

# Principles and Guidelines for UN Peacekeeping Operations



## **DEVELOPED IN CONSULTATION WITH**

Peacekeeping Best Practices Section Policy, Evaluation and Training Division, United Nations Department of Peacekeeping Operations and General Robert Gordon, Co-drafter of the Original Publication

## **SERIES EDITOR**

Harvey J. Langholtz, Ph.D.



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*UN Photo #200148 by Christopher Herwig. A female member of the Ethiopian battalion of the United Nations Mission in Liberia (UNMIL) joins the military observers in a parade after receiving medals in recognition of their contribution to the mission. 30 August 2008.*

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# Principles and Guidelines for UN Peacekeeping Operations

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## Foreword by Jean-Marie Guéhenno

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Over the past sixty years, United Nations peacekeeping has evolved into one of the main tools used by the international community to manage complex crises that pose a threat to international peace and security. Since the beginning of the new millennium, the number of military, police and civilian personnel deployed in United Nations peacekeeping operations around the world has reached unprecedented levels. Not only has United Nations peacekeeping grown in size but it has become increasingly complex. Beyond simply monitoring ceasefires, today's multidimensional peacekeeping operations are called upon to facilitate the political process through the promotion of national dialogue and reconciliation, protect civilians, assist in the disarmament, demobilization and reintegration of combatants, support the organization of elections, protect and promote human rights, and assist in restoring the rule of law.

In order to meet the challenges posed by the unprecedented scale and scope of today's missions, the United Nations Department of Peacekeeping Operations (DPKO) and the Department of Field Support (DFS) have embarked on a major reform effort, Peace Operations 2010, aimed at strengthening and professionalizing the planning, management and conduct of United Nations peacekeeping operations. A key objective of this ongoing reform process is to ensure that the growing numbers of United Nations peacekeeping personnel deployed in the field, as well as those serving at Headquarters, have access to clear, authoritative guidance on the multitude of tasks they are required to perform.

The present publication, which has been developed in close consultation with field missions, Member States, United Nations system partners and other key stakeholders, represents the first attempt in over a decade to codify the major lessons learned from the past six decades of United Nations peacekeeping experience. It is intended to help practitioners better understand the basic principles and concepts underpinning the conduct of contemporary United Nations peacekeeping operations as well as their inherent strengths and limitations.

I would like to express my gratitude to all those who have contributed to the development of this key guidance document, which will continue to be reviewed and updated in the coming years as United Nations peacekeeping evolves and new lessons are learnt.

—Jean-Marie Guéhenno  
Under-Secretary-General for Peacekeeping Operations  
March 2008



## Introduction: Scope and Purpose of the Document

---

Over the past six decades, United Nations peacekeeping has evolved into a complex, global undertaking. During this time, the conduct of United Nations peacekeeping operations has been guided by a largely unwritten body of principles and informed by the experiences of the many thousands of men and women who have served in the more than 60 operations launched since 1948. This document captures these experiences for the benefit and guidance of planners and practitioners of United Nations peacekeeping operations.

The spectrum of contemporary peace operations has become increasingly broad and includes both United Nations-led peace operations as well as those conducted by other actors, normally with the authorization of the Security Council. This guidance document focuses on only one element of that spectrum: United Nations-led peacekeeping operations, authorized by the Security Council, conducted under the direction of the United Nations Secretary-General, and planned, managed, directed, and supported by the United Nations Department of Peacekeeping Operations (DPKO) and the Department of Field Support (DFS). The specific focus of this document recognizes the need for a clearer articulation of the doctrinal foundations of United Nations peacekeeping operations, in light of the new challenges posed by the shifting nature of conflict, from inter-State to intra-State conflicts.

The present document aims to define the nature, scope, and core business of contemporary United Nations peacekeeping operations, which are usually deployed as one part of a much broader international effort to build a sustainable peace in countries emerging from conflict. It identifies the comparative advantages and limitations of United Nations peacekeeping operations as a conflict management tool and explains the basic principles that should guide their planning and conduct. In doing so, it reflects the primary lessons learned during the past sixty years of United Nations peacekeeping. It draws on landmark reports of the Secretary-General and legislative responses to these reports, as well as relevant resolutions and statements of the principal organs of the United Nations.

The present document is an internal DPKO/DFS publication. It sits at the highest-level of the current doctrine framework for United Nations peacekeeping. Any subordinate directives, guidelines, standard operating procedures, manuals, and training materials issued by DPKO/DFS should conform to the principles and concepts referred to in this guidance document.

The document is intended to serve as a guide for all United Nations personnel serving in the field and at United Nations Headquarters, as well as an introduction to those who are new to United Nations peacekeeping. Although it is intended to help guide the planning and conduct of United Nations peacekeeping operations, its specific application will require judgement and will vary according to the situation on the ground. Peacekeeping practitioners in the field are often faced with a confusing and contradictory set of imperatives and pressures. This document is unable to resolve many of these issues; indeed, some have no clear, prescribed answers. Instead, it provides a handrail to assist planners and practitioners manoeuvre through the complexities of contemporary United Nations peacekeeping operations.

This document reflects the multidimensional nature of contemporary United Nations peacekeeping operations, which are normally led in the field by a senior United Nations political figure. It does not seek to override the national military doctrines of individual Member States participating in these operations and it does not address any military tactics, techniques, and procedures (TTPs), which remain the prerogative of individual Member States. It is, nonetheless, intended to support civilian, police and military personnel who are training and preparing to serve in United Nations peacekeeping operations. troop-contributing countries (TCCs) and police-contributing countries (PCCs) to United Nations peacekeeping operations may wish to draw on this document in developing their respective doctrines, training, and pre-deployment programmes.

For partners, this guidance document is intended to foster a clearer understanding of the major principles guiding the conduct of United Nations peacekeeping operations. Key partners include TCCs/ PCCs, regional and other inter-governmental organizations, the range of humanitarian and development actors involved in international crisis management, as well as national and local actors in the countries where United Nations peacekeeping operations are deployed. In this regard, the document supports a vision of a system of inter-locking capabilities in which the roles and responsibilities and comparative advantages of the various partners are clearly defined.

This document draws on analysis contained in the landmark 2000 *Report of the Panel on United Nations Peace Operations* (The Brahimi Report) and other existing sources to help guide United Nations peacekeepers in the coming years. It is a living document that will be reviewed and updated regularly to reflect major evolutions in United Nations peacekeeping practices. The current version will be due for review in January 2010 and may be updated earlier, if required. As with the current version, Member States, TCCs/ PCCs, field missions, United Nations System partners, regional organizations and other key stakeholders will be consulted to ensure that the document continues to reflect the concerns, views, insights, and expertise of major partners both within and outside the United Nations system.



To view a video introduction of this course by the course author General Robert Gordon, you can either log in to your virtual classroom, go to <<https://www.peaceopstraining.org/videos/55/introduction-principles-and-guidelines-for-un-peacekeeping-operations/>>, or use your mobile device to scan the QR code to the left.

## Method of Study

*This self-paced course aims to give students flexibility in their approach to learning. The following steps are meant to provide motivation and guidance about some possible strategies and minimum expectations for completing this course successfully:*

- Before you begin studying, first browse through the entire course. Notice the chapter and section titles to get an overall idea of what will be involved as you proceed.
  - The material is meant to be relevant and practical. Instead of memorizing individual details, strive to understand concepts and overall perspectives in regard to the United Nations system.
  - Set personal guidelines and benchmarks regarding how you want to schedule your time.
  - Study the chapter content and the learning objectives. At the beginning of each chapter, orient yourself to the main points. If possible, read the material twice to ensure maximum understanding and retention, and let time elapse between readings.
  - At the end of each chapter, take the End-of-Chapter Quiz. Clarify any missed questions by rereading the appropriate sections, and focus on retaining the correct information.
  - After you complete all of the chapters, prepare for the End-of-Course Examination by taking time to review the main points of each chapter. Then, when ready, log into your online student classroom and take the End-of-Course Examination in one sitting.
- » ***Access your online classroom at***  
***<[www.peaceopstraining.org/users/user\\_login](http://www.peaceopstraining.org/users/user_login)>***  
***from virtually anywhere in the world.***
- Your exam will be scored electronically. If you achieve a passing grade of 75 per cent or higher on the exam, 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.
  - A note about language: This course uses English spelling according to the standards of the Oxford English Dictionary (United Kingdom) and the United Nations Editorial Manual.

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- Forums where you can discuss relevant topics with the POTI community.



# **Part I:**

## **The Evolution of United Nations Peacekeeping Operations**

The Charter of the United Nations was signed, in San Francisco on 26 June 1945 and is the foundation document for all the United Nations work. The United Nations was established to “save succeeding generations from the scourge of war” and one of its main purposes is to maintain international peace and security. Peacekeeping, although not explicitly provided for in the Charter, has evolved into one of the main tools used by the United Nations to achieve this purpose.

- Chapter 1    The Normative Framework for United Nations Peacekeeping Operations**
- Chapter 2    The Evolving Role of United Nations Peacekeeping Operations**
- Chapter 3    The Basic Principles of United Nations Peacekeeping**

# CHAPTER 1

# The Normative Framework for United Nations Peacekeeping Operations



UN Photo #170020 by Eskinder Debebe.

The League of Nations was created in the aftermath of the First World War to “promote international cooperation and to achieve international peace and security).

## In this chapter »

- Section 1.1 The Charter of the United Nations
- Section 1.2 Human Rights
- Section 1.3 International Humanitarian Law
- Section 1.4 Security Council Mandates

## Chapter Objectives »

- Understand the chapters of the UN Charter that are relevant to peacekeeping.
- Be aware of The Universal Declaration of Human Rights, its place in International Human Rights Law, and the normative framework it provides for United Nations peacekeeping operations.
- Understand how International Humanitarian Law is set in the four Geneva Conventions of 1949 and their two Additional Protocols of 1977, as well as how International Humanitarian Law restricts the means and methods of armed conflict.
- Understand the function the Security Council plays in setting mandates for UN peacekeeping missions.





Mrs. Eleanor Roosevelt of the United States holding a Declaration of Human Rights poster in Spanish. 1 November 1949. UN Photo #117539 by UN Photo.

## Introduction

### The League of Nations: Predecessor to the United Nations

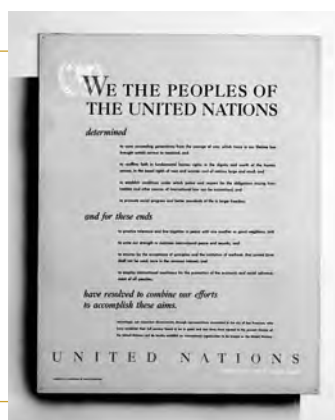
The League of Nations was created in the aftermath of the First World War to “promote international cooperation and to achieve international peace and security). It proved singularly unsuccessful. The League alienated the international powers who were defeated in the First World War and even failed to hold together the victorious allies; indeed, the United States never became a member. During the 1920s and 1930s, the former allies of the First World War drifted apart and disarmed, while international powers outside the League took to dictatorship and rearmament. As the international scene took on more ominous directions, the League of Nations was powerless to prevent the world’s descent into a second global war.



View a video introduction of this chapter at <http://www.peaceopstraining.org/videos/2/chapter-1-the-normative-framework-for-united-nations-peacekeeping-operations/>.

### Note On The Source »

This course is based on the 2008 document *United Nations Peacekeeping Operations: Principles and Guidelines*. Beginning on 1 January 2019, the UN underwent institutional reforms affecting several departments, but the Capstone Doctrine remains officially recognized UN policy.



## The Charter of the United Nations »

The UN Charter can be accessed online at [www.un.org/en/charter-united-nations/](http://www.un.org/en/charter-united-nations/). Students are encouraged to read it, with special attention to Chapters VI, VII, and VIII.

*Preamble to the Charter of the United Nations which was signed at San Francisco on 26 June 1945. UN Photo #101834 by UN Photo.*

## The Birth of the United Nations

The UN was created after the Second World War. Like the League of Nations, it was based on the assumption that the victorious wartime powers would keep the international peace. Unlike the former League, however, the UN made considerable efforts to reconcile and assimilate the defeated nations of the Second World War. In addition, the rapid growth of its membership due to decolonization gave new nations a voice and influence that they had never had before. In its preamble, the Charter of the United Nations asserted its goals as:

- 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.

In this chapter, the student will receive a brief introduction to the Charter of the United Nations, *The Universal Declaration of Human Rights*, International Humanitarian Law, and how the concepts and tenets of these documents are reflected in Security Council resolutions and, in turn, the mandate of each UN peacekeeping mission.

## Blue Helmets on the Horizon »

The word “peacekeeping” is never explicitly mentioned in the UN Charter, but the Charter, the Universal Declaration of Human Rights, and International Humanitarian Law all contain the broad foundations for UN Peacekeeping. The international community sets specific mandates for each United Nations peacekeeping mission through Security Council resolutions. While peacekeeping is only a small part of United Nations operations, UN peacekeepers and military observers, known as “blue helmets” for their distinctive blue berets and helmets, are globally recognized as the most visible sign of UN operations. Peacekeeping is the single activity for which the United Nations is most known, and it is the most effective tool available to the international community for the maintenance of peace and security.



## Section 1.1 The Charter of the United Nations

The Charter of the United Nations was signed in San Francisco on 26 June 1945 and is the foundation document for all the United Nations' work. The United Nations was established to "save succeeding generations from the scourge of war" and one of its main purposes is to maintain international peace and security. Peacekeeping, although not explicitly provided for in the Charter, has evolved into one of the main tools used by the United Nations to achieve this purpose.

The Charter gives the United Nations Security Council primary responsibility for the maintenance of international peace and security.<sup>1</sup> In fulfilling this responsibility, the Security Council may adopt a range of measures, including the establishment of a United Nations peacekeeping operation. The legal basis for such action is found in Chapters VI, VII, and VIII of the Charter. While Chapter VI deals with the "Pacific Settlement of Disputes", Chapter VII contains provisions related to "Action with Respect to the Peace, Breaches of the Peace and Acts of Aggression". Chapter VIII of the Charter also provides for the involvement of regional arrangements and agencies in the maintenance of international peace and security, provided such activities are consistent with the purposes and principles outlined in Chapter I of the Charter.



*Joseph Paul-Boncour, former Prime Minister, member of the Delegation from France, signing the Charter at a ceremony held at the Veteran's War Memorial Building on 26 June. 26 June 1945. UN Photo #84200 by McCreary.*

United Nations peacekeeping operations have traditionally been associated with Chapter VI of the Charter. However, the Security Council need not refer to a specific Chapter of the Charter when passing a resolution authorizing the deployment of a United Nations peacekeeping operation and has never invoked Chapter VI. In recent years, the Security Council has adopted the practice of invoking Chapter VII of the Charter when authorizing the deployment of United Nations peacekeeping operations into volatile post-conflict settings where the State is unable to maintain security and public order. The Security Council's invocation of Chapter VII in these situations, in addition to denoting the legal basis for its action, can also be seen as a statement of firm political resolve and a means of reminding the parties to a conflict and the wider United Nations membership of their obligation to give effect to Security Council decisions.

Linking United Nations peacekeeping with a particular Chapter of the Charter can be misleading for the purposes of operational planning, training, and mandate implementation. In assessing the nature of each peacekeeping operation and the capabilities needed to support it, troop-contributing countries (TCCs) and police-contributing countries (PCCs) should be guided by the tasks assigned by the Security Council mandate, the concept of operations and accompanying mission rules of engagement (ROE) for the military component, and the Directives on the Use of Force (DUF) for the police component.

1) Although the United Nations Charter gives primary responsibility to the Security Council for the maintenance of international peace and security, General Assembly resolution 377 (V) of 3 November 1950, also known as the "Uniting for Peace" resolution, states that: "...if the Security Council, because of lack of unanimity of the permanent members, fails to exercise its primary responsibility for the maintenance of international peace and security in any case where there appears to be a threat to the peace, breach of the peace, or act of aggression, the General Assembly shall consider the matter immediately with a view to making appropriate recommendations to Members for collective measures, including in the case of a breach of the peace or act of aggression, the use of armed force when necessary, to maintain or restore international peace and security). General Assembly resolution 1000 (ES-1) of 5 November 1956 authorizing the establishment of the First United Nations Emergency Force (UNEF I) was adopted under procedure established by the "Uniting for Peace" resolution.

## Organs of the United Nations Body »

### Security Council

The Security Council consists of five permanent members (China, France, the Russian Federation, the United Kingdom, and the United States) and ten non-permanent members. Half of the non-permanent members are elected each year by the General Assembly for a term of two years. The UN Charter confers a unique authority on the Security Council to investigate any situation or conflict that threatens international peace and security. The Security Council is, therefore, the principal organization in the world for international peace and security and, thereby, has legitimacy under international law for the use of force or intervention against a sovereign State. It can delegate this responsibility under Chapter VIII of the Charter to regional organizations, such as the African Union (AU).

In carrying out these duties, the Security Council acts on behalf of all UN members. The Security Council asks the Secretary-General to prepare a plan to deal with the problem, and the Security Council will normally be the approving authority for any plan. There can be some specific circumstances under which the decision can be referred to the General Assembly. However, the General Assembly itself has no powers to authorize enforcement of the peace under Chapter VII of the UN Charter. Such powers are the exclusive preserve of the UN Security Council.

### Secretary-General

The Secretary-General of the UN is responsible to the Security Council for the organization, the conduct, and the overseeing of a United Nations Peacekeeping Operation. In addition to preparing the operational plan and presenting it to the Security Council for approval, the Secretary-General is responsible for conducting negotiations with the host countries, the parties in conflict, and the Member States contributing troops and resources.

### General Assembly

The General Assembly considers any matter referred to it by the Security Council. It also deals with matters pertaining to the promotion of international cooperation, disarmament, trusteeship, and human rights. Even though most of its resolutions are not binding, it is the General Assembly that approves and apportions the UN's annual budget, including all costs related to peacekeeping operations.

### Military Staff Committee

Article 47 of the UN Charter calls for the establishment of a Military Staff Committee. The Committee includes the Chiefs of Staff of the permanent members of the Security Council, who act to advise and assist on all questions relating to the Security Council's military requirements for the maintenance of international peace and security. Even though this role is called for in the UN Charter, in practice, the Military Staff Committee has not played the role envisaged by the Charter and has exerted very little influence on UN peacekeeping operations.

## UN Secretariat

The UN Secretariat is the permanent organization responsible for the broad range of United Nations activities. Its head is the Secretary-General, and it is, in effect, the UN's civil service branch. While it has many departments, the principal departments that deal with peacekeeping operations are the Department of Peacekeeping Operations<sup>i</sup> (DPKO); the Department of Field Support (DFS); and the Department of Safety and Security (DSS). The Under-Secretaries-General of these departments, with their specialist advisers — such as the Military Adviser or Police Adviser — are responsible for providing advice and guidance to the Secretary-General and the Security Council on peacekeeping operations and their associated disciplines, as well as for providing executive authority for their conduct and support when so delegated.

- i) As part of organizational restructuring beginning 1 January 2019, DPKO became the Department of Peace Operations (DPO), DFS became the Department of Operational Support (DOS), and the Department of Political Affairs (DPA) became the Department of Political and Peacebuilding Affairs (DPPA).

## Section 1.2 Human Rights

International human rights law is an integral part of the normative framework for United Nations peacekeeping operations. *The Universal Declaration of Human Rights*, which sets the cornerstone of international human rights standards, emphasizes that human rights and fundamental freedoms are universal and guaranteed to everybody. United Nations peacekeeping operations should be conducted in full respect of human rights and should seek to advance human rights through the implementation of their mandates (see Chapter 2).

United Nations peacekeeping personnel — whether military, police or civilian — should act in accordance with international human rights law and understand how the implementation of their tasks intersects with human rights. Peacekeeping personnel should strive to ensure that they do not become perpetrators of human rights abuses. They must be able to recognize human rights violations or abuse and be prepared to respond appropriately within the limits of their mandate and their competence. United Nations peacekeeping personnel should respect human rights in their dealings with colleagues and with local people, both in their public and in their private lives. Where they commit abuses, they should be held accountable.

### The Geneva and Hague Conventions »

**The Geneva Conventions**, a series of four treaties and three protocols, were created to set international standards of humanitarian treatment for the victims of war. They cover provisions for prisoners of war, the wounded, and civilians.

**The Hague Conventions** are international treaties created to establish the rules under which war may be conducted.

The four Geneva Conventions of 1949 and their three protocols are not provided with this course because of their size, but the student is invited to find them at:

<<https://ihl-databases.icrc.org/applic/ihl/ihl.nsf/vwTreaties1949.xsp>>.

International Humanitarian Law is discussed in depth in the Peace Operations Training Institute course *International Humanitarian Law and the Law of Armed Conflict*. The course covers the history of international humanitarian law, the protocols establishing common standards, and situational applications of international humanitarian law.

## Security Council Facts »

- The Security Council has a limited number of members (15) but acts on behalf of all UN members (192).
- All members of the UN agree to accept and carry out the decisions of the Security Council (UN Charter, Article 25).
- Each member has one vote. Nine votes are required to pass a resolution, provided there is no veto.
- Only the five permanent members (P-5) hold veto power.
- The 10 non-permanent members, who represent their regions, serve for two years, and are elected by the General Assembly.
- The Security Council must be able to function at all times (24/7/365), so membership comes with an administrative burden.

## Section 1.3 International Humanitarian Law

International humanitarian law is known also as “the law of war” or “the law of armed conflict” and restricts the means and methods of armed conflict. International humanitarian law is contained in the four Geneva Conventions of 1949 and their two Additional Protocols of 1977, as well as in rules regulating the means and methods of combat. International humanitarian law also includes conventions and treaties on the protection of cultural property and the environment during armed conflict, as well as protection of victims of conflict.

International humanitarian law is designed to protect persons who do not participate, or are no longer participating, in the hostilities; and it maintains the fundamental rights of civilians, victims and non-combatants in an armed conflict. It is relevant to United Nations peacekeeping operations because these missions are often deployed into post-conflict environments where violence may be ongoing, or conflict could reignite. Additionally, in post-conflict environments there are often large civilian populations that have been targeted by the warring parties, prisoners of war and other vulnerable groups to whom the Geneva Conventions or other humanitarian law would apply in the event of further hostilities.

United Nations peacekeepers must have a clear understanding of the principles and rules of international humanitarian law and observe them in situations where they apply. The *Secretary-General's Bulletin: Observance by United Nations forces of international humanitarian law* of 6 August 1999 (ST/SGB/1999/13) sets out the fundamental principles and rules of international law that may be applicable to United Nations peacekeepers.

## Further Reading »

*The Universal Declaration of Human Rights* is provided as Appendix C.

The *Secretary-General's Bulletin: Observance by United Nations forces of international humanitarian law* of 6 August 1999 (ST/SGB/1999/13) is available online at <<http://undocs.org/st/sgb/1999/13>>.

## Section 1.4 Security Council Mandates

United Nations peacekeeping operations are deployed on the basis of a mandate from the United Nations Security Council. The tasks that a United Nations peacekeeping operation will be required to perform are set out in the Security Council mandate. Security Council mandates differ from situation to situation, depending on the nature of the conflict and the specific challenges it presents. Since United Nations peacekeeping operations are normally deployed to support the implementation of a ceasefire or a more comprehensive peace agreement, Security Council mandates are influenced by the nature and content of the agreement reached by the parties to the conflict.



*Security Council meeting during the consideration of the situation in Somalia. 20 March 2009. UN Photo #361874 by Jenny Rockett.*

Security Council mandates also reflect the broader normative debates shaping the international environment. In this regard, there are a number of cross-cutting, thematic tasks that are regularly assigned to United Nations peacekeeping operations on the basis of the following landmark Security Council resolutions:

- Security Council resolution 1325 (2000) on women, peace and security;<sup>2</sup>
- Security Council resolution 1612 (2005) on children and armed conflict;<sup>3</sup> and
- Security Council resolution 1674 (2006) on the protection of civilians in armed conflict.<sup>4</sup>

The three Security Council resolutions are provided as Appendices E, F, and G.

The range of tasks assigned to United Nations peacekeeping operations has expanded significantly in response to shifting patterns of conflict and to best address emerging threats to international peace and security. Although each United Nations peacekeeping operation is different, there is a considerable degree of consistency in the types of mandated tasks assigned by the Security Council. These are described in greater detail in Chapter 2.

- 2) It is widely recognized that the international community's objectives in countries emerging from conflict will be better served if women and girls are protected and if arrangements are put in place to allow for the full participation of women in the peace process. Security Council resolution 1325 (2000) on women, peace and security therefore calls on all United Nations peacekeeping operations to mainstream gender issues into operational activities.
- 3) Security Council resolution 1612 (2005) stresses the responsibility of United Nations peacekeeping operations to ensure a coordinated response to children and armed conflict concerns and to monitor and report to the Secretary-General. Under resolution 1612 (2005) the Secretary-General is required to ensure that the need for, and the number and roles of Child Protection Advisers are systematically assessed during the preparation of each United Nations peacekeeping operation. In United Nations peacekeeping operations where there are country monitoring and reporting Task Forces on CAAC, these are headed by the Special Representative of the Secretary-General (SRSG).
- 4) Security Council resolution 1674 (2006) reaffirms the Council's commitment to ensuring that the mandates of peacekeeping operations, where appropriate and on a case-by-case basis, include provisions regarding: (i) the protection of civilians, particularly those under imminent threat of physical danger within their zones of operation, (ii) the facilitation of the provision of humanitarian assistance, and (iii) the creation of conditions conducive to the voluntary, safe, dignified and sustainable return of refugees and internally displaced persons.

## End-of-Chapter Quiz »

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1. **When was the UN Charter signed?**
  - A. 7 December 1941
  - B. 6 June 1944
  - C. 26 June 1945
  - D. 6 August 1945
2. **Chapter \_\_\_\_\_ of the UN Charter deals with the Pacific Settlement of Disputes.**
3. **Chapter \_\_\_\_\_ of the UN Charter provides for the involvement of regional arrangements and agencies in the maintenance of international peace and security.**
4. **What document sets the cornerstone of international human rights standards?**
  - A. The Universal Declaration of Human Rights
  - B. The Geneva Conventions
  - C. The Hague Conventions
  - D. The Charter of the International Committee of the Red Cross
5. **What are two other names by which International Humanitarian Law is known?**
6. **What does International Humanitarian Law do?**
  - A. It determines how wars will be won
  - B. It restricts the means and methods of armed conflict
  - C. It sets a scale for the payment of war reparations
  - D. It determines how humanitarian operations will be conducted
7. **International Humanitarian Law is designed to protect whom?**
8. **United Nations peacekeepers \_\_\_\_\_.**
  - A. Will be instructed regarding International Humanitarian Law when it is needed
  - B. Must have a clear understanding of the principles and rules of International Humanitarian Law and observe them in situations where they apply
  - C. Are exempt from the rules of International Humanitarian Law
  - D. Will adapt International Humanitarian Law for each peacekeeping mission
9. **United Nations peacekeeping operations are deployed on the basis of \_\_\_\_\_.**
  - A. a mandate from the United Nations Security Council
  - B. the Geneva Convention
  - C. the United Nations Charter
  - D. the Hague Convention
10. **Security Council mandates \_\_\_\_\_.**
  - A. are generally standard for all peacekeeping missions
  - B. are subject to a review by the UN General Assembly
  - C. are updated monthly depending on realities on the ground
  - D. differ from situation to situation depending on the nature of the conflict and the specific challenges it presents

*Answer Key provided on the next page.*

## End-of-Chapter Quiz »

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### Answer Key »

1. C
2. VI
3. VIII
4. A
5. "The law of war" and "the law of armed conflict"
6. B
7. Persons who do not participate, or are no longer participating, in hostilities
8. B
9. A
10. D

# Appendices

Appendices A and B are reproduced here as part of the *United Nations Peacekeeping Operations: Principles and Guidelines* text.

The subsequent appendices contain materials referenced in the content of the course. They have been reproduced here for the student's convenience.

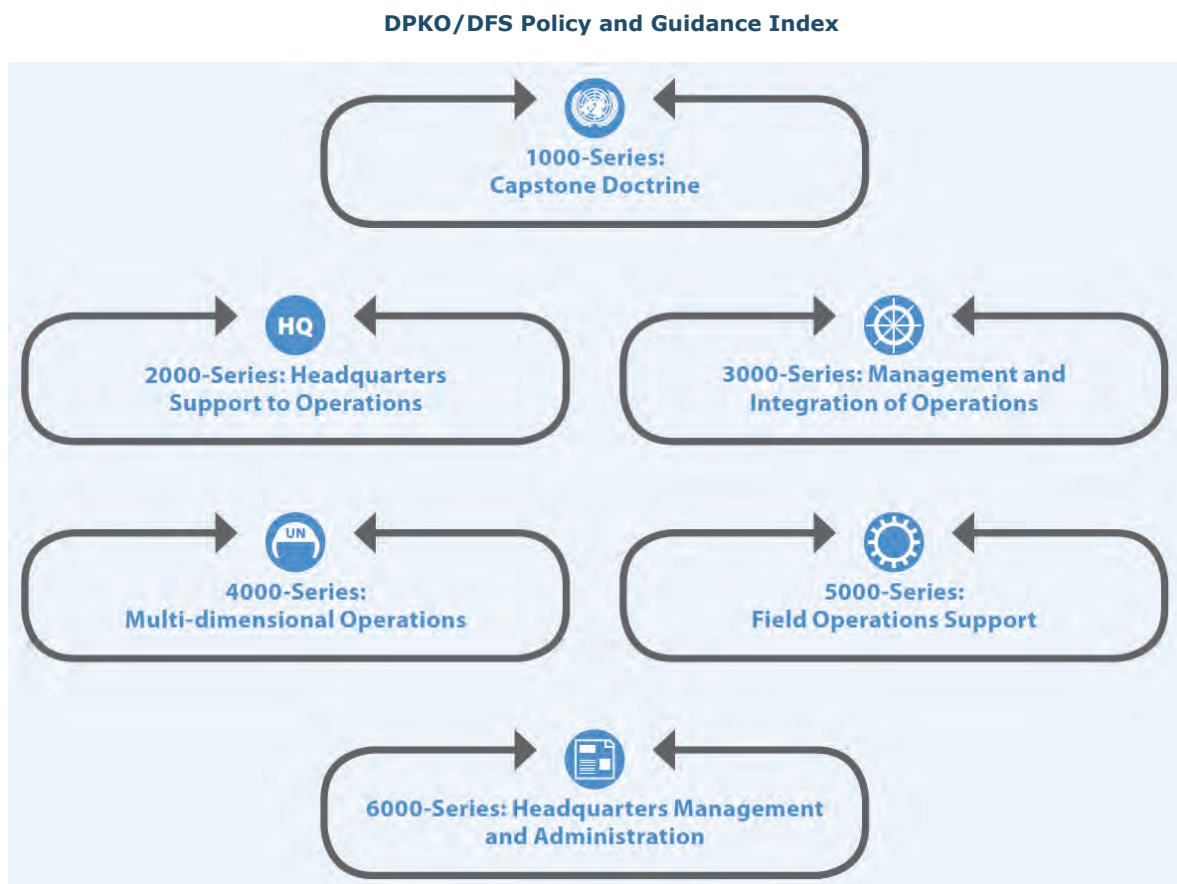
Appendices L and M are excerpts from chapters published in *Principles for the Conduct of Peace Support Operations*, a course previously offered by the Peace Operations Training Institute. These appendices depart from the overarching principles of planning and management presented in DPKO doctrine and, instead, focus on the specifics of peacekeeping in the field. While these documents provide information on specific behavioural procedures, they cannot give the student detailed instructions for every situation. Instead, they suggest perspectives and provide general guidelines that might be applied in a variety of circumstances.



## Appendix A: United Nations Peacekeeping Doctrine Framework

### United Nations Peacekeeping Doctrine Framework

As shown in the diagram below, the United Nations peacekeeping doctrine framework is currently divided into six major guidance “series” (1000–6000), which provide basic reference codes for the organization and management of internal DPKO/DFS policy and guidance materials. Each series is further subdivided into specific thematic and/or functional areas.



#### 1000-Series: Capstone Doctrine

The 1000-series covers the basic principles and key concepts underpinning the planning and conduct of contemporary United Nations peacekeeping operations as well as their core functions and the main factors affecting their success. United Nations Peacekeeping Operations: Principles and Guidelines sits at the highest level in the 1000-series. 1000-series guidance also includes the Handbook on United Nations Multi-dimensional Peacekeeping Operations. All subordinate guidance must be consistent with the principles and concepts set out in the 1000-series.

**2000-Series: Headquarters Support to Operations**

The 2000-series contains guidance on DPKO/DFS headquarters roles, responsibilities and functions in support of field missions. Specific areas covered in the 2000-series include: command and control and executive direction; mission planning and budgeting; recruitment and force generation; deployment and mission start-up; political analysis and briefings; and reporting, monitoring and operations management.

**3000-Series: Management and Integration of Operations**

The 3000-series covers the management and integration of United Nations peacekeeping operations in the field. Documents in this series are intended to provide guidance on arrangements for the effective planning, management and integration of operational and support capabilities in the mission. The 3000series also contains guidance on the effective execution of managerial responsibilities related to the safety, integrity and oversight of the mission and its resources. Specific areas covered in the 3000-series include: mission command and control; political analysis and diplomatic activity; mission planning; safety and security; crisis management; and conduct welfare and discipline.

**4000-Series: Multi-dimensional Operations**

The 4000-series contains guidance on the employment of military, police and substantive civilian capabilities within a United Nations peacekeeping operation. The use of guidance in this series will vary depending on the deployed mission capabilities, and should be seen as modular. Guidance in the 4000-series also draws on and must be consistent with the principles and concepts set out in the 1000-series. Specific areas covered in the 4000-series include: political and civil affairs; military; law enforcement (police); legal and judicial; corrections/prisons; human rights; DDR; SSR; mine action; and elections.

**5000-Series: Field Operations Support**

The 5000-series contains guidance on the integration and employment of all support resources in a mission with the aim of providing timely, efficient and effective support to meet mandate priorities. Guidance on mission support capabilities should be consistent with and should directly support the operational and managerial requirements identified in the 3000- and 4000-series. Specific areas covered in the 5000-series include: logistics support; movement control; strategic deployment stocks; aviation; surface transport; engineering; communications and information technology; medical; finance; and procurement and contract management.

**6000-Series: Headquarters Management and Administration**

The 6000-series sets out the managerial and administrative procedures governing the functioning of DPKO and DFS as specialized, field-focused, operational arms of the United Nations Secretariat. Specific areas covered in the 6000-series include: planning, budget and oversight; human resources and travel; and writing and records.

## Appendix B: Selected Glossary of Acronyms and Terms

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AU	African Union
CAAC	Children and Armed Conflict
CAP	Consolidated Appeals Process
Ceasefire	A temporary stoppage of war, which may also be undertaken as part of a larger negotiated settlement. A cease-fire marking the permanent end of war is referred to as an armistice.
CIS	Commonwealth of Independent States
CMS	Chief of Mission Support
CIMIC	Civil-Military Cooperation
Conflict Prevention	Any structural or diplomatic measures to keep intra-state or interstate tensions and disputes from escalating into violent conflict.
Contingency Plan	A management tool used to ensure adequate arrangements are made in anticipation of a crisis.
Designated Official	The senior-most United Nations decision-maker on safety and security issues, in a given country.
DFS	Department of Field Support
DMS	Director of Mission Support
Doctrine	The evolving body of institutional guidance that provides support and direction to personnel preparing for, planning and implementing UN peacekeeping operations.
DDR	Disarmament, Demobilization and Reintegration
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
ECOWAS	Economic Community of West African States
EU	European Union
FC	Force Commander
Good Offices	The authority and legitimacy afforded by one's moral stature or gained through one's position or function that allows one to perform beneficial acts for another. This authority and legitimacy allows individuals to act as third-party mediators in various types of disputes.
HC	Humanitarian Coordinator
HOM	Head of Mission
HOMC	Head of Military Component
HOPC	Head of Police Component

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Humanitarian Assistance	Material or logistical assistance provided for humanitarian purposes, typically in response to humanitarian crises. The primary objective of humanitarian assistance is to save lives, alleviate suffering and maintain human dignity
Humanitarian Space	This means the ability of humanitarian agencies to work independently and impartially, without fear of attack in pursuit of the humanitarian imperative
Hybrid Operation	A peace operation involving the deployment of military, police or civilian personnel from two or more entities under a single structure
ICRC	International Committee of the Red Cross
IFI	International Financial Institution is a generic term referring to the World Bank, IMF and other international or regional development banks
IMF	International Monetary Fund
IMPP	Integrated Mission Planning Process Integration The process through which the United Nations system seeks to maximize its contribution towards countries emerging from conflict by engaging its different capabilities in a coherent and mutually supportive manner
Integrated Mission	A strategic partnership between a multi-dimensional United Nations peacekeeping operation and the UNCT based on a shared vision among all United Nations actors as to the strategic objectives of the United Nations presence at country-level
IPBS	Integrated Peacebuilding Strategy
ISS	Integrated Support Services
JLOC	Joint Logistics Operations Centre
JOC	Joint Operations Centre
JMAC	Joint Mission Analysis Cell
	United Nations peacekeeping operations comprising a mix of military, police and civilian components working together to lay the foundations of a sustainable peace
MOU	Memorandum of Understanding
NATO	North Atlantic Treaty Organization
NGO	Non-governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs
OHCHR	Office of the High Commissioner for Human Rights
OSCE	Organization for Security and Cooperation in Europe
Parties	Persons or entities involved in a dispute
PCC	Police Contributing Country
Peace Agreement	A formal treaty intended to end or significantly transform violent conflict
Peacebuilding	Measures aimed at reducing the risk of lapsing or relapsing into conflict, by strengthening national capacities for conflict management, and laying the foundations for sustainable peace

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Peace Enforcement	Coercive action undertaken with the authorization of the United Nations Security Council to maintain or restore international peace and security in situations where the Security Council has determined the existence of a threat to the peace, breach of the peace or act of aggression
Peacekeeping	Action undertaken to preserve peace, however fragile, where fighting has been halted and to assist in implementing agreements achieved by the peacemakers
Preventive Diplomacy	Diplomatic efforts to avert disputes arising between parties from escalating into conflict
Peacemaking	Action to bring hostile parties to agreement
Peace Operations	Field operations deployed to prevent, manage, and/or resolve violent conflicts or reduce the risk of their recurrence
PRSP	Poverty Reduction Strategy Papers
QIPs	Quick Impact Projects
RC	Resident Coordinator
Robust Peacekeeping	The use of force by a United Nations peacekeeping operation at the tactical level, with the authorization of the Security Council, to defend its mandate against spoilers whose activities pose a threat to civilians or risk undermining the peace process
ROE	Rules of Engagement
Rule of Law	A principle of governance in which all persons, institutions and entities, public and private, including the State itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards
SDS	Strategic Deployment Stocks
SLT	Senior Leadership Team
SMT	Security Management Team
SOFA/SOMA	Status of Forces Agreement/Status of Mission Agreement
Spoilers	Individuals or groups that may profit from the spread or continuation of violence, or have an interest to disrupt a resolution of a conflict in a given setting
SMSG	Special Representative of the Secretary-General
SSR	Security Sector Reform
TAM	Technical Assessment Mission
	United Nations peacekeeping operations conducted with the consent of the parties to a conflict, usually States, in which "Blue Helmets" monitor a truce between warring sides while mediators seek a political solution to the underlying conflict
Transition	The hand-over of responsibilities between a non-United Nations led peace operation to a United Nations peacekeeping operation; or from the latter to other United Nations or non-United Nations actors upon the successful completion of its mandate
Transitional Administration	A transitional authority established by the Security Council to assist a country during a government regime change or passage to independence

TRM	Transitional Results Matrix
TCC	Troop Contributing Country
UNCT	United Nations Country Team
UNDP	United Nations Development Programme
United Nations-Led Peace Operation	A Peace operation authorized by the United Nations Security Council and conducted under the direction of the United Nations Secretary-General

- \* The list does not provide authoritative United Nations definitions. It is intended to assist with understanding the usage of terms in this document only. Official United Nations definitions are being considered in the context of the ongoing terminology deliberations of the General Assembly's Special Committee on Peacekeeping Operations on the basis of the DPKO Interim Glossary of Terms.

## Appendix C: The Universal Declaration of Human Rights

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### The Universal Declaration of Human Rights

*Adopted and proclaimed by General Assembly resolution 217 A (III) of 10 December 1948*

On December 10, 1948 the General Assembly of the United Nations adopted and proclaimed the Universal Declaration of Human Rights the full text of which appears in the following pages. Following this historic act the Assembly called upon all Member countries to publicise the text of the Declaration and “to cause it to be disseminated, displayed, read and expounded principally in schools and other educational institutions, without distinction based on the political status of countries or territories”.

#### PREAMBLE

Whereas recognition of the inherent dignity and of the equal and inalienable rights of all members of the human family is the foundation of freedom, justice and peace in the world,

Whereas disregard and contempt for human rights have resulted in barbarous acts which have outraged the conscience of mankind, and the advent of a world in which human beings shall enjoy freedom of speech and belief and freedom from fear and want has been proclaimed as the highest aspiration of the common people,

Whereas it is essential, if man is not to be compelled to have recourse, as a last resort, to rebellion against tyranny and oppression, that human rights should be protected by the rule of law,

Whereas it is essential to promote the development of friendly relations between nations,

Whereas the peoples of the United Nations have in the Charter reaffirmed their faith in fundamental human rights, in the dignity and worth of the human person and in the equal rights of men and women and have determined to promote social progress and better standards of life in larger freedom,

Whereas Member States have pledged themselves to achieve, in co-operation with the United Nations, the promotion of universal respect for and observance of human rights and fundamental freedoms,

Whereas a common understanding of these rights and freedoms is of the greatest importance for the full realisation of this pledge,

#### **Now, Therefore THE GENERAL ASSEMBLY proclaims THIS UNIVERSAL DECLARATION OF HUMAN**

**RIGHTS** as a common standard of achievement for all peoples and all nations, to the end that every individual and every organ of society, keeping this Declaration constantly in mind, shall strive by teaching and education to promote respect for these rights and freedoms and by progressive measures, national and international, to secure their universal and effective recognition and observance, both among the peoples of Member States themselves and among the peoples of territories under their jurisdiction.

#### **Article 1**

All human beings are born free and equal in dignity and rights. They are endowed with reason and conscience and should act towards one another in a spirit of brotherhood.

#### **Article 2**

Everyone is entitled to all the rights and freedoms set forth in this Declaration, without distinction of any kind, such as race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status. Furthermore, no distinction shall be made on the basis of the political, jurisdictional or international status of the country or territory to which a person belongs, whether it be independent, trust, non-self-governing or under any other limitation of sovereignty.

**Article 3**

Everyone has the right to life, liberty and security of person.

**Article 4**

No one shall be held in slavery or servitude; slavery and the slave trade shall be prohibited in all their forms.

**Article 5**

No one shall be subjected to torture or to cruel, inhuman or degrading treatment or punishment.

**Article 6**

Everyone has the right to recognition everywhere as a person before the law.

**Article 7**

All are equal before the law and are entitled without any discrimination to equal protection of the law. All are entitled to equal protection against any discrimination in violation of this Declaration and against any incitement to such discrimination.

**Article 8**

Everyone has the right to an effective remedy by the competent national tribunals for acts violating the fundamental rights granted him by the constitution or by law.

**Article 9**

No one shall be subjected to arbitrary arrest, detention or exile.

**Article 10**

Everyone is entitled in full equality to a fair and public hearing by an independent and impartial tribunal, in the determination of his rights and obligations and of any criminal charge against him.

**Article 11**

- (1) Everyone charged with a penal offence has the right to be presumed innocent until proved guilty according to law in a public trial at which he has had all the guarantees necessary for his defence.
- (2) No one shall be held guilty of any penal offence on account of any act or omission which did not constitute a penal offence, under national or international law, at the time when it was committed. Nor shall a heavier penalty be imposed than the one that was applicable at the time the penal offence was committed.

**Article 12**

No one shall be subjected to arbitrary interference with his privacy, family, home or correspondence, nor to attacks upon his honour and reputation. Everyone has the right to the protection of the law against such interference or attacks.

**Article 13**

- (1) Everyone has the right to freedom of movement and residence within the borders of each state.
- (2) Everyone has the right to leave any country, including his own, and to return to his country.



**Article 14**

- (1) Everyone has the right to seek and to enjoy in other countries asylum from persecution.
- (2) This right may not be invoked in the case of prosecutions genuinely arising from non-political crimes or from acts contrary to the purposes and principles of the United Nations.

**Article 15**

- (1) Everyone has the right to a nationality.
- (2) No one shall be arbitrarily deprived of his nationality nor denied the right to change his nationality.

**Article 16**

- (1) Men and women of full age, without any limitation due to race, nationality or religion, have the right to marry and to found a family. They are entitled to equal rights as to marriage, during marriage and at its dissolution.
- (2) Marriage shall be entered into only with the free and full consent of the intending spouses.
- (3) The family is the natural and fundamental group unit of society and is entitled to protection by society and the State.

**Article 17**

- (1) Everyone has the right to own property alone as well as in association with others.
- (2) No one shall be arbitrarily deprived of his property.

**Article 18**

Everyone has the right to freedom of thought, conscience and religion; this right includes freedom to change his religion or belief, and freedom, either alone or in community with others and in public or private, to manifest his religion or belief in teaching, practice, worship and observance.

**Article 19**

Everyone has the right to freedom of opinion and expression; this right includes freedom to hold opinions without interference and to seek, receive and impart information and ideas through any media and regardless of frontiers.

**Article 20**

- (1) Everyone has the right to freedom of peaceful assembly and association.
- (2) No one may be compelled to belong to an association.

**Article 21**

- (1) Everyone has the right to take part in the government of his country, directly or through freely chosen representatives.
- (2) Everyone has the right of equal access to public service in his country.
- (3) The will of the people shall be the basis of the authority of government; this will shall be expressed in periodic and genuine elections which shall be by universal and equal suffrage and shall be held by secret vote or by equivalent free voting procedures.

**Article 22**

Everyone, as a member of society, has the right to social security and is entitled to realisation, through national effort and international co-operation and in accordance with the organisation and resources of each State, of the economic, social and cultural rights indispensable for his dignity and the free development of his personality.

**Article 23**

(1) Everyone has the right to work, to free choice of employment, to just and favourable conditions of work and to protection against unemployment.

(2) Everyone, without any discrimination, has the right to equal pay for equal work.

(3) Everyone who works has the right to just and favourable remuneration ensuring for himself and his family an existence worthy of human dignity, and supplemented, if necessary, by other means of social protection.

(4) Everyone has the right to form and to join trade unions for the protection of his interests.

**Article 24**

Everyone has the right to rest and leisure, including reasonable limitation of working hours and periodic holidays with pay.

**Article 25**

(1) Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services, and the right to security in the event of unemployment, sickness, disability, widowhood, old age or other lack of livelihood in circumstances beyond his control.

(2) Motherhood and childhood are entitled to special care and assistance. All children, whether born in or out of wedlock, shall enjoy the same social protection.

**Article 26**

(1) Everyone has the right to education. Education shall be free, at least in the elementary and fundamental stages. Elementary education shall be compulsory. Technical and professional education shall be made generally available and higher education shall be equally accessible to all on the basis of merit.

(2) Education shall be directed to the full development of the human personality and to the strengthening of respect for human rights and fundamental freedoms. It shall promote understanding, tolerance and friendship among all nations, racial or religious groups, and shall further the activities of the United Nations for the maintenance of peace.

(3) Parents have a prior right to choose the kind of education that shall be given to their children.

**Article 27**

(1) Everyone has the right freely to participate in the cultural life of the community, to enjoy the arts and to share in scientific advancement and its benefits.

(2) Everyone has the right to the protection of the moral and material interests resulting from any scientific, literary or artistic production of which he is the author.

#### **Article 28**

Everyone is entitled to a social and international order in which the rights and freedoms set forth in this Declaration can be fully realised.

#### **Article 29**

(1) Everyone has duties to the community in which alone the free and full development of his personality is possible.

(2) In the exercise of his rights and freedoms, everyone shall be subject only to such limitations as are determined by law solely for the purpose of securing due recognition and respect for the rights and freedoms of others and of meeting the just requirements of morality, public order and the general welfare in a democratic society.

(3) These rights and freedoms may in no case be exercised contrary to the purposes and principles of the United Nations.

#### **Article 30**

Nothing in this Declaration may be interpreted as implying for any State, group or person any right to engage in any activity or to perform any act aimed at the destruction of any of the rights and freedoms set forth herein.

## Appendix D: Secretary-General's Bulletin on International Humanitarian Law

United Nations

ST/SGB/1999/13



Secretariat

6 August 1999

### Secretary-General's Bulletin

#### Observance by United Nations forces of international humanitarian law

The Secretary-General, for the purpose of setting out fundamental principles and rules of international humanitarian law applicable to United Nations forces conducting operations under United Nations command and control, promulgates the following:

##### Section 1 Field of application

1.1 The fundamental principles and rules of international humanitarian law set out in the present bulletin are applicable to United Nations forces when in situations of armed conflict they are actively engaged therein as combatants, to the extent and for the duration of their engagement. They are accordingly applicable in enforcement actions, or in peacekeeping operations when the use of force is permitted in self-defence.

1.2 The promulgation of this bulletin does not affect the protected status of members of peacekeeping operations under the 1994 Convention on the Safety of United Nations and Associated Personnel or their status as non-combatants, as long as they are entitled to the protection given to civilians under the international law of armed conflict.

##### Section 2 Application of national law

The present provisions do not constitute an exhaustive list of principles and rules of international humanitarian law binding upon military personnel, and do not prejudice the application thereof, nor do they replace the national laws by which military personnel remain bound throughout the operation.

##### Section 3 Status-of-forces agreement

In the status-of-forces agreement concluded between the United Nations and a State in whose territory a United Nations force is deployed, the United Nations undertakes to ensure that the force shall conduct its operations with full respect for the principles and rules of the general conventions applicable to the conduct of military personnel. The United Nations also undertakes to ensure that members of the military personnel of the force are fully acquainted with the principles and rules of those international instruments. The obligation to respect the said principles and rules is applicable to United Nations forces even in the absence of a status-of-forces agreement.

##### Section 4 Violations of international humanitarian law

In case of violations of international humanitarian law, members of the military personnel of a United Nations force are subject to prosecution in their national courts.

##### Section 5 Protection of the civilian population

5.1 The United Nations force shall make a clear distinction at all times between civilians and combatants and between civilian objects and military objectives. Military operations shall be directed only against combatants and military objectives. Attacks on civilians or civilian objects are prohibited.

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5.2 Civilians shall enjoy the protection afforded by this section, unless and for such time as they take a direct part in hostilities.

5.3 The United Nations force shall take all feasible precautions to avoid, and in any event to minimize, incidental loss of civilian life, injury to civilians or damage to civilian property.

5.4 In its area of operation, the United Nations force shall avoid, to the extent feasible, locating military objectives within or near densely populated areas, and take all necessary precautions to protect the civilian population, individual civilians and civilian objects against the dangers resulting from military operations. Military installations and equipment of peacekeeping operations, as such, shall not be considered military objectives.

5.5 The United Nations force is prohibited from launching operations of a nature likely to strike military objectives and civilians in an indiscriminate manner, as well as operations that may be expected to cause incidental loss of life among the civilian population or damage to civilian objects that would be excessive in relation to the concrete and direct military advantage anticipated.

5.6 The United Nations force shall not engage in reprisals against civilians or civilian objects.

#### **Section 6** **Means and methods of combat**

6.1 The right of the United Nations force to choose methods and means of combat is not unlimited.

6.2 The United Nations force shall respect the rules prohibiting or restricting the use of certain weapons and methods of combat under the relevant instruments of international humanitarian law. These include, in particular, the prohibition on the use of asphyxiating, poisonous or other gases and biological methods of warfare; bullets which explode, expand or flatten easily in the human body; and certain explosive projectiles. The use of certain conventional weapons, such as non-detectable fragments, anti-personnel mines, booby traps and incendiary weapons, is prohibited.

6.3 The United Nations force is prohibited from employing methods of warfare which may cause superfluous injury or unnecessary suffering, or which are intended, or may be expected to cause, widespread, long-term and severe damage to the natural environment.

6.4 The United Nations force is prohibited from using weapons or methods of combat of a nature to cause unnecessary suffering.

6.5 It is forbidden to order that there shall be no survivors.

6.6 The United Nations force is prohibited from attacking monuments of art, architecture or history, archaeological sites, works of art, places of worship and museums and libraries which constitute the cultural or spiritual heritage of peoples. In its area of operation, the United Nations force shall not use such cultural property or their immediate surroundings for purposes which might expose them to destruction or damage. Theft, pillage, misappropriation and any act of vandalism directed against cultural property is strictly prohibited.

6.7 The United Nations force is prohibited from attacking, destroying, removing or rendering useless objects indispensable to the survival of the civilian population, such as foodstuff, crops, livestock and drinking-water installations and supplies.

6.8 The United Nations force shall not make installations containing dangerous forces, namely dams, dikes and nuclear electrical generating stations, the object of military operations if such operations may cause the release of dangerous forces and consequent severe losses among the civilian population.

6.9 The United Nations force shall not engage in reprisals against objects and installations protected under this section.

#### **Section 7** **Treatment of civilians and persons *hors de combat***

7.1 Persons not, or no longer, taking part in military operations, including civilians, members of armed forces who have laid down their weapons and persons placed *hors de combat* by reason of sickness, wounds or detention, shall, in all circumstances, be treated humanely and without any adverse distinction based on race, sex, religious convictions or any other ground. They shall be accorded full respect for their person, honour and religious and other convictions.

7.2 The following acts against any of the persons mentioned in section 7.1 are prohibited at any time and in any place: violence to life or physical integrity; murder as well as cruel treatment such as torture, mutilation or any form of corporal punishment; collective punishment; reprisals; the taking of hostages; rape; enforced prostitution; any form of sexual assault and humiliation and degrading treatment; enslavement; and pillage.

7.3 Women shall be especially protected against any attack, in particular against rape, enforced prostitution or any other form of indecent assault.

7.4 Children shall be the object of special respect and shall be protected against any form of indecent assault.

## Appendix E: Security Council Resolution 1325 (2000)

United Nations

S/RES/1325 (2000)


**Security Council**

 Distr.: General  
 31 October 2000

### Resolution 1325 (2000)

**Adopted by the Security Council at its 4213th meeting, on  
31 October 2000**

*The Security Council,*

*Recalling* its resolutions 1261 (1999) of 25 August 1999, 1265 (1999) of 17 September 1999, 1296 (2000) of 19 April 2000 and 1314 (2000) of 11 August 2000, as well as relevant statements of its President, and *recalling also* the statement of its President to the press on the occasion of the United Nations Day for Women's Rights and International Peace (International Women's Day) of 8 March 2000 (SC/6816),

*Recalling also* the commitments of the Beijing Declaration and Platform for Action (A/52/231) as well as those contained in the outcome document of the twenty-third Special Session of the United Nations General Assembly entitled "Women 2000: Gender Equality, Development and Peace for the Twenty-First Century" (A/S-23/10/Rev.1), in particular those concerning women and armed conflict,

*Bearing in mind* the purposes and principles of the Charter of the United Nations and the primary responsibility of the Security Council under the Charter for the maintenance of international peace and security,

*Expressing* concern that civilians, particularly women and children, account for the vast majority of those adversely affected by armed conflict, including as refugees and internally displaced persons, and increasingly are targeted by combatants and armed elements, and *recognizing* the consequent impact this has on durable peace and reconciliation,

*Reaffirming* the important role of women in the prevention and resolution of conflicts and in peace-building, and *stressing* the importance of their equal participation and full involvement in all efforts for the maintenance and promotion of peace and security, and the need to increase their role in decision-making with regard to conflict prevention and resolution,

*Reaffirming also* the need to implement fully international humanitarian and human rights law that protects the rights of women and girls during and after conflicts,

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 .....

## S/RES/1325 (2000)

*Emphasizing* the need for all parties to ensure that mine clearance and mine awareness programmes take into account the special needs of women and girls,

*Recognizing* the urgent need to mainstream a gender perspective into peacekeeping operations, and in this regard *noting* the Windhoek Declaration and the Namibia Plan of Action on Mainstreaming a Gender Perspective in Multidimensional Peace Support Operations (S/2000/693),

*Recognizing also* the importance of the recommendation contained in the statement of its President to the press of 8 March 2000 for specialized training for all peacekeeping personnel on the protection, special needs and human rights of women and children in conflict situations,

*Recognizing* that an understanding of the impact of armed conflict on women and girls, effective institutional arrangements to guarantee their protection and full participation in the peace process can significantly contribute to the maintenance and promotion of international peace and security,

*Noting* the need to consolidate data on the impact of armed conflict on women and girls,

1. *Urges* Member States to ensure increased representation of women at all decision-making levels in national, regional and international institutions and mechanisms for the prevention, management, and resolution of conflict;

2. *Encourages* the Secretary-General to implement his strategic plan of action (A/49/587) calling for an increase in the participation of women at decision-making levels in conflict resolution and peace processes;

3. *Urges* the Secretary-General to appoint more women as special representatives and envoys to pursue good offices on his behalf, and in this regard *calls on* Member States to provide candidates to the Secretary-General, for inclusion in a regularly updated centralized roster;

4. *Further urges* the Secretary-General to seek to expand the role and contribution of women in United Nations field-based operations, and especially among military observers, civilian police, human rights and humanitarian personnel;

5. *Expresses* its willingness to incorporate a gender perspective into peacekeeping operations, and *urges* the Secretary-General to ensure that, where appropriate, field operations include a gender component;

6. *Requests* the Secretary-General to provide to Member States training guidelines and materials on the protection, rights and the particular needs of women, as well as on the importance of involving women in all peacekeeping and peace-building measures, *invites* Member States to incorporate these elements as well as HIV/AIDS awareness training into their national training programmes for military and civilian police personnel in preparation for deployment, and *further requests* the Secretary-General to ensure that civilian personnel of peacekeeping operations receive similar training;

7. *Urges* Member States to increase their voluntary financial, technical and logistical support for gender-sensitive training efforts, including those undertaken by relevant funds and programmes, inter alia, the United Nations Fund for Women and United Nations Children's Fund, and by the Office of the United Nations High Commissioner for Refugees and other relevant bodies;

8. *Calls on* all actors involved, when negotiating and implementing peace agreements, to adopt a gender perspective, including, inter alia:

(a) The special needs of women and girls during repatriation and resettlement and for rehabilitation, reintegration and post-conflict reconstruction;

(b) Measures that support local women's peace initiatives and indigenous processes for conflict resolution, and that involve women in all of the implementation mechanisms of the peace agreements;

(c) Measures that ensure the protection of and respect for human rights of women and girls, particularly as they relate to the constitution, the electoral system, the police and the judiciary;

9. *Calls upon* all parties to armed conflict to respect fully international law applicable to the rights and protection of women and girls, especially as civilians, in particular the obligations applicable to them under the Geneva Conventions of 1949 and the Additional Protocols thereto of 1977, the Refugee Convention of 1951 and the Protocol thereto of 1967, the Convention on the Elimination of All Forms of Discrimination against Women of 1979 and the Optional Protocol thereto of 1999 and the United Nations Convention on the Rights of the Child of 1989 and the two Optional Protocols thereto of 25 May 2000, and to bear in mind the relevant provisions of the Rome Statute of the International Criminal Court;

10. *Calls on* all parties to armed conflict to take special measures to protect women and girls from gender-based violence, particularly rape and other forms of sexual abuse, and all other forms of violence in situations of armed conflict;

11. *Emphasizes* the responsibility of all States to put an end to impunity and to prosecute those responsible for genocide, crimes against humanity, and war crimes including those relating to sexual and other violence against women and girls, and in this regard *stresses* the need to exclude these crimes, where feasible from amnesty provisions;

12. *Calls upon* all parties to armed conflict to respect the civilian and humanitarian character of refugee camps and settlements, and to take into account the particular needs of women and girls, including in their design, and recalls its resolutions 1208 (1998) of 19 November 1998 and 1296 (2000) of 19 April 2000;

13. *Encourages* all those involved in the planning for disarmament, demobilization and reintegration to consider the different needs of female and male ex-combatants and to take into account the needs of their dependants;

14. *Reaffirms* its readiness, whenever measures are adopted under Article 41 of the Charter of the United Nations, to give consideration to their potential impact on the civilian population, bearing in mind the special needs of women and girls, in order to consider appropriate humanitarian exemptions;

15. *Expresses* its willingness to ensure that Security Council missions take into account gender considerations and the rights of women, including through consultation with local and international women's groups;

16. *Invites* the Secretary-General to carry out a study on the impact of armed conflict on women and girls, the role of women in peace-building and the gender dimensions of peace processes and conflict resolution, and *further invites* him to



**S/RES/1325 (2000)**

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submit a report to the Security Council on the results of this study and to make this available to all Member States of the United Nations;

17. *Requests* the Secretary-General, where appropriate, to include in his reporting to the Security Council progress on gender mainstreaming throughout peacekeeping missions and all other aspects relating to women and girls;

18. *Decides* to remain actively seized of the matter.

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## Appendix F: Security Council Resolution 1612 (2005)

United Nations

S/RES/1612 (2005)



### Security Council

Distr.: General  
26 July 2005

#### Resolution 1612 (2005)

**Adopted by the Security Council at its 5235th meeting,  
on 26 July 2005**

*The Security Council,*

*Reaffirming* its resolutions 1261 (1999) of 25 August 1999, 1314 (2000) of 11 August 2000, 1379 (2001) of 20 November 2001, 1460 (2003) of 30 January 2003, and 1539 (2004) of 22 April 2004, which contribute to a comprehensive framework for addressing the protection of children affected by armed conflict,

*While noting* the advances made for the protection of children affected by armed conflict, particularly in the areas of advocacy and the development of norms and standards, *remaining deeply concerned* over the lack of overall progress on the ground, where parties to conflict continue to violate with impunity the relevant provisions of applicable international law relating to the rights and protection of children in armed conflict,

*Stressing* the primary role of national Governments in providing effective protection and relief to all children affected by armed conflicts,

*Recalling* the responsibilities of States to end impunity and to prosecute those responsible for genocide, crimes against humanity, war crimes and other egregious crimes perpetrated against children,

*Convinced* that the protection of children in armed conflict should be regarded as an important aspect of any comprehensive strategy to resolve conflict,

*Reiterating* its primary responsibility for the maintenance of international peace and security and, in this connection, its commitment to address the widespread impact of armed conflict on children,

*Stressing* its determination to ensure respect for its resolutions and other international norms and standards for the protection of children affected by armed conflict,

*Having considered* the report of the Secretary-General of 9 February 2005 (S/2005/72) and stressing that the present resolution does not seek to make any legal determination as to whether situations which are referred to in the Secretary-General's report are or are not armed conflicts within the context of the Geneva Conventions and the Additional Protocols thereto, nor does it prejudice the legal status of the non-State parties involved in these situations,

05-43959 (E)

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*Gravely concerned* by the documented links between the use of child soldiers in violation of applicable international law and the illicit trafficking of small arms and light weapons and stressing the need for all States to take measures to prevent and to put an end to such trafficking,

1. *Strongly condemns* the recruitment and use of child soldiers by parties to armed conflict in violation of international obligations applicable to them and all other violations and abuses committed against children in situations of armed conflict;

2. *Takes note* of the action plan presented by the Secretary-General relating to the establishment of a monitoring and reporting mechanism on children and armed conflict as called for in paragraph 2 of its resolution 1539 (2004) and, in this regard:

(a) Underlines that the mechanism is to collect and provide timely, objective, accurate and reliable information on the recruitment and use of child soldiers in violation of applicable international law and on other violations and abuses committed against children affected by armed conflict, and the mechanism will report to the working group to be created in accordance with paragraph 8 of this resolution;

(b) Underlines further that this mechanism must operate with the participation of and in cooperation with national Governments and relevant United Nations and civil society actors, including at the country level;

(c) Stresses that all actions undertaken by United Nations entities within the framework of the monitoring and reporting mechanism must be designed to support and supplement, as appropriate, the protection and rehabilitation roles of national Governments;

(d) Also stresses that any dialogue established under the framework of the monitoring and reporting mechanism by United Nations entities with non-State armed groups in order to ensure protection for and access to children must be conducted in the context of peace processes where they exist and the cooperation framework between the United Nations and the concerned Government;

3. *Requests* the Secretary-General to implement without delay, the above-mentioned monitoring and reporting mechanism, beginning with its application, within existing resources, in close consultation with countries concerned, to parties in situations of armed conflict listed in the annexes to the Secretary-General's report (S/2005/72) that are on the agenda of the Security Council, and then, in close consultation with countries concerned, to apply it to parties in other situations of armed conflict listed in the annexes to the Secretary-General's report (S/2005/72), bearing in mind the discussion of the Security Council and the views expressed by Member States, in particular during the annual debate on Children and Armed Conflict, and also taking into account the findings and recommendations of an independent review on the implementation of the mechanism to be reported to the Security Council by 31 July 2006. The independent review will include:

(a) An assessment of the overall effectiveness of the mechanism, as well as the timeliness, accuracy, objectivity and reliability of the information compiled through the mechanism;

(b) Information on how effectively the mechanism is linked to the work of the Security Council and other organs of the United Nations;

(c) Information on the relevance and clarity of the division of responsibilities;

(d) Information on the budgetary and other resource implications for United Nations actors and voluntary funded organizations contributing to the mechanism;

(e) Recommendations for the full implementation of the mechanism;

4. *Stresses* that the implementation of the monitoring and reporting mechanism by the Secretary-General will be undertaken only in the context of and for the specific purpose of ensuring the protection of children affected by armed conflict and shall not thereby prejudice or imply a decision by the Security Council as to whether or not to include a situation on its agenda;

5. *Welcomes* the initiatives taken by UNICEF and other United Nations entities to gather information on the recruitment and use of child soldiers in violation of applicable international law and on other violations and abuses committed against children in situations of armed conflict and invites the Secretary-General to take due account of these initiatives during the initial phase of implementation of the mechanism referred to in paragraph 3;

6. *Notes* that information compiled by this mechanism, for reporting by the Secretary-General to the General Assembly and the Security Council, may be considered by other international, regional and national bodies, within their mandates and the scope of their work, in order to ensure the protection, rights and well-being of children affected by armed conflict;

7. *Expresses* serious concern regarding the lack of progress in development and implementation of the action plans called for in paragraph 5 (a) of its resolution 1539 (2004) and, pursuant to this, calls on the parties concerned to develop and implement action plans without further delay, in close collaboration with United Nations peacekeeping missions and United Nations country teams, consistent with their respective mandates and within their capabilities; and requests the Secretary-General to provide criteria to assist in the development of such action plans;

8. *Decides* to establish a working group of the Security Council consisting of all members of the Council to review the reports of the mechanism referred to in paragraph 3 of this resolution, to review progress in the development and implementation of the action plans mentioned in paragraph 7 of this resolution and to consider other relevant information presented to it; *decides further* that the working group shall:

(a) Make recommendations to the Council on possible measures to promote the protection of children affected by armed conflict, including through recommendations on appropriate mandates for peacekeeping missions and recommendations with respect to the parties to the conflict;

(b) Address requests, as appropriate, to other bodies within the United Nations system for action to support implementation of this resolution in accordance with their respective mandates;

9. *Recalls* paragraph 5 (c) of its resolution 1539 (2004), and reaffirms its intention to consider imposing, through country-specific resolutions, targeted and

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**S/RES/1612 (2005)**

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graduated measures, such as, inter alia, a ban on the export and supply of small arms and light weapons and of other military equipment and on military assistance, against parties to situations of armed conflict which are on the Security Council's agenda and are in violation of applicable international law relating to the rights and protection of children in armed conflict;

10. *Stresses* the responsibility of United Nations peacekeeping missions and United Nations country teams, consistent with their respective mandates, to ensure effective follow-up to Security Council resolutions, ensure a coordinated response to CAAC concerns and to monitor and report to the Secretary-General;

11. *Welcomes* the efforts undertaken by United Nations peacekeeping operations to implement the Secretary-General's zero-tolerance policy on sexual exploitation and abuse and to ensure full compliance of their personnel with the United Nations code of conduct, requests the Secretary-General to continue to take all necessary action in this regard and to keep the Security Council informed, and urges troop-contributing countries to take appropriate preventive action including predeployment awareness training, and to take disciplinary action and other action to ensure full accountability in cases of misconduct involving their personnel;

12. *Decides* to continue the inclusion of specific provisions for the protection of children in the mandates of United Nations peacekeeping operations, including the deployment, on a case-by-case basis, of child-protection advisers (CPAs), and requests the Secretary-General to ensure that the need for and the number and roles of CPAs are systematically assessed during the preparation of each United Nations peacekeeping operation; welcomes the comprehensive assessment undertaken on the role and activities of CPAs with a view to drawing lessons learned and best practices;

13. *Welcomes* recent initiatives by regional and subregional organizations and arrangements for the protection of children affected by armed conflict, and encourages continued mainstreaming of child protection into their advocacy, policies and programmes; development of peer review and monitoring and reporting mechanisms; establishment, within their secretariats, of child-protection mechanisms; inclusion of child-protection staff and training in their peace and field operations; sub- and interregional initiatives to end activities harmful to children in times of conflict, in particular cross-border recruitment and abduction of children, illicit movement of small arms, and illicit trade in natural resources through the development and implementation of guidelines on children and armed conflict;

14. *Calls upon* all parties concerned to ensure that the protection, rights and well-being of children affected by armed conflict are specifically integrated into all peace processes, peace agreements and post-conflict recovery and reconstruction planning and programmes;

15. *Calls upon* all parties concerned to abide by the international obligations applicable to them relating to the protection of children affected by armed conflict as well as the concrete commitments they have made to the Special Representative of the Secretary-General for Children and Armed Conflict, to UNICEF and other United Nations agencies and to cooperate fully with the United Nations peacekeeping missions and United Nations country teams, where appropriate, in the context of the cooperation framework between the United Nations and the concerned Government, in the follow-up and implementation of these commitments;

16. *Urges* Member States, United Nations entities, regional and subregional organizations and other parties concerned, to take appropriate measures to control illicit subregional and cross-border activities harmful to children, including illicit exploitation of natural resources, illicit trade in small arms, abduction of children and their use and recruitment as soldiers as well as other violations and abuses committed against children in situations of armed conflict in violation of applicable international law;

17. *Urges* all parties concerned, including Member States, United Nations entities and financial institutions, to support the development and strengthening of the capacities of national institutions and local civil society networks for advocacy, protection and rehabilitation of children affected by armed conflict to ensure the sustainability of local child-protection initiatives;

18. *Requests* that the Secretary-General direct all relevant United Nations entities to take specific measures, within existing resources, to ensure systematic mainstreaming of CAAC issues within their respective institutions, including by ensuring allocation of adequate financial and human resources towards protection of war-affected children within all relevant offices and departments and on the ground as well as to strengthen, within their respective mandates, their cooperation and coordination when addressing the protection of children in armed conflict;

19. *Reiterates* its request to the Secretary-General to ensure that, in all his reports on country-specific situations, the protection of children is included as a specific aspect of the report, and expresses its intention to give its full attention to the information provided therein when dealing with those situations on its agenda;

20. *Requests* the Secretary-General to submit a report by November 2006 on the implementation of this resolution and resolutions 1379 (2001), 1460 (2003), and 1539 (2004) which would include, inter alia:

(a) Information on compliance by parties in ending the recruitment or use of children in armed conflict in violation of applicable international law and other violations being committed against children affected by armed conflict;

(b) Information on progress made in the implementation of the monitoring and reporting mechanism mentioned in paragraph 3;

(c) Information on progress made in the development and implementation of the action plans referred to in paragraph 7 of the present resolution;

(d) Information on the assessment of the role and activities of CPAs;

21. *Decides* to remain actively seized of this matter.

## Appendix G: Security Council Resolution 1674 (2006)

United Nations

S/RES/1674 (2006)


**Security Council**

 Distr.: General  
 28 April 2006

### Resolution 1674 (2006)

**Adopted by the Security Council at its 5430th meeting,  
on 28 April 2006**

*The Security Council,*

*Reaffirming* its resolutions 1265 (1999) and 1296 (2000) on the protection of civilians in armed conflict, its various resolutions on children and armed conflict and on women, peace and security, as well as its resolution 1631 (2005) on cooperation between the United Nations and regional organizations in maintaining international peace and security, and further reaffirming its determination to ensure respect for, and follow-up to, these resolutions,

*Reaffirming* its commitment to the Purposes of the Charter of the United Nations as set out in Article 1 (1-4) of the Charter, and to the Principles of the Charter as set out in Article 2 (1-7) of the Charter, including its commitment to the principles of the political independence, sovereign equality and territorial integrity of all States, and respect for the sovereignty of all States,

*Acknowledging* that peace and security, development and human rights are the pillars of the United Nations system and the foundations for collective security and well-being, and *recognizing* in this regard that development, peace and security and human rights are interlinked and mutually reinforcing,

*Expressing* its deep regret that civilians account for the vast majority of casualties in situations of armed conflict,

*Gravely concerned* with the effects of the illicit exploitation and trafficking of natural resources, as well as the illicit trafficking of small arms and light weapons, and the use of such weapons on civilians affected by armed conflict,

*Recognizing* the important contribution to the protection of civilians in armed conflict by regional organizations, and *acknowledging in this regard*, the steps taken by the African Union,

*Recognizing* the important role that education can play in supporting efforts to halt and prevent abuses committed against civilians affected by armed conflict, in particular efforts to prevent sexual exploitation, trafficking in humans, and violations of applicable international law regarding the recruitment and re-recruitment of child soldiers,

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*Recalling* the particular impact which armed conflict has on women and children, including as refugees and internally displaced persons, as well as on other civilians who may have specific vulnerabilities, and stressing the protection and assistance needs of all affected civilian populations,

*Reaffirming* that parties to armed conflict bear the primary responsibility to take all feasible steps to ensure the protection of affected civilians,

*Bearing in mind* its primary responsibility under the Charter of the United Nations for the maintenance of international peace and security, and *underlining* the importance of taking measures aimed at conflict prevention and resolution,

1. *Notes with appreciation* the contribution of the Report of the Secretary-General of 28 November 2005 to its understanding of the issues surrounding the protection of civilians in armed conflict, and *takes note of* its conclusions;

2. *Emphasizes* the importance of preventing armed conflict and its recurrence, and *stresses in this context* the need for a comprehensive approach through promoting economic growth, poverty eradication, sustainable development, national reconciliation, good governance, democracy, the rule of law, and respect for, and protection of, human rights, and in this regard, *urges* the cooperation of Member States and *underlines* the importance of a coherent, comprehensive and coordinated approach by the principal organs of the United Nations, cooperating with one another and within their respective mandates;

3. *Recalls* that deliberately targeting civilians and other protected persons as such in situations of armed conflict is a flagrant violation of international humanitarian law, *reiterates* its condemnation in the strongest terms of such practices, and *demand*s that all parties immediately put an end to such practices;

4. *Reaffirms* the provisions of paragraphs 138 and 139 of the 2005 World Summit Outcome Document regarding the responsibility to protect populations from genocide, war crimes, ethnic cleansing and crimes against humanity;

5. *Reaffirms also* its condemnation in the strongest terms of all acts of violence or abuses committed against civilians in situations of armed conflict in violation of applicable international obligations with respect in particular to (i) torture and other prohibited treatment, (ii) gender-based and sexual violence, (iii) violence against children, (iv) the recruitment and use of child soldiers, (v) trafficking in humans, (vi) forced displacement, and (vii) the intentional denial of humanitarian assistance, and *demand*s that all parties put an end to such practices;

6. *Demand*s that all parties concerned comply strictly with the obligations applicable to them under international law, in particular those contained in the Hague Conventions of 1899 and 1907 and in the Geneva Conventions of 1949 and their Additional Protocols of 1977, as well as with the decisions of the Security Council;

7. *Reaffirms* that ending impunity is essential if a society in conflict or recovering from conflict is to come to terms with past abuses committed against civilians affected by armed conflict and to prevent future such abuses, *draws attention* to the full range of justice and reconciliation mechanisms to be considered, including national, international and “mixed” criminal courts and tribunals and truth and reconciliation commissions, and *notes* that such mechanisms can promote not



only individual responsibility for serious crimes, but also peace, truth, reconciliation and the rights of the victims;

8. *Emphasizes* in this context the responsibility of States to comply with their relevant obligations to end impunity and to prosecute those responsible for war crimes, genocide, crimes against humanity and serious violations of international humanitarian law, while recognizing, for States in or recovering from armed conflict, the need to restore or build independent national judicial systems and institutions;

9. *Calls on* States that have not already done so to consider ratifying the instruments of international humanitarian, human rights and refugee law, and to take appropriate legislative, judicial and administrative measures to implement their obligations under these instruments;

10. *Demands* that all States fully implement all relevant decisions of the Security Council, and in this regard cooperate fully with United Nations peacekeeping missions and country teams in the follow-up and implementation of these resolutions;

11. *Calls upon* all parties concerned to ensure that all peace processes, peace agreements and post-conflict recovery and reconstruction planning have regard for the special needs of women and children and include specific measures for the protection of civilians including (i) the cessation of attacks on civilians, (ii) the facilitation of the provision of humanitarian assistance, (iii) the creation of conditions conducive to the voluntary, safe, dignified and sustainable return of refugees and internally displaced persons, (iv) the facilitation of early access to education and training, (v) the re-establishment of the rule of law, and (vi) the ending of impunity;

12. *Recalls* the prohibition of the forcible displacement of civilians in situations of armed conflict under circumstances that are in violation of parties' obligations under international humanitarian law;

13. *Urges* the international community to provide support and assistance to enable States to fulfil their responsibilities regarding the protection of refugees and other persons protected under international humanitarian law;

14. *Reaffirms* the need to maintain the security and civilian character of refugee and internally displaced person camps, *stresses* the primary responsibility of States in this regard, and *encourages* the Secretary-General where necessary and in the context of existing peacekeeping operations and their respective mandates, to take all feasible measures to ensure security in and around such camps and of their inhabitants;

15. *Expresses its intention* of continuing its collaboration with the United Nations Emergency Relief Coordinator, and *invites* the Secretary-General to fully associate him from the earliest stages of the planning of United Nations peacekeeping and other relevant missions;

16. *Reaffirms* its practice of ensuring that the mandates of United Nations peacekeeping, political and peacebuilding missions include, where appropriate and on a case-by-case basis, provisions regarding (i) the protection of civilians, particularly those under imminent threat of physical danger within their zones of operation, (ii) the facilitation of the provision of humanitarian assistance, and

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(iii) the creation of conditions conducive to the voluntary, safe, dignified and sustainable return of refugees and internally displaced persons, and *expresses its intention* of ensuring that (i) such mandates include clear guidelines as to what missions can and should do to achieve those goals, (ii) the protection of civilians is given priority in decisions about the use of available capacity and resources, including information and intelligence resources, in the implementation of the mandates, and (iii) that protection mandates are implemented;

17. *Reaffirms* that, where appropriate, United Nations peacekeeping and other relevant missions should provide for the dissemination of information about international humanitarian, human rights and refugee law and the application of relevant Security Council resolutions;

18. *Underscores* the importance of disarmament, demobilization and reintegration of ex-combatants (DDR) in the protection of civilians affected by armed conflict, and, in this regard, *emphasizes* (i) its support for the inclusion in mandates of United Nations peacekeeping and other relevant missions, where appropriate and on a case-by-case basis, of specific and effective measures for DDR, (ii) the importance of incorporating such activities into specific peace agreements, where appropriate and in consultation with the parties, and (iii) the importance of adequate resources being made available for the full completion of DDR programmes and activities;

19. *Condemns in the strongest terms* all sexual and other forms of violence committed against civilians in armed conflict, in particular women and children, and *undertakes* to ensure that all peace support operations employ all feasible measures to prevent such violence and to address its impact where it takes place;

20. *Condemns in equally strong terms* all acts of sexual exploitation, abuse and trafficking of women and children by military, police and civilian personnel involved in United Nations operations, *welcomes* the efforts undertaken by United Nations agencies and peacekeeping operations to implement a zero-tolerance policy in this regard, and *requests* the Secretary-General and personnel-contributing countries to continue to take all appropriate action necessary to combat these abuses by such personnel, including through the full implementation without delay of those measures adopted in the relevant General Assembly resolutions based upon the recommendations of the report of the Special Committee on Peacekeeping, A/59/19/Rev.1;

21. *Stresses* the importance for all, within the framework of humanitarian assistance, of upholding and respecting the humanitarian principles of humanity, neutrality, impartiality and independence;

22. *Urges* all those concerned as set forth in international humanitarian law, including the Geneva Conventions and the Hague Regulations, to allow full unimpeded access by humanitarian personnel to civilians in need of assistance in situations of armed conflict, and to make available, as far as possible, all necessary facilities for their operations, and to promote the safety, security and freedom of movement of humanitarian personnel and United Nations and its associated personnel and their assets;

23. *Condemns* all attacks deliberately targeting United Nations and associated personnel involved in humanitarian missions, as well as other humanitarian personnel, *urges* States on whose territory such attacks occur to

prosecute or extradite those responsible, and *welcomes* in this regard the adoption on 8 December 2005 by the General Assembly of the Optional Protocol to the Convention on the Safety of United Nations and Associated Personnel;

24. *Recognizes* the increasingly valuable role that regional organizations and other intergovernmental institutions play in the protection of civilians, and *encourages* the Secretary-General and the heads of regional and other intergovernmental organizations to continue their efforts to strengthen their partnership in this regard;

25. *Reiterates* its invitation to the Secretary-General to continue to refer to the Council relevant information and analysis regarding the protection of civilians where he believes that such information or analysis could contribute to the resolution of issues before it, requests him to continue to include in his written reports to the Council on matters of which it is seized, as appropriate, observations relating to the protection of civilians in armed conflict, and encourages him to continue consultations and take concrete steps to enhance the capacity of the United Nations in this regard;

26. *Notes* that the deliberate targeting of civilians and other protected persons, and the commission of systematic, flagrant and widespread violations of international humanitarian and human rights law in situations of armed conflict, may constitute a threat to international peace and security, and, *reaffirms in this regard* its readiness to consider such situations and, where necessary, to adopt appropriate steps;

27. *Requests* the Secretary-General to submit his next report on the protection of civilians in armed conflict within 18 months of the date of this resolution;

28. *Decides* to remain seized of the matter.

## Appendix H: Security Council Resolution 145 (2005)

United Nations

S/RES/1645 (2005)



### Security Council

Distr.: General  
20 December 2005

#### Resolution 1645 (2005)

**Adopted by the Security Council at its 5335th meeting,  
on 20 December 2005**

*The Security Council,*

*Guided* by the purposes and principles enshrined in the Charter of the United Nations,

*Reaffirming* the 2005 World Summit Outcome,<sup>1</sup>

*Recalling* in particular paragraphs 97 to 105 of that resolution,

*Recognizing* that development, peace and security and human rights are interlinked and mutually reinforcing,

*Emphasizing* the need for a coordinated, coherent and integrated approach to post-conflict peacebuilding and reconciliation with a view to achieving sustainable peace,

*Recognizing* the need for a dedicated institutional mechanism to address the special needs of countries emerging from conflict towards recovery, reintegration and reconstruction and to assist them in laying the foundation for sustainable development,

*Recognizing also* the vital role of the United Nations in preventing conflicts, assisting parties to conflicts to end hostilities and emerge towards recovery, reconstruction and development and in mobilizing sustained international attention and assistance,

*Reaffirming* the respective responsibilities and functions of the organs of the United Nations as defined in the Charter and the need to enhance coordination among them,

*Affirming* the primary responsibility of national and transitional Governments and authorities of countries emerging from conflict or at risk of relapsing into conflict, where they are established, in identifying their priorities and strategies for post-conflict peacebuilding, with a view to ensuring national ownership,

<sup>1</sup> Resolution 60/1.

05-65417 (E)



## S/RES/1645 (2005)

*Emphasizing*, in that regard, the importance of supporting national efforts to establish, redevelop or reform institutions for effective administration of countries emerging from conflict, including capacity-building efforts,

*Recognizing* the important role of regional and subregional organizations in carrying out post-conflict peacebuilding activities in their regions, and stressing the need for sustained international support for their efforts and capacity-building to that end,

*Recognizing also* that countries that have experienced recent post-conflict recovery would make valuable contributions to the work of the Peacebuilding Commission,

*Recognizing further* the role of Member States supporting the peacekeeping and peacebuilding efforts of the United Nations through financial, troop and civilian police contributions,

*Recognizing* the important contribution of civil society and non-governmental organizations, including women's organizations, to peacebuilding efforts,

*Reaffirming* the important role of women in the prevention and resolution of conflicts and in peacebuilding, and stressing the importance of their equal participation and full involvement in all efforts for the maintenance and promotion of peace and security and the need to increase their role in decision-making with regard to conflict prevention and resolution and peacebuilding,

1. *Decides*, acting concurrently with the General Assembly, in accordance with Articles 7, 22 and 29 of the Charter of the United Nations, with a view to operationalizing the decision by the World Summit, to establish the Peacebuilding Commission as an intergovernmental advisory body;

2. *Also decides* that the following shall be the main purposes of the Commission:

(a) To bring together all relevant actors to marshal resources and to advise on and propose integrated strategies for post-conflict peacebuilding and recovery;

(b) To focus attention on the reconstruction and institution-building efforts necessary for recovery from conflict and to support the development of integrated strategies in order to lay the foundation for sustainable development;

(c) To provide recommendations and information to improve the coordination of all relevant actors within and outside the United Nations, to develop best practices, to help to ensure predictable financing for early recovery activities and to extend the period of attention given by the international community to post-conflict recovery;

3. *Decides* that the Commission shall meet in various configurations;

4. *Also decides* that the Commission shall have a standing Organizational Committee, responsible for developing its own rules of procedure and working methods, comprising:

(a) Seven members of the Security Council, including permanent members, selected according to rules and procedures decided by the Council;

(b) Seven members of the Economic and Social Council, elected from regional groups according to rules and procedures decided by the Council and giving due consideration to those countries that have experienced post-conflict recovery;

(c) Five top providers of assessed contributions to United Nations budgets and of voluntary contributions to United Nations funds, programmes and agencies, including the standing peacebuilding fund, that are not among those selected in (a) or (b) above, selected by and among the ten top providers, giving due consideration to the size of their contributions, according to a list provided by the Secretary-General, based on the average annual contributions in the previous three calendar years for which statistical data are available;

(d) Five top providers of military personnel and civilian police to United Nations missions that are not among those selected in (a), (b) or (c) above selected by and among the ten top providers, giving due consideration to the size of their contributions, according to a list provided by the Secretary-General, based on the average monthly contributions in the previous three calendar years for which statistical data are available;

(e) Giving due consideration to representation from all regional groups in the overall composition of the Committee and to representation from countries that have experienced post-conflict recovery, seven additional members shall be elected according to rules and procedures decided by the General Assembly;

5. *Emphasizes* that a Member State can only be selected from one category set out in paragraph 4 above at any one time;

6. *Decides* that members of the Organizational Committee shall serve for renewable terms of two years, as applicable;

7. *Also decides* that country-specific meetings of the Commission, upon invitation of the Organizational Committee referred to in paragraph 4 above, shall include as members, in addition to members of the Committee, representatives from:

(a) The country under consideration;

(b) Countries in the region engaged in the post-conflict process and other countries that are involved in relief efforts and/or political dialogue, as well as relevant regional and subregional organizations;

(c) The major financial, troop and civilian police contributors involved in the recovery effort;

(d) The senior United Nations representative in the field and other relevant United Nations representatives;

(e) Such regional and international financial institutions as may be relevant;

8. *Further decides* that a representative of the Secretary-General shall be invited to participate in all meetings of the Commission;

9. *Decides* that representatives from the World Bank, the International Monetary Fund and other institutional donors shall be invited to participate in all meetings of the Commission in a manner suitable to their governing arrangements;

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10. *Emphasizes* that the Commission shall work in cooperation with national or transitional authorities, where possible, in the country under consideration with a view to ensuring national ownership of the peacebuilding process;

11. *Also emphasizes* that the Commission shall, where appropriate, work in close consultation with regional and subregional organizations to ensure their involvement in the peacebuilding process in accordance with Chapter VIII of the Charter;

12. *Decides* that the Organizational Committee shall, taking due consideration to maintaining a balance in addressing situations in countries in different regions in accordance with the main purposes of the Commission as stipulated above, establish the agenda of the Commission based on the following:

(a) Requests for advice from the Security Council;

(b) Requests for advice from the Economic and Social Council or the General Assembly with the consent of a concerned Member State in exceptional circumstances on the verge of lapsing or relapsing into conflict and with which the Security Council is not seized in accordance with Article 12 of the Charter;

(c) Requests for advice from Member States in exceptional circumstances on the verge of lapsing or relapsing into conflict and which are not on the agenda of the Security Council;

(d) Requests for advice from the Secretary-General;

13. *Also decides* that the Commission shall make the outcome of its discussions and recommendations publicly available as United Nations documents to all relevant bodies and actors, including the international financial institutions;

14. *Invites* all relevant United Nations bodies and other bodies and actors, including the international financial institutions, to take action on the advice of the Commission, as appropriate and in accordance with their respective mandates;

15. *Notes* that the Commission shall submit an annual report to the General Assembly and that the Assembly shall hold an annual debate to review the report;

16. *Underlines* that in post-conflict situations on the agenda of the Security Council with which it is actively seized, in particular when there is a United Nations-mandated peacekeeping mission on the ground or under way and given the primary responsibility of the Council for the maintenance of international peace and security in accordance with the Charter, the main purpose of the Commission will be to provide advice to the Council at its request;

17. *Also underlines* that the advice of the Commission to provide sustained attention as countries move from transitional recovery towards development will be of particular relevance to the Economic and Social Council, bearing in mind its role as a principal body for coordination, policy review, policy dialogue and recommendations on issues of economic and social development;

18. *Decides* that the Commission shall act in all matters on the basis of consensus of its members;

19. *Notes* the importance of participation of regional and local actors, and stresses the importance of adopting flexible working methods, including use of videoconferencing, meetings outside of New York and other modalities, in order to

provide for the active participation of those most relevant to the deliberations of the Commission;

20. *Calls upon* the Commission to integrate a gender perspective into all its work;

21. *Encourages* the Commission to consult with civil society, non-governmental organizations, including women's organizations, and the private sector engaged in peacebuilding activities, as appropriate;

22. *Recommends* that the Commission terminate its consideration of a country-specific situation when foundations for sustainable peace and development are established or upon the request by national authorities of the country under consideration;

23. *Reaffirms* its request to the Secretary-General to establish, within the Secretariat, from within existing resources, a small peacebuilding support office staffed by qualified experts to assist and support the Commission, and recognizes in that regard that such support could include gathering and analysing information relating to the availability of financial resources, relevant United Nations in-country planning activities, progress towards meeting short and medium-term recovery goals and best practices with respect to cross-cutting peacebuilding issues;

24. *Also reaffirms* its request to the Secretary-General to establish a multi-year standing peacebuilding fund for post-conflict peacebuilding, funded by voluntary contributions and taking due account of existing instruments, with the objective of ensuring the immediate release of resources needed to launch peacebuilding activities and the availability of appropriate financing for recovery;

25. *Requests* the Secretary-General to report to the General Assembly on the arrangements for establishing the peacebuilding fund during its sixtieth session;

26. *Calls on* relevant bodies and Member States referred to in paragraph 4 above to communicate the names of members of the Organizational Committee to the Secretary-General to enable him to convene the first constituting meeting of the Committee as soon as possible following the adoption of the present resolution;

27. *Decides* that the arrangements set out above will be reviewed five years after the adoption of the present resolution to ensure that they are appropriate to fulfil the agreed functions of the Commission and that such a review and any changes as a result thereof will be decided following the same procedure as set out in paragraph 1 above;

28. *Decides* to remain seized of the matter.



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10. *Emphasizes* that the Commission shall work in cooperation with national or transitional authorities, where possible, in the country under consideration with a view to ensuring national ownership of the peacebuilding process;

11. *Also emphasizes* that the Commission shall, where appropriate, work in close consultation with regional and subregional organizations to ensure their involvement in the peacebuilding process in accordance with Chapter VIII of the Charter;

12. *Decides* that the Organizational Committee shall, taking due consideration to maintaining a balance in addressing situations in countries in different regions in accordance with the main purposes of the Commission as stipulated above, establish the agenda of the Commission based on the following:

(a) Requests for advice from the Security Council;

(b) Requests for advice from the Economic and Social Council or the General Assembly with the consent of a concerned Member State in exceptional circumstances on the verge of lapsing or relapsing into conflict and with which the Security Council is not seized in accordance with Article 12 of the Charter;

(c) Requests for advice from Member States in exceptional circumstances on the verge of lapsing or relapsing into conflict and which are not on the agenda of the Security Council;

(d) Requests for advice from the Secretary-General;

13. *Also decides* that the Commission shall make the outcome of its discussions and recommendations publicly available as United Nations documents to all relevant bodies and actors, including the international financial institutions;

14. *Invites* all relevant United Nations bodies and other bodies and actors, including the international financial institutions, to take action on the advice of the Commission, as appropriate and in accordance with their respective mandates;

15. *Notes* that the Commission shall submit an annual report to the General Assembly and that the Assembly shall hold an annual debate to review the report;

16. *Underlines* that in post-conflict situations on the agenda of the Security Council with which it is actively seized, in particular when there is a United Nations-mandated peacekeeping mission on the ground or under way and given the primary responsibility of the Council for the maintenance of international peace and security in accordance with the Charter, the main purpose of the Commission will be to provide advice to the Council at its request;

17. *Also underlines* that the advice of the Commission to provide sustained attention as countries move from transitional recovery towards development will be of particular relevance to the Economic and Social Council, bearing in mind its role as a principal body for coordination, policy review, policy dialogue and recommendations on issues of economic and social development;

18. *Decides* that the Commission shall act in all matters on the basis of consensus of its members;

19. *Notes* the importance of participation of regional and local actors, and stresses the importance of adopting flexible working methods, including use of videoconferencing, meetings outside of New York and other modalities, in order to

# Appendix I: Report of the Secretary-General on the Implementation of SCR 340 (1973)

## UNITED NATIONS SECURITY COUNCIL



Distr.  
GENERAL

S/11052/Rev.1  
27 October 1973

ORIGINAL: ENGLISH



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### Report of the Secretary-General on the Implementation of Security Council resolution 340 (1973)

1. The present report is submitted in pursuance of Security Council resolution 340 (1973) of 25 October 1973 in which the Council, among other things, decided to set up immediately a United Nations Emergency Force under its authority and requested the Secretary-General to report within 24 hours on the steps taken to this effect.

#### Terms of reference

2. (a) The Force will supervise the implementation of operative paragraph 1 of resolution 340 (1973), which reads as follows:

"1. Demands that immediate and complete cease-fire be observed and that the parties return to the positions occupied by them at 1650 hours GMT on 22 October 1973;"

(b) The Force will use its best efforts to prevent a recurrence of the fighting, and co-operate with the International Committee of the Red Cross in its humanitarian endeavours in the area.

(c) In the fulfilment of its tasks, the Force will have the co-operation of the military observers of UNTSO.

#### General considerations

3. Three essential conditions must be met for the Force to be effective. Firstly, it must have at all times the full confidence and backing of the Security Council. Secondly, it must operate with the full co-operation of the parties concerned. Thirdly, it must be able to function as an integrated and efficient military unit.

4. Having in mind past experience, I would suggest the following guidelines for the proposed Force:

(a) The Force will be under the command of the United Nations, vested in the Secretary-General, under the authority of the Security Council. The command in the field will be exercised by a Force Commander appointed by the Secretary-General with the consent of the Security Council. The Commander will be responsible to the Secretary-General.

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The Secretary-General shall keep the Security Council fully informed of developments relating to the functioning of the Force. All matters which may affect the nature or the continued effective functioning of the Force will be referred to the Council for its decision.

(b) The Force must enjoy the freedom of movement and communication and other facilities that are necessary for the performance of its tasks. The Force and its personnel should be granted all relevant privileges and immunities provided for by the Convention on the Privileges and Immunities of the United Nations. The Force should operate at all times separately from the armed forces of the parties concerned. Consequently separate quarters and, wherever desirable and feasible, buffer zones will have to be arranged with the co-operation of the parties. Appropriate agreements on the Status of the Force will have to be concluded with the parties to cover the above requirements.

(c) The Force will be composed of a number of contingents to be provided by selected countries, upon the request of the Secretary-General. The contingents will be selected in consultation with the Security Council and with the parties concerned, bearing in mind the accepted principle of equitable geographic representation.

(d) The Force will be provided with weapons of a defensive character only. It shall not use force except in self-defence. Self-defence would include resistance to attempts by forceful means to prevent it from discharging its duties under the mandate of the Security Council. The Force will proceed on the assumption that the parties to the conflict will take all the necessary steps for compliance with the decisions of the Security Council.

(e) In performing its functions, the Force will act with complete impartiality and will avoid actions which could prejudice the rights, claims or positions of the parties concerned which in no way affect the implementation of operative paragraph 1 of resolution 340 (1973) and operative paragraph 1 of resolution 339 (1973).

(f) The supporting personnel of the Force will be provided as a rule by the Secretary-General from among existing United Nations staff. Those personnel will, of course, follow the rules and regulations of the United Nations Secretariat.

#### Proposed plan of action

5. If the Security Council is in agreement with the principles outlined above, I intend to take the following urgent steps:

(a) I propose, with the consent of the Security Council, to appoint the Commander of the Emergency Force as soon as possible. Pending the Commander's arrival in the mission area, with the consent of the Council given at its meeting of 25 October 1973, I have appointed the Chief of Staff of UNTSO, Major-General E. Siilasvuo, as interim Commander of the Emergency Force, and have asked him to set up a provisional headquarters staff consisting of personnel from UNTSO.

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(b) In order that the Force may fulfil the responsibilities entrusted to it, it is considered necessary that it have a total strength in the order of 7,000.

(c) The Force would initially be stationed in the area for a period of six months.

(d) In my letter of 25 October to the President of the Security Council, I proposed, as an urgent interim measure and in order that the Emergency Force may reach the area as soon as possible, to arrange for the contingents of Austria, Finland and Sweden now serving with the United Nations Peace-keeping Force in Cyprus (UNFICYP) to proceed immediately to Egypt. I am at present actively engaged in the necessary consultations, bearing in mind the considerations in paragraph 4 (c) above, with a view to making requests to a number of other Governments to provide contingents of suitable size for the Force at the earliest possible time. As the Members of the Council are aware, this is a complex matter in which a number of factors have to be taken into account. I shall report further to the Council as soon as possible.

(e) In addition to the countries requested to provide contingents for the Force, I propose to request logistic support as necessary from a number of other countries, which may include the Permanent Members of the Security Council.

#### Estimated cost and method of financing

6. At the present time there are many unknown factors. The best possible preliminary estimate based upon past experience and practice is approximately \$30,000,000 for a Force of 7,000, all ranks, for a period of six months.

7. The costs of the Force shall be considered as expenses of the Organization to be borne by the Members in accordance with Article 17, paragraph 2, of the Charter.

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**Appendix J: Statement by the President of the Security Council (S/PRST/1994/22)****UNITED  
NATIONS****S****Security Council**Distr.  
GENERALS/PRST/1994/22  
3 May 1994

ORIGINAL: ENGLISH

## STATEMENT BY THE PRESIDENT OF THE SECURITY COUNCIL

At the 3372nd meeting of the Security Council, held on 3 May 1994, in connection with the Council's consideration of the item entitled "An agenda for peace: preventive diplomacy, peacemaking and peace-keeping", the President of the Security Council made the following statement on behalf of the Council:

"Aware of its primary responsibility for the maintenance of international peace and security, the Security Council has begun its consideration of the report of the Secretary-General entitled 'Improving the capacity of the United Nations for peace-keeping' of 14 March 1994 (S/26450). The Security Council welcomes the useful account the report provides of the measures the Secretary-General has taken to strengthen the capacity of the United Nations to undertake peace-keeping operations. The Security Council notes that this report follows the report of the Secretary-General entitled 'An Agenda for Peace' (S/24111) and that it responds to the statements made by successive Presidents of the Security Council on 'An Agenda for Peace', including in particular the statement made by the President of the Security Council on 28 May 1993 (S/25859).

"The Security Council notes that the report 'Improving the capacity of the United Nations for peace-keeping' has been transmitted to the General Assembly and also notes that the Special Committee on Peace-keeping Operations has made recommendations on the report.

"Establishment of Peace-keeping Operations

"The Security Council recalls that the statement made by its President on 28 May 1993 (S/25859) stated, *inter alia*, that United Nations peace-keeping operations should be conducted in accordance with a number of operational principles, consistent with the provisions of the Charter of the United Nations. In that context, the Security Council is conscious of the need for the political goals, mandate, costs, and, where possible, the estimated time-frame of United Nations peace-keeping operations to be clear and precise, and of the requirement for the mandates of peace-keeping operations to be subject to periodic review. The Council will respond to situations on a case-by-case basis. Without prejudice to its ability to do so and to respond rapidly and flexibly as circumstances require, the

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Council considers that the following factors, among others, should be taken into account when the establishment of new peace-keeping operations is under consideration:

- whether a situation exists the continuation of which is likely to endanger or constitute a threat to international peace and security;
- whether regional or subregional organizations and arrangements exist and are ready and able to assist in resolving the situation;
- whether a cease-fire exists and whether the parties have committed themselves to a peace process intended to reach a political settlement;
- whether a clear political goal exists and whether it can be reflected in the mandate;
- whether a precise mandate for a United Nations operation can be formulated;
- whether the safety and security of United Nations personnel can be reasonably ensured, including in particular whether reasonable guarantees can be obtained from the principal parties or factions regarding the safety and security of United Nations personnel; in this regard it reaffirms its statement of 31 March 1993 (S/25493) and its resolution 868 (1993) of 29 September 1993.

"The Security Council should also be provided with an estimate of projected costs for the start-up phase (initial 90 days) of the operation and the first six months, as well as for the resulting increase in total projected annualized United Nations peace-keeping expenditures, and should be informed of the likely availability of resources for the new operation.

"The Security Council emphasizes the need for the full cooperation of the parties concerned in implementing the mandates of peace-keeping operations as well as relevant decisions of the Security Council.

"Ongoing Review of Operations

"The Security Council notes that the increasing number and complexity of peace-keeping operations, and of situations likely to give rise to proposals for peace-keeping operations, may require measures to improve the quality and speed of the flow of information available to support Council decision-making. The Security Council will keep this question under consideration.

"The Security Council welcomes the enhanced efforts made by the Secretariat to provide information to the Council and underlines the importance of further improving the briefing for Council members on matters of special concern.

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"Communication with Non-Members of the Security Council (including Troop Contributors)"

"The Security Council recognizes the implications which its decisions on peace-keeping operations have for the Members of the United Nations and in particular for troop-contributing countries.

"The Security Council welcomes the increased communication between members and non-members of the Council and believes that the practice of monthly consultations between the President of the Security Council and competent groups of Member States on the Council's programme of work (which includes matters relating to peace-keeping operations) should be continued.

"The Security Council is conscious of the need for enhanced consultations and exchange of information with troop-contributing countries regarding peace-keeping operations, including their planning, management and coordination, particularly when significant extensions in an operation's mandate are in prospect. Such consultations can take a variety of forms involving Member States, troop-contributing countries, members of the Security Council and the Secretariat.

"The Security Council believes that when major events occur regarding peace-keeping operations, including decisions to change or extend a mandate, there is a particular need for members of the Council to seek to exchange views with troop contributors, including by way of informal communications between the Council's President or its members and troop contributors.

"The recent practice of the Secretariat convening meetings of troop contributors, in the presence, as appropriate, of Council members, is welcome and should be developed. The Council also encourages the Secretariat to convene regular meetings for troop contributors and Council members to hear reports from Special Representatives of the Secretary-General or Force Commanders and, as appropriate, to make situation reports on peace-keeping operations available at frequent and regular intervals.

"The Security Council will keep under review arrangements for communication with non-members of the Council.

"Stand-by Arrangements"

"The Security Council attaches great importance to improving the capacity of the United Nations to meet the need for rapid deployment and reinforcement of peace-keeping operations.

"In this context the Security Council welcomes the recommendations in the Secretary-General's report of 14 March 1994 concerning stand-by arrangements and capabilities. The Security Council notes the intention of the Secretary-General to devise stand-by arrangements or capabilities which Member States could maintain at an agreed state of readiness as a possible contribution to a United Nations peace-keeping operation and welcomes the commitments undertaken by a number of Member States.

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"The Security Council welcomes the request by the Secretary-General to Member States to respond positively to this initiative and encourages Member States to do so in so far as possible.

"The Security Council encourages the Secretary-General to continue his efforts to include civilian personnel, such as police, in the present stand-by arrangements planning initiative.

"The Security Council also encourages the Secretary-General to ensure that the Stand-by Arrangements Management Unit carry on its work, including the periodic updating of the list of units and resources.

"The Security Council requests the Secretary-General to report by 30 June 1994 and thereafter at least once a year on progress with this initiative.

"The Council will keep this matter under review in order to make recommendations or take decisions required in this regard.

#### "Civilian Personnel

"The Security Council welcomes the observations made by the Secretary-General in his report in respect of civilian personnel, including civilian police, and invites Member States to respond positively to requests to contribute such personnel to United Nations peace-keeping operations.

"The Security Council attaches importance to full coordination between the different components, military and civilian, of a peace-keeping operation, particularly a multifaceted one. This coordination should extend throughout the planning and implementation of the operation, both at United Nations Headquarters and in the field.

#### "Training

"The Security Council recognizes that the training of personnel for peace-keeping operations is essentially the responsibility of Member States, but encourages the Secretariat to continue the development of basic guidelines and performance standards and to provide descriptive materials.

"The Security Council notes the recommendations of the Special Committee on Peace-keeping Operations on training of peace-keeping personnel. It invites Member States to cooperate with each other in the provision of facilities for this purpose.

#### "Command and Control

"The Security Council stresses that as a leading principle United Nations peace-keeping operations should be under the operational control of the United Nations.

"The Security Council welcomes the call by the General Assembly (resolution 48/43) that the Secretary-General, in cooperation with the

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members of the Security Council, troop-contributing States and other interested Member States, take urgent action on the question of command and control, notes the comments of the Secretary-General in his report of 14 March 1994 and looks forward to his further report on the matter.

"Financial and Administrative Issues

"Bearing in mind the responsibilities of the General Assembly under Article 17 of the Charter, the Security Council notes the Secretary-General's observations and recommendations on budgetary matters relating to peace-keeping operations in his report of 14 March 1994 and notes also that his report has been referred to the General Assembly for its consideration.

"The Security Council confirms that estimates of the financial implications of peace-keeping operations are required from the Secretariat before decisions on mandates or extensions are taken so that the Council is able to act in a financially responsible way.

"Conclusion

"The Security Council will give further consideration to the recommendations contained in the report of the Secretary-General."

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## Appendix K: Security Council Resolution 1353 (2001)

United Nations

S/RES/1353 (2001)


**Security Council**

 Distr.: General  
 13 June 2001

### Resolution 1353 (2001)

**Adopted by the Security Council at its 4326th meeting, on  
13 June 2001**

*The Security Council,*

*Reaffirming* its resolutions 1318 (2000) of 7 September 2000 and 1327 (2000) of 13 November 2000 and the statements by its President of 3 May 1994 (S/PRST/1994/22) and 28 March 1996 (S/PRST/1996/13), and all other relevant statements by its President,

*Recalling also* the statement of its President of 31 January 2001 (S/PRST/2001/3),

*Taking into consideration* the views expressed at its debate on the subject “Strengthening cooperation with troop-contributing countries” at its 4257th meeting on 16 January 2001,

*Reaffirming* its commitment to the Purposes of the Charter of the United Nations as set out in Article 1, paragraphs 1 to 4, of the Charter, and to the Principles of the Charter as set out in Article 2, paragraphs 1 to 7, of the Charter, including its commitment to the principles of the political independence, sovereign equality and territorial integrity of all States, and to respect for the sovereignty of all States,

*Reaffirming* its primary responsibility under the Charter of the United Nations for the maintenance of international peace and security, *reiterating* its commitment to enhance the capacity of the United Nations in this area, and *emphasizing* its willingness to take all necessary steps within its competence to that end,

*Recalling* the relevant recommendations in the report of the Panel on United Nations Peace Operations (S/2000/809), and *reaffirming* its support for all efforts to strengthen the efficiency and effectiveness of United Nations peacekeeping operations,

*Stressing* the need to ensure the safety and security of peacekeepers and other United Nations and associated personnel, including humanitarian personnel,

*Stressing* the need to improve the relationship between the Security Council, the troop-contributing countries and the Secretariat to foster a spirit of partnership, cooperation, confidence and mutual trust,

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*Recognizing* the need to strengthen cooperation with troop-contributing countries, as part of a series of measures to ensure more coherent and integrated concepts of operations and to enhance managerial efficiency and operational effectiveness of United Nations peacekeeping operations,

*Noting* that relevant provisions contained in the annexes to the present resolution pertain also to strengthening cooperation with countries contributing civilian police and other personnel,

1. *Agrees* to adopt the decisions and recommendations contained in the annexes to the present resolution;

2. *Requests* its Working Group on Peacekeeping Operations to continue its work on strengthening the capacity of the United Nations to establish and support efficient and effective peacekeeping operations;

3. *Undertakes* to follow closely the implementation of the agreed measures for cooperation with troop-contributing countries, and requests its Working Group for Peacekeeping Operations to assess within six months of the adoption of this resolution the efficiency and effectiveness of the agreed measures, consider their further improvement taking into account the proposals of the troop-contributing countries and to report to the Council on these matters;

4. *Decides* to remain actively seized of the matter.

## **Annex I**

### **A**

#### **Statement of principles on cooperation with troop-contributing countries**

##### *The Security Council*

1. *Recognizes* that its partnership with troop-contributing countries can be strengthened by the assumption by Member States, in particular those with the greatest capacity and means to do so, of their shared responsibility to provide personnel, assistance and facilities to the United Nations for the maintenance of international peace and security;

2. *Encourages* Member States to take steps to bridge the commitment gap with regard to personnel and equipment for specific United Nations peacekeeping operations;

3. *Emphasizes* the importance of troop-contributing countries taking the necessary and appropriate steps to ensure the capability of their peacekeepers to fulfil the missions' mandate, and *underlines* the importance of bilateral and international cooperation in this regard, including in the area of training, logistics and equipment;

4. *Underlines* the importance of ensuring that national contingents participating in United Nations peacekeeping operations receive effective and appropriate support from the Secretariat, including in the area of training, logistics and equipment;

5. *Stresses* the need to ensure that the Secretariat is given sufficient human and financial resources to fulfil these tasks, and that these resources be used efficiently and effectively;

6. *Underlines* that consultations between the Security Council, the Secretariat and troop-contributing countries should enhance the ability of the Security Council to make appropriate, effective and timely decisions in fulfilling its responsibilities;

7. *Underlines also* the need to maintain a comprehensive approach to improving the effectiveness of peacekeeping operations from their conception, including in preparing contingency plans for volatile situations, and promoting cohesive exit strategies;

## **B**

### **Operational issues**

1. *Encourages* international cooperation and support for peacekeeping training, including the establishment of regional peacekeeping training centres, and *stresses* the need for technical support from the Secretary-General to such centres;

2. *Requests* the Secretary-General to include information on his consultations with troop-contributing countries in his regular reports to the Security Council on individual peacekeeping operations, and *undertakes* to take account of the views expressed in these consultations and in its meetings with troop-contributing countries when taking decisions on such operations;

3. *Also requests* the Secretary-General to convene assessments meetings with interested delegations, in particular troop-contributing countries, at appropriate stages of each peacekeeping operation as a part of his efforts to draw the lessons that can be learned, which should be taken into account in the conduct and planning of current and future operations;

4. *Further requests* the Secretary-General to take into account in the conduct of peacekeeping operations and in the regular lessons-learned process, the operational experiences of national contingents while in the field or following departure;

5. *Undertakes* to inform troop-contributing countries fully of the terms of reference of missions of the Security Council involving peacekeeping operations and subsequently of the conclusions of the missions;

6. *Expresses* its view that the conduct of reconnaissance visits to the mission area by countries committing troops can be highly valuable in preparing for effective participation in peacekeeping operations, and *encourages* support for such visits;

7. *Urges* the Secretary-General to take further steps to implement the proposal of the Panel on United Nations Peace Operations to create integrated mission task forces, and to pursue other related capabilities to improve United Nations planning and support capacities;

8. *Stresses* the need to improve the information and the analysis capacity of the United Nations Secretariat, with a view to improving the quality of advice to the Secretary-General, the Security Council and the troop-contributing countries;

9. *Stresses also* that the Secretariat's advice to the Security Council and the troop-contributing countries should include a range of recommendations for action

## S/RES/1353 (2001)

on the basis of an objective assessment of the situation on the ground, rather than what Member States are presumed to be willing to support;

10. *Underlines* the importance of an effective mission-specific public information and communications capacity within peacekeeping operations, in particular through campaigns to improve awareness of the objectives and scope of the mission within the local population in the mission area;

11. *Stresses* the need for an effective public information programme to generate international public support for United Nations peacekeeping operations, and *stresses* also in this regard the need for special programmes, in particular in troop-contributing countries, to project the contribution of peacekeepers;

12. *Underlines* in this regard the need for an effective public information capacity within the United Nations, and *takes note* in this regard of the proposals made by the Secretary-General to strengthen Secretariat planning and support for public information in peacekeeping operations (S/2000/1081);

**C****Other mechanisms**

1. *Undertakes* to continue to consider the possibility of using the Military Staff Committee as one of the means of enhancing United Nations peacekeeping operations;

2. *Expresses* its belief that Groups of Friends of the Secretary-General, as well as other informal mechanisms which might include troop-contributing countries, Security Council members, donors and the countries in the region, can play a useful role in increasing the coherence and effectiveness of United Nations action, and *stresses* that they should conduct their work in close cooperation with the Security Council;

**D****Follow-up**

1. *Expresses* its intention to assess within six months the efficiency and effectiveness of its meetings with troop-contributing countries, with a view to the possibility of further improvement to the current system, including through the consideration of specific proposals of troop-contributing countries for new mechanisms;

2. *Decides* to strengthen cooperation with the troop-contributing countries in addition to and on the basis of the principles and provisions contained in the resolution and the present annex by improving and expanding existing consultation mechanisms as elaborated in annex II, with a view to ensuring proper reflection of the views and concerns of troop-contributing countries.

**Annex II****Format, procedures and documentation of meetings with the troop-contributing countries**

The consultations with troop-contributing countries will take place in the following formats:

- A. Public or private meetings of the Security Council with the participation of troop-contributing countries;
- B. Consultation meetings with the troop-contributing countries;
- C. Meetings between the Secretariat and troop-contributing countries;

**A****Public or private meetings of the Security Council**

1. The Security Council will hold public or private meetings with the participation of troop-contributing countries, including at their request, and without prejudice to the provisional rules of procedure of the Security Council, in order to ensure a full and high-level consideration of issues of critical importance to a specific peacekeeping operation;
2. Such meetings may be held, in particular, when the Secretary-General has identified potential troop-contributing countries for a new or ongoing peacekeeping operation, when considering a change in, or renewal or completion of a peacekeeping mandate, or when there is a rapid deterioration in the situation on the ground, including when it threatens the safety and security of United Nations peacekeepers;

**B****Consultation meetings with the troop-contributing countries**

1. Consultation meetings with troop-contributing countries will continue as the principal means of consultation, and will continue to be convened and chaired by the President of the Security Council;
2. Such consultation meetings may be convened, including at the request of troop-contributing countries, as appropriate at different stages of peacekeeping operations, including:
  - (a) Mission planning, including the development of the concept of operations and the elaboration of the mandate of a new operation;
  - (b) Any change in the mandate, in particular the broadening or narrowing of the scope of the mission, the introduction of new or additional functions or components, or a change in the authorization to use force;
  - (c) The renewal of a mandate;
  - (d) Significant or serious political, military or humanitarian developments;
  - (e) A rapid deterioration of the security situation on the ground;
  - (f) The termination, withdrawal or scaling down in size of the operation, including the transition from peacekeeping to post-conflict peace-building;
  - (g) Before and after Council missions to a specific peacekeeping operation;
3. The following parties will be invited to these meetings:
  - (a) Countries contributing troops, military observers or civilian police to the peacekeeping operation;

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- (b) Prospective troop-contributing countries as identified by the Secretary-General;
  - (c) Relevant United Nations bodies and agencies, when they have specific contributions to make to the issue under discussion;
  - (d) Other bodies and agencies, as observers, as appropriate;
  - (e) Countries that make special contributions, such as other civilian personnel, contributions to trust funds, logistics, equipment and facilities and other contributions, as appropriate;
  - (f) The host country/countries, as observers, as appropriate;
  - (g) The representative of a regional or subregional organization or arrangement, contributing troops as appropriate;
  - (h) Regional organizations, as observers when not contributing troops, as appropriate;
4. Such consultation meetings will, as appropriate, include consideration of:
- (a) Preparations for the establishment of a peacekeeping mandate by the Security Council;
  - (b) Operational issues, including the concept of operations, mission planning, authorization to use force, the chain of command, force structure, the unity and cohesion of the force, training and equipment, risk assessment and deployment;
  - (c) Significant concerns of or recommendations by the Secretary-General, as set out in his report, a briefing note from the Secretariat or the Secretariat's oral briefing;
  - (d) The specific concerns of troop-contributing countries, including those communicated to the President of the Security Council;
  - (e) Progress in the accomplishment of the mission's tasks in different areas or mission components;
5. The following measures will be ensured to improve the quality and effectiveness of such consultations:
- (a) An informal paper setting out the agenda, including issues to be covered and drawing attention to relevant background documentation, will be circulated by the President of the Security Council to the participants when inviting them to attend these meetings;
  - (b) The Secretary-General should ensure, within the constraints of the Security Council's programme of work, that reports requested by the Security Council on specific peacekeeping operations are issued in good time to allow the timely holding of meetings with troop-contributing countries before discussion among Security Council members;
  - (c) The Secretariat should also make fact sheets available to all participants at the beginning of these meetings;
  - (d) The Secretary-General should ensure, where possible, that briefings are given by senior personnel working with the mission in the field;

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(e) The Secretary-General should ensure that briefings consist of an objective assessment and analysis of the political, military, humanitarian and human rights situations, where appropriate;

(f) The Secretary-General should add value to the briefings by making them more user-friendly, including through the exploitation of information technology;

6. The following arrangements will be made to ensure timely and appropriate communication of the concerns and views of troop-contributing countries, as expressed at the consultation meetings, to the members of the Security Council so that these concerns and views can receive due consideration:

- The President of the Security Council will prepare, with the assistance of the Secretariat, and make available a summary of the content of such meetings;
- The summary of discussion will be distributed to Council members in advance of informal consultations or of the next meeting on the relevant peacekeeping operation, where appropriate;

## C

### **Meetings between the Secretariat and troop-contributing countries**

The Security Council supports the existing practice of meetings between the Secretariat and troop-contributing countries to discuss matters concerning specific peacekeeping operations, and also the participation at such meetings, where appropriate, of Special Representatives of the Secretary-General, Force Commanders and Civilian Police Commissioners.

### **Other forms of consultations**

The Security Council notes that the forms of consultations mentioned herein are not exhaustive and that consultations may take a variety of other forms, including formal or informal communication between the President of the Council or its members, the Secretary-General and the troop-contributing countries and, as appropriate, with other countries especially affected, including countries from the region concerned.



## Appendix L: The Nature of Conflict

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### Causes of Violence

There are many theories as to the general causes of violence. A basic understanding of these causal factors of violence can help the peacekeeper design a strategy for their elimination. Causal factors are generally categorised as relating either to individuals or groups.

- a. **Individual:** There are identifiable causes of violence in individuals which must be addressed if individual acts of violence are to be countered. As violence relates to an individual, fighting may be viewed as a physiological response which can be caused by selective education, propaganda, discrepancies between preferred and actual states of circumstance, and violations of basic survival and social needs. All of these causal factors may be further fuelled by frustration, drugs, alcohol, or success (power as a potentiator).
- b. **Group:** It has been suggested that groups with mixed status are most likely to employ violence as a means of redressing their immediate position. Examples of such mixed groups would be: a numerically superior group with a declining share of a society's wealth; or, a wealthy group with only little political power; or, a military group with little wealth or power. Each of these might employ violence to improve their lot. Such discrepancies in groups can be exploited by those interested in inciting violence by further creating the "us" versus "them" dynamic, which promotes group cohesion through the creation of an external enemy.

### Escalation

Whether between individuals or groups, once violence begins, it is prone to escalate. Escalation occurs when a conflict increases in intensity or when incidents related to the conflict occur more frequently. Escalation occurs very quickly when there is increased intransigence, hatred, and a spiral reaction which becomes increasingly difficult to counter. De-escalation techniques that highlight promoting cooperation and consent should be used to control and counter escalation.

### De-escalation

There are three crucial tasks to carry out to further de-escalation: controlling the physical violence in a conflict, creating an atmosphere conducive to the promotion of consent and negotiation, and facilitating settlement and resolution. De-escalation can be described as a process involving five broad, overlapping phases which need to be coordinated into a comprehensive plan, as follows:

- a. Separating the belligerent parties so as to stop the fighting. Whether or not they can be separated depends upon the nature and origins of the conflict and the means available to end it. Military actions must be coordinated with political ones, at all levels.
- b. The employment of management techniques, incentives, as well as sanctions to support diplomatic efforts that would change the operational environment and bring about a settlement.
- c. Using consent-promoting techniques to create the environment of trust and confidence that is necessary for political resolution.

- d. Employment of diplomatic activities at the strategic level in order to produce conflict resolution. This includes two steps: the “settlement” portion in which the situation is stabilised but the sources of the conflict remain; and the “resolution” portion in which the conflict has been terminated with little risk of recurrence.
- e. Finally, the conditions and causes that gave rise to the conflict are confronted and eliminated, mainly by using civilian, diplomatic, and humanitarian agencies to prevent a recurrence of violence. Reconstruction considerations, however, also need to be addressed throughout the process. It is expected that the long-term requirements of peace building alleviate the inclinations to use force and other aggressive techniques.

## Appendix M: Techniques that Promote Consent

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### Negotiation, Mediation, Arbitration, and Conciliation

#### Description

Terms may be defined as follows:

Negotiation refers to direct dialogue between parties. If the PSO force is the negotiator, members of the UN troops will play an active role to achieve particular ends while protecting their own interests. For example, such negotiations might take place to secure the safe passage of humanitarian relief supplies.

Mediation describes the activities of a go-between who connects parties in a dispute. In this role, the UN peacekeeper has no position of his own to guard. Instead, he acts as the means whereby opposing parties communicate with each other and he encourages them to identify and reach solutions that are mutually agreeable.

Arbitration is used to control situations which might turn violent. In arbitration, an authoritative third party provides a binding judgement and imposes a settlement, after considering the opposing positions.

Conciliation describes how agreements resulting from successful negotiation, mediation, and arbitration have a reconciling effect on the opposing parties in a conflict.

The ultimate aim of negotiation and mediation is to reach agreements to which all parties have freely consented and which will help to contain or to de-escalate the conflict. In most PSO environments, there is initially less initial scope for arbitration, because arbitration requires a degree of control in a situation that may take some time to establish. At the tactical level, conciliation will normally reflect compromises reached between the aims of the participants and the PSO force.

#### Significance

Chapter 2 highlights the key significance of promoting and sustaining consent in PSO. Article 33 of Chapter VI of the UN Charter emphasizes the importance of negotiation, enquiry, mediation, and conciliation as the chief means of settling disputes. By using negotiation and mediation, positive relationships between the factions and the PSO force are formed, enabling them to reach agreement and promote the process of conciliation. As the PSO Force create objective and effective negotiations that are controlled and fostered at every level, a climate of mutual respect and cooperation develops. Therefore the techniques of negotiation and mediation are thought to be the primary and most potent means of developing peaceful, agreeable, and lasting solutions to conflict in all aspects of a PSO.

#### Requirement

Negotiation and mediation are required at all stages of a PSO and need to be exercised at every level. Consequently, all participants of a UN mission are involved, from senior commanders who meet with faction leaders, to individual soldiers at isolated observation points who find themselves trying to de-escalate an incident or arbitrating a dispute. Confrontations may be sudden and unexpected, and negotiation and mediation may be instantly required, without time for preparation, in situations where life and limb may be at stake.

**Complexity**

Negotiation sessions are generally characterized by the fact that, at all levels, there is representation by numerous interested parties. Some will be directly involved in the main conflict, others will have peripheral interests related to the conflict. UN negotiators must keep in mind that relationships between the representatives are often complex and competitive. All representatives are likely to play a role in the outcome of the negotiations. Participants may represent the broadest and most complicated range of interests, perceptions, bargaining tools, and cultural approaches; and, each element that is presented may interact and possibly conflict with that of the others. Finally, the interplay of personalities will contribute significantly to the course and outcome of the negotiations.

**Conduct of Negotiations and Mediation**

Negotiations and mediation may be conducted as part of a deliberate process; or, these processes may occur as an unplanned method of controlling and de-escalating an incident. In the case of de-escalation of an incident, it is important to remember that the commander involved at the incident is part of the problem; he must set the scene for others to resolve it, usually at the next level up the chain of command (assuming there is a higher level). When there is no chain of command, identifying other people of influence (such as the local mayor or chief official) is critical to resolving the problem.

Identifying and addressing sources of the incident and finding the best level to address it lies at the heart of preventing further incidents. Essentially there are three stages in the process of negotiation and mediation. They are: preparation, conduct, and follow-up. Each stage requires extensive consideration, research, and care, and is described below.

**Preparation**

First, the peacekeeper should define a clear aim and seek to determine what he wants to achieve. Identifying an aim means taking many factors into account, including the objectives and capabilities of those in conflict as well as a realistic appraisal of what is feasible. In practice, the initial aim may be no more than to get competing factions to meet; the aim is likely to be refined as the meeting progresses.

In preparation, a role reversal simulation with the negotiator playing the absent party, and someone else playing his role, is often very useful. Also, before negotiating have in mind the best alternative to a negotiated agreement (BATNA) and brain-storm creative options which can be explored with the other party without commitment.

Specific preparations initially include researching the background and history of the issue to be discussed and taking into account all previous reports relevant to the issue. The negotiator or mediator should conduct a survey of the arguments and opinions that the belligerent parties may wish to put forward. Next, he should identify the options, limitations, minimum requirements for a settlement, and areas of common interest and possible compromise. During negotiations, the underlying interests, not stated positions of the other party must be carefully analyzed. If negotiating, the peacekeeper should be clear on which points he must win or protect, and those that may be used as

bargaining chips. He should also make a thorough study of the participants who will attend the meeting, obtaining information about their cultural origin, personality, degree of authority, influence, habits, and attitudes. If the UN mission hosts the meeting, specific arrangements should take account of the following:

(a) Location:

The site should be secure and neutral during the conduct of formal negotiations or mediation. In the case of de-escalation of an incident, personnel who are key to defusing the problem should be identified. They should be persuaded to conduct negotiations away from the crowd and away from other outside pressures, preferably in a secluded place that is appropriate for conducting negotiations, such as a nearby barn.

(b) Administration:

Organizational details for a meeting place should include making arrangements for arrival and departure of those attending, the provision of parking, communications, meals, and refreshments. Vehicles of the PSO force may often be the only means of transporting delegates to and from meetings, and such a transport requirement may demand considerable time and effort. The meeting itself requires an agenda, a seating plan, and note-takers. Interpreters and other specialist advisers on such subjects as weapons, unexploded ordnance, economics, culture and religion may also be required at the meeting. Meetings may continue for considerable periods of time; thus commanders should expect to feed all those who attend. Such administrative details are important and can make a considerable difference to the attitudes of the participants.

(c) Attendees:

Those who attend a negotiation meeting should be at an appropriate and equal level of rank. Great offence may be caused if senior representatives from one faction are required to meet with junior representatives from another. To avoid unmanageable numbers of attendees, the size of each party should be specified and checked in advance. What weapons can and cannot be brought into the meeting should also be announced in advance. Rules for bodyguards must be established, and PSO commanders should bring their own bodyguards with them. Protocol must be meticulously upheld.

## **Conduct**

In the case of mediation, the parties in conflict should confer with the go-between in separate locations. In the case of negotiations, on the other hand, meetings would be held openly in one location with all the parties present. Although it may be extremely difficult, the first item on the agenda should be for the participants to agree on the purpose of the meeting. If the UN peacekeeper is hosting the occasion, he should remember to offer the customary salutations and exchange of courtesies, ensuring that all parties are identified and are introduced to each other. Refreshments are normally offered. Some introductory small talk is useful and polite to help make everybody feel at ease and to assess the mood. The following principles should guide the negotiation:

(a) Preserve Options:

The opposing sides should be encouraged to give their views first. This enables the negotiator to re-assess the viability of his own position. If possible, he should avoid taking an immediate stand and be wary of making promises or admissions unless absolutely required.

(b) Restraint and Control:

Belligerent parties are often deliberately inflexible. They may shamelessly distort information and introduce irrelevant items into the agenda in order to distract attention from areas that might embarrass them. Nonetheless, visible frustration, impatience, or anger at such tactics can undermine the negotiator's position. Forcing issues (even if valid) may achieve only a short-term gain and embarrass or discredit another party. In the long term, such gains result in loss of goodwill whose effects can last a long time. In addition, any loss of face is likely to increase the belligerence of faction leaders. Thus, face saving measures by the negotiator is in the long term best interests of all parties. Therefore respect should be shown for the negotiating positions of other parties at all times, and proper rules of procedure should be followed. In general, speakers should not be interrupted. However, incorrect information should be corrected, if necessary, with appropriate evidence. And at all times, facts should take precedence over opinions.

(c) Agreement:

If necessary, the negotiator should remind participants of their previous agreements, arrangements, accepted practices, and their personal pronouncements. However, this should be done tactfully and with scrupulous accuracy. It may be appropriate to remind participants that they cannot change the past, but if they wish to, they have the power to change the future.

(d) Compromise:

Any areas of partial agreement or of consensus should be carefully explored to see if they contain grounds for compromise solutions between parties. It can be noted that common interests between factions may offer answers to seemingly intractable differences.

(e) Closing Summary:

Any negotiation or mediation should be finalized with a summary of what has been resolved. This summary must be agreed to by all participants and, if possible, it should be written down and signed by the principal participants. Finally, before a meeting is concluded, the time and place for further negotiation should be agreed upon.

**Follow-up**

Effective follow-up on what is negotiated is every bit as important as the successful negotiation itself. Without such follow-up, achievements by negotiation or mediation will be meaningless. The outcome of the negotiations or mediation must be communicated to all interested parties. Background files should be updated with all pertinent information, including personality profiles of the participants to the agreement. Agreements should be monitored, implemented, or supervised as soon as possible. The period immediately following a negotiated agreement is the most critical. To preserve the credibility of the negotiating process, what has been agreed must be made a reality; and, if there is any breach of the agreement, it should at least be marked by an immediate protest.

**Individual Qualities**

The individual qualities and personality of the negotiator or mediator play a most important role. If negotiating beyond the immediate needs of the issue under discussion, he must remain scrupulously impartial. During a mediation, because of the need to instil trust in all parties, he must demonstrate absolute impartiality and discretion at all times. He should continually take care to avoid giving away information or confidences about third parties that may be of value to their opponents. He must be firm, fair, and friendly, while demonstrating a mastery of detail, tact, patience, a sense of proportion, resourcefulness, and objectivity. On matters of principle, the mediator or negotiator must be insistent without being belligerent. He should never lie or adopt an arrogant or patronizing manner. He should maintain the highest level of dress and deportment at all times.

**Languages**

Planning the correct mix and distribution of language skills is a fundamental element of negotiations. Commanders should be practised in the art of using an interpreter.

**Community Information****Terminology**

The psychological dimension of a peacekeeping mission is a prominent and critical element of campaign activity that deserves close attention. It is thinking, attitudes, and minds that have to be changed. Any means of influencing perceptions, particularly those of the parties in conflict, are important. Community information therefore plays a vital role in PSO, where one makes a clear distinction between community information and public information. Public information builds attitudes in a world-wide context and is governed by the agenda of the media. Community information, on the other hand, targets selected audiences and is a direct tool of the commander.

## **Aims of Community Information**

Community information aims to influence the emotions, perceptions, motives, objective reasoning, and ultimately the behaviour of target audiences. It is a non-lethal means of creating compliance and cooperation within a commander's area of operations. Specifically, community information seeks to promote popular support and thus to discourage armed opposition to the UN mission. Community information attempts to portray an honest representation of the competence, credibility, resolve, achievements, and human face of the UN Force, and at the same time, tries to emphasize the responsibility of local nationals to resolve their own differences. It seeks to educate and enlighten. Community information may also take a coordinating role by broadcasting items such as warnings, future intentions of the controlling authorities, and details of agreements reached between opposing factions.

## **Principles**

A community information campaign should follow the following general principles:

### **(a) Impartiality:**

When appropriate, the impartiality of the PSO force must be repeatedly stressed. Nothing should be communicated that might prejudice the force's perceived impartiality. In peacekeeping the "enemy" is anarchy, atrocity, and starvation.

### **(b) Cultural Knowledge:**

It is vital for peacekeepers to have a thorough understanding of the local culture, including its dialects; an active effort must be made to gain this understanding. Socio-cultural studies and opinion surveys should be conducted to identify prevailing attitudes and expose misconceptions and misunderstandings that can then be addressed through the community information campaign.

### **(c) Coordination and Integration:**

As a psychological activity, community information projects must be coordinated and integrated with other activities that seek to determine and influence local perceptions. Other activities include military information operations, civil affairs projects, and public information. Aviation and electronic warfare assets may be required to support community information activities.

### **(d) Truth:**

Community information will serve no purpose if it is not believed. Truth that can be demonstrated and observed must therefore be the foundation of community information materials. Exposed lies or evident propaganda create profound damage to the long-term credibility and viability of any community information programme.

### **(e) Style:**

Community information material should be presented as public service announcements. They should not appear to be patronizing, arrogant, or blatantly manipulative.



## **Community Relations**

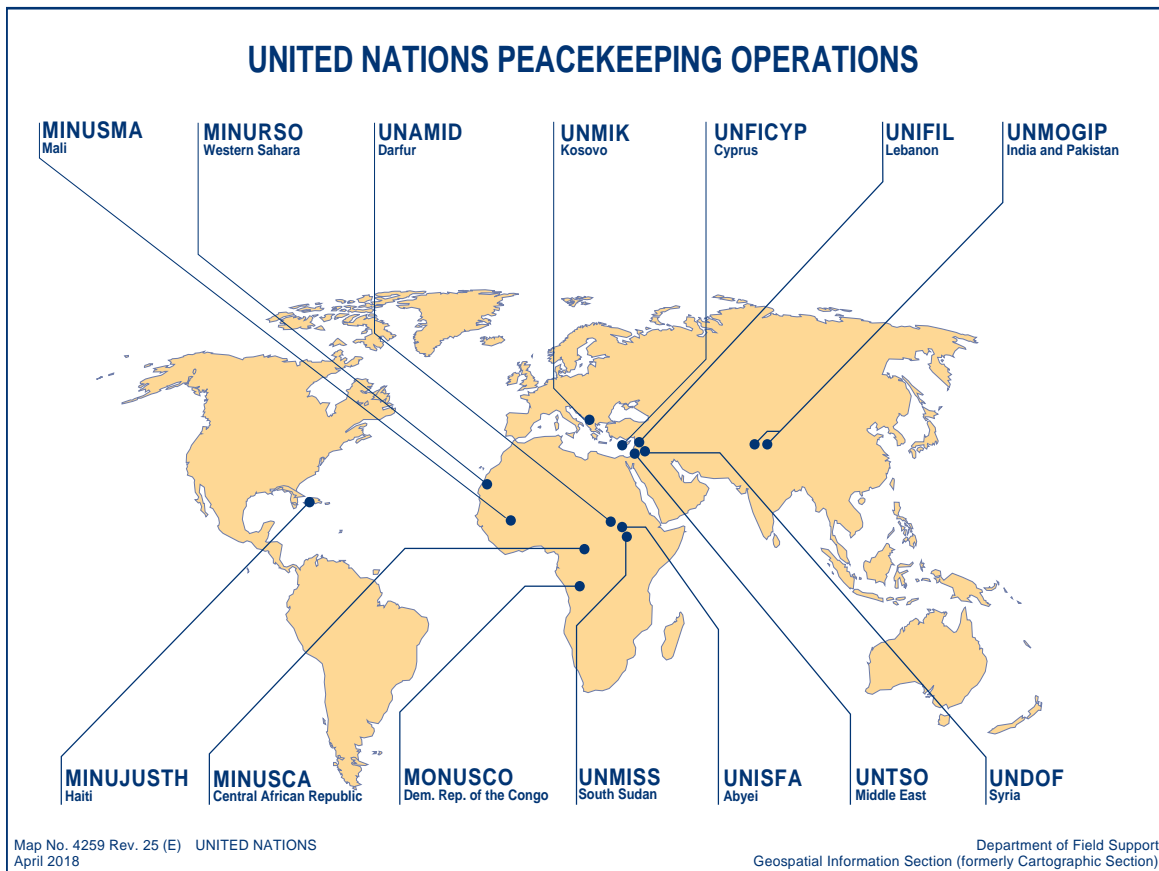
### **Nature and Purpose**

Community relations is an element both in public information and in community information programmes. It is defined as the deliberate fostering of social contact with the local population. The purpose of community relations is to create favourable local perceptions and to encourage a cooperative response to UN peacekeeping activities.

### **Conduct**

Community relations may be encouraged by sponsoring formal occasions such as sports days, musical concerts, displays, recreational outings, and informal gatherings. Such events may be large or small. At a minor level, community relation activities may also be conducted on a daily basis by small and specialized teams that can present things of interest and entertainment in various ways. Community relation occasions should avoid being blatantly manipulative; they should be characterized by a relaxed informality. Nevertheless, events should be carefully planned and executed in order to avoid undue security risks. Finally, to ensure that community relations programmes are conducted in a way that maintains the PSO force's perceived impartiality, all elements of the local population should be included.

## Appendix N: Current Peacekeeping Missions



UN Peacekeeping Map from the UN Cartographic Section, April 2018: <[www.un.org/Depts/Cartographic/map/dpko/P\\_K\\_O.pdf](http://www.un.org/Depts/Cartographic/map/dpko/P_K_O.pdf)>.

- » ***Looking for statistics or other data about peacekeeping around the world today? Visit the UN Peacekeeping resource page for the most up-to-date information about current peacekeeping operations and other UN missions:***
- <[www.un.org/en/peacekeeping/resources/](http://www.un.org/en/peacekeeping/resources/)>.***

## Acknowledgements

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The Peace Operations Training Institute would like to thank the Peacekeeping Best Practices Section of DPKO for their permission in reproducing the text of the *United Nations Peacekeeping Operations: Principles and Guidelines* document.

The Institute also wishes to thank General Gordon for his role in bringing this document to press. General Gordon co-drafted the Principles and Guidelines doctrine for DPKO and was instrumental in its finalization and approval. Educated at Wellington College, Berkshire and Cambridge University, General Gordon joined the British Army, in which he served until his retirement in 2005. During his military career, he was actively involved in UN peacekeeping operations, first serving with the UN in Cyprus. In 1994, he commanded UN Sector South West Bosnia (UNPROFOR) and the British Forces in the Former Republic of Yugoslavia. He also served as the Force Commander of the UN Mission in Ethiopia and Eritrea (UNMEE) from 2002 to 2004. Upon forming his own consulting company in 2005, he has worked on numerous contracts for UN DPKO, the World Bank, the British Government, and others as a consultant on peacekeeping operations. He is a Senior Adviser to the Folke Bernadotte Academy of Sweden in support of the Challenges Forum Secretariat and Special Adviser to the Pearson Peacekeeping Centre of Canada in support of their African peacekeeping training programmes. In 2005, he helped develop UN DPKO's senior mission leadership (SML) training programme and since then has been senior mentor on all 11 UN courses and facilitator of DPKO's Senior Leadership Induction Programme. He has also been the Director of Studies for all the AU SML and Regional SML courses. Since 2007, he has been the senior mentor for the training and development of the African Standby Force's capability in East Africa (EASBRICOM). In cooperation with UN DPKO, he is currently helping develop conceptual thinking about operational considerations for senior leaders within multidimensional peacekeeping missions, as part of the Challenges Forum initiative.

## Instructions for the End-of-Course Examination

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### Format and Material

The End-of-Course Examination is a multiple-choice exam that is accessed from the Online Classroom. Most exams have 50 questions. Each question gives the student four choices (A, B, C, and D), and only one is the correct answer. The exam covers material from all chapters of the course and may also include information found in the annexes and appendices. Video content will not be tested.

- » ***Access the exam from your Online Classroom by visiting <[www.peaceopstraining.org/users/courses/](http://www.peaceopstraining.org/users/courses/)> and clicking the title to this course. Once you arrive at the course page, click the red “Start Exam” button.***

### Time Limit

There is no time limit for the exam. This allows the student to read and study the questions carefully and to consult the course text. Furthermore, if the student cannot complete the exam in one sitting, he or she may save the exam and come back to it without being graded. The “Save” button is located at the bottom of the exam, next to the “Submit my answers” button. Clicking on the “Submit my answers” button will end the exam.

### Passing Grade

To pass the exam, a score of 75 per cent or better is required. An electronic Certificate of Completion will be awarded to those who have passed the exam. A score of less than 75 per cent is a failing grade, and students who have received a failing grade will be provided with a second, alternate version of the exam, which may also be completed without a time limit. Students who pass the second exam will be awarded a Certificate of Completion.

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- Stay connected with POTI by visiting our community page and engaging with other students through social media and sharing photos from your mission. Visit <[www.peaceopstraining.org/community](http://www.peaceopstraining.org/community)> for more. Once you pass your exam, see your name featured on the Honour Roll as well.