## CORE PRE-DEPLOYMENT TRAINING MATERIALS



#### IN COLLABORATION WITH AUTHORS FROM:

Australian Defence Force Peace Operations Training Centre; Chilean Joint Peacekeeping Operations Centre; German Armed Forces UN Training Centre; Kofi Annan International Peacekeeping Training Centre, Ghana; and the Swedish Armed Forces International Training Centre

Colonel (R) Øyvind Dammen, Dammen Consultants Norway

#### SERIES EDITOR

Harvey J. Langholtz, Ph.D.









**Peace Operations Training Institute**<sup>®</sup>

## CORE PRE-DEPLOYMENT TRAINING MATERIALS

#### IN COLLABORATION WITH AUTHORS FROM:

Australian Defence Force Peace Operations Training Centre; Chilean Joint Peacekeeping Operations Centre; German Armed Forces UN Training Centre; Kofi Annan International Peacekeeping Training Centre, Ghana; and the Swedish Armed Forces International Training Centre

#### PROJECT COORDINATOR

Colonel (R) Øyvind Dammen, Dammen Consultants Norway

#### SERIES EDITOR

Harvey J. Langholtz, Ph.D.





Peace Operations Training Institute®

The material from the Core Pre-Deployment Training Materials (1st Ed. 2009) for this course was provided by the following national peacekeeping training centres with permission:

Australian Defence Force Peace Operations Training Centre; Chilean Joint Peacekeeping Operations Centre; German Armed Forces UN Training Centre; Kofi Annan International Peacekeeping Training Centre, Ghana; and the Swedish Armed Forces International Training Centre.

Peace Operations Training Institute 1309 Jamestown Road, Suite 202 Williamsburg, VA 23185 USA www.peaceopstraining.org

#### First edition: March 2014

Cover: UN Photo # 534897 by Bernadino Soares

The material contained herein does not necessarily reflect the views of the Peace Operations Training Institute (POTI), the Course Author(s), or any United Nations organs or affiliated organizations. The Peace Operations Training Institute is an international not-for-profit NGO registered as a 501(c)(3) with the Internal Revenue Service of the United States of America. The Peace Operations Training Institute is a separate legal entity from the United Nations. Although every effort has been made to verify the contents of this course, the Peace Operations Training Institute and the Course Author(s) disclaim any and all responsibility for facts and opinions contained in the text, which have been assimilated largely from open media and other independent sources. This course was written to be a pedagogical and teaching document, consistent with existing UN policy and doctrine, but this course does not establish or promulgate doctrine. Only officially vetted and approved UN documents may establish or promulgate UN policy or doctrine. Information with diametrically opposing views is sometimes provided on given topics, in order to stimulate scholarly interest, and is in keeping with the norms of pure and free academic pursuit.

## CORE PRE-DEPLOYMENT TRAINING MATERIALS

FOREWORD	•••••	• • • • •	• • • • •	•••••	 12
METHOD OF	STUDY .				 

UNIT I: A STRATEGIC LEVEL OVERVIEW OF UNITED NATIONS PEACEKEEPING

PART 1: THE ROLE OF UN PEACEKEEPING
LESSON 1: INTRODUCTION TO UN PEACEKEEPING
1.1: The Purpose of the United Nations
1.2: The Main United Nations Bodies Involved in Peacekeeping
1.3: Secretariat Departments Directly Working with PKOs
End-of-Lesson Quiz
LESSON 2: THE SPECTRUM OF PEACE AND SECURITY ACTIVITIES 30
2.1: Conflict Prevention
2.2: Peacemaking
2.3: Peace Enforcement
2.4: Peacekeeping
2.5: Peacebuilding
End-of-Lesson Quiz
LESSON 3: DIFFERENT TYPES OF UN PEACEKEEPING OPERATIONS
3.1: Traditional Peacekeeping

3.2: Multidimensional Peacekeeping
3.3: Transitional Authority
3.4: Special Political Missions
End-of-Lesson Quiz
PART 2: FUNDAMENTAL PRINCIPLES OF UN PEACEKEEPING47
LESSON 4: FUNDAMENTAL PRINCIPLES
4.1: Consent
4.2: Impartiality
4.3: Non-use of Force
End-of-Lesson Quiz
LESSON 5: OTHER SUCCESS FACTORS
5.1: Credibility
5.2: Legitimacy
5.3: Promotion of National and Local Ownership
5.4: The Essential Qualities of a Peacekeeper
End-of-Lesson Quiz

### UNIT II:

THE ESTABLISHMENT AND FUNCTIONING OF UN PEACEKEEPING OPERATIONS

### PART 1: ESTABLISHMENT AND OPERATIONALIZATION OF SECURITY COUNCIL MANDATES IN PEACEKEEPING OPERATIONS ......67

LESSON 1: THE MANDATE	)
1.1: The Security Council Mandate	1
1.2: The Decision to Deploy a UN Peacekeeping Operation	4
1.3: The Process for the Establishment and Operationalization of Security Council Mandates	4
End-of-Lesson Quiz	9
LESSON 2: IMPLEMENTATION OF THE MANDATE, TRANSITION, AND WITHDRAWAL	2
2.1: Implementing the Mandate	3
2.2: Transition and Withdrawal	3

2.3: Benchmarks	
End-of-Lesson Quiz.	

### 

3.1: Key Aspects of the Operational Framework	91
3.2: Key Operational Documents	91
3.3: Additional Documents	94
End-of-Lesson Quiz.	96

### 

### **LESSON 4: COMPONENTS OF A UN PEACEKEEPING OPERATION 102**

4.1: Substantive and Support Components	103
4.2: Authority, Command, and Control	104
4.3: Management Structures	106
End-of-Lesson Quiz.	109

## LESSON 5: UNDERSTANDING THE IMPORTANT WORK

	12
5.1: The Military Component	113
5.2: The Police Component	116
5.3: The Civilian Component	117
End-of-Lesson Quiz	120

440

### UNIT III:

**EFFECTIVE MANDATE IMPLEMENTATION** 

PART 1A: INTERNATIONAL LAW RELEVANT TO PEACEKEEPING OPERATIONS	3
LESSON 1: INTERNATIONAL HUMANITARIAN LAW	6
1.1: Whom International Humanitarian Law Protects	8
1.2: Essential Rules of International Humanitarian Law	8
1.3: Who is Bound by International Humanitarian Law	0
End-of-Lesson Quiz	3

LESSON 2: INTERNATIONAL HUMAN RIGHTS LAW
2.1: Definition of Human Rights
2.2: Human Rights Most Frequently at Risk in Conflict and Post-Conflict Situations
2.3: Application of International Human Rights Law
2.4: Refugee Law and Guiding Principles on Internally Displaced Persons 142
End-of-Lesson Quiz
PART 1B: HUMAN RIGHTS PROTECTION IN UN PEACEKEEPING OPERATIONS147

LESSON 3: THE HUMAN	<b>RIGHTS BASE LINE</b>	 • • • • • • •	150

3.1: Linkages Between Human Rights, Security, and Development	152
3.2: UN Policy on Human Rights in Integrated Missions	152
3.3: Applying Human Rights in Peacekeeping	154
End-of-Lesson Quiz	157

### LESSON 4: HUMAN RIGHTS IN UN PEACEKEEPING OPERATIONS 160

4.1: What Peacekeeping Personnel Can Do	161
4.2: Human Rights Roles in the Context of Peacekeeping Operations	162
4.3: Other Mission Components Contributing to Human Rights	163
4.4: UN Police and Human Rights	165
4.5: Military Peacekeepers and Human Rights	167
End-of-Lesson Quiz.	169

### 

LESSON 5: THE ROLES OF MEN AND WOMEN	. 174
5.1: Exploring the Roles of Men and Women	175
5.2: The Impact of Conflict on Men and Women	. 177
End-of-Lesson Quiz.	. 180

LESSON 6: WHAT PEACEKEEPING PERSONNEL CAN DO	. 184
6.1: Changes in Responsibilities	. 185
6.2: Reintegration of Combatants	186
6.3: Displacement	. 187
6.4: Violence Against Civilians and Sexual Violence	. 188

8.4: National Partners       213         End-of-Lesson Quiz.       215         LESSON 9: HUMANITARIAN COOPERATION       218         9.1: International and Regional Non-UN Partners       219         9.2: Collaboration with the Humanitarian Community       220         9.3: What Peacekeeping Personnel Can Do       224         End-of-Lesson Quiz.       226
8.4: National Partners       213         End-of-Lesson Quiz.       215         LESSON 9: HUMANITARIAN COOPERATION       218         9.1: International and Regional Non-UN Partners       219         9.2: Collaboration with the Humanitarian Community       220         9.3: What Peacekeeping Personnel Can Do       224
8.4: National Partners       213         End-of-Lesson Quiz.       215         LESSON 9: HUMANITARIAN COOPERATION       218         9.1: International and Regional Non-UN Partners       219         9.2: Collaboration with the Humanitarian Community       220
8.4: National Partners       213         End-of-Lesson Quiz.       215         LESSON 9: HUMANITARIAN COOPERATION       218
8.4: National Partners
8.4: National Partners
8.4: National Partners
o.o. The integrated Approach and Multidimensional redeckeeping Operations 2 re
8.3: The Integrated Approach and Multidimensional Peacekeeping Operations 210
8.2: Benefits of Cooperation with the UN Country Team
8.1: Mission Partners
LESSON 8: THE INTEGRATED APPROACH IN MULTIDIMENSIONAL PEACEKEEPING
PART 2: WORKING WITH MISSION PARTNERS
End-of-Lesson Quiz
7.5: What Peacekeeping Personnel Can Do
7.4: Child Soldiers in Armed Conflict
7.3: The Impact of Conflict on Children 198
7.2: The Protection of Children Under International Human Rights Law 198
7.1: All Children Have Human Rights 197
LESSON 7: PROTECTION OF CHILDREN
PART 1D: PROTECTION OF CHILDREN: THE ROLE OF UN PEACEKEEPING OPERATIONS
End-of-Lesson Quiz
6.6: Collapse of Public Services and Infrastructure.       189         End-of-Lesson Quiz.       191

STANDARDS, VALUES, AND SAFETY OF UN PEACEKEEPING PERSONNEL

PART 1: CONDUCT AND DISCIPLINE	229
LESSON 1: INTRODUCTION TO CONDUCT AND DISCIPLINE	232
1.1: Standards of Conduct	233

1.2: Definitions of Misconduct	233
1.3: Reporting Misconduct.	234
1.4: Leadership and Accountability on Conduct	237
End-of-Lesson Quiz.	239
LESSON 2: SEXUAL EXPLOITATION AND ABUSE (SEA)	242
2.1: Definitions of Sexual Exploitation and Abuse (SEA)	243
2.2: Uniform Standards on SEA	244
2.3: Examples and Misconduct Scenarios.	244
End-of-Lesson Quiz.	248
LESSON 3: THE CONSEQUENCES OF MISCONDUCT	250
3.1: Consequences of Misconduct	251
3.2: Measures and Mechanisms to Address Misconduct	252
End-of-Lesson Quiz.	254
PART 2: HIV/AIDS AND UN PEACEKEEPING OPERATIONS	257
LESSON 4: AWARENESS AND PREVENTION OF HIV/AIDS	260
4.1: Definitions	261
4.2: How HIV/AIDS is Spread	261
4.3: Prevention	261
End-of-Lesson Quiz.	265
PART 3: RESPECT FOR DIVERSITY	267
LESSON 5: INTRODUCTION TO RESPECT FOR DIVERSITY	270
5.1: What is Diversity?	271
5.2: UN Core Values on Respect for Diversity	273
5.3: Common Differences and Practicing Respect	273
End-of-Lesson Quiz.	276
PART 4: SECURITY AND SAFETY IN UN PEACEKEEPING OPERATIONS	279
LESSON 6: SECURITY MANAGEMENT	282
6.1: Legal Basis	283
6.2: Peacekeeping Security Management	284

6.3: The Security Level System	7
6.4: Role of Military and Civilian Police	9
End-of-Lesson Quiz	0
LESSON 7: SAFETY MANAGEMENT	4
7.1: Key Aspects of Safety	5
7.2: Road Safety	5
7.3: DPKO Safety Council	7
End-of-Lesson Quiz	9
LESSON 8: HEALTH	2
8.1: Personal Hygiene and Food Hygiene	3
8.2: Access to Health Information Prior to Deployment	4
End-of-Lesson Quiz	5
LESSON 9: FIRST AID	8
9.1: Safety Fundamentals	9
9.2: Basis for Successful First Aid	0
9.3: Sustainment Phase	2
End-of-Lesson Quiz	4
LESSON 10: STRESS MANAGEMENT	6
10.1: What is Stress and Stress Management?	7
10.2: Types of Stress	8
10.3: Preparing for Stress	0
End-of-Lesson Quiz	3
APPENDICES	
Appendix A: Table of Acronyms	4
Appendix B: List of UN Peacekeeping Operations	6
Appendix C: We Are United Nations Peacekeepers	9
Appendix D: Secretary-General's Bulletin on Sexual Exploitation and Abuse 33	1
Appendix E: Security Council Resolution 1539 (2004)	4
Appendix F: The Universal Declaration of Human Rights	9
End-of-Course Exam Instructions	5

## Foreword

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

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

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

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

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

> Øyvind Dammen Project Coordinator

## Method of Study

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

- Before you begin actual studies, first browse through the overall course material. Notice the lesson outlines, which give you an idea of what will be involved as you proceed.
- The material should be logical and straightforward. Instead of memorizing individual details, strive to understand concepts and overall perspectives in regard to the United Nations system.
- Set up guidelines regarding how you want to schedule your time.
- Study the lesson content and the learning objectives. At the beginning of each lesson, orient yourself to the main points. If you are able to, read the material twice to ensure maximum understanding and retention, and let time elapse between readings.

- When you finish a lesson, take the End-of-Lesson Quiz. For any errors, return to the corresponding lesson section and re-read it. Before you go on, be aware of the discrepancy in your understanding that led to the error.
- After you complete all of the lessons, take time to review the main points of each lesson. Then, while the material is fresh in your mind, take the End-of-Course Examination in one sitting.
- Your exam will be scored, and if you achieve a passing grade of 75 per cent or higher, you will be awarded a Certificate of Completion. If you score below 75 per cent, you will be given one opportunity to take a second version of the End-of-Course Examination.
- One note about spelling is in order. This course was written in English as it is used in the United Kingdom.

#### Key features of your course classroom:

- Access to all of your courses;
- A secure testing environment in which to complete your training;
- Access to additional training resources, including Multimedia course supplements;
- The ability to download your Certificate of Completion for any completed course; and
- Student fora where you can communicate with other students about any number of subjects.

#### Access your course classroom here:

http://www.peaceopstraining.org/users/user\_login

## **UNIT I** A STRATEGIC LEVEL OVERVIEW OF UNITED NATIONS PEACEKEEPING

**PROVIDED BY CHILEAN JOINT PEACEKEEPING OPERATIONS CENTER (CECOPAC):** 

## **PART 1: THE ROLE OF UN PEACEKEEPING**

### **LESSON 1: INTRODUCTION TO UN PEACEKEEPING**

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

## **LESSON 2: THE SPECTRUM OF PEACE AND SECURITY ACTIVITIES**

2.1: Conflict Prevention
2.2: Peacemaking
2.3: Peace Enforcement
2.4: Peacekeeping
2.5: Peacebuilding
Lesson 2 Quiz

## **LESSON 3: DIFFERENT TYPES OF UN PEACEKEEPING OPERATIONS**

3.1: TRADITIONAL PEACEKEEPING
3.2: MULTIDIMENSIONAL PEACEKEEPING
3.3: TRANSITIONAL AUTHORITY
3.4: SPECIAL POLITICAL MISSIONS LESSON 3 QUIZ

## LESSON 1 INTRODUCTION TO UN PEACEKEEPING

# LESSON



## LESSON OBJECTIVES

### 1.1: The Purpose of the United Nations

- 1.2: The Main United Nations Bodies Involved in Peacekeeping
- 1.3: Secretariat Departments Directly Working with PKOs

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

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

### Introduction

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

### **1.1 The Purpose of the United Nations**

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

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

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

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

To promote social progress and better standards of life in larger freedom.<sup>1</sup>

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

2 UN at a Glance. (n.d.). Retrieved from http://



UN Headquarters' iconic Secretariat building reflects the autumn sky. (UN Photo #535067 by Rick Bajornas, 9 November 2012)

The United Nations describes itself as having two distinctive characteristics:

#### 1. The UN is a unique organization.

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

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

www.un.org/en/aboutun/index.shtml. 3 Ibid. (n.d.). Retrieved from http://www.un.org/en/ aboutun/index.shtml

<sup>1</sup> UN. Retrieved from website: <http://www. un.org/en/documents/charter/preamble.shtml>.

It is important to keep in mind the difference between *impartiality* and *neutrality* and how these terms are used within the field by United Nations and humanitarian actors. According to the UN Core Pre-deployment Training Materials (CPTM), *impartiality* as a principle of UN peacekeeping means that the peacekeeping operation deals with all parties to a conflict in an unbiased and even-handed manner, and its actions are focused on implementing its mandate fairly. Humanitarian actors also use the terms *impartiality* and *neutrality*; however their meaning is somewhat different. For the International Red Cross and Red Crescent Movement, *impartiality* 

#### Three fundamental factors characteristics to each UN mission:

•Impartiality: without favour or prejudice to any party.

•Universality: inclusive, applies to everyone.

•Legitimacy: seen as credible and worthy of participation.

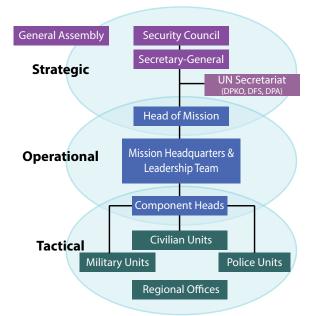
means being guided solely by needs, making no discrimination on the basis of nationality, race, gender, class, or religious or political beliefs, while neutrality means to take no sides in hostilities or engage, any time, in controversies of a political, racial, religious, or ideological nature.<sup>4</sup> These concepts and further applications will be discussed again and in more depth in Part 2 of Unit I.

### **1.2 The Main United Nations Bodies Involved in Peacekeeping**

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

 Strategic: The high-level political decision making and management of a UN peacekeeping

### Main UN Bodies in Peacekeeping



Graphic from the Core Pre-Deployment Training Materials, Unit 1: A Strategic Level Overview of United Nations Peacekeeping, Page 14, 'The Main United Nations Involved in Peacekeeping.'

operation at UN Headquarters (HQ). These decisions have the highest impact on the organization and missions.

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

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

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

<sup>4</sup> UN Peacekeeping PDT Standards, Core Pre-deployment Training Materials, 1st ed. (2009). Unit 1, Parts 1-2.

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

#### **The General Assembly**

Established in 1945 under the Charter of the United Nations, the General Assembly is the chief deliberation, policy-making, and representative organ of the United Nations. Comprising representatives of all the 193 Members of the United Nations<sup>5</sup>, the Assembly meets in regular session intensively from September to December each year, and in special or emergency sessions as required. It provides a unique forum for multilateral discussion on the full spectrum of international issues covered by the Charter. The General Assembly also plays a significant role in the process of standard-setting and the codification of international law.

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

## Functions and Powers of the General Assembly

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

 Consider and make recommendations based on the general principles of cooperation for maintaining international peace and security, including disarmament;



Vuk Jeremić, President of the General Assembly, addressing the sixtyseventh session of the General Assembly at its ninety-ninth and final Plenary meeting. (UN Photo #560952 by Evan Schneider, 16 September 2013)

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

### Learn More about the United Nations

Additional information on the background and structure of the United Nations can be found in the Charter of the United Nations, available online at www.un.org/en/documents/charter/index. shtml, and from the short video titled *The United Nations: It's Your World*, available online at <a href="http://www.youtube.com/user/unitednations">http://www.youtube.com/user/unitednations</a>>.

5 As of 2013, there are 193 Member States.

Council and other United Nations organs;

- Consider and approve the United Nations budget and establish the financial assessments of Member States; and
- Elect the non-permanent members of the Security Council and the members of other United Nations councils and organs and, on the recommendation of the Security Council, appoint the Secretary-General.

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

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

#### The UN Security Council

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

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



Security Council debates post-conflict peacebuilding. (UN Photo #434295 by Evan Schneider, 16 April 2010)

military action. Its powers are exercised through United Nations Security Council Resolutions.

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

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

<sup>6</sup> UN. (n.d.). "Functions and Powers of the General Assembly." Retrieved from website: <www. un.org/ga/about/background.shtml>.

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

- To maintain international peace and security in accordance with the principles and purposes of the United Nations;
- To investigate any dispute or situation which might lead to international friction;
- To recommend methods of adjusting such disputes or the terms of settlement;
- To formulate plans for the establishment of a system to regulate armaments;
- To determine the existence of a threat to the peace or act of aggression and to recommend what action should be taken;
- To call on Members to apply economic sanctions and other measures not involving the use of force to prevent or stop aggression;
- To take military action against an aggressor;
- · To recommend the admission of new Members;
- To exercise the trusteeship functions of the United Nations in "strategic areas"; and
- To recommend to the General Assembly the appointment of the Secretary-General and, together with the Assembly, to elect the Judges of the International Court of Justice.<sup>7</sup>

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

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

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

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

#### The Secretary-General and UN Secretariat

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

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

<sup>7</sup> UN. (n.d.). "Functions and Powers of the Security Council." Retrieved from website: <www. un.org/en/sc/about/functions.shtml>.

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

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

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

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



Secretary-General Ban Ki-moon visits the offices of the Department of Peacekeeping Operations (DPKO) and the Department of Field Support (DFS). (UN Photo #460168 by Devra Berkowitz, 06 January 2011)

8 UN. (n.d.). "The Role of the Secretary-General." Retrieved from website: <www.un.org/sg/sg\_role. shtml>.

9 UN. (n.d.). "Secretariat." Retrieved from website: <www.un.org/en/mainbodies/secretariat/ index.shtml>.

## **1.3 Secretariat Departments Directly Working with PKOs**

## The Department of Peacekeeping Operations (DPKO)



Core Pre-Deployment Training Materials, Unit 1: A Strategic Level Overview of United Nations Peacekeeping, Page 19, 'The Department of Peacekeeping Operations (DPKO).'

The Secretary-General gives responsibility for the executive direction and administration of all UN Peacekeeping Operations (PKOs) to the Under-Secretary-General for Peacekeeping Operations. This person is often referred to as the "USG DPKO". Through the Department of Peacekeeping Operations in New York, the USG DPKO does the following:

- Directs and controls UN PKOs;
- Develops policies and develops operational guidelines based on Security Council resolutions (e.g., mission mandates);
- Prepares reports from the Secretary-General to the Security Council on each peacekeeping operation, including appropriate observations and recommendations;
- Advises the Secretary-General on all matters related to the planning, establishment, and conduct of UN PKOs;
- Acts as a focal point between the Secretariat and Member States who are looking for information on any matters related to United Nations peacekeeping mission; and
- Is responsible and accountable to the Secretary-General for ensuring that the requirements of the United Nations security management system are met by the DPKO-led field missions.

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

#### The Department of Field Support (DFS)



Core Pre-Deployment Training Materials, Unit 1: A Strategic Level Overview of United Nations Peacekeeping, Page 20, 'The Department of Field Support (DFS).'

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

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

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

#### The Department of Political Affairs (DPA)



Core Pre-Deployment Training Materials, Unit 1: A Strategic Level Overview of United Nations Peacekeeping, Page 21, 'The Department of Political Affairs (DPA).'

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

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

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

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

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

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

### **Summary**

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

## End-of-Lesson Quiz

## 1. According to the UN Charter, the UN is dedicated to:

- A. Supporting fundamental human rights and maintaining international peace and security.
- B. Promoting economic growth development.
- C. Leading the world as a supra-state organization.
- D. A and B.

#### 2. The United Nations was founded in:

- A. 1820
- B. 1941
- C. 1945
- D. 1954

#### 3. The key elements for UN legitimacy are:

- A. Impartiality and minimum use of force.
- B. Impartiality and universality.
- C. Impartiality and independence.
- D. Consent, neutrality, and self-defence.
- 4. As of 2013, the United Nations had \_\_\_\_\_ members.
- A. 51
- B. 129
- C. 151
- D. 193
- 5. In what order does decision-making and management occur in the UN system by level?
- A. Strategic, operational, and tactical
- B. Operational, strategic, and tactical
- C. Tactical, operational, and strategic
- D. Strategic, operational, and mission

#### **ANSWER KEY**

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

### 6. The General Assembly and

- Secretary-General are at the \_\_\_\_\_ level.
- A. Strategic
- B. Operational
- C. Tactical
- D. None of the above.

#### 7. Who operates at the Tactical level?

- A. Military, Police, and Mission HQ
- B. Military, Police, and Civilian Units
- C. Mission HQ only
- D. The Head of Mission only

## 8. Which of the following Secretariat departments work(s) directly with PKOs?

- Department of Peacekeeping Operations (DPKO)
- B. Department of Field Support (DFS)
- C. Department of Political Affairs (DPA)
- D. All of the above.
- 9. The direction and administration of UN PKOs is a responsibility of the
- A. Department of Field Support (DFS).

\_\_\_\_\_:

- B. Under-Secretary-General for the Department of Peacekeeping Operations (DPKO).
- C. Department of Political Affairs (DPA).
- D. None of the above.

## **10.** The department responsible for delivering dedicated support to UN field operations is:

- A. Department of Field Support (DFS).
- B. Department of Peacekeeping Operations (DPKO).
- C. Department of Political Affairs (DPA).
- D. Department of Economic Support.

## Appendix A: Table of Acronyms

AIDS	Acquired Immune Deficiency Syndrome
ADS	Acquired initiate Deficiency Syndrome Anti Personnel (Mines)
ARV	
B/ASITE	Antiretroviral Drug
	Basic/Advanced Security Training in the Field
CAO	Chief Administrative Officer
CDT	Conduct and Discipline Team
CIMIC	Civil-Military Coordination
CIVPOL	Civilian Police
СМО	Chief Military Observer
COE	Contingent-Owned Equipment
CONOPS	Concept of Operations
CPTM	Core Pre-deployment Training Materials
CRC	Convention on the Rights of the Child
CSO	Chief Security Officer
DDR	Disarmament, Demobilisation, and Reintegration
DFS	Department of Field Support
DPKO	Department of Peacekeeping Operations
DPA	Department of Political Affairs
DUF	Directive on the Use of Force
ECOSOC	Economic and Social Council
FC	Force Commander
FPU	Formed Police Unit
GA	General Assembly
HC	Humanitarian Coordinator
HIV	Human Immunodeficiency Virus
НОМ	Head of Mission
ICRC	International Committee of the Red Cross
ICCPR	International Covenant on Civil and Political Rights
IDP	Internally Displaced Persons
IHL	International Humanitarian Law
IMPP	Integrated Mission Planning Process
ISF	Integrated Strategic Framework
ISS	Integrated Support Services
ITS	Integrated Training Service
LOAC	Law of Armed Conflict
20,10	

MEDEVAC	Medical Evacuation
MILOBS	(UN) Military Observers
MOU	Memorandum of Understanding
MSA	Meal and Subsistence Allowance
MTS	Misconduct Tracking System
OCHA	Office for the Coordination of Humanitarian Affairs
OIOS	Office of Internal Oversight Services
PCO	Personnel Conduct Officer
PIO	Public Information Office(r)
PKO	Peacekeeping Operation
PTSD	Post-Traumatic Stress Disorder
RBB	Results-Based Budget
ROE	Rules of Engagement
SC	Security Council
SEA	Sexual Exploitation and Abuse
SG	Secretary-General
SLS	Security Level System
SOFA	Status of Forces Agreement
SOMA	Status of Mission Agreement
SOP	Standard Operating Procedures
SRSG	Special Representative to the Secretary-General
STI	Sexually Transmitted Infection
тсс	Troop-Contributing Country
UDHR	Universal Declaration of Human Rights
UNCT	United Nations Country Team
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNHOC	United Nations Humanitarian Operations Centre
UNHQ	United Nations Headquarters
UNICEF	United Nations Children's Fund
UNOE	United Nations Owned Equipment
UNPKO	United Nations Peacekeeping Operations
UNSCR	United Nations Security Council Resolution
UNSECOORD	Office of the United Nations Security Coordinator
UNSMS	United Nations Security Management System