IN COLLABORATION WITH AUTHORS FROM:
Australian Defence Force Peace Operations Training Centre; Chilean Joint Peacekeeping Operations Centre; German Armed Forces UN Training Centre; Kofi Annan International Peacekeeping Training Centre, Ghana; and the Swedish Armed Forces International Training Centre

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The Core Pre-deployment Training Materials (CPTMs) were designed by the UN Department of Peacekeeping Operations (DPKO) to provide the common and essential training required for all personnel – military, police, and civilian – who serve on UN peacekeeping missions. The CPTMs are circulated by DPKO and provide both a list of topics as well as actual training materials usable as lesson plans. National peacekeeping training centres worldwide incorporate the CPTMs into their classroom courses as an important part of their students’ training prior to their deployment on any UN peacekeeping mission.

While training in the CPTMs is currently available through traditional classroom course settings, the development of an e-learning course devoted to the CPTMs had not yet been produced until now through this project. This course was developed as a guide to students navigating the official CPTMs through a joint project between the Peace Operations Training Institute (POTI) and five national training centres from four continents around the world that provide peacekeepers to United Nations peacekeeping missions. The course follows the original four-unit structure of the original CPTMs for convenient cross-referencing. The information offered in the course represents the baseline level of understanding and knowledge that the United Nations demands of any personnel who will serve in a UN peacekeeping mission.

Key contributors to this course include authors from the Australian Defence Force Peace Operations Training Centre (ADF-POTC), the Chilean Joint Peacekeeping Operations Centre (CECOPAC), Capt. Volker Straubmeier from the German Armed Forces UN Training Centre (GEUNTC), Col. Edwin A. Adjei and Col. Tom Ba-Taa-Banah from the Kofi Annan International Peacekeeping Training Centre in Ghana (KAIPTC), and Mr. Ulf Jinnestrand from the Swedish Armed Forces International Centre (SWEDINT). The manuscript’s various components authored at these multiple centres were assembled by Dammen Consultants Norway (DCN) into a single comprehensive course.

This course is designed for those who find themselves in a position to enter a United Nations peace operation, regardless of national origin or if they are military, police, or civilian. This course is also well suited for individuals who are genuinely interested in United Nations peacekeeping operations.

I would like to take this opportunity to thank the five national training centres for supporting this project, and my special thanks goes to the authors from those centres for their professional contributions and for the time they have set aside for this project.

Øyvind Dammen
Project Coordinator
Method of Study

The following are suggestions for how to proceed with this course. Though the student may have alternate approaches that are effective, the following hints have worked for many.

• Before you begin actual studies, first browse through the overall course material. Notice the lesson outlines, which give you an idea of what will be involved as you proceed.
• The material should be logical and straightforward. Instead of memorizing individual details, strive to understand concepts and overall perspectives in regard to the United Nations system.
• Set up guidelines regarding how you want to schedule your time.
• Study the lesson content and the learning objectives. At the beginning of each lesson, orient yourself to the main points. If you are able to, read the material twice to ensure maximum understanding and retention, and let time elapse between readings.
• When you finish a lesson, take the End-of-Lesson Quiz. For any errors, return to the corresponding lesson section and re-read it. Before you go on, be aware of the discrepancy in your understanding that led to the error.
• After you complete all of the lessons, take time to review the main points of each lesson. Then, while the material is fresh in your mind, take the End-of-Course Examination in one sitting.
• Your exam will be scored, and if you achieve a passing grade of 75 per cent or higher, you will be awarded a Certificate of Completion. If you score below 75 per cent, you will be given one opportunity to take a second version of the End-of-Course Examination.
• One note about spelling is in order. This course was written in English as it is used in the United Kingdom.

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UNIT 1
A STRATEGIC LEVEL OVERVIEW OF UNITED NATIONS PEACEKEEPING

Provided By Chilean Joint Peacekeeping Operations Center (CECOPAC):

PART 1: THE ROLE OF UN PEACEKEEPING

LESSON 1: INTRODUCTION TO UN PEACEKEEPING
1.1: The Purpose of the United Nations
1.2: The Main United Nations Bodies Involved in Peacekeeping
1.3: Secretariat Departments Directly Working with PKOs
Lesson 1 Quiz

LESSON 2: THE SPECTRUM OF PEACE AND SECURITY ACTIVITIES
2.1: Conflict Prevention
2.2: Peacemaking
2.3: Peace Enforcement
2.4: Peacekeeping
2.5: Peacebuilding
Lesson 2 Quiz

LESSON 3: DIFFERENT TYPES OF UN PEACEKEEPING OPERATIONS
3.1: Traditional Peacekeeping
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3.3: Transitional Authority
3.4: Special Political Missions
Lesson 3 Quiz
LESSON 1

LESSON OBJECTIVES

By the end of Lesson 1, the student should be able to meet the following objectives:

• List and briefly discuss the main purposes of the United Nations;
• List and briefly describe the main United Nations bodies involved in peacekeeping; and
• List and briefly describe the Secretariat Departments working directly in PKOs.

Introduction

United Nations Peacekeeping Operations personnel are instantly recognized around the world for their iconic headwear, earning them the nickname of the “Blue Helmets.” Blue Helmets are ambassadors of the United Nations, representing its principles and values. This lesson is focused on defining those values and principles, as well as developing an understanding of the strategic purposes that influence the UN’s decision-making process. With many different UN agencies fulfilling distinct roles, acting as one synchronized group may seem challenging. However, when synchronicity is achieved, it produces a result that translates into effective action in the field, supporting peacekeeping forces deployed on various missions around the world. This lesson will introduce these various agencies and the level of decision-making to which they belong.
1.1 The Purpose of the United Nations

The United Nations is an international organization founded after World War II by 51 countries that sought to create a commitment to international peace and security, the development of friendly relations among nations, and the promotion of social progress, better living standards, and universal human rights. The goal of its creation was to establish a common language of understanding among its Member States and to avoid the sufferings of war. These values were enshrined in the preamble of the UN Charter:

To save succeeding generations from the scourge of war, which twice in our lifetime has brought untold sorrow to mankind, and

To reaffirm faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women and of nations large and small, and

To establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained, and

To promote social progress and better standards of life in larger freedom.¹

The Charter, signed on 26 June 1945 in San Francisco at the conclusion of the United Nations Conference on International Organization, is the founding document of the United Nations. It spells out the rights and responsibilities of all Member States while offering guiding principles for peace and security activities. The Charter officially came into force 24 October 1945. Due to its unique international character and the powers vested in the Charter, the UN can take action on a range of issues and provide a forum for all of its sovereign Member States. These States express their views through the General Assembly, the Security Council, the Economic and Social Council, and other bodies and committees that vote on multilateral agreements.²

The United Nations describes itself as having two distinctive characteristics:

1. The UN is a unique organization. The work of the United Nations reaches every corner of the globe. Although best known for peacekeeping, peacebuilding, conflict prevention, and humanitarian assistance, there are many other ways the United Nations and its system (specialized agencies, funds, and programmes) affect our lives and make the world a better place. The United Nations works on a broad range of fundamental issues, from sustainable development, environment and refugee protection, disaster relief, counter-terrorism, disarmament and non-proliferation, to promoting democracy, human rights, governance, economic and social development, international health, clearing landmines and explosive remnants of war, expanding food production, and more, in order to achieve its goals and coordinate efforts for a safer world for this and future generations.³

2. The UN is an impartial organization. All States from all around the world are equal members. The impartiality and universality of the United Nations are key elements of its legitimacy.

It is important to keep in mind the difference between impartiality and neutrality and how these terms are used within the field by United Nations and humanitarian actors. According to the UN Core Pre-deployment Training Materials (CPTM), impartiality as a principle of UN peacekeeping means that the peacekeeping operation deals with all parties to a conflict in an unbiased and even-handed manner, and its actions are focused on implementing its mandate fairly. Humanitarian actors also use the terms impartiality and neutrality; however, their meaning is somewhat different. For the International Red Cross and Red Crescent Movement, impartiality means being guided solely by needs, making no discrimination on the basis of nationality, race, gender, class, or religious or political beliefs, while neutrality means to take no sides in hostilities or engage, any time, in controversies of a political, racial, religious, or ideological nature. These concepts and further applications will be discussed again and in more depth in Part 2 of Unit 1.

1.2 The Main United Nations Bodies Involved in Peacekeeping

This section will categorize the main UN bodies that are involved in peacekeeping operations. These different bodies connect and interact in relation to whether they perform a strategic, operational, or tactical role. When working for UN peacekeeping, UN personnel shall use the terminology as defined according to the Policy on Authority, Command, and Control, although other countries or institutions may use them differently:

- **Strategic**: The high-level political decision making and management of a UN peacekeeping operation at UN Headquarters (HQ). These decisions have the highest impact on the organization and missions.

- **Operational**: The field-based management of a peacekeeping operation at the Mission HQ is considered to be at the operational level.

- **Tactical**: The management of military, police, and civilian operations below the level of Mission HQ, as well as the supervision of individual personnel, is considered to be at the tactical level. Subordinate commanders of the different components and the civilian heads at levels below the Mission HQ exercise this management. This creates the framework for the processes involved in the maintenance of peace.

At the strategic level, we find the General Assembly, the Security Council, the Secretary-General, and the UN Secretariat, among others. The graphic above illustrates how the Head of Mission acts as a link between the strategic level and the operational level.

At the operational level, we find the Mission HQ and the Leadership Team. The Component Heads act within the overlapping area, translating the operational orders into tactical ones.

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Finally, the tactical level encompasses military, police, and civilian units and the regional offices. These are the units that fulfill their tasks "on the ground".

**The General Assembly**

Established in 1945 under the Charter of the United Nations, the General Assembly is the chief deliberation, policy-making, and representative organ of the United Nations. Comprising representatives of all the 193 Members of the United Nations⁵, the Assembly meets in regular session intensively from September to December each year, and in special or emergency sessions as required. It provides a unique forum for multilateral discussion on the full spectrum of international issues covered by the Charter. The General Assembly also plays a significant role in the process of standard-setting and the codification of international law.

One could say this body represents a "democracy of the world" because all countries maintain an equal footing in the Assembly. All decisions are made by majority. In all voting, each country has one vote regardless of its size, economic power, or any other consideration.

**Functions and Powers of the General Assembly**

According to the Charter of the United Nations, the General Assembly may:

- Consider and make recommendations based on the general principles of cooperation for maintaining international peace and security, including disarmament;
- Discuss any question relating to international peace and security and, except where a dispute or situation is currently being discussed by the Security Council, make recommendations on it;
- Discuss, with the same exception above, and make recommendations on any questions within the scope of the Charter or affecting the powers and functions of any organ of the United Nations;
- Initiate studies and make recommendations to promote international political cooperation, the development and codification of international law, the realization of human rights and fundamental freedoms, and international collaboration in the economic, social, humanitarian, cultural, educational, and health fields;
- Make recommendations for the peaceful settlement of any situation that might impair friendly relations among nations;
- Receive and consider reports from the Security Council;
- Discuss, with the same exception above, and make recommendations on any questions within the scope of the Charter or affecting the powers and functions of any organ of the United Nations;
- Initiate studies and make recommendations to promote international political cooperation, the development and codification of international law, the realization of human rights and fundamental freedoms, and international collaboration in the economic, social, humanitarian, cultural, educational, and health fields;
- Make recommendations for the peaceful settlement of any situation that might impair friendly relations among nations;
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- Discuss, with the same exception above, and make recommendations on any questions within the scope of the Charter or affecting the powers and functions of any organ of the United Nations;
- Initiate studies and make recommendations to promote international political cooperation, the development and codification of international law, the realization of human rights and fundamental freedoms, and international collaboration in the economic, social, humanitarian, cultural, educational, and health fields;
- Make recommendations for the peaceful settlement of any situation that might impair friendly relations among nations;
- Receive and consider reports from the Security Council.

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Learn More about the United Nations


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⁵ As of 2013, there are 193 Member States.
Council and other United Nations organs;

- Consider and approve the United Nations budget and establish the financial assessments of Member States; and

- Elect the non-permanent members of the Security Council and the members of other United Nations councils and organs and, on the recommendation of the Security Council, appoint the Secretary-General.

Each Member State in the Assembly has one vote. Votes taken on designated important issues, such as recommendations on peace and security or the election of Security Council members, require a two-thirds majority of Member States. A simple majority decides other questions.

In recent years, a special effort has been made to achieve consensus on issues, rather than deciding by a formal vote, thus strengthening support for the Assembly’s decisions. The President, after having consulted and reached agreement with delegations, can propose that a resolution be adopted without a vote.6

The UN Security Council

One of the main purposes of the United Nations is to maintain peace and security, which is the primary responsibility of the UN Security Council. The Security Council may investigate and recommend appropriate peaceful measures to resolve disputes and prevent them from escalating. In situations where the Security Council has determined that there is a threat to international peace and security, it may take more coercive measures, which may or may not involve the use of force. The legal basis for the Security Council’s power to investigate and take action is outlined in Chapters VI and VII of the UN Charter.

The Security Council is one of the principal organs of the United Nations. Its powers, outlined in the United Nations Charter, include the establishment of peacekeeping operations, the establishment of international sanctions, and the authorization of military action. Its powers are exercised through United Nations Security Council Resolutions.

The Security Council also has the power to work with regional organizations or arrangements to resolve disputes and maintain international peace and security (under Chapter VIII of the UN Charter) as long as those regional arrangements are consistent with the purposes and principles of the United Nations. Such cooperation is becoming more and more common in peacekeeping. Examples include the peacekeeping operation in Darfur (UNAMID) and the cooperation between NATO and the United Nations Assistance Mission in Afghanistan (UNAMA).

There are 15 members of the Security Council, five of whom are veto-wielding Permanent Members (China, France, Russia, the United Kingdom, and the United States). Ten are elected Non-Permanent members with offset two-year terms. (For current membership, see <www.un.org/en/sc/members/>). Each of these Security Council members has one vote. Nine out of 15 votes are required for decisions to pass. If a veto-wielding Permanent Member of the Security Council votes against a resolution, it does not pass.

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Under the United Nations Charter, the functions and powers of the Security Council are:

- To maintain international peace and security in accordance with the principles and purposes of the United Nations;
- To investigate any dispute or situation which might lead to international friction;
- To recommend methods of adjusting such disputes or the terms of settlement;
- To formulate plans for the establishment of a system to regulate armaments;
- To determine the existence of a threat to the peace or act of aggression and to recommend what action should be taken;
- To call on Members to apply economic sanctions and other measures not involving the use of force to prevent or stop aggression;
- To take military action against an aggressor;
- To recommend the admission of new Members;
- To exercise the trusteeship functions of the United Nations in “strategic areas”; and
- To recommend to the General Assembly the appointment of the Secretary-General and, together with the Assembly, to elect the Judges of the International Court of Justice.

When a complaint concerning a threat to peace is brought before it, the Council’s first action is usually to recommend to the parties to try to reach agreement by peaceful means. In some cases, the Council itself undertakes investigation and mediation. It may appoint special representatives or request the Secretary-General to do so or to use his good offices. It may set forth principles for a peaceful settlement.

When a dispute leads to fighting, the Council’s first concern is to end conflict as soon as possible. On many occasions, the Council has issued ceasefire directives, which have been instrumental in preventing wider hostilities. It also deploys UN peacekeeping forces to help reduce tensions in troubled areas, to keep opposing forces apart, and to create conditions of calm in which peaceful settlements may be sought. The Council may decide on enforcement measures, economic sanctions (such as trade embargoes), or collective military action.

A Member State that the Security Council has taken preventive or enforcement action against may be suspended from exercising its rights and privileges of membership by the General Assembly on the recommendation of the Security Council. A Member State that has persistently violated the principles of the Charter may be expelled from the United Nations by the Assembly on the Council’s recommendation.

The Presidency of the Council rotates monthly, according to the English alphabetical listing of its Member States.

### The Secretary-General and UN Secretariat

The Secretary-General, appointed by the General Assembly on the recommendation of the Security Council for a five-year, renewable term, is a symbol of United Nations ideals and a spokesman for the interests of the world’s people, particularly the poor and vulnerable. (For information about the current appointed Secretary-General, see www.un.org/sg/.)

The role of the Secretary-General is as follows:

> The Charter describes the Secretary-General as “chief administrative officer” of the Organization, who shall act in that capacity and perform “such other functions as are entrusted” to him or her by the Security Council, General Assembly, Economic and Social Council and other United Nations organs. The Charter also empowers the Secretary-General to “bring to the attention of the Security Council any matter which in his opinion may threaten the maintenance of international peace and security”. These guidelines both define the powers of the office and grant it considerable scope for action. The Secretary-General would fail if he did not take careful account of the concerns of Member States, but he must also uphold the values and moral authority of the United Nations, and speak and act for peace, even at the risk, from time to

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time, of challenging or disagreeing with those same Member States.

One of the most vital roles played by the Secretary-General is the use of his good offices – steps taken both publicly and in private, drawing upon his independence, impartiality and integrity, to prevent international disputes from arising, escalating or spreading.\(^8\)

The Secretariat is the administrative arm of the United Nations and is led by the Secretary-General. The Secretariat is made up of a wide variety of departments and offices that deal with all aspects of the United Nations mandate. The Secretariat’s international staff works in duty stations around the world, carrying out the diverse day-to-day work of the organization.

The duties carried out by the Secretariat are as varied as the problems dealt with by the United Nations. These range from administering peacekeeping operations to mediating international disputes, from surveying economic and social trends to preparing studies on human rights and sustainable development.\(^9\)

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For more information on DPKO, go to <http://www.un.org/en/peacekeeping/about/dpko/>.

The Department of Field Support (DFS)

On behalf of the Secretary-General, the Under-Secretary-General for Field Support (USG DFS) and the Department of Field Support are responsible for delivering dedicated support to UN field operations, including PKOs and special political missions.

Specifically this includes personnel, finance, procurement (purchasing), logistics, communications, information technology, and other administrative and general management issues.

For more information on DFS, go to <http://www.un.org/en/peacekeeping/about/dfs/>.

The Department of Political Affairs (DPA)

Through peacemaking, preventive diplomacy, and a host of other means, the United Nations works to prevent and resolve deadly conflicts around the globe and to promote lasting peace in societies emerging from wars.

The Department of Political Affairs plays a central role in these efforts through monitoring and assessing global political developments; advising the UN Secretary-General on actions that could advance the cause of peace; providing support and guidance to UN peace envoys and political missions in the field; and serving Member States directly through electoral assistance and through the support of DPA staff to the work of the Security Council and other UN bodies.

In carrying out these and other core functions, DPA contributes to UN efforts worldwide that span the spectrum from conflict prevention to peacemaking and post-conflict peacebuilding.

DPA also collaborates with UN PKOs in supporting or conducting elections in post-conflict countries. The Department of Political Affairs’ Electoral Assistance Division also supports PKOs with needs assessments, policy guidance, or deployment of specialized personnel.

For example, in Cyprus, there is a peacekeeping operation called the United Nations Peacekeeping Force in Cyprus (UNFICYP) side by side with a Special Adviser who handles the functions of the Secretary-General’s good offices. Likewise, in the Democratic Republic of the Congo (DRC), there was a Special Envoy responsible for Eastern DRC alongside the peacekeeping mission known as the United Nations Organization Mission in the Democratic Republic of Congo (MONUC).

For more information on DPA, go to <http://www.un.org/wcm/content/site/undpa/>.
Summary

In this lesson, we have examined the purpose and main characteristics of UN; the main bodies of this institution; the level at which each is found, and the functions for which they are responsible. Finally, we have also examined the Departments of the Secretariat and the duties that are directly involved in the work of PKOs.
End-of-Lesson Quiz

1. According to the UN Charter, the UN is dedicated to:
   A. Supporting fundamental human rights and maintaining international peace and security.
   B. Promoting economic growth development.
   C. Leading the world as a supra-state organization.
   D. A and B.

2. The United Nations was founded in:
   A. 1820
   B. 1941
   C. 1945
   D. 1954

3. The key elements for UN legitimacy are:
   A. Impartiality and minimum use of force.
   B. Impartiality and universality.
   C. Impartiality and independence.
   D. Consent, neutrality, and self-defence.

4. As of 2013, the United Nations had _____ members.
   A. 51
   B. 129
   C. 151
   D. 193

5. In what order does decision-making and management occur in the UN system by level?
   A. Strategic, operational, and tactical
   B. Operational, strategic, and tactical
   C. Tactical, operational, and strategic
   D. Strategic, operational, and mission

6. The General Assembly and Secretary-General are at the _______ level.
   A. Strategic
   B. Operational
   C. Tactical
   D. None of the above.

7. Who operates at the Tactical level?
   A. Military, Police, and Mission HQ
   B. Military, Police, and Civilian Units
   C. Mission HQ only
   D. The Head of Mission only

8. Which of the following Secretariat departments work(s) directly with PKOs?
   A. Department of Peacekeeping Operations (DPKO)
   B. Department of Field Support (DFS)
   C. Department of Political Affairs (DPA)
   D. All of the above.

9. The direction and administration of UN PKOs is a responsibility of the ____________:
   A. Department of Field Support (DFS).
   B. Under-Secretary-General for the Department of Peacekeeping Operations (DPKO).
   C. Department of Political Affairs (DPA).
   D. None of the above.

10. The department responsible for delivering dedicated support to UN field operations is:
    A. Department of Field Support (DFS).
    B. Department of Peacekeeping Operations (DPKO).
    C. Department of Political Affairs (DPA).
    D. Department of Economic Support.

**ANSWER KEY**
1D, 2C, 3B, 4D, 5A, 6A, 7B, 8D, 9B, 10A