificity may not be a problem, as detailed focus may prevent later complications or disagreements.

3.3 Output: National Reconciliation Promoted

In a post-conflict setting, national reconciliation is a key priority. The political process, supported by the work of the mission, must create enough opportunities and space for this to take place. While the peacekeeping mission can provide crucial political leadership that inspires the parties to the recently ended conflict, ultimately the leaders and population of the country must desire reconciliation themselves in order to achieve it. Having domestic political institutions retake control is an important phase, as conflict gives way to development, but unless it is accompanied by the long process of reconciliation, challenges can very easily resurface. The MLT's continued engagement on this front, monitoring consent and progress and mentoring change, is critical. Ultimately, the mission's role is to help consolidate legitimate institutions, not a particular group or party. This requires sensitivity in handling the changing relationship between the mission and the host government.

3.3.1 Operational Activities

The operational activities by the mission which support this output include:

- Contributing to a secure environment free from conflict and social disorder;
- Engaging the host government's leadership to promote a national dialogue and reconciliation over the recent past;
- Engaging the civilian population in all stages of the process through traditional social mechanisms or democratic representation;
- Ensuring that the civilian population begins to consider itself secure and can live without fear in the new political dispensation.

3.3.2 Benchmarks

- *Short-term*
 - Agreements among relevant groups (e.g. power-sharing agreement, peace accord, amnesty, etc.) have been signed and are credible and durable;
 - Key legitimate and credible persons who will be involved in the reconciliation have been identified;
 - Training programmes (in legal, conflict-resolution or mediation skills) for those citizens who will manage the reconciliation have been put in place;
 - Inclusive discussions on the drafting of a new constitution underway;

- Evidence of increasing perceptions of security amongst the local population.
- *Medium-term*
 - Agreement amongst donors has been reached to preclude overlapping or contradictory policies or efforts;
 - Local laws have been modified in order to allow for successful implementation of necessary changes;
 - Advocacy and education programmes to promote and explain the reconciliation process have been put in place and is working effectively.
- *Long-term*
 - Domestic political institutions are robust enough to manage the effects and results of the reconciliation process (e.g. reintegration of former combatants, criminal sentences for those found culpable, forgiveness and/or amnesty);
 - National and international policies and responses are better integrated with long-term development frameworks.

3.3.3 Responsibilities and Coordination

The mission must support the creation and enablement of a secure climate in which national reconciliation can take place. In addition, the HoM can provide a sustained political voice to underpin the process and to prod the parties and local populace in this direction but needs to be aware of the pace sustainable by the local population. At the same time, s/he is responsible for coordinating the international community's efforts in this regard, especially as they relate to the efforts of the UN system, in particular the role of UNDP, OHCHR and others working to bring together different groups in reconciliation efforts. The HoM should be aware of some of the programmatic tensions in this regard.

3.3.4 Resources

The mission can play the role of a coordinator of the international system's efforts in this area. The MLT should do its utmost to not only generate donor interest but engagement in supporting the, often fragile, process of national reconciliation. In this connection, advocating and pinpointing concrete projects to donors would be one way of supporting the process. Another would be to show some creativity in the way key donors could be invited to support a special fund at the disposal of the HoM for initiating political support and reconciliation functions. Under such a scheme, practised in some

peacekeeping operations in the past, the HoM would be accountable to those donors for how funds are allocated and towards furtherance of the more political aims of the peace process.

3.3.5 Challenges and Risks

National reconciliation is a long-term endeavour and peacekeeping operations can only provide a helping hand in starting and supporting the process. There can be frequent breakdowns or reversals (due to disagreements between the parties), and while the horizon of the mission is necessarily shorter and based on its limited-term mandate, it must take a long-term view and plan for handover of its political functions and support for national reconciliation to another body on the departure of the mission.

- National reconciliation processes not necessarily resulting in the most just of political dispensations. They in fact require constant management and great sensitivity of judgment. Political stability sometimes has to be balanced against justice, but it requires a nuanced approach as there is no simplistic trade-off between peace and justice;
- If possible, the exact role of formal judicial bodies in the context of reconciliation should be negotiated and settled before any specific measures are taken, lest on-going judicial investigations and proceedings are compromised;
- An uncoordinated relationship with judicial entities leading to untimely prosecutions or the undoing of locally-managed reconciliation process;
- The role that the informal justice process can play should be understood, in particular, whilst formal justice processes remain inadequate or ineffective;
- Questions pertaining to ethnicity, religion, gender, and language, as well as regional dynamics, need to be carefully balanced in the reconciliation process;
- Reconciliation risks establishing a regime of revenge and re-animation of tensions. At the same time, general pardons can undermine accountability of individual actors. Attempts by the parties to provide amnesty for war crimes, violations of international humanitarian law, and crimes against humanity should not be condoned by the UN;
- National reconciliation processes resulting in regimes that combine democratic and non-democratic elements, affecting the political culture and challenging political stability;
- The lack of a constructive relationship between citizens and political parties, such as those driven by narrow interests, may undermine the promotion of national reconciliation;

- Premature withdrawal of a mission in order to meet the requirements of a timely exit strategy, but before reconciliation has taken root.

3.3.6 Considerations

- *Peace vs. justice.* A formal reconciliation process vs. immediate and local ownership without addressing reconciliation. If the process is hastened, it risks igniting a short-term tension between peace and justice. For justice is not just about respecting the victims and punishing the perpetrators; it is also about re-establishing trust in institutions and reconstituting the fabric of an atomized society.
- *Balancing international norms and human rights standards with local customs and needs.* In this context, a decision will have to be made whether transitional justice mechanisms should be staffed with international or local judges. The MLT may also need to consider a situation in which actors on the ground insist on addressing issues through local customs, but progress is not made over an extended period.
- *Promoting international advocacy while supporting national ownership.* There will inevitably be tension between those international partners and donors who urge national reconciliation on the parties and the inclination on the part of local partners to stress a slower, more gradual process of national reconciliation.

3.4 Output: Peaceful and Credible Elections Held

Many post-conflict countries are governed by transitional political arrangements until the first elections are held. National authorities are often appointed rather than elected, and are put in place through a brokered agreement by the parties to the conflict. Accordingly, they may not be fully representative or recognized by the population.¹⁶ The holding of peaceful and credible elections and the creation of a sustainable electoral organization is thus a vital part of a political transition, as well as an important element in the promotion and protection of human rights. As such, elections are often an integral and central part of the political settlement, and constitute an important benchmark in the peace process. Elections need to be accompanied by a range of other actions, such as the consolidation of political parties, the development of local democracy, and the promotion of free media, grass root level empowerment and a vibrant civil society.

¹⁶ “Report of the Secretary-General on peacebuilding in the immediate aftermath of conflict”, 11 June 2009, (A/63/881-S/2009/304).

While the peaceful conduct of elections is a significant event in the transition to recovery and long-term stability, it is only one element in this process and should not automatically lead to the withdrawal of the peacekeeping mission. The period surrounding elections is also likely to entail a spike of activity for the mission, as tensions may rise. Furthermore, most multidimensional operations are mandated to provide active support in a variety of ways to the preparation and conduct of the vote.

In planning their support, the MLT should give priority to respecting and monitoring compliance of stakeholders with the various political agreements that underpin the holding of national elections. Failure to abide by the agreements can undermine the conduct of elections. Alongside the political effort, a security plan involving the mission's military and police assets should be developed, fitting into the overall electoral plan. In addition, the mission must ensure that the international community supports its electoral assistance efforts on the political, financial and logistical level.

3.4.1 Operational Activities

The activities by the mission which support this output include:

- Advising on the type of electoral system to be implemented;
- Supporting the creation of security conditions to allow for peaceful and credible elections to take place, including through demining;
- Supporting the conduct of voter registration;
- Providing technical assistance, such as legal advice, training of election staff, and assistance in developing dispute resolution mechanisms;
- Conducting public information campaigns about the electoral process;
- Handling and defusing threats to the political and electoral process posed by “spoilers”;
- Collaborating with other UN agencies to design electoral assistance projects;
- Providing security and logistics support during the election process, including moving and securing electoral materiel;
- Planning for domestic and international observation of elections;
- Providing political and technical support to the process of government formation.

3.4.2 Benchmarks

- *Short-term*
 - Legislative framework that can provide for the conduct of peaceful and credible elections in place;
 - National election commission and other relevant institutions established and functioning;
 - Effective election dispute resolution mechanism in place;
 - Political parties formalized and sensitized and an environment, with a free media, conducive to the safe conduct of elections achieved;
 - Mapping of electoral districts and voter registration commenced;
 - Voter education programme/campaign established to ensure participation by both men and women, including those from minorities and marginalized segments of society;
 - Plans to provide security in vulnerable and/or key areas deemed to be threatened by spoilers developed;
 - Financial, logistical and security support to conduct elections agreed;
 - Donor engagement and practical support determined.

- *Medium-term*
 - Voter registration database created;
 - Work with domestic and international observers, the media, political parties and civil society organizations implemented;
 - Wide-ranging public information strategy geared to sensitizing voters and other election stakeholders implemented;
 - Arrangements for out-of-country voting (if appropriate) put in place;
 - Security support, including patrolling and guarding/securing key installations and polling places, provided;
 - Transparent elections conducted in a credible manner and peaceful environment.

- *Long-term*
 - Those elected perceived to be representative by the majority of the population;
 - Transitional mechanisms developed to transfer election support from peacekeeping mission to UNDP and, in the longer term, national authorities to conduct elections without international support.

3.4.3 Responsibilities and Coordination

Depending on its mandate, the mission can play an important role in assisting in the organization of elections, both by providing international

expertise and placing logistical and security assets at the disposal of the national authorities. However, this presents a dilemma in terms of capacity building and cost-effectiveness, since the shorter the time for preparations, the greater the pressure will be for the mission to take a heavy lead in this area, through, for example, the distribution of election materials. The mission should seek, from the outset, to carefully balance the support it provides with working intensively to build local capacity and encourage sustainability and cost-effectiveness. In addition, the mission should play a leading role in coordinating donor and international support for the elections and, if this is not already the case, seek to have this included as part of its Security Council mandate. This is necessary to create coherent support for the elections, which are fundamentally a complex logistical and security exercise requiring an integrated effort.

Close contact should be maintained with the Electoral Assistance Division in the Department of Political Affairs, which provides support to the focal point for electoral assistance activities, currently the Under-Secretary-General for Political Affairs. The focal point is responsible for ensuring UN system-wide coherence and consistency in the provision of electoral assistance.

Within the mission, efforts to support elections are often led by an electoral component, which should work closely with and coordinate the activities of all other relevant components, including military, police, political and civil affairs, public information, human rights, and with relevant UN agencies. In view of the political significance and sensitivities associated with elections, the mission leadership, especially the HoM, should be actively engaged throughout the process.

3.4.4 Resources

Peacekeeping operations, which often have significant resources at their disposal, can play an important role in support of the national election commission. This includes the provision of logistical resources for the transportation and storage of electoral material. Even more importantly, with its military and police assets, the mission plays a vital role in providing and creating a secure and stable environment for the conduct of elections. In all of its efforts, maximum attention should be paid to building national capacity and encouraging sustainability and cost-effectiveness.

3.4.5 Challenges and Risks

- The selection of the most appropriate electoral system which is both sustainable and has national ownership;
- Security incidents / violence destabilizing the process;
- Lack of political will and/or capacity to conduct a credible process;
- Non-availability or withdrawal of financial, logistical or institutional support;
- Non-participation in or boycott of elections by a significant party, faction or group;
- Failure to deal with electoral fraud, leading to rejection of the results by national and/or international players;
- Return to office, through success at elections, of political figures who may have played a negative role during the recently ended conflict. Particularly relevant if elections take place shortly after the end of hostilities;
- Inadvertent creation of a more disruptive, politically divisive environment in the country that harms prospects for reconciliation.

3.4.6 Considerations

- *Early or well-organized elections.* While elections may need to be held soon after the end of a conflict to demonstrate that political progress is being made, their early conduct may significantly undermine the potential for them to be peaceful and credible. Great care must be taken in deciding on a timetable for the conduct of elections.
- *Balancing comprehensive participation and selective exclusion or disqualification of “spoilers.”* This should also be considered carefully as it can have a significant impact on overall credibility and acceptability of the election process as well as the long-term inclusivity of the wider political and democratic processes.
- *Balancing electoral efficiency and national ownership.* There is always a need to strike a balance between providing international support to encourage the timely, efficient and peaceful holding of elections and leaving national authorities to take the lead, at the risk of timelines not being met and the technical conduct of elections being of a lower quality. However, the principles of building capacity and encouraging sustainability and cost-effectiveness should be at the heart of any electoral assistance, even at the risk of the process being less smooth than it might be with greater international involvement.

3.5 Output: State Authority and Legitimate Institutions Strengthened

In a post-conflict transition environment, state authority must be strengthened so as to deliver the public goods to citizens in an effective, accountable and transparent manner. The trust that citizens invest in government by participating in elections and submitting to a government should be met by institutions that are seen as being sufficiently capable and legitimate and able to assume responsibilities, uphold order and assure public safety. It is critical that these state institutions be sustained through the longer-term development phase to keep the country from slipping back into a situation in which public trust erodes because of weak institutions and poor governance.

Extension of state authority, through military means and policing as well as civilian assistance, has become a core function of UN peacekeeping, as large, multidimensional missions now frequently use (or at least project) force not merely to fend off direct attacks from spoilers, but as part of deliberate strategies to expand and secure the authority of a government in contested territories.¹⁷ However, a range of other mission activities contribute to the extension and consolidation of state authority, including support for strengthening the rule of law, improving public administration, security sector reform, and human rights. (See also Chapter 5 on “Strengthening Rule of Law with Respect for Human Rights.”)

3.5.1 Operational Activities

The activities by the mission which support this output include:

- Contributing to the creation of security, including in contested areas;
- Helping to build a general consensus on the role of political institutions shared by the wider public;
- Assisting in the creation of oversight functions with clear mandates;
- Supporting restoration of an accountable public administration especially in those areas dealing with natural resources, land, property rights, and other potential causes of conflict;
- Supporting the development of a free and open political culture underpinning a strengthened state authority;
- Helping build a state capacity to collect revenues;
- Facilitating broad dialogue on nature of desired political institutions and cabinet governance and their constitutional and legal mandates.

¹⁷ Center on International Cooperation, “Building on Brahimi: Peacekeeping in an era of Strategic Uncertainty”, April 2009.

3.5.2 Benchmarks

- *Short-term*
 - Agreement on appropriate laws, accountability mechanisms and responsibilities for public institutions;
 - Institutional processes function – if necessary with external staff to support the provision to national staff of professional training and capacity development;
 - Public information mechanisms that generate transparency and build wider trust initiated and managed.

- *Medium-term*
 - Peaceful democratic processes (elections, decision-making, creation and enforcement of law, service provision, etc.) are taking root;
 - Agreement among donor community reached to coordinate responsibilities and material support throughout the post-conflict and peace-building process;
 - Best practices applied by bilateral and multilateral partners to draw on lessons from previous governance transitions and to avoid repeating mistakes;
 - Civil education campaigns implemented both through formal programmes and mass media;
 - The beginnings of a strong capacity-building strategy implemented to ensure the durability of government structures, public administration and a competitive, professional bureaucracy;
 - Proper administration of natural resources restored;
 - Role of transitional institutions clarified;
 - Establishment of a transparent budget process to include a taxation system;
 - Military ownership of economic and commercial organizations/ companies reduced;
 - Broad dialogue on nature of desired political institutions facilitated.

- *Long-term*
 - Where they exist, arrangements are in place to allow traditional institutions to function alongside formal institutions and jurisdiction;
 - The capacity of oversight bodies is enhanced and transparent;
 - National and international policies and responses are better integrated with long-term development frameworks;
 - Meaningful input by civil society actors established such that the judiciary and all branches of government are accountable and open to questioning;

- Strong local capacity developed, ensuring the extension of the professional bureaucracy beyond the term of the first post-conflict administration;
- Emergence of markets in core commodities such as food and shelter;
- Coherent fiscal policy established by the government;
- Emergence of trade unions/associations;
- National decision-making structures are fully developed and integrated.

3.5.3 Responsibilities and Coordination

Through its rule of law and human rights components in particular, the mission should support the work of agencies such as UNDP and the World Bank in helping the national authorities to extend their authority. The coordination functions may vary depending on sectoral expertise. The mission should add value to this process through its work in support of the political process, as well as its network of political and civil affairs staff throughout the country.

3.5.4 Challenges and Risks

- The strength of responsible institutions may be compromised and may indeed not be an immediate priority if humanitarian concerns are more pressing;
- Traditional and/or transitional institutions and functions may be better equipped and more trusted than the nascent bureaucracy;
- By this point in the peace process, donor fatigue becomes a real risk. The preference of most donors is to support the most visible and politically positive phases, which occur early in the process.

3.5.5 Considerations

- *Respecting local culture while promoting international standards.* The strength and legitimacy of traditional structures may prove to be more reliable and adaptive than international standards. However, customary systems may not always respect international standards that the State has signed up to and/or may violate the mandates of international actors.
- *Balancing short-term, easily achieved goals and long-term, sustainable, goals.* The peacekeeping operation may have a public information campaign based on winning public support which may require a series of easily-achieved, high-profile efforts, but the hard-fought reforms and less glamorous development of a viable bureaucracy could prove to be more supportive of a durable peace.

3.6 Output: Civil Society Revitalised and Independent Media Supported

Civil society refers to the arena of un-coerced collective action around shared interests, purposes and values. In theory, its institutional forms are distinct from those of the state, family and market, though in practice, the boundaries between state, civil society, family and market are often complex, blurred and negotiated. Civil society commonly embraces a diversity of spaces, actors and institutional forms, varying in their degree of formality, autonomy and power. Civil societies are often populated by organizations such as registered charities, development non-governmental organizations, community groups, women's organizations, faith-based organizations, professional associations, trade unions, self-help groups, social movements, business associations, coalitions and advocacy groups.¹⁸

Similar to supporting national reconciliation, this output should also be framed in the parameters of a long-term process. The mission can initiate activities to encourage and support civil society and free media (and politically push the national authorities to provide the enabling environments for them to flourish), but the long-term perspective in such support is crucial.

3.6.1 Operational Activities

The activities by the mission which support this output include:

- Conducting mapping exercise and needs assessment of civil society organizations;
- Engaging with and encouraging activities of existing and fledgling civil society groups and organizations;
- Encouraging and supporting local media professionals, including through training of journalists;
- Supporting creation of self-regulatory mechanisms within the media;
- Coordinating support by donor community.

3.6.2 Benchmarks

- *Short-term*
 - Process to establish an independent media commission has commenced;
 - Available segments of local communities, civil society and diasporas are engaged.

¹⁸ Definition of civil society by the London School of Economics, http://www.lse.ac.uk/collections/CCS/what_is_civil_society.htm.

- *Medium-term*
 - Agreement among donor community reached to avoid overlapping priorities and actions;
 - Best practices (from other similar settings) applied by bilateral and multilateral partners;
 - Legal framework guaranteeing freedom of speech and access to information exists;
 - Capacity to train media professionals created so as to overcome lack of trained professionals;
 - Monitoring instrument and database to assess how national and international players are contributing to support a free and independent media devised.

- *Long-term*
 - Climate of cooperation exists between civil society and the government in which each holds the other to account, with appropriate and proportionate checks and balances in place;
 - National and international policies and responses are better integrated with long-term development frameworks to include civil society organizations;
 - Civil society institutions have the capacity to mobilize without fear of undue interference or pressure from government institutions;
 - Meaningful input into the political process by civil society actors established;
 - Self-regulatory mechanism created by the print and electronic media working effectively within the limits of the law;
 - Independent media commission functioning effectively.

3.6.3 Responsibilities and Coordination

While other UN actors, such as UNDP and OHCHR, play an important role in supporting civil society, peacekeeping missions often have a very strong political mandate to work with civil society in the context of reconciliation, civil society participation in peace processes, etc. Through components like civil affairs, political affairs, public information, human rights, rule of law, gender and child protection, a mission can play a vital role in supporting the growth of, and to a limited extent jump-starting, civil society in a post-conflict setting. It may also be necessary to devise monitoring instruments and a database to assess how each member of the UN family and other donors are contributing to strengthening civil society. In support of a free and independent media, a mission may endeavour to build capacity by establishing a radio

station to provide free, independent news, and through the training of local journalists.

3.6.4 Challenges and Risks

- Strengthening or re-building civil society is a long-term process. Peacekeeping operations can, at best, provide initial support. This challenge should be approached with humility, deference to local knowledge, and avoidance of international and donor hubris;
- A polarized society is likely to negatively impact on the emergence of viable civil society structures;
- Intimidation, real and perceived, may discourage members of civil society and the media to pursue their work freely and rigorously;

3.6.5 Considerations

- *Supporting civil society while allowing it to stand on its own feet.* A long term view on supporting civil society, argues that the most robust organizations should be free of any international support in order to have local credibility.
- *Promoting free speech while censoring negative/hate media.* Post-conflict settings are politically sensitive and there are ample opportunities for disruption of the political process when those unhappy with their situation in the evolving political dispensation decide to act against it. The extent to which unbridled media freedom and actions can play a role of abatement or disruption in this process needs to be carefully gauged and monitored.

Creating a Secure and Stable Environment

4.1 What is a Secure and Stable Environment?

A secure and stable environment is primarily characterized by the absence of large-scale hostilities, violence, and the lingering threat posed by mines and explosive remnants of war (ERW), allowing the civilian population to pursue daily activities in relative safety. In such an environment, there is a reasonable level of public order; the state holds legitimate monopoly over the means of violence; the population enjoys physical security and freedom of movement; and the country's borders are protected from invasion or infiltration by foreign armies or armed groups. A peacekeeping operation often plays a key role in creating a secure and stable environment until the host government is in a position itself to maintain internal security and protect its own borders.

4.1.1 Preconditions for Success

The following are the preconditions for success:

- An agreement forms the basis of the peace process, whose implementation includes a sustained settlement of the conflict;
- The Security Council has authorized the peacekeeping mission by adopting a resolution that is implementable and leads to mission accomplishment;
- All major parties to the conflict are committed to the peace process;
- International/regional partners support the peace process;
- Troop/police contributing countries remain committed to their pledges;
- Donors agree to support the process with adequate resources;
- National authorities can develop the capacity to address security and stability issues.

4.1.2 Benchmarks

The following benchmarks are key to the creation of a stable and secure environment, but as such represent a desired end-state, which may take many years to achieve, and which therefore calls for perseverance and a long term engagement:

- Large-scale armed conflict has ended, warring parties are separated and monitored, a ceasefire or peace agreement is being implemented, violent spoilers are controlled, and the immediate impact of mines and ERW is addressed;
- Public order prevails, with laws being respected and enforced, while criminal and political violence has been reduced to a minimum and criminal elements are pursued, arrested, and tried;
- National security services operate lawfully and enjoy the tacit support of the public, while major illegal armed groups have been identified and disarmed;
- No segments of the population are living in fear of threats to their physical safety; displaced people can return safely; and critical infrastructure and key historical and cultural sites are protected;
- Freedom of movement by all parts of society throughout the country and across its borders, which are reasonably secured against invasion, and infiltration by armed groups.

4.1.3 Outputs

The operational outputs that contribute to this objective are:

- Warring factions separated and fighting stopped;
- Civilians protected;
- Freedom of movement recovered;
- Public order established;
- Disarmament, demobilization and reintegration programmes implemented;
- Defence sector professionalized;
- Territorial integrity recovered.

4.2 Output: Warring Factions Separated and Fighting Stopped

Separating forces, while not applicable in all situations, reduces tensions so that continued negotiations, cooperation and implementation of a peace process can proceed. The separation of warring parties involves establishing distinct areas of control that keep factions apart and allows the peacekeeping force to monitor their actions. This helps limit the suffering of civilians and asserts control over armed forces, thereby building confidence in the peace process. The separation of combatants should be followed by observation and monitoring of a cease-fire. Establishing control and preventing large-scale fighting demonstrates authority and forcefulness of the mission and generates

credibility, which will set the tone for future actions and compliance by the parties. The role of the peacekeeping force in ensuring stability is vital until the national authorities are capable of providing security.

The nature of the conflict will determine the disposition of separation, varying from buffer zones (e.g. in interstate conflicts) to areas or zones of separation creating neutral space or no-man's land (e.g. in internal conflicts where combatants and civilians intermingle). The boundaries and entry points of these zones should be agreed upon by all parties, clearly marked and identifiable on a map or formal record. In any event, ending armed conflict and securing long-term peace require political, not military, solutions.

4.2.1 Operational Activities

The operational activities by the mission that support this output include:

- Deployment of troops to zones of separation;
- Establishing emergency response mechanisms that can respond to violations;
- Establishing joint confidence and security building measures for monitoring compliance with ceasefire or other military agreements, and improving coordination through liaison officers or joint commissions;
- Establishing control measures for:
 - Separation of forces;
 - Weapons and ammunition;
 - Equipment;
 - Movement of personnel;
- Demining to assist in the return of normal livelihoods and to remove explosives that provide ammunition for spoilers;
- Developing a public information strategy;
- Establishing monitoring and reporting regimes;
- Supporting DDR and SSR programmes.

4.2.2 Benchmarks

- *Short-term*
 - Peacekeeping force deployed and operating in accordance with its mandate;
 - Mechanisms to implement the security arrangements are established and functioning;
 - The public information strategy is planned and implemented;
 - Control measures are in place;

- Monitoring in place and functioning;
 - DDR programmes are planned and implementation has started;
 - SSR programmes have started;
 - Priority mine action tasks completed.
- *Medium-term*
 - Continued implementation of DDR and SSR programmes;
 - All factions separated and are complying with the control measures;
 - All designated weapons have been cantoned in accordance with relevant agreements and the DDR programme;
 - Factions are complying with the security provisions of the peace agreement;
 - Incidents of violence involving combatants of former factions are significantly reduced.
 - *Long-term*
 - Factions have been integrated and are part of the government process;
 - Factions no longer use violence to settle grievances or gain political power;
 - The security situation is conducive to the return of IDPs and refugees;
 - Final phases of DDR and SSR programmes are implemented.

4.2.3 Responsibilities and Coordination

Separating warring factions requires that the HoM makes a significant effort to keep all belligerents engaged in the process. The head of the military component will have the responsibility to monitor compliance with security arrangements in accordance with the mission's mandate. If the peacekeeping mission is taking over responsibility from another force, the mission leadership (in particular the SRSG and the Force Commander) should ensure that the transition is closely coordinated with DPKO and DFS, as well as the authorities responsible for the previous force. Joint mechanisms should be established to coordinate with factions.

4.2.4 Resources

Timely deployment of the mission's uniformed personnel requires adequate resources, with sufficient capacity and capability and with appropriate directives. If not provided for in the agreement or through the peacekeeping operation, donors should be identified to provide funding for establishing the appropriate control measures. Ideally, the mission should also have suitable

technology to monitor compliance, either through the TCC/PCC or other sources. Experts should be recruited to support the DDR and SSR processes.

4.2.5 Challenges and Risks

- Compliance is not universal or factions do not respect all elements of relevant agreements;
- Fragmented/renege/spoiler groups continue fighting;
- Peacekeeping force is drawn into combat operations beyond its capacity and mandate;
- Conflict spreads beyond the borders of the mission area;
- Regional actors subvert the peace process;
- Impartiality of the mission is compromised by apparent or perceived support of one party over another;
- Peace process/agreement fails and conflict resumes;
- Peacekeeping force is unable to accomplish its mandate, due to lack of capability, capacity and training.

4.2.6 Considerations

- *Mission posture.* Separating warring factions may, in some circumstances, require the use of force, especially where spoilers are present and/or a culture of impunity is prevalent. While assertive action ensures credibility, excessive force may jeopardize the legitimacy of the mission and alienate certain groups or enable spoilers to rally the population against the intervention. Finding a way to balance this trade-off is essential and may involve the engagement of the police component through the deployment of formed police units (FPUs) that are proficient in the use of lethal and non-lethal force against non-military threats. Because peace is fragile at this stage, the impact of all actions and the risks of reigniting conflict should be carefully assessed. Understanding and exercising the principles of impartiality and consent is essential as is the availability of a range of both lethal and non-lethal capabilities.
- *Area deployment or point defence.* The extent to which the mission concentrates on defending points or providing wide area security is a balance of judgement between spreading forces so thinly that they are ineffective or, conversely, concentrating in a few key areas and leaving parts of the country uncovered.

4.3 Output: Civilians Protected

In today's conflicts, civilians account for the vast majority of casualties. A central element of the social contract between citizens and their government is the expectation that the latter will provide physical security of persons and property and maintain law and order. The ability of the state to provide safety and security within its territorial boundaries and defend its borders against armed intrusion through a monopoly on the legitimate means of force is a defining feature of state sovereignty. In failed and fragile states, security issues include: armed conflict and civil unrest; crime and violence; depredation by police and soldiers; and lack of access to justice. Without security and law and order, other basic government functions cannot be fulfilled.

Many contemporary peacekeeping missions have been charged with protection responsibilities, including providing protection from physical violence, not least sexual violence. Civilians are increasingly the direct targets in armed conflict, with the most vulnerable groups being women, children, refugees, IDPs, minorities, and elderly. Protecting these groups is vital in order to prevent suffering and ensure human rights while strengthening confidence in peace in the eyes of the local population, neighbouring countries and the wider international community. Protection activities by the mission need to be framed within a sound political process and go well beyond physical security. This calls for a comprehensive approach that involves a host of components within the mission as well as external partners.

Since the Security Council first authorized a peacekeeping mission, namely by amending the mandate of UNAMSIL in 2000, "to afford protection to civilians under imminent threat of physical violence," it has become standard that the mandates of most current multidimensional operations contain provisions to protect civilians "within capabilities and areas of deployment." This mandate has been provided in addition to the well-established protection tasks (e.g. assisting national and international efforts to end impunity, creating the conditions conducive to the return of IDPs). However, the provisions on protection from physical violence are open to interpretation, and in many cases there are very differing views on their exact scope and nature, both within the Security Council and the mission and among TCCs. (The issue is being addressed through the development of relevant UN guidance, not least a "strategic framework" requested by the Special Committee on Peacekeeping.) In addition, the mission's ability and resources to provide protection to

civilians have not always matched the expectations of the international community and the local population.¹⁹

4.3.1 Operational Activities

The operational activities by the mission that support this output may include:

- Identifying vulnerable sections of the population, including women, children, minorities and IDPs and their protection needs;
- Taking special measures against gender-based and sexual violence;²⁰
- Creating and administering security zones and areas as required;
- Establishing a presence in key areas of potential volatility;
- Establishing a quick reaction capability to respond to crises;
- Developing a public information strategy;
- Providing security and support for IDP and refugee operations (See Chapter 6);
- Creating mechanisms to interface with the local population to understand their protection concerns;
- Establishing joint protection teams consisting of military, police and civilian components;
- Facilitating and securing civilian population movements;
- Monitoring and reporting human rights violations;
- Advising, assisting and supporting host government's capability to provide security in conjunction with the SSR efforts of the mission;
- Responding to or preventing forced displacement of civilians;
- Assessing and addressing mine and ERW contamination;
- Creating/strengthening local conflict resolution capacities;
- Facilitating the necessary security conditions for the delivery of humanitarian assistance.

4.3.2 Benchmarks

- *Short-term*
 - All vulnerable sectors of the population have been identified;
 - Sufficient presence has been established in key areas to deter major outbreaks of violence;
 - Mechanisms created to interface with the local population;

¹⁹ For additional information on protection of civilians, see William J. Durch and Alison C. Giffen, "Challenges of Strengthening the Protection of Civilians in Multidimensional Peace Operations", Challenges Forum background paper, April 2010.

²⁰ The document "Addressing Conflict-Related Sexual Violence: An Analytical Inventory of Peacekeeping Practice" was published jointly by UNIFEM and DPKO in 2010, and offers a host of practical measures, tactics and best practices aimed at addressing sexual violence on the ground.

- Security zones and areas established as needed;
 - Effective monitoring is preventing or reducing acts of violence;
 - Main roads and volatile areas are cleared of explosive remnants and patrolled;
 - The public information strategy is planned and implemented;
 - Key IDP camps are secured;
 - Protection issues are incorporated into SSR and DDR programmes;
 - A comprehensive plan for mine action is in place;
 - A competent quick reaction capability has been established.
- *Medium-term*
 - Incidents are being investigated and documented, and the national authorities are taking appropriate action;
 - Number of incidents (including sexual violence) have decreased;
 - Advocacy programmes are working and effective;
 - Government policy exists for protection of civilians;
 - People have access to legal recourse;
 - Property issues are being addressed by national authorities;
 - Information campaigns and education on human rights are underway;
 - Civilians can move on key arteries safely;
 - Forced displacement of civilians is not occurring;
 - Relief is being provided to vulnerable groups.
 - *Long-term*
 - Host government has the will and has built the capacity and capability to protect civilians;
 - Justice and reconciliation efforts are underway;
 - Improvement in sustainable security by measuring access of the civilian population to food, water, shelter, education, public services, and economic opportunity.

4.3.3 Responsibilities and Coordination

The host government has the ultimate responsibility for the protection of civilians. However, in failed states and countries emerging from conflict, the national authorities may be too weak or lack the capacity or will to protect the civilian population. In those circumstances, the Security Council often mandates peacekeeping missions to protect civilians. Protection of civilians goes beyond the physical security offered by uniformed personnel, and efforts in this area should therefore include multiple components of the peacekeeping mission, including political affairs, human rights, public information, and civil affairs, as well as coordination mechanisms, such as the JOC and JMAC.

Regular political engagement by the HoM and MLT with the host government and major parties is essential to prevent and bring to a halt attacks and violence against civilians.

No single actor has access to all of the information or expertise required to plan and conduct the wide range of protection activities that can be used to support civilians in conflict and post-conflict settings. In addition to improving cooperation between the components of the mission, the MLT has to establish effective coordination and communications arrangements with other relevant UN agencies on protection issues. The development of protection strategies in consultation with humanitarian actors is essential. Protection activities should also be coordinated with national authorities, civil society groups and other representatives of the civilian population.

4.3.4 Resources

If the mandate of a peacekeeping mission provides for the protection of civilians, the mission should have the training, capacity and capability to carry out the necessary tasks. Within the broad range of resource requirements, the availability of mobility assets, particularly aviation, is critical. In addition, the mission needs high quality information management and intelligence to be successful, as well as sufficient numbers of translators and interpreters for communication and understanding of cultural sensitivities. In the likely event that a mission is facing gaps in these resources, the MLT should inform UN Headquarters and the Security Council of its requirements and the implications of continuing shortfalls.

The basic needs of the people should be met primarily by the government or through humanitarian operations, which should be adequately supported (See Chapter 6). Since long-term solutions depend on the development of local capacity and capability, donors and entities such as UNDP should marshal adequate resources.

4.3.5 Challenges and Risks

- The host government and national authorities are unable to protect the civilian population or, even worse, are the perpetrators, leaving the mission torn between its support of the government and its mandate to protect civilians;
- The threat against civilians does not come from armed groups but from other less identifiable civilians for complex local reasons;

- The peacekeeping mission has neither the capacity nor the capability to carry out its protection mandate;
- Expectations of the local population exceed the ability and capability of the mission to protect civilians;
- The population is scattered, with groups being out of reach of the national authorities or the peacekeeping mission;
- Sustained political engagement by the Security Council may be difficult to obtain given the multiple items on its agenda.

4.3.6 Considerations

- *Balancing short-term security imperatives and investments in broader security reform.* The immediate requirement to protect civilians needs to be prioritised with the development of the host government's capability and capacity to take on this responsibility. With limited resources, it may be difficult to balance short and long-term requirements. The need for immediate security may divert donor resources and energy from long-term SSR efforts. Demonstrating quick wins can build credibility, but may jeopardize the development of a foundation for deeper reform of the security sector. A proper balance must be struck. Personal security will probably be the most urgent issue for citizens in post-conflict society. It is one of the elements of good governance that affects early perceptions of the legitimacy of the state and thus will almost always be one of the first and most important public tasks. Those providing security will often lay claim to leadership as well as have the support of citizens who see them as the only immediate option for protection of persons and property – however undemocratic and unaccountable they may be.
- *Managing international and local expectations.* The MLT will immediately be required to deal with expectations regarding provision of security and protection of civilians. The legitimacy of and commitment to the peace process may suffer if expectations are not properly managed. Public information efforts are crucial to ensure that the local population has a realistic understanding of the mandate and capability of the mission.
- *Temporary or permanent deployment pattern.* Protection of civilians, as well as monitoring and observation of the warring factions, may require a composite model of deployment, involving a mix of temporary locations around civilian and urban centres and deployment along dividing lines and security zones. The former can be readjusted when no longer required. The mission should balance its resources and capability against the actual needs on the ground in order to determine the appropriate application of resources and manpower. Temporary patterns will better

support fluid operations and clearance activities, permanent patterns will better support peace-building activities.

- *Balancing the protection of UN personnel with protection of the local population.* The mission may face a dilemma on how to prioritize the responsibility to protect UN personnel (of the mission and the wider UN system) versus the mandate to protect the local population.

4.4 Output: Freedom of Movement Recovered

Freedom of movement entails the free flow of people and goods, without fear of physical harm or disruption, while illicit commodities and other sources of instability are restricted in movement. Free movement promotes economic growth and normalization of daily life, including access to schools and markets, as well as social integration of isolated communities.

Establishing rules on where to enable, limit, or deny access will be a key consideration of the MLT in their dealings with the host nation's government and authorities. Conversely, parties on the ground may test the credibility and resilience of the peacekeepers by restricting their freedom of movement. As a result, it is essential that the peacekeeping force secure the operational and tactical mobility of all personnel across the mission area. Cooperation on this matter may also be an indicator of the general commitment to the peace process as well as to the presence of the peacekeeping mission.

4.4.1 Operational Activities

The operational activities by the mission that support this output include:

- Ensuring the mission's own freedom of movement;
- Clearing and protecting routes;
- Establishing air heads and landing zones;
- Implementing and sustaining the SOFA/SOMA;
- Restricting freedom of movement of identified spoilers and criminals;
- Conducting mine action;
- Ensuring humanitarian freedom of movement and access to affected populations;
- Creating alternate movement corridors.

4.4.2 Benchmarks

- *Short-term*

- SOFA/SOMA with host government is signed;
 - Routes and air heads are secure;
 - Alternate routes are established;
 - Humanitarian supplies are moving;
 - Spoilers and their areas of operation have been identified;
 - Urban transportation networks opening for movement;
 - Selective demining begins;
 - Mine action priorities established and selective de-mining begins.
- *Medium-term*
 - Forced population movements have stopped;
 - Population moves on key arteries without violence;
 - Key strategic resources are protected and able to move to market;
 - Police have restored law and order in critical areas;
 - Mine action continues.
 - *Long-term*
 - National authorities are able to ensure full freedom of movement for people and goods throughout the country;
 - Re-establishment of customs and border procedures consistent with international standards;
 - Mine action continues.

4.4.3 Responsibilities and Coordination

The host government is responsible for ensuring freedom of movement for its population as well as the peacekeeping mission. While the SRSG will need to urge and remind the parties to adhere to their agreements, the Force Commander and the Police Commissioner need to ensure compliance on the ground. Components involved in mine action (both military and civilian) will also have an important role to play with regard to freedom of movement, as will the UN High Commissioner for Refugees (UNHCR) and other relevant UN agencies dealing with the movement of refugees and IDPs. Coordination is therefore essential as is close political engagement with the parties.

4.4.4 Resources

Mission resources and deployment timelines will determine both when and which freedom of movement activities are implemented. Early resources and speed of deployment will facilitate compliance with agreements. Donors need

to provide appropriate resources for mine action so that routes and essential locations can be cleared. Technological assets will have to be available to enable this task.

4.4.5 Challenges and Risks

- Host government gradually adopts a policy of non-compliance with the terms of the SOFA;
- Host government cannot ensure freedom of movement;
- Lack of credible information on mine and ERW contamination;
- Peace process falters and fighting resumes;
- Factions/spoilers restrict the movement and/or access of peacekeeping personnel;
- Factions/spoilers use freedom of movement to exert political leverage;
- Territorial security does not exist causing influx of external spoilers;
- Regional actors are not supportive.

4.4.6 Considerations

- *Balancing freedom of movement and security.* Population and resource controls may have to be implemented initially to control factions and spoilers and establish security. The extent to which this needs to be done will depend on the situation. These controls should be explained to the people to maintain the transparency of the mission and manage their expectations.
- *Immediate or gradual movement controls.* Both immediate and gradual movement controls have their pros and cons. While experience shows that the latter is more viable and pragmatic, humanitarian dimensions may determine the appropriate type of controls.
- *Controlling movement of national resources.* In a resource-based conflict, protection and control of the movement of national and strategic resources could be of great significance. Consequently, movement control efforts and other security tasks related to this issue will have to be prioritized from the inception of the mission.
- *Respecting host country sovereignty while maintaining freedom of movement of the mission.* As a host government maintains (or regains) control of its territory, possible interruption, restrictions or even denial of mission movement may occur. The SOFA/SOMA agreements should be forward-looking or adaptable, as the host government exerts increased sovereignty over its territories. Full freedom of movement is essential for a mission from an operational view, as restrictions may inhibit its ability to perform mandated tasks. In addition, accepting limitations imposed

by the parties automatically undermines the credibility of the mission, signalling that it can be manipulated without consequences.

4.5 Output: Public Order Established

Public order is characterized by the absence of high levels of criminal and political violence, including kidnapping, murder, riots, and intimidation of targeted groups or individuals. In contrast, public disorder is profoundly destabilizing and undercuts efforts to strengthen state security institutions, and may be accompanied by widespread violations of human rights. While the general population can do very little to address these threats, local security institutions are often understaffed and undertrained and at times associated with previous practices of abuse and corruption. The judicial system tends to be weak, and confidence in its ability to adjudicate cases is low, while prisons are overflowing. Public order is essential for the population to attain confidence in the public security system rather than seeking security from other entities, such as militias and warlords. Maintaining public order is the domain of the police and other law enforcement agencies, courts, prosecution services, and prisons – all of which make up the criminal justice system. These areas of activity are covered in more detail under Chapter 5 on Rule of Law.

In some cases, multidimensional UN peacekeeping operations have been deployed to support the transition to legitimate government, and even to temporarily assume the legislative and administrative functions of the state. In such scenarios, maintaining public order is a key function of the peacekeeping mission.

4.5.1 Operational Activities

The operational activities by the mission that support this output include:

- Protecting UN and key governmental installations, cultural sites, and infrastructure;
- Establishing presence in key areas of potential volatility;
- Safeguarding key individuals/institutions;
- Deploying FPUs to critical areas;
- Coordinating public order functions between the military and the police;
- Supporting the deployment of local security forces whenever and wherever feasible;
- Supporting the development of local police and other law enforcement capacity/capability and the re-establishment of the justice system;

- Managing civil disturbances;
- Addressing paramilitary and militia elements;
- Supporting the development of civil society and media.

4.5.2 Benchmarks

- *Short-term*
 - SSR programmes initiated;
 - Elements in place to protect key UN and key governmental installations, cultural sites, and infrastructure;
 - Presence established in key areas of potential volatility;
 - FPU's deployed to critical areas;
 - Police and military components prepared to manage civil disturbances;
 - Military and police coordination mechanisms in place;
 - Quick response elements formed and in place.
- *Medium-term*
 - Violence in volatile areas eliminated;
 - All key areas secured;
 - Most of country returns to normal patterns of daily activity;
 - National police and other law enforcement authorities are held accountable;
 - Population expresses confidence in public order;
 - Civil sector and media developed and functioning;
 - Paramilitary and militia elements incorporated or dealt with;
 - Key individuals safeguarded;
 - National security forces and the mission coordinating successfully;
 - Civil disturbances are quickly contained.
- *Long-term*
 - Rule of law established;
 - Civil sector robust and holding government accountable;
 - All relevant government bodies and institutions are held accountable;
 - Normal civil and political patterns re-appear.

4.5.3 Responsibilities and Coordination

The host government is responsible for developing its capacity and capability to ensure public order, with the support of the mission and relevant UN agencies and international stakeholders. However, until national authorities can fully assume this responsibility, the peacekeeping mission may be expected to deal with a host of public order issues, in close coordination with national security

institutions. DPKO's Office of Rule of Law and Security Institutions (OROLSI) will be a key player in providing support to the mission in these areas.

4.5.4 Resources

The mission (in particular the military and police components) should have sufficient training, capacity, capability, with the appropriate rules of engagement, to deal with public order challenges. SSR is a central element in establishing public order, and relevant programmes will therefore require adequate funding and support by donors. Resources may also be required to develop penal, police and judicial facilities and sites.

4.5.5 Challenges and Risks

- Local security elements oppose the peace process;
- Spoiler networks are entrenched and supported by external means to subvert the rule of law;
- The existence or growth of national and transnational organized crime, including black market;
- Security and legal systems are corrupt and politicized, while crime is institutionalized and rooted in illicit revenue sources.

4.5.6 Considerations

- *Balancing short-term security imperatives and investments in broader security reform.* Perhaps the most critical trade-off faced by the mission is choosing between the urgent need to address the security situation (possibly by lending legitimacy to less-than-democratic processes and actors, redundant layers of security provision, and organizations that have reputations for corruption and lack of professionalism), and establishing legitimacy for patterns of governance and actors that support accountability, transparency and other processes critical to good governance. With limited resources, it may be difficult to balance short- and long-term requirements, e.g. immediate security vs. long-term SSR efforts. While quick wins may build credibility, they may undermine deeper reform of the security sector.
- *Promoting short-term stability while confronting impunity.* Dealing with groups or individuals with blood on their hands may be necessary to secure the engagement of certain factions or mitigate tensions. At the same time, ignoring continued use of political violence or exploitation of criminal networks will preserve a culture of impunity and threaten sustainable peace.

- *Ensuring short-term stability while addressing justice and retribution.* Individual citizens or groups will demand justice and retribution for past offences, which could lead to renewed instability. However, long-term stability may not be possible until grievances are addressed.
- *Public order functions balanced between police and the military.* While maintenance of public order is a responsibility of the host-state police, situations may require the UN police component through its FPU to act independently or in support of the host-state police in order to carry out the mission's mandate. When or if the level of violence exceeds that which can be addressed through the capabilities of an FPU, or in cases when such units are not available, the mission's military component may need to take action. Transition from police to military control, or vice versa, of a situation requires efficient command and coordination procedures, which should be widely understood and frequently rehearsed.
- *Considering host country's traditional mechanisms as well as international norms and standards.* When supporting change of a country's governance culture, the mission should consider the existing "rules", behaviour, and patterns of operation of previous security forces, which may not change easily and may have been effective. Reform of the security sector will depend on how well it reflects an understanding of existing institutions and historical patterns. Good governance will ultimately be provided only as far as the societal actors revise their notions of what public security is and how it operates.

4.6 Output: Disarmament, Demobilization and Reintegration Programmes Implemented

The objective of a DDR process is to contribute to security and stability in post-conflict environments so that recovery and development can begin. Dealing with combatants is a first-order step in moving toward peace and reconciliation. Disarming and demobilizing ex-combatants is a highly visible and very political process that can increase public confidence in the peace process.

The UN definition of DDR is: Disarmament is the collection, documentation, control and disposal of small arms, ammunition, explosives and light and heavy weapons of combatants and often also of the civilian population. Disarmament also includes the development of responsible arms management programmes. Demobilization is the formal and controlled discharge of active combatants from armed forces or other armed groups. The first stage of

demobilization may extend from the processing of individual combatants in temporary centres to the massing of troops in camps designated for this purpose (cantonment sites, encampments, assembly areas or barracks). The second stage of demobilization encompasses the support package provided to the demobilized, which is called reinsertion. Reinsertion is a form of transitional assistance to help cover the basic needs of ex-combatants and their families and can include transitional safety allowances, food, clothes, shelter, medical services, short-term education, training, employment and tools. While reintegration is a long-term, continuous social and economic process of development, reinsertion is short-term material and/or financial assistance to meet immediate needs, and can last up to one year.

Reintegration is the process by which ex-combatants acquire civilian status and gain sustainable employment and income. Reintegration is essentially a social and economic process with an open time-frame, primarily taking place in communities at the local level. It is part of the general development of a country and a national responsibility, and often necessitates long-term external assistance.²¹

4.6.1 Operational Activities

The operational activities by the mission that support this output include:

- Establishing a strategic framework for UN engagement in DDR;
- Carrying out a detailed field assessment;
- Establishing a mission DDR steering group under the leadership of the HoM or DSRSG;
- Establishing a UNCT DDR task force, headed by the DSRSG/RC/HC;
- Developing an operational plan, including a division of labour, in coordination with UN agencies and national actors;
- Securing funding;
- Helping to focus attention on the special needs and DDR of child combatants;
- Ensuring that support to the DDR programme is included in the concept of operations for both military and police;
- Considering implications for DDR vis-à-vis other ongoing post-conflict processes such as transitional justice and SSR;
- Ensuring the seizure or preventing the entry of arms and related material into the country in violation of agreements and sanctions;

²¹ Note by the Secretary-General to the General Assembly, 24 May 2005, (A/C.5/59/31). For further guidance, see IDDRS, available at www.unddr.org.

- Conducting disarmament, including information-gathering, weapons collection and destruction, and stockpile management;
- Conducting demobilization, including reception, registration and documentation; information, counselling and referral; health screening; and discharge and reinsertion;
- Conducting reintegration, including provision of information and counselling; providing support to the demobilized and their dependants (including targeted support to vulnerable groups); and helping to increase the capacities of receiving communities.

4.6.2 Benchmarks

- *Short-term*
 - Leadership and mechanisms established under civilian lead to maximize national ownership;
 - Working mechanisms set up to include registration and tracking of ex-combatants and their dependants, weapons and materials;
 - Working mechanisms set up to carry out each phase of DDR;
 - Funding secured to enable execution of the process;
 - Intelligence established to scope and assess the process;
 - Technical experts available to provide key support;
 - Key sites secured and/or constructed;
 - Planning for reintegration undertaken;
 - Public information programmes conducted;
 - Security guarantees coordinated with the host government to provide adequate security;
 - Controls for border in place to prevent influx of new weapons and materials;
 - Mission steering group established;
 - Mission related integrated planning conducted;
 - Coordinating mechanisms and joint operations established;
 - Monitoring and evaluation tools developed.
- *Medium-term*
 - Control of number of weapons among factions and criminals as agreed by the mission and the host government;
 - Street price of designated weapons increasing, indicating reduced inventory;
 - Decrease in incidents involving the use of prohibited weapons;
 - Host government legal support for DDR developed to provide security and confidence building guarantees;

- Programme is supported by the majority of the key factions, communities into which ex-combatants are reintegrated, as well as the general public;
 - Traffic and movement of weapons and related material are under control;
 - Vocational training programmes planned and implemented;
 - The public information strategy is revisited and implemented;
 - The number of ex-combatants enrolled in reintegration programmes is on track and steadily increasing.
- *Long-term*
 - Government has control of national security forces and their use of force;
 - Weapons controls enforced in accordance with the rule of law;
 - Population feels secure;
 - Programme evaluations indicate that ex-combatants are largely reintegrated socially and economically;
 - Community-based weapons collection and control programmes regulated;
 - Domestic legal systems to control and regulate weapons possession working;
 - Local weapons production industries regulated;
 - Supply and transportation of weapons regulated;
 - State stockpiles of weapons secured to prevent leakage of arms into society;
 - The public information strategy is revisited and implemented;
 - Armed groups threatening the civilian population curbed;
 - No reports of violent incidents involving ex-combatants.

4.6.3 Responsibilities and Coordination

Political will of the national parties concerned is the absolute requirement for the success of DDR programmes. The SRSG and/or DSRSG should support the programme in accordance with the established working mechanisms, in collaboration with relevant UN and external partners, including key donors. Public information efforts will be essential, carried out by the public information component, under the supervision and direction of the HoM. If a sanctions regime dealing with arms flow is in place, it should be consulted as appropriate. Since many local and international implementing partners may both deliver humanitarian assistance to civilians and provide support for DDR, coordinated planning between humanitarian and DDR programmes is important.

As DDR takes place within multiple and overlapping frameworks (i.e. plans, policies, strategies, etc.) for peacebuilding and recovery that involve various national and international stakeholders, the DDR process should be part of national and international recovery strategies. The following entities need to be part of the coordination: World Bank, International Monetary Fund (IMF), UN Development Group (UNDG), UNCT, bilateral donors, and national authorities.

4.6.4 Resources

The mission's DDR component needs to include staff in specialized areas, such as planning, monitoring and evaluation, logistics, reporting, gender and child protection. Military and police liaison officers should also be seconded to the DDR component. In peacekeeping operations, the military component should be able to contribute to a DDR programme in a number of ways, including through logistical support; the provision of security; information-gathering; and specialized ammunition and weapons expertise. The full engagement of the mission support component in DDR programmes is also required.

The ability of some partners to assist may be limited by their mandate (e.g. many humanitarian organizations cannot work with combatants until they are demobilized), and careful consideration should be given as to how best they may assist, while respecting their mandate and other factors that may limit their work.

In a peacekeeping context, funding for DDR comes from peacekeeping-assessed contributions, which can be used to cover disarmament and demobilization (including reinsertion) operations. Voluntary contributions from donors cover reintegration activities. This diversity in funding sources has at times resulted in a gap between, on the one hand, disarmament and demobilization, which are relatively easy to fund, plan and implement, and on the other, reintegration, which is dependent on the willingness of donors and on expertise and conditions that are not always present in a timely manner in a post-conflict environment. This gap can be minimized if long-term reintegration programmes are properly planned, together with donors, and adequately resourced from the outset.

The inclusion of the reinsertion funding as a part of demobilization allows assessed contributions to be used to provide participants with transitional assistance for a period of up to one year. The goal of ensuring that warring

factions can return to civilian life may require direct assistance to demobilized combatants as well as local communities.

4.6.5 Challenges and Risks

- Lack of political will and/or host government does not accept ownership of the programme;
- No comprehensive peace agreement / political settlement;
- Not all armed groups are a party to the peace agreement;
- Inadequate funding for reintegration;
- Combatants do not accept DDR;
- National actors/local communities have limited capacity to support reintegration;
- DDR benefits are perceived as not equitable;
- Disarmed and demobilized factions possess inadequate skills for reintegration;
- Supply of arms and related material cannot be controlled;
- Security of demobilized belligerents and their families cannot be guaranteed;
- Re-insertion programmes appearing to reward ex-combatants (often with blood on their hands) in preference to their victims;
- Re-integration of former combatants into newly established security forces.

4.6.6 Considerations

- *Providing credible security guarantees.* The provision of credible security guarantees is essential if combatants are to give up their weapons. The peacekeeping force should have the capacity to provide security during all phases of DDR, not least at demobilization camps, paying close attention to the balance of power among factions. International support can lend credibility to these efforts by overseeing disarmament and demobilization or participating in a national oversight commission to ensure that disarmament rates among rivals are comparable. This support should also ensure that disarmament violations are investigated, confronted, and corrected. It should also be noted that DDR, in turn, should serve as a major confidence-building measure between the former protagonists to the conflict.
- *Complete or conditional disarmament.* Complete disarmament may not be immediately acceptable to all parties. Ideally, the extent of disarmament should be addressed already during the drafting of relevant

agreements. A broad range of short- and long-term activities should accompany this process, including community-based weapons collection and control programmes; weapons destruction; the re-establishment of domestic legal systems to control and regulate the possession, production and supply of weapons; and securing stockpiles to prevent leakage of arms into society.

- *Transitional justice and DDR.* Coordination between transitional justice and DDR programmes begins with an understanding of how the two processes may interact positively in the short-term in ways that, at a minimum, do not hinder their respective objectives of accountability and stability.
- *Developing local security forces through SSR and DDR while relying on international security forces.* While international security forces may be more effective in performing certain security functions, the objective should be to develop local capacity to handle security. SSR is a central part of transition and recovery strategies, and is vital for the long-term success of DDR activities. In addition to addressing security of the State, SSR focuses on human security as it relates to individuals and communities. SSR supports and assists DDR by strengthening State institutions to allow them to provide security for the citizens of the country under proper democratic control. In turn, DDR assists SSR efforts to improve local security conditions and capacities, because it focuses on creating other ways of making a living for ex-combatants so that they will not resort to violence, and reduces or eliminates armed forces and groups that could pose a threat to the establishment of the rule of law. SSR helps return authority on security matters (from maintaining the rule of law to management of the police and army) to the State, where it legitimately belongs. (See Chapter 5 on “Strengthening of the Rule of Law”.)
- *Reintegration and local capacity.* While international actors and donors often show great enthusiasm for disarmament and demobilization programmes, their commitment to the long and costly reintegration process may be less certain or too slow. Shortage of resources has frequently hampered reintegration efforts in the past. Successful reintegration requires a prompt and sustained commitment of financial and technical assistance for many years. Another reintegration challenge involves preparing and convincing host communities to accept ex-combatants into their neighbourhoods. In particular, programmes should avoid displacing women who may have assumed head-of-household responsibilities during the conflict.
- *Inclusive or exclusive treatment.* While ex-combatants may need special attention to prevent them from becoming a destabilizing factor, paying exclusive attention to them risks generating resentment from the broader population. Other groups that require substantial social and economic

support include refugees, IDPs, women, children and other victims of the conflict. Security should be balanced with equity. To the extent possible, strategies for ex-combatants should be integrated with broader strategies addressing resettlement and rehabilitation for displaced populations, reconciliation efforts, rule of law, and governance. Doing so will also help to prevent ex-combatants from becoming stigmatized or isolated from the rest of the community. The peacekeeping mission runs the risk of losing its impartiality if this task is not performed carefully.

- *Managing expectations.* The local population, ex-combatants, and the host government all have different expectations and agendas, and the peacekeeping mission will always be expected to deliver more than time and capacity allow. The key is to balance what is possible against what the stakeholders believe should be possible within a given time. Public information and community sensitization campaigns ensure that affected communities and participant groups receive accurate information on DDR procedures and benefits. Messages should be appropriately designed for different audiences and should employ many different and locally appropriate means of communication.
- *Balancing rapid disarmament and a long-term approach.* The long-term approach required of DDR is at times offset by the short-term political or security imperative to rapidly disarm combatants that pose an immediate threat to peace. If disarmament is rushed and not planned carefully, it could have serious negative consequences at a later stage, especially if reintegration is not well planned and resourced. The MLT should balance these pressures and ensure that the risks are identified.

4.7 Output: Defence Sector Professionalized

As part of SSR, a peacekeeping mission may be tasked to select, train, advise, mentor, support, and provide institutional development for the defence sector. This may include training in the areas of human rights, international humanitarian law, child protection and the prevention of gender-based violence. It is of critical importance that the military (and police – but police issues are discussed in Output 5.4 below) re-establish their credibility in the eyes of the public and the international community, especially if they have been implicated in the conflict. In many cases, incidents of poor discipline, inappropriate standards, accelerated induction or strained resources will have been catalyzing factors in a return to conflict. The ultimate goal of professionalizing the defence sector is civilian control of the military. Professionalizing the defence sector should not simply aim at rebuilding troop levels and training military actors; it implies the holistic reconstruction

and development of both the armed and non-armed elements of the defence sector, as well as its civilianized governance structures, including with regard to normative values and traditions. Training is a critical part of this process, and should include decision-makers from the entire sector.

4.7.1 Operational Activities

The operational activities by the mission that support this output include:

- Securing agreement by the military to undertake institutional reform;
- Conducting multi-agency assessment of defence sector;
- Securing funding for restoration of facilities and infrastructure and regularizing payment for the military;
- Establishing the principles and structures of defence accountability to civilian political leadership;
- Establishing recruitment and selection systems;
- Introducing a training and reorganization process to harmonize military systems with evolved conditions;
- Reviewing and reforming military accountability regimes;
- Conducting periodic reviews.

4.7.2 Benchmarks

- *Short-term*
 - Assessment completed, training and reorganization plan accepted by host government and military authorities;
 - Funding secured;
 - Procurement for equipment and facilities initiative finalized;
 - Trainees selected, and trainers and mentors deployed;
 - Standards agreed;
 - Plan coordinated in support of DDR;
 - Roles and responsibilities of the police and military delineated.
- *Medium-term*
 - Essential equipment and facilities procured and available;
 - Oversight mechanisms in place and functioning;
 - Payment and human resource systems in place and functioning;
 - Defence intelligence community coordinated and regulated in accordance with the rule of law;
 - Leader selection and development programmes functioning;
 - Public information strategy supporting the process;
 - National and international expectations managed effectively;

- Agreement among donor community to prevent overlapping priorities and efforts;
- Best practices applied by bilateral and multilateral partners and shared with local government actors and the UN;
- Military able to conduct small unit exercises.
- *Long-term*
 - Military reorganized and able to conduct operations in accordance with plan;
 - Military recruitment and selection systems functioning;
 - Public confidence in the military restored;
 - Oversight bodies are functioning and capable of leading, challenging, reproaching and controlling the military;
 - National and international policies and responses are better integrated with long-term development frameworks;
 - Meaningful input by civil society actors established and legitimized;
 - Support structure for the military established and functioning with limited international assistance;
 - The military is part of a balanced SSR process.

4.7.3 Responsibilities and Coordination

Support to the defence sector may include many actors as a result of multiple bilateral and multilateral agreements running concurrently with the UN's activities. Coordination and rationalization among all of these efforts is therefore essential. External assistance should not undermine the legitimacy of the host government, and national institutions, laws, and processes – however weak – should play a central role in the formulation and implementation of programmes and processes. External planners should be careful to respect the host country's sovereignty by integrating its government into planning and execution. Defence sector support should be closely coordinated with other SSR and DDR programmes.

4.7.4 Resources

Resources consist of time, funds, facilities, and equipment as well as trainers and advisers, who may be funded by donors and through bilateral and multilateral agreements with the host government. There should be an integrated and synchronized plan with the host government that accounts for the funding, procurement, allocation and distribution of resources necessary to support and professionalize the defence sector. A long-term programme should include sustainment plans that provide for the life-cycle management of materiel systems. Effective SSR requires considerable international support

in the form of voluntary contributions as well as on-ground engagement, e.g. training.

4.7.5 Challenges and Risks

- Military infrastructure has been severely degraded;
- Military support and professionalization is not keeping pace with development of political reforms;
- Military causes recurrence of violence;
- Elements within the military are disaffected and mutiny;
- Defence reforms not keeping pace with DDR;
- Funding is inadequate, leaving military weak and disaffected;
- Military takes over government.

4.7.6 Considerations

- *Balancing immediate security requirements and gradual sector reform.* There may be tension between the need to field forces quickly and to gradually develop a professionalized force. The immediate requirement to protect civilians may conflict with the need to develop the capability and capacity of the national authorities to take on this mission. With limited resources, it may be difficult to balance short- and long-term requirements. The need for immediate security may divert donor resources and energy from long-term defence sector efforts.
- *National or sector focus.* The decision to focus on the defence reform from a national or regional level may depend on the assessment of the needs and security requirements. Resources may not be available to professionalize all parts of the defence sector simultaneously, and trade-offs relevant to geography and culture should be considered.

4.8 Output: Territorial Integrity Recovered

Territorial integrity has different connotations for inter-state and intra-state post-conflict situations. In the former case, denial of opportunities or temptations to forestall occupational designs are called for to ensure territorial integrity, whereas the latter necessitates creating and maintaining buffer zones between warring factions, and in certain circumstances securing borders. It is often beyond the mission's capability to ensure integrity of borders against hostile neighbours, or where those borders are in dispute, unless augmented by regional or international security or arbitration organizations.

Establishing and maintaining territorial integrity can be extremely challenging in war-torn countries due to mines and unexploded ordnance, porous, blurred or disputed borders, lack of or damaged infrastructure, and inability to control air- and seaports and other entry points. Many destabilizing elements come from outside state borders in the form of trans-national organized crime, hostile neighbours, armed groups and mercenaries, arms trafficking, and international terrorism. There are two distinct but related aspects of border security: 1) physical border security, which involves monitoring border areas for crime, refugee flows and the movement of irregular forces, and 2) customs and export control, which regulates the flow of people, animals, and goods into and out of the country.²² Improving customs and export processes at the border can also benefit international trade and economic development in the longer term.

4.8.1 Operational Activities

The operational activities by the mission that support this output include:

- Diplomatic engagement, led by the HoM, with regional actors;
- Reinforcing national mechanisms;
- Supporting the control of movement of people and goods;
- Ensuring coordination with relevant UN agencies, the International Committee of the Red Cross (ICRC) and NGOs with regard to the movement of refugees;
- Establishing information-sharing mechanisms with all partners;
- Supporting establishment of border security including the training and advising of host country border patrols and border control mechanisms.

4.8.2 Benchmarks

- *Short-term*
 - Concerned regional and international actors are engaged;
 - Sea, air and land border controls established, possibly by the peacekeeping mission or a parallel operation under UN authorization;
 - Host government mechanisms in place to begin the process of extending control to border regions;
 - Movement control is established and understood by all players;
 - Coordination with external partners established to ensure that the movement of people and goods is coordinated and that humanitarian space is respected;

²² United States Institute of Peace, *Guiding Principles for Stabilization and Reconstruction*, 2009.

- Information-sharing mechanisms established to ensure transparency;
 - Plan for capacity and capability development of border management in place, as part of supporting the host government in SSR.
- *Medium-term*
 - Number of cross-border incidents reduced in coordination with the national authorities;
 - Smuggling of prohibited goods reduced;
 - National customs and border control in place and functioning;
 - Cross-border sanctuaries of spoilers eliminated in cooperation with neighbouring states;
 - Refugees return without obstruction;
 - Border tensions with regional actors reduced to pre-conflict levels;
 - Presence of non-state actors reduced.
 - *Long-term*
 - National institutions capable of controlling borders;
 - National authorities collecting appropriate customs taxes;
 - Host government executing authority throughout national territory;
 - Flow of illegal weapons, drugs, materials and people stopped.

4.8.3 Responsibilities and Coordination

The host government retains the responsibility for securing its borders. However, lacking capacity or capability, the mission may assist in the short and medium-term. Dealing with the integrity of international borders needs to be coordinated with relevant UN entities (e.g. UNHCR). Efforts by UNDP and international partners to support the development of the host government's capacity to assume responsibility for viable customs and border mechanisms should be linked with related activities of the mission.

4.8.4 Resources

The mission should have the mandate, adequate resources, training and rules of engagement in order to deal effectively with border issues. It will also need appropriate technology and reliable intelligence to monitor and report on cross-border movements and violations. Donors should provide adequate support for the development of host government capacity and capability in support of SSR.

4.8.5 Challenges and Risks

- Regional actors, neighbouring states or members of the international community take advantage of the volatile situation to advance their own interests at the expense of the host country;
- Sanctions are ineffective;
- Consent to the peace process erodes;
- Spoilers exploit the weakness of the border at the expense of the host country;
- Host government does not have the capability or will to develop viable institutions;
- Regional conflict erupts.

4.8.6 Considerations

- *Performing border security functions while building host country capacity.* While border security and control is the responsibility of the host government, national institutions may not be up to the task, and the peacekeeping mission should be prepared to provide substantial assistance in the beginning. However, building host government capacity should be a high priority, and efforts should be made to train local security forces to perform relevant tasks. Training conducted inside the country is usually the most successful, especially through training-of-trainers programmes. Collocating international and local forces for mentoring and monitoring will likely be required for some time. Effective border security also relies on solid intelligence about wanted individuals seeking to enter or exit the country. The mission should build cooperative relationships between border security forces and intelligence agencies to ensure that critical data are shared. The tasks assigned to TCCs and PCCs in regard to border security should match their national training and responsibilities, as many countries have specialized border security forces.
- *Balancing interests of host nation and the region.* The peacekeeping mission will have to consider managing, often delicate, border relations with neighbouring states. Many conflict countries share extensive, and at times porous, state borders with neighbouring countries from which a number of destabilizing threats originate. Garnering the political support of regional actors and establishing cross-border protocols can reduce further instability and prove beneficial for the security of all parties. The mission should ensure the neighbours' ongoing active participation by forming or supporting regional mechanisms that promote the region's security, economic growth, and social and political development. The

peacekeeping mission will have to balance between committing resources to territorial integrity vs. creating internal security.

- *Engagement or interference.* Neighbouring countries and other members of the international community may play a major role, positive or negative, in the host country's ability to achieve a stable environment. Regional interests, issues, and unresolved conflicts may be detrimental. Comprehensive diplomatic efforts to halt any destabilizing actions coupled with economic and security guarantees will be necessary.

Strengthening Rule of Law with Respect for Human Rights

5.1 The Nature of a Strengthened Rule of Law with Respect for Human Rights

A rule of law environment exists when all persons, institutions and entities (public and private) including the State are held accountable to laws that are publically promulgated, equally enforced and independently adjudicated.²³ In creating this environment, the supremacy of the law, equality before the law, and accountability to the law should be conducted in a transparent manner, both legally and procedurally. In close cooperation with the host government, the MLT has both the responsibility and capacity to influence how quickly and firmly the State is able to recover and demonstrate its authority, legitimacy and capacity to apply equitable laws in a fair manner. More specifically, the role of the MLT in strengthening the rule of law is likely to include these tasks:

- Facilitating political engagement and dialogue in supporting the host country overcoming obstacles to strengthening the rule of law;
- Supporting capacity-building of domestic institutions, both formal and informal, which are capable of resolving conflicts peacefully within a rule of law framework.

A holistic approach to strengthening rule of law should be crafted and carried out in close consultation with all parties to the peace process and civil society. Strategies should therefore be needs-based and long-term and donors should be encouraged to remain engaged and stay the course. Capacity building for rule of law should include the full spectrum of functions including institutions that manage justice (e.g., ministries), police and other law enforcement agencies, prosecuting authorities, public defenders offices, courts, prisons, oversight bodies, law reform agencies, and legal education institutions. Strengthening rule of law in relation to these agencies and institutions will also lend support to other mission activities, such as SSR. Recognition by the mission of the critical importance of local ownership at all levels of the system and all stages

²³ “The Rule of Law and Transitional Justice in Conflict and Post Conflict Societies”, Report of the Secretary-General, 2004, (S/2004/616).

of the process will enable a functional and relevant rule of law environment. At times, however, this recognition needs to be balanced with a certain level of intrusiveness in order to help combat corruption of police and other law enforcement agencies, which could derail rule of law and SSR efforts.

Supporting the rule of law also depends on interaction with non-state justice systems, non-state actors, and the general population. In fact, non-state actors and informal institutions may offer many of the services the State cannot or will not provide. The MLT therefore needs to understand the culture and cooperate with the systems that already exist and have credibility with the population.

In order to create the conditions for success in strengthening rule of law, prioritization of activities is critical. The MLT may wish to consider the following in determining priorities: (a) is the environment safe and secure; (b) can security be maintained by a police service alone; (c) does the community have the capability to absorb reform initiatives; (d) are there active spoilers who can destabilize the environment; (e) is there a geographic area that can support the rule of law reform process without it being derailed by spoilers and where a quick win may be achieved to help build confidence in the reform; (f) is the host government stable enough to undertake reform; (g) is the rule of law responsive to the gendered perceptions of security, law and order, and other social, economic and administrative issues; (h) are police and other law enforcement agencies able to maintain law and order/public order in the framework of human rights; and (i) are there some areas within SSR that need to be addressed before reform in other areas can begin?

Ultimately, a strengthened rule of law is necessary for a sustainable peace and a smooth transition from peacekeeping to peacebuilding. It is therefore an essential point of focus for the MLT.²⁴ In addition, the rule of law should be a core part of the ethic of every group of officials within the mission – including military, police and civilian components from all countries contributing to the mission.

5.1.1 Preconditions for Success

The following are the preconditions for success:

- The mission operates under Security Council authorization identifying activities that are vital to the strengthening of the rule of law;

²⁴ For further information, see “Annual report on strengthening and coordinating United Nations rule of law activities”, Report of the Secretary-General, August 2009, (A/64/298).

- A peace process ending the conflict in the country provides an opportunity for a sustained settlement;
- All significant parties to the conflict have signed a peace agreement and have shown commitment to its implementation;
- Donors have agreed to support the strengthening of the rule of law with adequate resources;
- Unity of effort among mission leadership (political, military and police) regarding how to confront threats to the mission, its mandate, and the rule of law is based on the outcome of a rigorous conflict analysis, which should include the legislative and cultural frameworks and practices, as well as host country history and characteristics.

5.1.2 Benchmarks

The following are some of the key benchmarks for a strengthened rule of law environment:

- A strong legislative framework that provides guarantees for non-discrimination; the role of women and minorities has been factored into the development of the legislative framework that is also responsive to the local concerns, traditions, culture, knowledge and history;
- A strong judicial sector able to withstand external pressures from a variety of actors; this is a particularly sensitive sector as it is responsible for interpreting laws passed by the legislative framework; therefore a separation of powers is in place and checks and balances have been framed, ensuring ensure fair and equitable interpretation of laws;
- A strengthened police and other law enforcement sector that is responsive to the needs of the population, with consideration for women and minorities, independent of politics and political actors;
- A strengthened corrections system consistent with the UN's Standard Minimum Rules on the Treatment of Prisoners;
- Structural mechanisms and mediation processes for the peaceful resolution of conflicts has been established;
- Functioning oversight mechanisms in place;
- A public administration that is rule-based and accountable, with adequate systems of appeal in place.

5.1.3 Outputs

The operational outputs that contribute to this objective are:

- Legislative frameworks strengthened;
- Judicial sector strengthened;
- Police and other law enforcement sector strengthened;
- Corrections system strengthened.

5.2 Output: Legislative Framework Strengthened

The impact of conflict on legislative frameworks ranges from destroying institutional infrastructures to simply weakening their effectiveness. A strong legislative framework, based on rule of law and human rights principles, provides the mechanism by which a State frames its laws in response to the will of the people. This forms the foundation for an effective rule of law environment. If they unfairly discriminate against certain segments of a population, and/or fail to pass laws that promote the rights of all citizens, legislative frameworks can also contribute to conflict. Legislative frameworks should be internally consistent and adapted to social realities, and ensure equitable and safe participation by women and minorities.

5.2.1 Operational Activities

The operational activities by the mission in support of this output include:

- Assessing needs and mapping of existing legislative frameworks;
- Supporting legislative reform;
- Coordinating donor support;
- Raising public awareness using public information campaigns;
- Engaging civil society, including women and minority groups.

5.2.2 Benchmarks

- *Short-term*
 - Needs assessment and mapping of legislative frameworks completed;
 - Donors and areas of engagement identified;
 - Planning with host government on identified needed legislative reforms;
 - Obstacles to reforms identified;
 - Advocates within host country identified.

- *Medium-term*
 - Plans for legislative reform initiated by host government with consideration of participation by minorities and women;
 - Donor support prioritized;
 - Popular support for reform observed.

- *Long-term*
 - Legislative reform implemented;
 - Civil society support strengthened;
 - Constitutional processes initiated;
 - Donor support sustained;
 - Legislative frameworks enshrine the rule of law.

5.2.3 Responsibilities and Coordination

Within the mission, the MLT is responsible for promoting the rule of law with their respective national counterparts while balancing local ownership against the goals of the mission. The host government has ultimate responsibility for devising rule of law frameworks that respond to their environment. Coordination of efforts will be hard and with tensions that the MLT will have to manage. Continued political engagement will be needed by the MLT to support legislative reforms.

5.2.4 Resources

Sufficient expertise and resources must be allocated to support the mandated tasks. The MLT should do its utmost to generate donor interest, as well as encourage sustained support for this sector. Long-term success also depends on continued political engagement, as well as continued donor support to provide the financial and material support that is required to sustain a successful reform process.

5.2.5 Challenges and Risks

- Local laws, as well as customary and religious systems, may clash with international human rights norms/standards;
- Local consent may be jeopardized by pace and style of legislative reform;
- Lack of local capability to absorb legislative reforms, leading to loss of legitimacy and credibility of processes;
- Insufficient engagement of host-country stakeholders in designing and implementing monitoring and evaluation mechanisms may hamper effective benchmarking;

- International actors imposing legal systems inappropriate to the local context;
- Tension between MLT and host government affects implementation of plans and priorities for overall legislative reforms;
- The importance and centrality of traditional justice needs to be sufficiently factored into plans;
- Corruption and political affiliations distort course of reforms.

5.2.6 Considerations

- *Time frame required for legislative reform.* The short-term need to meet donor and local expectations for observable change will have to be balanced with the realisation that sustainable legislative reform is truly a long-term process. If the reform process is rushed and fails to factor in variables such as cultural norms, gender perspectives, and citizen participation, the outcome of the process will not be sustainable. If the reform represents a substantive shift from the previous legislative frameworks, and the MLT is not sensitive to the time factor, spoilers may simply wait out the mission or begin to challenge the legitimacy and credibility of the mission. Finally, the capability of the existing legislative frameworks to adapt to or absorb change may require time to build capacity.
- *Balancing international norms and local customs, religions and laws.* In implementing legislative reforms, there may be a discord between international standards and local customary and religious systems and formal legislation, e.g. as regards the access of women to voting, inheritance, land ownership, etc. Encouraging legislative reforms to conform to international norms may create tension between the MLT, the host government and elements of the population.
- *Balancing need for representative legislative frameworks and elite structures of governance.* Another trade-off may occur between the need for legislative frameworks to represent the whole of a society, including minorities and women, and responding only to those who hold power. While support from those in power is imperative for driving the reform process forward, responding only to those in power may not ensure the desired outcome. There should be a balance between expediency and legislative reform that will reinforce legitimacy and credibility of the process. Therefore, engagement with advocacy groups representing different sectors of the population, such as minorities and women, will have to be balanced against the interests of those in power.
- *Formal or informal discrimination.* Finally, where formal measures for discrimination may be conspicuously absent from national legislation, considerable informal and traditional forms of discrimination may

be at the basis of a country's social organization. Even acute cultural awareness and consultation with stakeholders and processes may fail to fully capture generations of constructive and inclusive discriminatory traditions. There is a need for humility in expectations.

5.3 Output: Judicial Sector Strengthened

A sound and well-respected judicial sector linked to police and corrections is an important keystone in the transition of a country. While focus may be on criminal justice, issues of civil justice such as family and inheritance law, land reform and commercial law, in addition to constitutional and administrative law, can be critical factors in reducing the incidence of crime and disorder. Where such disputes are not addressed, they can easily escalate into unrest and, sometimes, violent conflict. The ability of a citizenry to trust the judicial system not to try them arbitrarily or treat them punitively, but to apply justice evenly, engenders trust for the host government and entire justice system. A strengthened justice sector will support reforms to the police and corrections, which will benefit the population. Further, international investment and commercial growth is attracted to jurisdictions where the safety of workers and the integrity of the judicial system are not in doubt. The international community should assess whether national counterparts are willing and able to confront systemic threats to the judicial sector and thus to the rule of law if supported competently and comprehensively by the international community. A mismatch between the degree of the threat to judicial reform and the rule of law and the authority and resources afforded the mission is a prescription for failure.

The MLT is only one actor supporting judicial reform. The mission's role as mentor and coordinator of an overall process will help add legitimacy and credibility to both the mission and the host government. Other actors will remain engaged in judicial sector reform long after the peacekeeping mission is terminated; therefore, the MLT may find it useful to engage with these in order to support and coordinate all efforts. A strengthened judicial sector is a critical factor in the transition to peacebuilding.

Based on the needs assessment and mapping, the MLT team will be aware of multiple activities that are required to support judicial reform. As capacity building takes time, there may be pressure for rapid justice to meet public expectations. The MLT will have to consider which activities will not destabilise the peace process and, at the same time, provide evidence of reform. The MLT will also need to find a balance between initiating a judicial

reform process that responds to the needs assessment against the capability of the host government to absorb the reforms. In meeting the requirement for rapid justice, the MLT may need to consider whether the requirement can be met through using interim justice mechanisms or by supporting customary law, both of which can be extremely sensitive. The expectations from the host country and the international community will likely create tension that the MLT will have to manage in order not to lose support from either the host government or the donors, whose long term engagement is critical. Quick wins that demonstrate change may result in increased patience/tolerance that will provide leverage to create sustainable judicial reform; the unintended consequence may be a quick win that does not meet the requirement for sustainable judicial reform in the longer term.

5.3.1 Operational Activities

The operational activities by the mission in support of this output include:

- Needs assessment and mapping of existing judicial mechanisms, including traditional, customary and/or non-State;
- Promoting judicial independence;
- Promoting judicial and prosecutorial professionalism, accountability and transparency through improved management and oversight;
- Promoting interaction/cooperation/coordination with wider criminal justice system (for example, police and corrections);
- Coordinating donor support;
- Promoting effective enforcement of laws and equitable access to justice, including support for independent public defenders' offices for the severely underprivileged members of society;
- Strengthening linkages and cooperation between State and non-State institutions;
- Raising public awareness through information campaigns making sure civil society's perspectives are included, especially with regard to women and minorities;
- Promoting judicial accountability;
- Strengthening local capacity for court administration;
- Trial monitoring.

5.3.2 Benchmarks

- *Short-term*
 - Needs assessment and mapping completed;
 - Judges and all state officials in sector are paid;

- Obstacles to reform identified;
 - Environment for judicial reform created;
 - Public information campaign planned and implemented.
- *Medium-term*
 - Increased use of judicial system by population;
 - Decrease in the number of people being detained illegally without a court appearance;
 - Decrease in the number of cases dismissed for lack of prosecution;
 - Vetting processes for prosecutors/defence lawyers, discipline and judicial appointment systems through secondments and international partnerships supported;
 - Inventory of pending cases created;
 - Budget and staffing requirements analysed;
 - Donors coordinated to minimize overlap;
 - Civil society working in support of judicial reform;
 - A common catalogue of judicial language produced;
 - Judges, prosecutors, defence lawyers, court administrators held accountable in transparent processes;
 - Increased access to justice mechanisms, particularly for women and minorities, and increased representation of women in the judicial sector;
 - Increased cooperation with traditional/customary justice;
 - Capacity built for legal training, including court management.
 - *Long-term*
 - Judiciary is independent and free from politicization in selection, promotion and disciplining of judges, as well as in its financial affairs;
 - Judges, prosecutors and lawyers are credible, effective, and impartial;
 - Judges, prosecutors, and lawyers are held accountable for misconduct without any international involvement;
 - The legal profession adheres to rigorous standards of conduct;
 - The justice system performs essential criminal and civil law functions effectively;
 - Measures to protect human rights (e.g., human rights commission or ombudsman) are effective;
 - The legal system provides a non-violent mechanism for the resolution of disputes;
 - “Rule of law culture” embedded in social expectations and values;
 - Adequate materiel, institutional and human resources to plan and undertake legal training and capacity building at a national level exists;

- Legal aid readily available where needed for those who cannot afford a defence lawyer;
- Social attitudes and norms are supportive of peaceful resolution of disputes.

5.3.3 Responsibilities and Coordination

The host government retains the leadership role to ensure that a strengthened judicial sector enforces the legal codes developed out of the legislative body. Within the mission, the MLT is responsible for balancing local ownership of the judicial sector against the goals of the mission. In most instances, the MLT can principally support the strengthening of a judicial sector by providing political leadership and coordinating long-term donor support. By mentoring and coordinating, the MLT can help create a political environment where judicial reform can prevail over time. A major factor in supporting the creation of legitimacy and credibility in the judicial sector is mitigating the risks between the timeframe in which to meet mandated tasks related to judicial reform, while not jeopardising the local ownership and public support for judicial reform. Linking with women and minority groups that advocate on behalf of equitable access to justice and overall judicial reform will also be a critical area for coordination.

5.3.4 Resources

Sufficient resources and expertise should be allocated to support a strengthened judicial sector. Key experts with knowledge, skills and abilities and international expertise in the relationships of culture, context, law, and balancing what is possible in the given circumstance will be important in mentoring and supporting judicial reform. Personnel who have experience and expertise within the mission in political, legal, and human rights mentoring and advising are necessary. Again, the long term nature of judicial reform requires sustained donor assistance.

5.3.5 Challenges and Risks

- The potential clash between national and international norms regarding judicial reform;
- Shattered or non-existent formal legal system lacking sufficient actors to undertake the breadth of these measures;
- A weak civil society being unable to contribute to judicial reform, thereby limiting judicial legitimacy and credibility;

- Modifying entrenched political/judicial affiliations and relationships creating tension and antagonism towards governance reform initiatives and harming nascent political cooperation;
- Organised crime and corruption with ties to political power impacting on reform of judicial sector;
- Logistical and resource challenges to undertaking large-scale changes to court administration and management;
- Perceptions about fairness of ethnic/religious/regional balance of training and appointment to preferred positions impact on judicial reforms;
- Difficulty in reaching common understanding of complex concepts, such as rule of law, transitional justice, SSR, and judicial sector reform;
- Weak management and/or leadership culture;
- Challenges to the integration of marginalized and vulnerable groups.

5.3.6 Considerations

- *Balancing political stability and accountability of judicial sector.* Political and criminal influence in the judicial sector is an obstacle to the rule of law. However, tackling this may have political consequences, which can destabilise the peace process. During times of conflict, legal, political and economic interests are often implicated in criminal activity, which can impact on post-conflict recovery and judicial reform. Hasty removal of judges, for example, can create a vacuum in power structures, which may have a longer-term negative impact on strengthening judicial reform.
- *Balancing results and time.* Judicial reform is a long-term process without a fixed end date. The need for results from the mission and the donor community should be balanced against the time and local capability required to build judicial reform that is responsive to culture, context and capacity. The absence of a strong professional legal community (judges, prosecutors, defence lawyers, court managers, etc.) results in undue reliance on international experts who will likely not be engaged in the long term development of a judicial core that can implement the judicial reform processes. On the other hand, short-term expedient use of international expertise may help prevent that those prosecuted are detained for extended periods while local expertise is being developed.
- *Addressing entrenched corruption while supporting judicial reform.* There are often ties between organised crime and corruption, especially when the host government has not paid judges and others involved in the judicial sector. Corrupt practices often become a standard means by the population can access justice. If this practice is generally accepted, there will likely be less incentive and more resistance to reforms that will

change the judicial sector. For the host country, there is often substantial resistance against changing institutionalized corruption.

- *Supporting local or international norms.* There are often strongly developed traditional forms of justice in a post-conflict environment, which have met the needs of the local population. These sometimes do not adhere to international norms, especially with regard to women and minorities. There will likely be a need to balance cultural norms (expediency) with international norms (standards). Customary dispute resolution (whether formal or informal) should be acknowledged and brought into overall strategic considerations for judicial reform. Furthermore, cultural norms should not be used to entrench violations of human rights, especially with regard to women and minorities.

5.4 Output: Police and Other Law Enforcement Sectors Strengthened

Police and other law enforcement agencies are the most visible expression of the security sector and governmental authority. The public image of the police generally has a strong effect on the public's perception of their individual security. In many post-conflict societies, the police lack legitimacy due to their involvement in the recent conflict, their perceived corruption, human rights abuses, and unresponsiveness to the security and rule of law needs of the population. In cases where the military has assumed responsibility for internal security, transition to police responsibility for law and order is an important step towards (re-)establishing the rule of law. Strengthening policing and other law enforcement agencies in post-conflict societies is therefore one of the first positive signals to a population that the government is re-establishing its authority. Additionally, in many post-conflict societies, high levels of organised and transnational crime exist, with links to corruption and political power, creating a threat to security and undermining the rule of law. Effective and accountable policing and other law enforcement depend upon professionalised management and governance. Without an adequate level of policing and other law enforcement, it is impossible to achieve sustainable peace and security and reinforce the rule of law.²⁵ The mission leadership's support to strengthening police and other law enforcement agencies, including customs and border services, is therefore critical to a strengthened rule of law environment. However, any police reform and restructuring should be incorporated within an overarching national security plan and framework.

²⁵ "Support for the reform, restructuring and rebuilding of police and law enforcement agencies", DPKO Policy, December 2006, (ref. DPKO/PD/2006/00070).

In prioritizing support for strengthened police and other law enforcement agencies, the MLT may wish to consider: (a) is the proper infrastructure in place for local actors to be responsive to reform; (b) will reform be sustainable; (c) is comprehensive reform premature; (d) is the state of security such that police reform can be implemented; (e) are resources such that reform will continuously be supported with the right skills; and (f) what level of political will exists in the host nation's government for police and other security reforms?

5.4.1 Operational Activities

The operational activities by the mission in support of this output include:

- Needs assessment and mapping of existing police and other law enforcement agencies;
- Coordinating donor support;
- Raising public awareness through information campaigns;
- Supporting government in defining and undertaking reform, restructuring and rebuilding of police and other law enforcement agencies;
- Engaging civil society on roles, responsibilities, and authorities of police and other law enforcement agencies making sure to include perspectives of women and minorities;
- Supporting management and oversight of police and other law enforcement agencies within host government, including support for budgetary, regulatory and legal frameworks;
- Supporting police and other law enforcement agencies' response to protection issues, including sexual and gender based violence;
- Supporting increased participation of women and minorities in police and other law enforcement agencies;
- Supporting the development of infrastructure and the provision of equipment including uniforms and badges where needed;
- Supporting leadership development as a key element of institutional strengthening including the development and activities promotion of a positive organisational culture that ensures strengthened institutional infrastructure;
- Providing operational support to host country police and other law enforcement agencies in accordance with mandate;
- Helping to establish relationships with international and regional police and other law enforcement fora for information-sharing and operational support (e.g. INTERPOL).

5.4.2 Benchmarks

- *Short-term*
 - Needs assessment and mapping of police and other law enforcement agencies completed;
 - UN police, prisons and justice advisers undertake cultural awareness training, as well as training in local applicable laws, procedures and basic language training soon after deployment;
 - Donors and areas of engagement identified;
 - Planning with host government on reform, restructuring and rebuilding initiated, including plans for recruitment and training;
 - Census and identification of police and other law enforcement agencies undertaken;
 - Role of police and other law enforcement agencies in providing internal security clearly delineated from that of the military.

- *Medium-term*
 - Vetting, selection and recruitment of police and other law enforcement personnel undertaken;
 - Training and capacity building for police and other law enforcement agencies supported;
 - Accountability mechanisms reinforced;
 - Mentoring and advising programmes implemented;
 - Management and oversight of police and other law enforcement agencies strengthened;
 - Institutional capacity of police and other law enforcement agencies strengthened;
 - Command and control mechanisms strengthened, and decentralized operational capabilities installed.

- *Long-term*
 - Proper legal frameworks and the jurisprudence to work on are established;
 - Police and other law enforcement agencies are held accountable to the law and specialized legislation on their codes of conduct;
 - Police and other law enforcement agencies are able to respond to the needs of the population;
 - Police and other law enforcement agencies trained to operate within human rights frameworks with consideration for women and minorities needs;

- Police and other law enforcement agencies are more representative of the population, with proportionate opportunities for women and minorities to serve within them;
- Institutional capacity to train police at all levels and in all policing fields is established;
- Information-sharing and operational modalities on matters of trans-border criminal and other serious crimes are institutionalised between the neighbouring states and the regional and international fora.

5.4.3 Responsibilities and Coordination

Strengthening the police and other law enforcement agencies is part of the broader effort to enhance the rule of law. The leadership role within the mission rests with the Police Commissioner who is responsible for the mission's support to this sector. The MLT may need to ensure that mission activities among the multiple actors who are engaged in different areas of strengthening the police and other law enforcement agencies are coordinated. These agencies are only one part of a broader system that includes judges, prosecutors, courts, corrections, customs and border services, as well as court management and administration. Coordinating these multiple efforts may require the attention of the MLT to avoid overlap, duplication, and gaps. The political management of police and other law enforcement agencies, for example in a ministry of interior/justice, are important to the overall credibility and legitimacy of these agencies. Therefore, the MLT may need to foster support for reforms at these political levels.

Effective responses to organised and transnational crime require a comprehensive and multi-stakeholder approach, in which the mission will be an important actor. One role for the MLT may be to coordinate the activities of the multiple stakeholders, such as the local government and its relevant agencies, as well as regional and international organisations.

5.4.4 Resources

Continued human and capital resources to support long term reform processes are critically important. Moreover, having police and other law enforcement mentors and advisers whose skill sets include political awareness, cultural and gender sensitivity, and integrity adds to the legitimacy of the reform process. Increasingly, there is a demand for technical expertise in specialised areas of police and other law enforcement, as well as in areas related to the reform, restructuring and rebuilding of institutions. Donor and bi-lateral aid based on long term commitment is critical if the police and other law enforcement

agencies are to be reformed, restructured, and rebuilt. As previously noted in the rule of law, these processes are long term, dependent on capability and capacity and local perceptions of legitimacy and credibility.

5.4.5 Challenges and Risks

- Entrenched corruption being an obstacle for accountable and legitimate police and other law enforcement;
- Lack of political will or, conversely, undue political interference in management and operational activities of police and other law enforcement compromising their effectiveness and professionalism;
- Lack of infrastructure and resources for host-state police and other law enforcement agencies inhibiting capacity for reform;
- Frequent rotation and lack of competence of international police officers supporting the strengthening of host-state police and other law enforcement agencies impacting on pace and quality of reform;
- Variations in traditions and practices in policing and other law enforcement from the UN police component resulting in inconsistent messaging to host police and other law enforcement agencies;
- Police and other law enforcement agencies and/or from the political management being resistant to reform.

5.4.6 Considerations

- *Providing external support while promoting self-sufficiency.* While support from the international community may be needed in the short term to strengthen the host-state police and other law enforcement agencies, over reliance on expertise, capacity and resources from the international community may result in dependency rather than self-sufficiency.
- *Quality or quantity.* Excessive focus on providing material resources, infrastructure and recruiting, training and vetting of police and other law enforcement agencies can result in the presumption that reform is taking root. Not addressing the needs of institutional capacity and accountability, the promotion of a positive organisational culture, as well as management of the sector may increase local capacity quantitatively in the short term, but not qualitatively in the longer term. Building a professionalized and reformed capacity among police and other law enforcement agencies, along with ensuring effective and transparent governance of the sector will be necessary if change is to be sustained and successful.

- *Perceived legitimacy or perceived credibility.* The imperative to manage security and law and order may result in putting host-state police officers on the streets too quickly without proper vetting. The legitimacy of the police may be compromised in the long term if care is not taken to vet out undesirable elements. At the same time, if UN police are perceived as assuming responsibility for police services instead of the host-state police, this may impact on the longer term credibility of police and other law enforcement agencies ability to respond to the population. Keeping a “light footprint” will require the MLT to consider the trade-off between immediate security needs and building the capacity of the host-state police and other law enforcement agencies for long term legitimacy and credibility.
- *Supporting what works or what is right.* In many post-conflict societies, non-State actors provide the majority of policing and other law enforcement functions, sometimes enjoying more popular support than the host-state police. The MLT may have to consider the balance between having security provided by these non-State actors in the absence of other alternatives and the longer term impact this may have on the legitimate State provider of security, law and order.
- *Differentiated perceptions.* People have differing views of rule of law and security depending on their power, position, status, location (e.g. rural v. urban), needs and roles. These affect how the police and other law enforcement agencies are perceived and valued. As a result, the MLT may wish to be sensitive to the effect of these views as they conduct their activities in support of the rule of law. The mission may wish to pay attention to those groups whose perceptions are generally not considered in the dialogue regarding rule of law, for example, women and minorities.

5.5 Output: Corrections System Strengthened

The corrections system must be the partner of strengthened legislative, judicial, police and other law enforcement agencies as evidence of a legitimate and credible rule of law. A corrections system that conducts itself in a humane, fair and coherent manner gains public trust, legitimacy and international respect. Post-conflict corrections systems are generally characterized by non-existent or weak security and poor conditions, which result in violations of prisoners’ basic human rights and lack of coherence between the elements of the criminal justice system. Failure to provide support to the corrections system can undermine the international support to strengthening police and

other law enforcement agencies as well as to the judicial sector.²⁶ Moreover, prisons can provide useful insights for the mission into the issues and concerns in a community that can endanger peace and security. While the corrections system is often the most easily overlooked element of the legal/judicial system, (and is the hardest to attract donor support), it is no less critical to the comprehensive application of the rule of law as it represents the culmination of the judicial process.

5.5.1 Operational Activities

The operational activities by the mission in support of this output include:

- Needs assessment and mapping of corrections system;
- Supporting the host government in the reform, restructuring and rebuilding processes;
- Coordinating independent reporting on prison conditions and practices;
- Raising donor support;
- Supporting enhanced political will for corrections system in host country;
- Raising public awareness using public information campaign;
- Increasing access to legal advice and counsel for prisoners;
- Assisting in developing reporting procedures to address abuse by prison personnel;
- Supporting development of accountability mechanisms;
- Supporting effective budgetary, legislative and legal frameworks for the corrections system.

5.5.2 Benchmarks

- *Short-term*
 - Needs assessment and mapping of corrections system completed;
 - Reliable numbers on prison population established and registered, and all prisoners categorized and classified;
 - Report on prison infrastructure completed;
 - Report on health conditions completed;
 - Illegally detained prisoners released;
 - Recruitment, vetting and selection process initiated;
 - Political prisoners identified and released;
 - Strategies to accommodate basic needs for prisoners such as food, water, health care, sanitation facilities and access to legal representatives in place;
 - Women and children separated into appropriate sections.

²⁶ “Prison Support in UN Peacekeeping Operations”, DPKO Policy Directive, 2005, (ref. 2005/8).

- *Medium-term*
 - National plan for corrections reform, including training, in place;
 - Construction of new facilities or structural repairs and improvements to existing facilities;
 - Clear established procedures introduced to ensure that a properly authorised legal document is required before a person is detained;
 - Penal system employees are held accountable for misconduct;
 - Roles and responsibilities for corrections developed;
 - Mentors for corrections standards and procedures trained;
 - Prison system able to manage inmate population consistent with the UN's Standard Minimum Rules for the Treatment of Prisoners.

- *Long-term*
 - Legislation governing management and administration of corrections system in place, including a clear separation between the agencies that investigate crimes and the prison authorities;
 - Population trusts corrections system;
 - Independent internal and external oversight mechanisms in place;
 - Prisons and detention centres operate in compliance with international human rights standards, particularly with regards to vulnerable groups such as juveniles, minorities and women.

5.5.3 Responsibilities and Coordination

The MLT should ensure that a focus on corrections is an integral part of the mission's overall effort to strengthen the rule of law and human rights, and that the issue receives attention from the host country and international donors. The MLT can provide the mentoring and advising to the corrections personnel in the host country, and can also be supportive in gaining donor and bilateral support for this sector which is generally overlooked. As strengthening the corrections system is a long-term process not likely to be completed within the time frame of the mission, early engagement with developmental actors and who can support long-term development of the corrections system is important.

5.5.4 Resources

Sufficient resources must be allocated to support a strengthened corrections system, including key experts who have appropriate experience, skills, and competence related to corrections systems. Technical advisers, as well as experts in detention and rehabilitation are critical to successfully reforming the corrections system, as well as in the initial pre-mission assessment. Long-

term financial support will be needed if reforms to the correction system are to be sustainable. In order to ensure such support, specific language on corrections in the mission mandate, as well as a clear and defined budget separate from other rule of law components, is deemed vital. Experience has shown that correction officers in many missions are considered to belong to the police component, causing problems in terms of budget and logistics.

5.5.5 Challenges and Risks

- Existing culture of impunity and arbitrary sentencing and detention practices impacting on reform process;
- Overcrowded prisons due to a high number of pre-trial prisoners;
- Limited international access to the penal system resulting in lack of transparency;
- Limited or non-existent public counsel for accused;
- Release of prisoners to unemployment and/or unwelcoming communities;
- Prisoner escapes and prison unrest (riots);
- Lack of interest in funding corrections system from host government or donor community;
- Lack of political support for corrections reform from host government;
- Poor health conditions and weak infrastructure;
- Lack of qualified corrections personnel and mentors.

5.5.6 Considerations

- *Maintaining popular and host government support while strengthening corrections system.* In a post-conflict setting, strengthening the corrections system may not be prioritized by the local government and may also not enjoy local support. If resources are generally scarce, there may be resistance to allocating them to prisoners or prison construction. The MLT may need to balance these views with the importance of supporting a strengthened corrections system consistent with the rule of law and human rights.
- *Local or international norms.* Local perceptions about prisoners often lead to abrogation of their fundamental human rights. Prisoners are sometimes not regarded as being entitled to fair treatment. Political prisoners may be at heightened risk for having their rights overlooked given the sensitivity of their status. The MLT may have to consider the political aspects of corrections systems reform depending on the nature of the conflict.
- *Ensuring donor support while managing expectations.* Corrections systems reform is a long-term process requiring sustained donor support.

However, the results generally are not immediate and may not be substantive enough to generate continued financial and human capital support from the donors and host government. Moreover, prison reform is often not a popular sector for donor support, and thus requires active engagement on the part of the MLT. Failure to reform the corrections system weakens the rule of law.

- *Local capacity and needs.* Even if there is political will, host governments are often unable to meet basic needs of a corrections system in a post-conflict setting. This may be augmented in the early phases of a peacekeeping mission when a strengthened police presence (national and international) can lead to an increased arrest rate. While encouraging the host government to meet its obligations to respond to these needs, the MLT may need to consider the local capacity to do so.

Promoting Social and Economic Recovery

6.1 The Social and Economic Role of Peacekeeping Operations

Countries emerging from conflict have typically experienced a significant rupture of the socio-economic fabric. Post-conflict intervention is in large part aimed at reconstructing this fabric and laying the foundation for sustainable peace. The immediate priority is emergency assistance and early recovery, which will pave the way for longer-term development.

From short-term emergency assistance and early recovery to longer-term development, it will be fundamentally important to ensure that local authorities and agencies take ownership of the activities as well as the overall process. Post-conflict recovery should include measures aimed at building capacity and confidence in social, political and economic institutions and reducing the risk of a return to conflict. The host government must demonstrate its ability to provide and control security for households and communities, including economic security, by enforcing the rule of law and delivering social services in a transparent, accountable and consistent manner.

Peacekeeping operations are not in the lead on any of these efforts, but their presence and access should help create an environment that allows the improvement of essential infrastructure and incremental reform to social and economic life; all leading to the creation of better employment opportunities for the local population. In addition, they help create security conditions in which humanitarian assistance and a wide range of peace consolidation activities can take place. At the same time, a peacekeeping mission can offer more direct support to the UN's humanitarian and development agencies, not least through the provision of security and logistical capabilities. Further, a multidimensional peacekeeping operation is expected to support and contribute to the framework that helps all UN and other international actors pursue their activities in a coherent and coordinated manner. The MLT, especially the SRSG and the DSRSG/RC/HC, should exercise leadership and create the necessary political consensus in a broader sense, ensuring coordination among UN entities, mobilizing and maintaining donor funding, and marshalling the support and engagement of key international players,

such as the World Bank, IMF, the European Union and regional financial institutions.

6.1.2 Preconditions for Success

The following have been identified as minimum preconditions for success:

- A safe and secure environment, in which the local population can exist and humanitarian and development actors can operate without the threat of physical violence or lingering threat of explosive remnants;
- Freedom of movement for UN agencies as well as the local population and goods;
- The donor community remains engaged and willing and able to provide adequate resources;
- National authorities and local institutions are prepared to take ownership of recovery and development efforts and are supported in developing the requisite leadership and management skills;
- The priorities are identified and agreed with national authorities and the international community.

6.1.3 Benchmarks

The following are some of the key benchmarks for social and economic recovery, many of which are outside the immediate responsibility of the mission:

- Emergency assistance is delivered on a consistent basis, according to humanitarian principles, and is supported and facilitated by the host government;
- Basic services are available to the general population, provided by government agencies where possible;
- The return of refugees and IDPs is voluntary, safe and dignified, and the host government and communities are willing and capable of receiving and reintegrating returnees;
- A strong legislative and judicial framework based in rule of law that upholds basic economic and social rights;
- The immediate impact of mines and ERW is addressed, with appropriate capacity-building of national authorities to deal with the residual threat;
- A partnership that provides adequate resources for social and economic recovery is formed among the main national, regional and international actors;

- The peacekeeping mission is promoting the principle of local design and ownership by relevant actors, in consultation and collaboration with the UNCT and the host government;
- Humanitarian, recovery and development efforts are sensitive to gender, ethnic and other issues, and women and minorities are playing an active role in the implementation of policies and programmes;
- Confidence exists in social, political and economic institutions on behalf of both the international community and the general population;
- Responsibility for social and economic recovery is incrementally transferred from the UN and international actors to national authorities and other local stakeholders;
- Disarmament and demobilization of former combatants have been completed and their reintegration initiated, along with effective follow-up processes;
- Fiscal policy is established and anti-corruption programmes are put in place;
- Emergence of civil society groups and organizations;
- Primary education systems are in place and literacy improves.

6.1.4 Outputs

The outputs that contribute to this objective are:

- Secure and effective humanitarian relief efforts supported;
- Basic services re-established;
- Return and reintegration of refugees and IDPs supported;
- Transition from recovery to development enabled.

6.2 Output: Secure and Effective Humanitarian Relief Supported

Humanitarian activities aim to save lives, alleviate suffering and protect and safeguard human dignity for communities affected by crises, whether from natural disasters or conflict. While playing only a supporting role, peacekeeping operations can take on crucial tasks in facilitating the unimpeded delivery of relief by humanitarian agencies. In a relatively consensual environment, but where spoilers may still operate, these agencies value their ‘humanitarian space’ and prefer to operate independently of and separately from uniformed UN personnel. At the same time, peacekeeping missions can provide valuable logistical support to humanitarian operations and are often ideally situated to support the creation of mechanisms that coordinate all stages of these efforts in

concert with OCHA and other coordinating bodies. In more volatile situations, humanitarian operations, for example convoys, may require protection by peacekeepers, and in extreme situations international humanitarian staff may rely on the peacekeeping mission to deliver humanitarian assistance or assist in their evacuation. Given these sensitivities and very different requirements, it is imperative that the mission, usually with the DSRSG/RC/HC taking a lead role, is closely coordinating, consulting and sharing information with all humanitarian actors and human rights observers, in order to bridge any differences and coordinate plans and activities.

6.2.1 Operational Activities

The operational activities by the mission that support this output include:

- Providing a secure and stable environment to allow unhindered and safe delivery of humanitarian relief;
- Supporting UN agencies in monitoring and assessing humanitarian needs, and contribute to the formulation of humanitarian appeals;
- Ensuring information-sharing and joint planning between the peacekeeping mission and humanitarian agencies;
- Coordinating activities through civil-military coordination (CMCoord) mechanisms with OCHA and other humanitarian agencies;
- Conducting CMCoord workshops for training purposes;
- Coordinating mine clearance, primarily access routes and areas that present an immediate threat to the delivery and distribution of aid, through the Mine Action Coordination Centre (MACC);
- Providing logistical support (e.g. emergency services, aviation, infrastructure, medical capabilities, communications equipment) to humanitarian operations, if and when required;
- Supporting humanitarian rapid response mechanisms, if and when required;
- Providing protection and security for humanitarian facilities and convoys, if and when required, in keeping with humanitarian operational principles;
- Extracting, protecting and evacuating international humanitarian staff, if and when required.

6.2.2 Benchmarks

- *Short-term*
 - Humanitarian agencies have access to populations in need and population has access to humanitarian assistance and protection;

- Humanitarian agencies have conducted a needs assessment and priorities have been identified;
 - CMCoord mechanisms established and functioning;
 - Planning and coordination mechanisms established and functioning.
- *Medium-term*
 - Decreased number of attacks on humanitarian convoys and the active support of former belligerents in facilitating the delivery of humanitarian assistance;
 - A shared map of the humanitarian and security vulnerabilities between international community police and host-state police and other law enforcement services;
 - Joint national needs assessment undertaken;
 - Early recovery efforts underway.
 - *Long-term*
 - Local capacity and reliable mechanisms for delivery of humanitarian relief exist;
 - National and international humanitarian policies and responses are better integrated with the host country and the long-term development frameworks.

6.2.3 Responsibilities and Coordination

The main responsibility for the coordination and delivery of humanitarian relief rests with relevant UN agencies, most notably OCHA, the World Food Programme (WFP), UNICEF, the World Health Organization (WHO), and UNHCR, which have a cluster responsibility in coordinating the UN's efforts with those of the relevant NGOs. UNDP has a role to mainstream early recovery, thus promoting an early transition to nationally designed and owned recovery efforts. Within the mission, the DSRSG/RC/HC through his/her role as Humanitarian Coordinator is responsible for ensuring coordination of humanitarian and development activities and maintaining close contact and cooperation with relevant agencies, UN as well as external. The parameters for the use of peacekeeping assets or personnel in support of any UN humanitarian activities should be based on existing guidelines and a detailed agreement between members of the MLT and RC/HC, under the overall authority of the HoM.

6.2.4 Resources

Since emergency assistance is a civilian undertaking, the use of military assets in a humanitarian response should be used only when the civilian capability is insufficient to meet the need and under the overall guidance of humanitarian actors. The UN Guidelines on the Use of Military Civil Defence Assets (MCDA) in complex emergencies remains an important framework.²⁷ Requests for military support for humanitarian activities may challenge available military resources required for stabilization tasks. The MLT will need to assess and decide when and how military assets should be used for different purposes. However, the DSRSG/RC/HC should have adequate civilian human resources at his/her disposal to be able to efficiently undertake all liaison and coordination activities with humanitarian partners.

6.2.5 Challenges and Risks

- The delivery of humanitarian aid becoming politicized, aggravating armed groups and increasing insecurity for humanitarian workers and the receiving population;
- Peacekeepers in pursuit of “hearts and minds” objectives and concerned with the legitimate aim of winning the support of the local population can, by their humanitarian activities, blur the distinction between politically driven mandates and neutral, independent and impartial humanitarian needs;
- Supporting humanitarian operations without compromising the neutrality, impartiality and independence of humanitarian actors and infringing their humanitarian space, which they need for their protection;
- Humanitarian relief falling into the wrong hands or being show-cased for political purposes;
- Support to humanitarian operations diverting resources required for other essential mandated tasks;
- Lack of consultation and coordination between the peacekeeping operation and humanitarian agencies;
- Lack of transparency in the work of the humanitarian agencies.

6.2.6 Considerations

- *Addressing humanitarian needs and the safety and security of UN personnel.* In a post-conflict environment, there may well be the lingering elements of violence. Judgements have to be made by the MLT between the need to have access to populations in need and the safety of UN

²⁷ Available at www.coe-dmha.org/Media/Guidance/3MCDAGuidelines.pdf.

personnel for whom the HoM as the DO is ultimately responsible. The Security Management Team (SMT) is the principal mechanism for resolving these dilemmas. Key members of the MLT attend this forum alongside the heads of the principal UN humanitarian and development agencies. Security advice to the SMT comes through embedded staff from DSS. Authority to make judgements on safety and security is delegated to the SMT, from UNHQ, which creates a requirement for an understanding by the MLT of threat and risk analysis procedures, and the use of risk mitigation measures. These often consume resources.

- *Balancing humanitarian imperatives and political requirements of peacekeeping.* Peacekeeping missions are largely driven by political mandates. Humanitarian action is driven by the principles of humanity, impartiality, neutrality and independence. The MLT needs to understand the difference in the application of these principles by humanitarians from those of peacekeepers, wherein impartiality refer to the even-handed execution of a political mandate rather than an impartial response to an assessed need. These different interpretations of impartiality can lead to misunderstandings and friction. The role of the DSRSG/RC/HC, as well as joint strategic frameworks designed to help consultation, coordination, and information-sharing, can alleviate some of this tension.
- *Balancing short-term gains and long-term benefits.* The UNCT will usually be in a mission area before the deployment of a peacekeeping operation, and after the peacekeepers depart. There is always pressure on a peacekeeping mission to make a difference, to meet national and international expectations, to achieve some quick wins, in order to show progress. These pressures must be balanced against the long-term approach of the UNCT whose business it is to respond to needs and tackle the root causes of conflict through development activity. The MLT should recognize that the foundations of peacebuilding should be laid during the peacekeeping efforts. This calls for perseverance, a long-term perspective and a close scrutiny of short-term initiatives and their place in the long-term strategy.
- *Balancing force protection and considerations of humanitarians.* Civil/military activities by the mission's military component are ultimately designed to improve the standing of the peacekeepers amongst the local population. This is sometimes called winning hearts and minds. The MLT should be clear that this is a force protection measure. As such it may be seen by humanitarians to be at odds with humanitarian principles. Potential tension can only be reduced by the engagement of the MLT to ensure coordination and mutual understanding of the validity of both activities. CMCoord mechanisms need to be in place, and broadly peacekeepers should defer to the knowledge and counsel

of humanitarians before embarking upon hearts and minds activities. Finally, it should be recognized that many TCCs like to see their peacekeepers involved in “hearts and minds” activities and fund them accordingly. Guidance by the MLT is required to ensure that this activity is not perceived as political and is effectively focused for the long-term benefit of the local community and does not lead to an unsustainable dependency or unrealistic expectations.

6.3 Output: Basic Services Re-Established

Basic services include shelter, water supply, sanitation, food, basic education, emergency medical services and essential health care, which are all aimed at minimizing preventable deaths and the prevalence of disease, while ensuring a degree of dignity for those affected by conflict. The host government holds the primary responsibility for the provision of these services, but in some situations peacekeepers may find it necessary to take action in this area, as they are the only ones with access to isolated communities. Also, through the support to the securing or constructing basic infrastructure, peacekeepers contribute to the overall delivery of services. A peacekeeping mission may also find that it can establish, strengthen or maintain relations with host communities by assisting, and sometimes delivering, low-cost solutions. These will often take the form of quick impact projects, which are implemented for the direct benefit of local communities. Such activities should always be taken in consultation with humanitarian and development actors already engaged in these areas, through the DSRSG/HC/RC and the cluster system. At times, activities undertaken by peacekeepers for operational purposes, such as mine clearance and rehabilitation of roads, also serve the local population. Occasionally, mission engineering units can serve the dual purpose of supporting community-driven reconstruction as well as strengthening technical/vocational skills and the capacity of local institutions.

6.3.1 Operational Activities

The operational activities by the mission that support this output include:

- Implementing quick impact projects;
- Establishing CMCoord centres;
- Providing emergency communications systems;
- Providing basic emergency health care, when no other resources exists;
- Coordinating mine clearance, both humanitarian as well as operational;

- Facilitating coordination of civil-military activities with OCHA and other humanitarian agencies through CMCoord mechanisms;
- Determining best use of engineering capabilities.

6.3.2 Benchmarks

- *Short-term*
 - Quick impact projects implemented, improving the lives of communities and strengthening the relationship between peacekeepers and local population;
 - Main access routes safe and cleared of mines and being used by commercial and non-commercial traffic;
 - Number of isolated communities reached, extending the reach of basic services;
 - Basic food requirements are met;
 - CMCoord mechanisms established and functioning.
- *Medium-term*
 - Service providers are operating effectively and upholding the responsibilities they have been assigned;
 - Excessive speculation and price swings in basic service items are reduced;
 - Best practices applied by local as well as bilateral and multilateral partners to prevent overlapping priorities or efforts.
- *Long-term*
 - Service providers operating self-sufficiently, though not necessarily without the support or mentoring of peacekeeping personnel;
 - Black market structures are overtaken by the public sector as provider of goods and services;
 - National and international policies and responses are better integrated with long-term development frameworks, and indigenous institutions begin to demonstrate autonomy and self-sufficiency.

6.3.3 Responsibilities and Coordination

While the main responsibility for the delivery of basic services rests with the national authorities, relevant UN agencies and other actors may need to assist the government in the short term. The mission, however, should stress the primacy of the host government, in order to avert the potential perception by the population that the peacekeepers and other external actors, rather than the national authorities, are the service providers.

Quick impact projects and similar activities carried out by the peacekeeping mission should be managed under the overall authority of the HoM and coordinated with the office of the DSRSG/RC/HC. When they are not well coordinated with other activities of the UNCT, they may be redundant or counter-productive. Facilitating the interaction between civilian and military actors is essential and should be coordinated through established CMCoord mechanisms. Because of the sensitivities involved, the UN has developed extensive guidance on the relationship and working methods, including Military and Civil Defence Assets (MCDA) Guidelines and the Inter-Agency Standing Committee (IASC) Reference Paper on Civil-Military Relationships in Complex Emergencies. The parameters for the use of peacekeeping assets or personnel in support of any UN humanitarian activities should be based on a detailed agreement between members of the MLT and the RC/HC, under the overall authority of the HoM.

6.3.4 Resources

Peacekeeping operations are only rarely mandated and resourced adequately to provide basic services for the local population, even though the re-establishment of these services is essential for the consolidation of security. Resources available to a peacekeeping mission for the provision of basic services are limited to: 1) spare capacity generated from the mandated force levels (such as engineering and mine clearance); and 2) the allocation of funds for quick impact projects, which come from assessed contributions and donors. In some cases, TCCs contribute with their own resources in an attempt to win the “hearts and minds” of the local population, e.g. by setting up a small health care clinic. (See “Considerations” under the preceding Output 6.2, “Secure and Effective Humanitarian Relief.”)

6.3.5 Challenges and Risks

- Quick impact projects and other activities by the mission may create false expectations among the local communities who come to perceive the peacekeepers as service providers and become overly reliant upon them;
- Activities aimed at providing basic services may lead to mission creep and blur the line between humanitarian and peacekeeping efforts;
- All concerned must be aware that quick impact projects and similar activities by the peacekeeping operation are of limited and short-term nature and can be politicized and exploited by belligerents and spoilers alike;

- Lack of coordination between the peacekeeping operation and humanitarian agencies.

6.3.6 Considerations

The considerations concerning the previous output on effective humanitarian relief also apply to the provision of basic services.

6.4 Output: Return and Reintegration of Refugees and IDPs Supported

The safe return of refugees and IDPs is a highly sensitive and potentially volatile process, from the identification and registration of affected persons to their eventual and voluntary return, in safety and in dignity, and their subsequent reintegration. Even subsequent to their return, a number of political and security issues may arise, including property disputes, as communities that were abandoned by their original residents have been re-settled by others, leading to tensions and renewed conflict. As with other humanitarian activities covered in this chapter, the return of refugees and IDPs is managed and led by specialized UN agencies and their implementing humanitarian partners. However, the peacekeeping mission is essential in establishing safe and secure conditions, and can play an important supporting role, both before, during and after the return.

6.4.1 Operational Activities

The operational activities by the mission that support this output include:

- Ensuring a safe and secure environment around and sometimes within refugee/IDP camps;
- Ensuring a safe and secure environment at the IDP/refugees' places of origin to allow return;
- Monitoring border crossings and secure return corridors;
- Providing physical protection of temporary shelters, working closely with authorities responsible for camp management and security;
- Coordinating and conduct mine clearance of routes and resettlement areas;
- Providing logistics support to humanitarian agencies, if and when required;
- Monitoring, recording and reporting human rights violations and helping to ensure that all returns are voluntary;

- Conducting civil affairs activities aimed at addressing tensions between returnees and receiving communities;
- Developing public information strategies in coordination with relevant UN agencies.

6.4.2 Benchmarks

- *Short-term*
 - Refugee and IDP camps are safe and secure;
 - Refugees and IDPs are identified and registered, and agree to return voluntarily;
 - Border crossings and return corridors are secured and free of mines and other threats.
- *Medium-term*
 - Places of origin are safe and secure;
 - Returns are taking place in an orderly and safe manner;
 - Accommodation and basic services are available upon their return.
- *Long-term*
 - Reintegration of returnees is successful, with the receiving population playing a supportive role;
 - Property disputes are being addressed through well-established and impartial mechanisms;
 - National and international policies and responses are better integrated with long-term development frameworks.

6.4.3 Responsibilities and Coordination

The main responsibility for the voluntary return of refugees and IDPs rests with UNHCR or the International Organization for Migration, supported by relevant UN agencies, such as WFP and UNICEF, and international and local NGOs. OCHA plays an important role in terms of coordination, policy and advocacy. The peacekeeping mission acts in a supporting role, with the active involvement of several components, including the military, police, human rights, civil affairs and, where applicable, humanitarian affairs. Efforts should be closely coordinated by the DSRSG/RC/HC, in concert with the Force Commander, if and when the military is involved. The parameters for the use of peacekeeping assets or personnel in support of the return of refugees and IDPs should be based on a detailed agreement between members of the MLT and the RC/HC, under the overall authority of the HoM.

6.4.4 Resources

Providing security for camps is potentially resource consuming, and local security services (in particular police) therefore need to be encouraged and supported, often requiring resources from the police component. Securing border crossings and return corridors is labour-intensive and may require considerable military resources. Ensuring that returns are voluntary and that possible disputes are addressed are core functions of several civilian components in a peacekeeping mission, such as political affairs, civil affairs, human rights and public information. It is therefore an integrated activity, which requires close coordination within the mission and with the UNCT, as well as adequate human and other resources.

6.4.5 Challenges and Risks

- Information on the numbers, needs and types of displaced people may be lacking or inaccurate or even manipulated;
- Refugee and IDP camps may become militarized and politicized and/or the centre of tensions and conflict;
- Host countries may have an interest in maintaining the status of refugee and IDP camps to garner international attention;
- Returns that are not voluntary may create fears, tensions and instability;
- Security conditions along return corridors may still be fragile;
- Returning refugee or IDP groups may include former combatants who may want to restart hostilities;
- Resentment between returnees and receiving communities may be a source of instability and spark renewed conflict;
- The status of refugees and IDPs becomes institutionalized and entirely dependent upon long-term emergency relief;
- After prolonged periods in camps, IDPs are reluctant to move back to their area of origin;
- Lack of coordination between the peacekeeping operation and humanitarian agencies.

6.4.6 Considerations

- *Balancing security and local ownership.* Refugees and IDPs and their camps can become political footballs. There is a danger of them exacerbating militancy and fostering tensions. The security of them and of their environment is a concern for the MLT. A balance must be struck between the mission's responsibilities to protect vulnerable civilians and the principle of local ownership. In theory, the security of the camps

and their inhabitants should be a matter between UNHCR, the host government and the camps' internal organizational structures. However, the MLT may have a political role in facilitating the host government's close engagement and resolution of the issue, as well as a responsibility, in support of the host government, to ensure that the camps exist in a secure environment. The amount of mission resources to commit to this process requires MLT judgement.

- *Promoting speedy returns while ensuring that all returns are voluntary and take place in safety and dignity.* The existence and reduction of dependent refugees/IDPs tend to be an international measure of a peacekeeping operation's progress and success. While UNHCR is in the lead on this issue, there may be tension between the political motivation of the peacekeeping mission and UNHCR's humanitarian criteria. This will require close coordination of activities and messages within the UN system.

6.5 Output: Transition from Recovery to Development Enabled

Once the need for emergency assistance has subsided and early recovery is in progress, the focus should be on a smooth transition to longer-term development activities. This entails gradual handover of responsibilities to national authorities. Transition from peacekeeping to subsequent phases of UN engagement should be factored in from the outset of the planning process, in order to clearly delineate the roles and responsibilities of the various UN actors on the ground. Ideally, planning for transition from emergency and early recovery to long-term rehabilitation and development should begin early in the peacekeeping and peacebuilding phase. It is important at the outset to assist national authorities implement a holistic approach that brings together all relevant branches of government. Only national actors are in a position to meet their country's needs and objectives in a sustainable manner.

Clearly identified benchmarks will make it easier to plan the exit strategy for the peacekeeping operation. In other words, the successful transition from recovery to development and the ability of national and other institutions to take over responsibility in a number of areas, are defining factors in the drawdown of a mission. A holistic and integrated UN approach is essential, since key elements of transition, such as socio-economic recovery, and risk-reduction of vulnerable populations are rarely among the mandated tasks of a peacekeeping mission. At the same time, peacekeeping operations support

a number of essential activities that contribute to the consolidation of peace, such as restoration of basic services and revitalization of the economy.²⁸

6.5.1 Operational activities

The operational activities by the mission that support this output include:

- Completing the DDR process;
- Ensuring the ability of national armed forces, police and other law enforcement agencies to provide security and maintain public order;
- Monitoring the restoration of State authority and the resumption of basic services;
- Overseeing the consolidation of legitimate political institutions and democratic processes;
- Benchmarking and achieving consensus for the success criteria for transition in coordination with UNCT;
- Developing transition and hand-over plans in all relevant areas in coordination with UNCT.

6.5.2 Benchmarks

- *Short-term*
 - Security situation stabilized;
 - Host government generally considered legitimate and enjoys public support;
 - Disarmament and demobilization completed and focus shifted to reintegration of former combatants;
 - Public participation in development visible;
 - Public expectations for development managed.
- *Medium-term*
 - The State has monopoly over the use of force;
 - Human rights violations have decreased;
 - Demands and needs of victims of the conflict are largely met;
 - Reconciliation and transitional justice efforts underway;
 - Legitimate institutions of governance have been established;
 - Capacity-building efforts, including at the local level, underway;
 - Long-term development plan is in place.

²⁸ USG for Peacekeeping Operations, Alain Le Roy, “Remarks to Security Council Open Debate on Transition and Exit Strategies for Peacekeeping Operations”, 12 February 2010.

- *Long-term*
 - Disputes are settled peacefully and within well-established and functioning political institutions and mechanisms;
 - The rule of law has been fully (re-)established;
 - The general security and economic climate is conducive to foreign investment and encourages participation by all economic actors, including local ones;
 - Secure banking, credit structures and monetary policy are established, and inflation rates are controlled;
 - Individuals and enterprises have access to loans / investment capital.

6.5.3 Responsibilities and Coordination

While a host of UN and external partners have the lead on both emergency assistance, early recovery and development, the interface and involvement by a peacekeeping mission in all these efforts require close coordination with all relevant actors, from the initial planning stage to final hand-over of responsibilities. While the entire MLT should be actively involved in this regard, the role of the DSRSG/RC/HC is particularly important. Benchmarks should be formulated in close coordination with the national authorities, donor governments, as well as local and international NGOs, and should be based on the development of local capabilities rather than progress in mandate implementation. Careful cooperation and coordination between the mission and UNHQ, including the Peacebuilding Support Office (PBSO), is necessary in determining possible follow-on arrangements to the peacekeeping mission.

6.5.4 Resources

From a resource point of view, most recovery and development efforts are outside of the purview of the peacekeeping mission. However, the mission should have adequate civilian human resources throughout its deployment, including during the process of downsizing/liquidation, to be able to efficiently undertake all liaison and coordination activities with relevant partners.

Since many recovery and development activities are funded from voluntary contributions, the MLT, especially the SRSG and the DSRSG/RC/HC, play an important role in coordinating UN efforts, and mobilizing donor support and the engagement of key international players, such as the World Bank, IMF, the European Union and regional financial institutions.

6.5.5 Challenges and Risks

- The peacekeeping mission is withdrawn prematurely leaving the root causes of the conflict unaddressed, with the potential to impact on long-term development;
- National authorities and local institutions do not yet have the capacity to take over responsibility from the peacekeeping mission and UN humanitarian agencies;
- Donor fatigue leading to disengagement and under-funding of recovery programmes;
- Donor focus diverted to other, emerging international crises;
- Lack of funds for peace consolidation and development activities, e.g. for the vital reintegration of former combatants;
- Lack of coordination between peacekeeping mission and follow-on operations and/or entities.

6.5.6 Considerations

- *Premature withdrawal vs. over-dependence on the peacekeeping mission.* Resource pressure may compel the Security Council and the wider international community to push for the termination or downsizing of a peacekeeping mission earlier than recommended or desired by the Secretariat. Pressure to withdraw may also come from the host government itself. Premature withdrawal could have disastrous consequences, from a political, security and financial perspective. On the other hand, the extended presence of a mission may lead to over-dependence or inhibit the development of national capacities. Capacity development should start as early as possible rather than being seen only in the context of an international exit strategy.
- *Maintaining external support while preparing for withdrawal.* International attention is greatest in the immediate aftermath of a conflict, generally defined as the first two years after the main conflict has ended. Transitions may be sign of successful peace consolidation but they are also very sensitive periods. National authorities may have concerns that the exit of the peacekeeping mission will have unintended impacts or coincide with a huge drop in external political and financial support.²⁹ The HoM and MLT members should actively encourage international actors to continue their engagement after the withdrawal of the mission. The prospects for responsible exit would be improved in each case, and overall costs reduced, by three sets of commitments

²⁹ UN Under-Secretary-General for Peacekeeping Operations, Alain Le Roy, “Remarks to Security Council Open Debate on Transition and Exit Strategies for Peacekeeping Operations”, 12 February 2010.

by the international community: enhanced economic support; political oversight, perhaps through new Peacebuilding Commission (PBC) country-specific mechanisms; and security guarantees.³⁰

³⁰ Centre on International Cooperation, “Building on Brahimi: Peacekeeping in an era of Strategic Uncertainty”, April 2009.

ANNEX I

List of Abbreviations and Acronyms

CAP	Consolidated Appeal
CCA	Common Country Assessment
CHAP	Consolidated Humanitarian Appeal
CMCoord	Civil-military coordination
CMOC	Civil-Military Operations Centre
DDR	Disarmament, demobilization, and reintegration
DFS	Department of Field Support
DO	Designated Official
DPA	Department of Political Affairs
DPKO	Department of Peacekeeping Operations
DSRSG	Deputy Special Representative of the Secretary-General
DSRSG/RC/HC	Deputy Special Representative of the Secretary-General/ Resident Coordinator/Humanitarian Coordinator
DSS	Department of Safety and Security
ERW	Explosive remnants of war
FPU	Formed police unit
HC	Humanitarian Coordinator
HOC	Humanitarian Operations Centre
HoM	Head of Mission
IASC	Inter-Agency Standing Committee
ICRC	International Committee of the Red Cross
IDDRS	Integrated DDR Standards
IDP	Internally displaced person
IMAS	International Mine Action Standards
IMF	International Monetary Fund
IMPP	Integrated Mission Planning Process
ISF	Integrated Strategic Framework
ISS	Integrated Support Service
JAM	Joint Assessment Mission
JLOC	Joint Logistics Operations Centre
JMAC	Joint Mission Analysis Centre
JOC	Joint Operations Centre

MACC	Mine Action Coordination Centre
MCDA	Military and Civil Defence Assets
MLT	Mission Leadership Team
MOSS	Minimum Operating Safety Standards
MORSS	Minimum Operating Residential Security Standards
NGO	Non-governmental organization
OCHA	Office for the Coordination of Humanitarian Affairs
OHCHR	Office of the High Commissioner for Human Rights
OIOS	Office of Internal Oversight Services
OROLSI	Office of Rule of Law and Security Institutions
PBC	Peacebuilding Commission
PBSO	Peacebuilding Support Office
PCC	Police contributing country
PCNA	Post-Conflict Needs Assessments
PRSP	Poverty Reduction Strategy Paper
QIP	Quick impact project
RC	Resident Coordinator
SMT	Security Management Team
SOFA	Status-of-forces agreement
SOMA	Status-of-mission agreement
SRSG	Special Representative of the Secretary-General
SSR	Security sector reform
TCC	Troop contributing country
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNHQ	United Nations Headquarters
UNICEF	United Nations Children's Fund
UNOPS	United Nations Office of Project Services
USG	Under-Secretary-General
WFP	World Food Programme
WHO	World Health Organization

ANNEX 2

Challenges Forum Partner Organizations and Contributors to the Study

All Challenges Partners contributed to the development of the present study.

The present study should not be taken as representing official governmental positions. Rather, it is a contribution to the evolving dialogue and sharing of ideas and best practices on how to better implement mandates given to mission leaders by the UN Security Council.

Argentina: Argentine Armed Forces Joint Staff and CAECOPAZ in cooperation with the Ministry of Foreign Affairs

Australia: Asia Pacific Civil-Military Centre of Excellence

Canada: Pearson Peacekeeping Centre (including the Francophone Project which contributed with translation of the present Study)

China: China Institute for International Strategic Studies in cooperation with the Ministry of National Defence

Egypt: Cairo Regional Center for Training on Conflict Resolution and Peacekeeping in Africa in cooperation with the Ministry of Foreign Affairs

France: Ministry of Foreign and European Affairs (United Nations and International Organizations Department) and Ministry of Defence (Policy and Strategic Affairs Department)

India: United Services Institution of India

Japan: Ministry of Foreign Affairs

Jordan: Institute of Diplomacy

Nigeria: National Defence College in cooperation with the Nigerian Army, Ministry of Defence and Ministry of Foreign Affairs

Pakistan: National Defence University in cooperation with the Ministry of Foreign Affairs and Ministry of Defence

Russian Federation: Diplomatic Academy of the Ministry of Foreign Affairs

South Africa: Institute for Security Studies

Sweden: Folke Bernadotte Academy (coordinators) in cooperation with the Armed Forces, National Department for Criminal Police, National Prison and Probation Service and National Defence College

Turkey: Center for Strategic Research of the Ministry of Foreign Affairs in cooperation with the National Police Force, Armed Forces and the University of Bilkent

United Kingdom: Foreign and Commonwealth Office in cooperation with the Ministry of Defence and the Department for International Development

United States: United States Army Peacekeeping and Stability Operations Institute in cooperation with the United States Institute of Peace

Co-Chairs of the three Working Groups were Mr Henri Boshoff, Institute for Security Studies, South Africa; Brig Gen Muhammad Feyyaz and Brig Gen Kausar Hossein, National Defence University, Pakistan; Prof William Flavin, United States Army Peacekeeping and Stability Operations Institute, United States; Dr Ann Livingstone, Pearson Peacekeeping Centre, Canada; Amb Soad Shalaby, Cairo Regional Center for Training on Conflict Resolution and Peacekeeping in Africa, Egypt; Lt Gen (Retd) Peekay Singh, United Services Institution of India; Maj Gen (Retd) Michael Smith and Maj Gen (Retd) Timothy Ford, Asia Pacific Civil-Military Centre of Excellence, Australia. Mr Jean-Marie Guéhenno, Patron of the Challenges Forum, contributed with key advice. Senior advice was also provided by Amb Pierre Schori, Lt Gen (Retd) Satish Nambiar, Chief Supt Henrik Stiernblad, Mr Asif R Khan, Ms Fatemeh Ziai and Ms Lisa Löfqvist. Folke Bernadotte Academy provided overall coordination of the Considerations Study through Ms Annika Hilding Norberg, Challenges Forum International Coordinator, Maj Gen (Retd) Robert Gordon, Senior Adviser for the Considerations Study, Mr Andreas Sugar, Project Coordinator, Ms Anna-Linn Persson and Ms Anna Wiktorsson, Desk Officers.

Officials and experts from the United Nations system, in particular the Department for Peacekeeping Operations, also made important contributions to the project.

Translations of the Considerations Study into the six official languages of the United Nations were generously provided by the Partners and are available at www.challengesforum.org.

ANNEX 3

List of Senior Mission Leaders Reviewers

The following senior peacekeeping practitioners (former and serving) have reviewed the study during its development and generously offered comments and suggestions most, but not all of which, have been duly incorporated, in the final version of the study (reviewers listed in alphabetical order):

Gen (Retd) Martin Agwai, former Deputy Military Adviser in DPKO and FC in Darfur

Mr Jean Arnault, former SRSG in Afghanistan

Mr David Beer, former PC in Haiti

Maj Gen (Retd) Patrick Cammaert, former Military Adviser in DPKO, Division Commander in the Democratic Republic of Congo and FC in Ethiopia/Eritrea

Lt Gen Carlos dos Santos Cruz, former FC in Haiti

Amb Azouz Ennifar, Deputy Joint AU-UN Mediator for Darfur

Maj Gen (Retd) Tim Ford, former Military Adviser in DPKO and COS UNTSO

Maj Gen (Retd) Robert Gordon, former FC in Ethiopia/Eritrea

Ms Ameerah Haq, SRSG in Timor-Leste

Mr Julian Harston, former SRSG in Western Sahara

Amb Joseph Legwaila Legwaila, former SRSG in Ethiopia/Eritrea

Amb Ellen Margrethe Løj, SRSG in Liberia

Maj Gen Kurt Mosgaard, former FC in Western Sahara

Lt Gen (Retd) Satish Nambiar, former FC Former Yugoslavia

Lt Gen Joseph Owonibi, former FC in Liberia

Ms Aracelly Santana, former Deputy SRSG in Nepal

Amb Pierre Schori, former SRSG in Côte d'Ivoire

Mr Henrik Stiernblad, former PC in Liberia

Amb Lena Sundh, former Deputy SRSG in Democratic Republic of Congo

Maj Gen (Retd) Muhammad Tahir, former Deputy FC in Liberia