Security for Peace Operations Personnel

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Peace Operations Training Institute®

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Security for Peace Operations Personnel

UN Photo #511095 by Neeraj Singh. Crowds of locals surround the recently-dispatched UN monitoring team as they walk through the streets of Homs, Syria. Pursuant to an authorization by the Security Council, the team of six unarmed observers were deployed to Syria on 16 April, tasked with reporting on the cessation of violence between Government and opposition forces. 21 April 2012.

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Foreword

With more than 116,000 people deployed in 15 missions worldwide, the need for UN peacekeeping continues to rank high. New studies of UN Peacekeeping Operations suggest a rising demand for peacekeeping forces to counter growing political and security instability internationally, from conflicts rooted in threats like environmental changes, economic shock, and transnational crime. Today, the nature of peacekeeping operations is varied and complex, requiring far more sophisticated training for all personnel. Many more countries contribute to these operations, with uniformed personnel from 114 Member States currently. Planning and organization is not only more complex but also difficult with such a multicultural and multilingual contribution.[1] Security and protection issues for UN peacekeeping personnel have changed dramatically since the first armed peacekeeping operation was deployed to the Suez crisis in 1956.[2] Even prior to this, in 1948, when the United Nations Truce Supervision Organization (UNTSO) was created, fatalities were limited (a total of 50 at UNSTO and 2970 for all missions between 1948 and 2011).[3] Almost 70 per cent of fatalities since 1948 can be attributed to accidents or illness.[4]

This course deals with all forms of security that affect the peacekeeper. An examination of the table of contents indicates that we will cover a wide variety of issues that peacekeepers – whether military, police, or civilian – will face during their time on mission. Being able to undertake a proper risk assessment analysis will assist in critical thinking and problem solving – and may save your life. Understanding security issues at home and in the workplace will allow you to avoid the various pitfalls that many suffer because they were inattentive. Developing a set of skills from communications to being culturally aware will assist you in the performance of your role as a peacekeeper. Too often peacekeepers get into difficult circumstances because they did not adequately develop an appropriate set of skills before and during their mission.

Today peacekeeping missions are fundamentally different than those prior to 1990. Traditional notions of peacekeeping have been supplanted by aspects of post-conflict reconstruction and peacebuilding related to improving security conditions in the country of the mission. Coupled with this is the United Nations' vital role of protecting women and children as part of its mandated task of protecting civilians. As we have seen in a number of recent peacekeeping missions a new element is receiving important attention. We now see that sexual violence "challenges conventional notions of what constitutes a security threat."[5]

This course does not replace either *Basic Security in the Field (BSIF II)* or *Advanced Security in the Field (ASIF). Basic Security in the Field II* is required by all UN staff. *Advanced Security in the Field*

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1) See <https://peacekeeping.un.org/en/where-we-operate>.
2) UN Emergency Force (UNEF 1), 1956
3) For more information: <https://peacekeeping.un.org/en/fatalities>.
4) See the statistics at <https://peacekeeping.un.org/en/fatalities>.
5) An Analytical Inventory of Peacekeeping Practice (United Nations, New York, June 2010), 14.

is required to be taken by all United Nations personnel assigned to or travelling to a location that is in Security Phase I or above. Please see Lesson 2 for an examination of the new security level system. For those of you going on your first Mission, it is important to identify and meet with your Security Officer as soon as you arrive.

–Marshall Wm. Conley, Ph.D.

November 2013

View a video introduction to this course at <www. peaceopstraining.org/ users/media_page/1335/ introduction-to-security-for- un-peacekeepers/>.

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 lesson 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 lesson content and the learning objectives. At the beginning of each lesson, 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 lesson, take the End-of-Lesson Quiz. Clarify any missed questions by rereading the appropriate sections, and focus on retaining the correct information.

- After you complete all of the lessons, prepare for the End-of-Course Examination by taking time to review the main points of each lesson. 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>
   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.

Key Features of Your Online 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

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

1

The United Nations Security System

UN Photo #179321 by Paulo Filgueiras.

This section will introduce you to the United Nations System and how peacekeeping is organized.

In this lesson »

Section 1.1   The United Nations Security System

Section 1.2   Agencies Related to UN Security

Section 1.3   The Department of Peace Operations

Lesson Objectives »

- Explain the main bodies involved in United Nations peacekeeping.

- List the types of peace and security activities used by the UN Security Council.

- Explain the differences and change in types of peacekeeping operations.

- Identify the role of the Department of Safety and Security (DSS).

- Explain the activities of the Department of Peace Operations (DPO).

A wide shot of the United Nations Security Council. 24 November 2003. UN Photo #29511 by Evan Schneider.

Section 1.1   The United Nations Security System

This section will introduce you to the United Nations System and how peacekeeping is organized.

Historical Background of the UN

- The First World War and its ramifications, 1914–1918;

- The League of Nations, 1919;

- Why the League of Nations failed;

- Second World War, 1939–1945; and

- The United Nations, 24 October 1945 (UN Day).

View a video introduction of this lesson at <www.peaceopstraining. org/users/media_page/1336/ united-nations-security-system/>.

The forerunner of the United Nations was the League of Nations, an organization conceived in similar circumstances during the First World War and established in 1919 under the Treaty of Versailles "to promote international co-operation and to achieve peace and security". The International Labour Organization was also created under the Treaty of Versailles as an affiliated agency of the League. The League of Nations ceased its activities after failing to prevent the Second World War.

The name "United Nations", coined by United States President Franklin D. Roosevelt, was first used in the "Declaration by United Nations" of 1 January 1942, during the Second World War, when representatives of 26 nations pledged their governments to continue fighting together against the Axis Powers.

In June 1945, at the end of the Second World War, representatives of 50 Allied countries met in San Francisco at the United Nations Conference on International Organization to draw up the United Nations Charter. Those delegates deliberated on the basis of proposals that had been worked out at the Dumbarton Oaks Conference (Washington, D.C.) in August–October 1944 by the representatives of China, the Soviet Union, the United Kingdom, and the United States. The Charter was signed on 26 June 1945 by the representatives of the 50 countries. Poland, which was not represented at the Conference, signed it later and became one of the original 51 Member States.

The United Nations officially came into existence on 24 October 1945, when the Charter was ratified by China, France, the Soviet Union, the United Kingdom, the United States, and a majority of other signatories. United Nations Day is celebrated on 24 October each year.

Since the creation of the UN in 1945, more than 100 major conflicts around the world have left some 20 million dead. The UN was rendered powerless to deal with many of these crises because of the vetoes — 279 of them — cast in the Security Council, which were a vivid expression of the divisions of the Cold War period between the United States and the Soviet Union.

Since 31 May 1990 and with the end of the Cold War, there have been no such vetoes based on superpower rivalry. This inspired "An Agenda for Peace", a report written by then Secretary-General Boutros Boutros-Ghali on how to make the UN Charter more effective in the post-Cold War era.[1]

Purpose of the United Nations

- Maintain international peace and security;

- Develop friendly relations among nations to achieve international cooperation;

- Promote social progress and better living standards;

- Harmonize the actions of nations in attaining these common ends; and

- Promote human rights.

As of 1 January 2013, the UN is made up of 193 sovereign Member States who come together to discuss common problems and make decisions by voting on major issues. The UN is n impartial organization in which all nations are seen as equal. The impartiality[2] and universality[3] of the UN are key elements of its legitimacy.[4]

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1) Read "An Agenda for Peace" here: < http://www.unrol.org/files/A_47_277.pdf >.

2) Impartiality: Without favour.

3) Universality: Inclusive, applies to all.

4) Legitimacy: Seen as credible and worthwhile.

Writing Exercise »

The motivation for creating the UN was to ensure that the evils that occurred in the First and Second World Wars do not recur.

With more than 100 armed conflicts and 20 million deaths since the UN's inception, would you say that the UN has succeeded in this goal? Explain your answer.

Section 1.2 Agencies Related to UN Security

Member States are bound by the UN Charter: As a foundational document, it guides the work of the UN in peace and wartime. As an international treaty, it spells out the rights and obligations of Member States and codifies the major principles of international relations.

The Charter is the constituting instrument of the organization, setting out the rights and obligations of Member States and establishing the United Nations organs and procedures. An international treaty, the Charter codifies the major principles of international relations — from the sovereign equality of States to the prohibition of the use of force in international relations.

The Preamble to the Charter expresses the ideals and common aims of all the peoples whose government joined together to form the United Nations.

The UN Charter defines the organization's purpose, structure, tasks, finances, and procedures.

Principles for Maintaining Peace

- **Chapter VI** provides for the settlement of disputes by a variety of peaceful measures (acceptance by the parties);

- **Chapter VII** is essentially coercive and designed to deal with threats to peace, breaches of the peace, and acts of aggression; and

- **Chapter VIII** encourages regional arrangements (use of other agencies such as the European Union [EU] or North American Treaty Organization [NATO], for example) for the peaceful settlement of local disputes before referring them to the Security Council.

The Charter authorizes the establishment of six principal organs. These organs are the General Assembly, the Security Council, the Economic and Social Council, the Trusteeship Council, the International Court of Justice, and the Secretariat. In addition, there are subsidiary organs, specialized agencies, and other bodies related to the United Nations which, altogether, form the "United Nations system".

General Assembly

The General Assembly is the main deliberative organ. Articles 9–22 of the UN Charter establish the structure and guidelines for the General Assembly as follows:

It is composed of representatives of all Member States, each of which has one vote.

Decisions on important questions, such as those on peace and security, admission of new members, and budgetary matters, require a two-thirds majority. Decisions on other questions are reached by a simple majority.

The General Assembly convenes once a year in September/October for a regular session. Special sessions can be convened upon request by the Security Council, by a majority of members of the UN, or by one member, if the majority of members concur. An emergency special session may be called within 24 hours of a request by the Security Council on the vote of any nine members of the Council or if a majority of members concurs.

The General Assembly oversees several committees, including one on peacekeeping. Because of the great number of questions that the Assembly is called upon to consider, the Assembly allocates most questions to its seven main committees:

- First Committee (disarmament and related international security matters);

- Second Committee (economic and financial);

- Third Committee (social, humanitarian, and cultural);

- Fourth Committee (decolonization);

- Fifth Committee (administrative and budgetary);

- Sixth Committee (legal); and

- Special Political Committee.

Security Council

The Security Council has primary responsibility, under the Charter, for the maintenance of international peace and security. The Council has 15 members: five Permanent Members — China, France, the Russian Federation, the United Kingdom, and the United States — and 10 members elected by the General Assembly for two-year terms (five of them elected each year to start their two-year term). Each member has one vote. Decisions on substantive matters require nine votes, including the concurring votes of all five Permanent Members. This is the rule of "Great Power unanimity", often referred to as the "veto" power.

Under the Charter, all members of the United Nations agree to accept and carry out the decisions of the Security Council. To see which Member States are currently serving on the Security Council, please visit <http://www.un.org/en/sc/members/>.

Economic and Social Council

Articles 61–72 of the Charter establish the Economic and Social Council as the principal organ to coordinate the economic, social, and related work of the United Nations and the specialized agencies and institutions known as the United Nations family of organization. Some of the functions and powers of the Economic and Social Council are as follows:

- Serve as the central forum for the discussion of international economic and social issues of a global or inter-disciplinary nature and the formulation of policy recommendations on those issues addressed to Member States and to the United Nations system;

- Make or initiate studies and reports and make recommendations on international economic, social, cultural, educational, health, and related matters;

- Promote respect for and observance of human rights and fundamental freedom;

- Elect 54 members on a three-year term;

- Conduct one five-week session each year, alternating between New York and Geneva; and

- Come to decisions based on simple majority.

International Court of Justice (Statutes of ICJ)

The International Court of Justice is the principal judicial organ of the United Nations. It settles legal disputes between states and gives advisory opinions to the United Nations and its specialized agencies. Its seat is at the Peace Palace in The Hague (Netherlands). Its Statute is an integral part of the United Nations Charter.

The Court is open to all states that are parties to its Statute, which include all Members of the United Nations and Switzerland. Only states may be parties in contentious cases before the Court and submit disputes to it. The Court is not open to private persons and entities or international organizations.

The General Assembly and the Security Council can ask the Court for an advisory opinion on any legal question. Other organs of the United Nations and the specialized agencies, when authorized by the Assembly, can ask for advisory opinions on legal questions within the scope of their activities.

The Court is composed of 15 judges elected to nine-year terms of office by the United Nations General Assembly and Security Council sitting independently of each other. It may not include more than one judge of any nationality. Elections are held every three years for one-third of the seats, and retiring judges may be re-elected. The Members of the Court do not represent their governments but are independent magistrates.

The Trusteeship Council (Articles 86–91)

The Trusteeship Council supervises the administration of the Trust Territories. Originally there were 11 territories; now there are none. Its Members are the Permanent five of the Security Council, and each member has one vote, which is counted toward a simple majority. The Trusteeship Council is now suspended and meets only as required.

The Secretariat

The Secretariat, which is the administrative arm of the UN, is composed of a Secretary-General and such staff as the organization requires. The Secretary-General is appointed by the General Assembly on the recommendation of the Security Council.

The Secretariat's duties include these:

- Produce reports for legislative organs;

- Provide Secretariat services;

- Provide meeting services;

- Provide editorial, translation, and reproduction services;

- Conduct studies;

- Promote economic and social development;

- Produce and publish statistical publications;

- Organize conferences, expert group meetings, and seminars;

- Provide technical assistance;

- Undertake fact finding;

- Disseminate information on UN activities; and

- Provide planning, financial, personnel, legal, and general services.

The Secretary-General may bring to the attention of the Security Council any matter that may threaten the maintenance of international peace and security.

The Secretariat is divided into several major organizational units, each of which is headed by an Under-Secretary-General or an official of an equivalent level.

The Secretariat plans, prepares, conducts, and directs all UN Field Operations, in particular peacekeeping and humanitarian operations, and brings to the attention of the Security Council any matters that threaten peace.

The UN Secretaries-General to date are as follows:

- Trygve Lie (Norway), 1946–52;

- Dag Hammarskjöld (Sweden), 1953–61;

- U Thant (Myanmar), 1961–71;

- Kurt Waldheim (Austria), 1972–81;

- Javier Pérez de Cuéllar (Peru), 1982–91;

- Boutros Boutros-Ghali (Egypt), 1992–96;

- Kofi Annan (Ghana), 1996–2006; and

- Ban Ki-Moon (South Korea) 2007–Present.

Section 1.3   The Department of Peace Operations (DPO)

DPO is the operational arm for all United Nations peacekeeping operations and is responsible for the conduct, management, direction, planning, and preparation of those operations.[5] It develops plans and methodologies for peacekeeping operations; secures, through negotiations with governments, the personnel and equipment required for operations; provides logistical and administrative support for operations and political or humanitarian missions; proposes resource requirements; monitors and controls funds related to peacekeeping activities; maintains contacts with parties to conflicts and members of the Security Council on the implementation of Council decisions; undertakes contingency planning for possible new operations; carries out analysis of emerging policy questions; and formulates policies and procedures in this regard. It also coordinates all United Nations activities related to landmines and develops and supports mine action programmes in peacekeeping and emergency situations.

The head of the department — the Under-Secretary-General for Peace Operations — directs peace operations on behalf of the Secretary-General; formulates policies and develops operational guidelines based on Security Council resolutions (e.g., mission mandates); determines when to deploy and which components; and advises the Secretary-General on all related matters.

DPO Mandate

DPO has as its mandate the following:

- Monitor and control budgets and funds;

- Provide logistic and administrative support;

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5)   As part of organizational restructuring beginning 1 January 2019, the Department of Peacekeeping Operations (DPKO) became the Department of Peace Operations (DPO).

- Maintain contact with parties to the conflicts;

- Liaise with Member States and agencies; and

- Prepare the Secretary-General's reports.

Evolution of UN Peacekeeping

> First Generation Peacekeeping: Traditional

The UN's first generation role in peacekeeping, a feature of the Cold War era, was as a buffer with confidence building measures. Notably, the word "peacekeeping" is never mentioned in the UN Charter; rather, it evolved through a series of ad hoc missions that were undertaken in response to crises at the time.

Observation, monitoring, and reporting were accomplished through use of static posts and patrols. A primary concern was mine awareness and clearance.

In its first generation, peacekeeping was an interim or temporary measure to manage conflict. The UN had no direct role in political efforts at resolving conflicts — it only supplied diplomats. Missions were only undertaken with the consent of both parties to the dispute. As a result, conflict resolution was a lengthy process.

First generation UN peacekeeping was mostly military in nature and therefore led by military. Contrast this with the multidimensional efforts now led by civilian personnel.

In traditional peacekeeping, peacekeepers do not carry out any functions of the state or government, nor do they engage in capacity building, as the mandate does not reflect those functions.

Examples of the UN's supervision of ceasefire efforts include the UN Military Observer Group in India and Pakistan (UNMOGIP) and the UN Peacekeeping Force in Cyprus (UNFICYP).

> Second Generation

By contrast with first generation peacekeeping, second generation peacekeeping is complex and multidimensional and can be either *soft* (executive) or *intrusive* (non-executive). This type of peacekeeping became common after the end of the Cold War.

In second generation peacekeeping, UN peacekeepers operate under an expanded mandate that includes election observation, civil administration, military and police training, reconstruction and development, and maintenance of law and order.

Deployed in the dangerous aftermath of internal conflict to create a secure and stable environment, second generation peacekeepers usually play a direct role in the political efforts to promote dialogue and resolve the conflict.

A mix of police, civilian, and military act in cooperation and coordination to support the implementation of a peace agreement. They aim to restore the Rule of Law and legitimate institutions for effective governance and the promotion of human rights.

Second generation peacekeepers may carry out the functions of the state and engage in capacity building, which are reflected in the mandate.

Examples include the UN Organization Stabilization Mission in the Democratic Republic of the Congo (MONUC), the UN Stabilization Mission in Haiti (MINUSTAH), United Nations Mission in Sudan (UNMIS), and the African Union–United Nations Hybrid Operation in Darfur (UNAMID).

» Third Generation

Referred to as "muscular peacekeeping", third generation peacekeeping works to accomplish a robust mandate. Peacekeepers are given authorization "to take all necessary measures to fulfil its mandate" (an intrusive mandate); and "to take the necessary action, in the areas of deployment of its forces and as it deems within its capabilities…" (a soft, but robust mandate).

» Towards Fourth Generation

Peacekeeping without the consent of the host nation defines the fourth generation of UN peacekeeping operations.

Some examples are UN Security Council resolution 1769/2006 (Sudan/Darfur), UN Security Council resolution 1706/2006 (Somalia), and the Responsibility to Protect.

Basic Structure of a Mission

Special Representative of the Secretary General

Force Commander (FC)

Civilian Components

Chief Admin. Officer (CAO)

Office for Coord. of Humanitarian Assistance (OCHA)

UNPOL
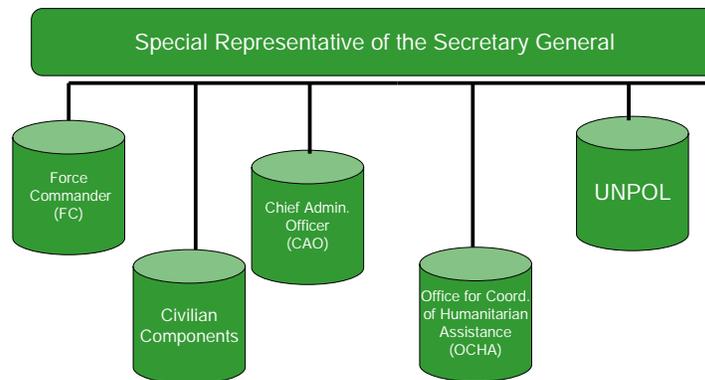
UN Peacekeeping has developed over 50 years from the classical interposition of UN forces in the inter-state conflict scenario to today's multidimensional complex emergencies in an intra-state environment dealing with rebel forces, freedom movements, and in some cases the breakdown of governments.

UN peacekeeping today is a highly political tool used as a de-escalating technique. The mission leadership under the Special Representative of the Secretary-General (SRSG) clearly shows this. The different components of a peacekeeping mission, including the UN military observers (UNMOs), must work together like an orchestra under the conductor, which is the SRSG, and every component must play in tune and at the right time. Leadership and coordination, then, are key. The Chief Military Observer (CMO) may work directly with the Head of Mission or through a United Nations Peacekeeping Force (UNPKF) Commander.

Mission Mandate and Cycle

» Initial Phase

The first phase of the mission mandate cycle seeks to accomplish the following:

• Request/Consent;
• Needs Assessment Mission;
• Meetings of the Secretary-General;

- Report of the Secretary-General to the Security Council; and

- Security Council Resolution.

The excerpt from "Forming a new operation. United Nations Peacekeeping" provides a comprehensive explanation of the first cycle.

Initial consultation

As a conflict develops, worsens, or approaches resolution, the UN is frequently involved in a number of consultations to determine the best response by the international community. These consultations would likely involve:

- All relevant United Nations actors

- The potential host government and the parties on the ground

- Member States, including States that might contribute troops and police to a peacekeeping operation

- Regional and other intergovernmental organizations

- Other relevant key external partners

During this initial phase the UN Secretary-General may request a strategic assessment to identify all possible options for UN engagement.

Technical field assessment

As soon as security conditions permit, the Secretariat usually deploys a technical assessment mission to the country or territory where the deployment of a UN Peacekeeping operation is envisaged. The assessment mission analyzes and assesses the overall security, political, military, humanitarian and human rights situation on the ground, and its implications for a possible operation. Based on the findings and recommendations of the assessment mission, the UN Secretary-General will issue a report to the Security Council. This report will present options for the establishment of a peacekeeping operation as appropriate including its size and resources. The report will also include financial implications and statement of preliminary estimated costs.

Security Council resolution

If the Security Council determines that deploying a UN Peacekeeping operation is the most appropriate step to take, it will formally authorize this by adopting a resolution. The resolution sets out the operation's mandate and size, and details the tasks it will be responsible for performing. The budget and resources are then subject to General Assembly approval.

Appointment of senior officials

The Secretary-General normally appoints a Head of Mission (usually a Special Representative) to direct the peacekeeping operation. The Head of Mission reports to the Under-Secretary-General for Peacekeeping Operations at the UN Headquarters.

The Secretary-General also appoints a peacekeeping operation's Force Commander and Police Commissioner, and senior civilian staff. The Department of Peace Operations and the Department of Operational Support (DOS)[1] are then responsible for staffing the civilian components of a peacekeeping operation.

Planning and deployment

In the meantime, the Head of Mission and DPO-DOS lead the planning for the political, military, operational and support (i.e., logistics and administration) aspects of the peacekeeping operation. The planning phase usually involves the establishment of a Headquarters-based joint working group or integrated mission task force, with participation of all relevant UN departments, funds and programmes.

It often starts with an advance team to establish mission headquarters and leads to a gradual build-up to encompass all components and regions, as required by the mandate.

Deployment

Deployment of an operation proceeds then as quickly as possible, taking into account the security and political conditions on the ground.

Who provides peacekeepers?

The UN has no standing army or police force of its own, and Member States are asked to contribute military and police personnel required for each operation. Peacekeepers wear their countries' uniform and are identified as UN Peacekeepers only by a UN blue helmet or beret and a badge.

Civilian staff of peacekeeping operations are international civil servants, recruited and deployed by the UN Secretariat.

Reporting to the Security Council

The Secretary-General will then provide regular reports to the Security Council on the implementation of the mission mandate.

The Security Council reviews these reports and briefings, and renews and adjusts the mission mandate, as required, until the missions is completed or closed.

1) As part of organization restructuring beginning 1 January 2019, the Department of Field Support (DFS) became the Department of Operational Support.

» Implementation Phase

During this phase the Security Council resolution is implemented by the Secretary-General. In addition, the role of the DPO is determined.

Other items to be determined during the implementation phase include these:

- Identification of troop contributing states;

- Definition of structure of the Mission;

- Adoption of Rules of Engagement (ROE);

- Negotiation of Status of Forces Agreement (SOFA); and

- Search for financial contribution.

» Termination phase

In the termination phase of a peacekeeping operation, there are three different outcomes: first, the mission can be declared a failure when peacekeepers are forced out (or asked to leave) and the fighting continues; second, the mission can continue indefinitely such as in Cyprus; or third, the mission can be declared a success once elections are held. The completion of elections, however, may not ultimately end the conflict, as the cases of Angola and Cambodia indicate.

» Withdrawal Plan

A traditional United Nations peacekeeping operation can be said to have successfully completed its mandate once the states concerned have mutually agreed to a settlement to their conflict.

Since they have little direct involvement in diplomatic efforts to resolve the conflict, some traditional peacekeeping operations are deployed for decades. This is because a lasting political settlement between the parties is lacking.

Determining whether a multidimensional United Nations peacekeeping deployed in the aftermath of a violent internal conflict has successfully completed its mandate is far more challenging given the number of complex variables involved.

The decision-making graphic that follows illustrates this complexity.
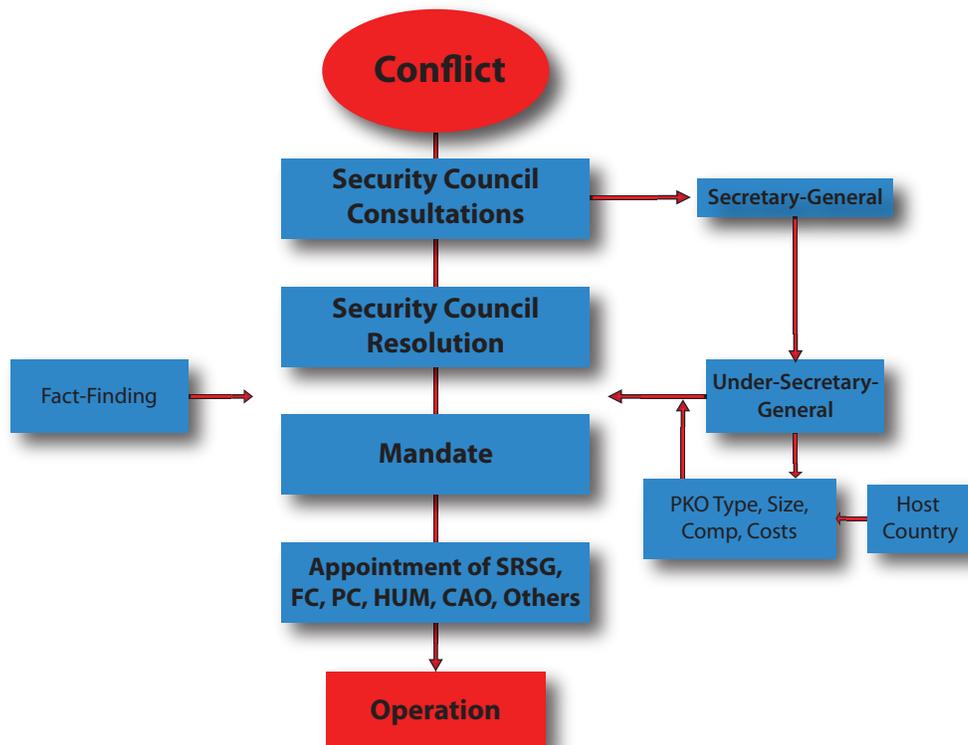
Legal Framework

Chapters VI, VII, and VIII of the UN Charter provide the legal framework for mission development. The following also provide legal guidance:

- Peace accords;

- SOFAs or Status of Mission Agreements (SOMAs);

- Memorandums of Understanding (MOUs);

- National laws;

- Mission rules and directives;

- Concepts of Operations;

- Force Commander's or Police Commissioner's directives;

- Administrative rules and directives;

- ROE for the military; and

- Directive on the Use of Force (DUF) by the police.

The Security Council may authorize a mission "to use all necessary means" to defend the mandate (making it a robust mandate), but the use of force is always regarded as a last resort.

A SOFA deals with the following issues:

- Status of contingents;

- Freedom of movement;

- Communications facilities;

- Use of flags, uniforms, and weapons; and

- Applicability of local laws.

Principles of the Modern Peacebuilding Support Office (PSO)

Fundamental guidelines for a modern PSO include an emphasis on unity of command and effort, impartiality, consensus of the parties, credibility, transparency of operations, and negotiation and mediation. The use of force is acknowledged as a possible but last resort tool. Security is the overall goal and must be met through flexibility, expression of mutual respect, free movement of actors (who are both civilian and military), and coordination and liaison.

Coordination is important if we are to avoid conflict

Coordination

Cooperation   Competition

Coexistence   Conflict
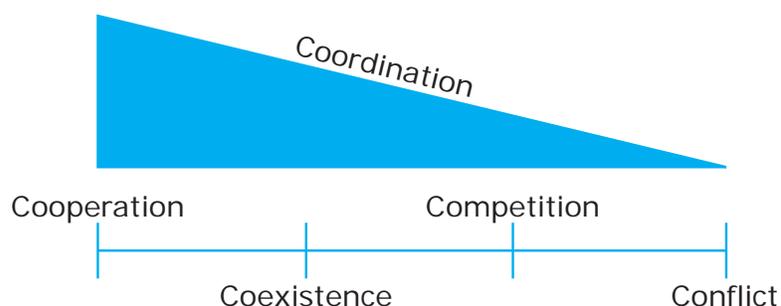
The Department of Safety and Security

According to the DSS website,

"The Department of Safety and Security is responsible for providing leadership, operational support and oversight of the security management system, ensure the maximum security for staff and eligible dependants as well as enable the safest and most efficient conduct of the programmes and activities of the United Nations System.

The United Nations General Assembly, in its resolution 59/276, part XI, on 23 December 2004, approved the establishment of the Department of Safety and Security in the United Nations. The United Nations Department of Safety and Security (UNDSS) was established in January 2005 to provide policy and facilitate security management for all UN operations worldwide. The primary role of UNDSS is to enable UN operations to continue, whilst giving the highest priority to the safety and security of UN staff members and their families. To achieve this, UNDSS deploys security advisors to assist Designated Officials in the performance of their duties.

The primary responsibility for the security and protection of personnel employed by the organisations of the United Nations system, their eligible dependants and property, and of the agency's property, rests with the host governments. In other words, each host Government is fully responsible to ensure the protection for UN System organisation, staff and their dependants in the country."[6]

The following historical account of the development of the UNDSS is from the organization's own website (at <https://trip.dss.un.org/dssweb/aboutus/history.aspx>). See page 23 for a depiction of the DSS organizational structure.

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6)   Available from <https://trip.dss.un.org/dssweb/aboutus/history.aspx>

UN Security Management »

From the creation of the United Nations in 1945 until the early 1990s, UN personnel felt protected by its flag because of its perception of neutrality. As UN mandates changed and peace operations became more robust, peacekeepers and humanitarian staff working alongside one another came under increased threat of physical harm.

The security management system of the United Nations needed to change and UNSECOORD — the Office of the United Nations Security Coordinator was authorized by the General Assembly to increase its staff, particularly in the field. Over the recent years, there has been a greater coordination of security efforts and increased professionalization of the security service of the UN.

The suicide truck-bomb attack on the UN Headquarters at the Canal Hotel in Baghdad on 19 August 2003, which resulted in the deaths of 22 UN staff and visitors plus over 150 injuries was followed by another attack on the Canal Hotel resulting in two additional deaths and another 19 injuries.

The resulting report of the Independent Panel on the Safety and Security of United Nations Personnel, led by Martti Ahtisaari, former Finnish President (referred to as the Ahtisaari panel), made the following assessment in its investigation of the attack:

The United Nations could, in theory, be the target of attacks anywhere at any time, from Baghdad to Kabul, Nairobi, Jakarta, Geneva, or New York.

There are no indications that the perpetrators of the attacks in Baghdad would refrain from attacking other UN targets worldwide.

"The Ahtisaari panel recommended a new, drastically revised security strategy for the United Nations. The Panel recommended that the core elements of the new strategy include an indepth review and reform of the United Nations security system; clear guidance by and clear responsibilities of the United Nations to ensure the security of its staff; the availability of professional assessment tools for the collection of information on potential threats and for the analysis of risk for United Nations operations worldwide; a robust security management system with adequate disciplinary measures to counter non-compliance; accountability at all managerial levels for the implementation of security regulations; and significant increases in resources to develop and maintain the necessary security infrastructure.

"A concerted effort was subsequently made across the United Nations system to overhaul and improve staff security arrangements. A proposal for strengthening and unifying the United Nations security management system was presented to the 59th session of the General Assembly in Report A/59/365 of 11 October 2004. This resulted in the adoption of General Assembly Resolution (A/RES/59/276, XI, 7 - 23 December 2004) that created the Department of Safety and Security which merged the security management component of the Office of the United Nations Security Coordinator (UNSECOORD), the Security and Safety Services (SSS) at Headquarters and at Offices away from Headquarters, (including the regional commissions), and

UN Security Management (continued) »

the civilian security component of the Department of the Department of Peacekeeping Operations (DPKO) into a single security management framework."

The United Nations Department of Safety and Security (UNDSS) was established on 1 January 2005. According to its website, DSS has been performing the following functions:

- "To support and enable the effective conduct of United Nations activities by ensuring a coherent, effective and timely response to all security-related threats and other emergencies; To ensure effective risk mitigation through the establishment of a coordinated security threat and risk assessment mechanism within the framework of a common, system-wide methodology;

- "To develop high-quality, best-practise security policies, standards and operational procedures across the United Nations system, including the appropriate degree of standardization; To support implementation and monitor compliance with those security policies, standards and operational procedures; and

- "To ensure the most cost-effective provision and employment of security personnel by taking advantage of economies of scale and through centrally directed recruitment, selection, training, deployment and career development."

The UN Department of Safety and Security (DSS) Organizational Structure
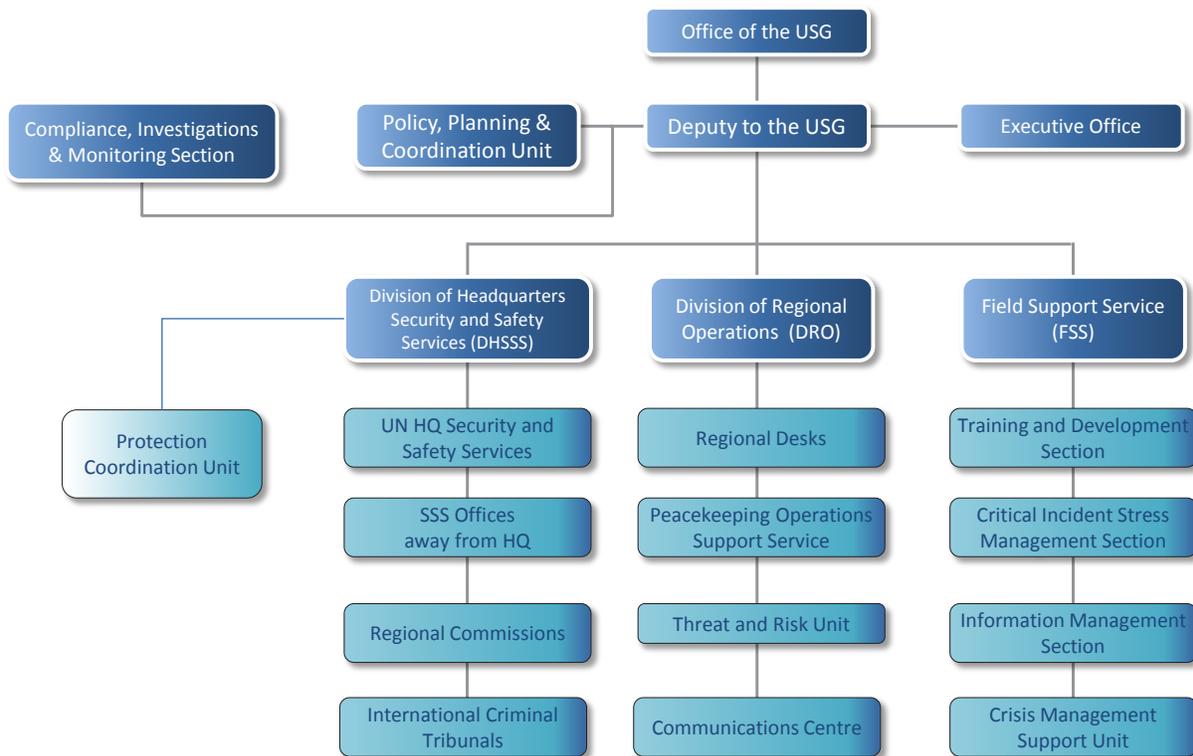
(Original chart available at <https://trip.dss.un.org/dssweb/AboutUs/OrganizationalStructure/Organigram.aspx>)

In 2011 a new Security Level System was introduced. The system assigns a level to areas where the UN operates. The purpose is to more accurately identify and measure the level of security threat that exists in a particular region. The levels range from 1 (minimal) to 6 (extreme). It gives an overall impression to staff and managers of how a security environment in one area compares to another. This system is based on threat and not risk. (This is important to remember from the personal security perspective.) The Security Level System policy applies to all personnel covered by the UN Security Management System.

Following is a graphic representation of the Security Level System.

DSS Security Level Chart (from the United Nations Security Management System Security Policy Manual, Chapter IV, Security Management, Section B: Security Level System (SLS) Interim Policy, 4).

Security Level		Recommended Management Action[3]	Authority	Level of Oversight
6	EXTREME	• Security Management Team (SMT) meets <u>at least</u> weekly (at Designated Official [DO] discretion) • Re-evaluation of staffing needs and security clearance based on the "Acceptable Risk Model" and the new "concept of operations" and security plan • External Security Clearance approved by USG/DSS	Secretary-General[4] (as delegated)	
5	HIGH	• SMT meets <u>at least</u> weekly (at DO discretion) • Re-evaluation of staffing needs and security clearance based on the "Acceptable Risk Model" (Staff in non-critical posts relocated/evacuated) • Security clearance required	DO	USG/DSS (validation within 7 days)
4	SUBSTANTIAL	• SMT meets <u>at least</u> bi-weekly (at DO discretion) • Re-evaluation of staffing needs and security clearance based on the "Acceptable Risk Model" • No external conferences	DO	USG/DSS (validation within 7 days)
3	MODERATE	• SMT meets <u>at least</u> monthly • External conferences must be authorized by DO	DO	Director DRO/DSS (validation within 7 days)
2	LOW	• SMT meets <u>at least</u> twice a year • External conferences organizer must notify DO	DO	Director DRO/DSS (validation within 7 days)
1	MINIMAL	• SMT meets <u>at least</u> twice a year • TRIP entry for all official travel	DO	Director DRO/DSS

3   Every SMT meeting must review the Structured Threat Assessment as part of the required validation of the Security Risk Assessment. A change in the Structured Threat Assessment launches the Security Risk Management process, the result of which will be specific and appropriate security management actions.

4   Should the Secretary-General decide that a minimum number of staff may remain in a Level 6 location, the Executive Heads will decide whether their staff may operate in this environment.

The Security Level System does not deal with evacuation and relocation of staff or eligible family members. This issue is categorized as a risk management option and is considered after the Security Risk Assessment has been conducted.

Reasons you should be concerned are these:

- Threat Risk Assessments are often delayed and incomplete;

- Often Threat Risk Assessments do not have a good directory of indicators, accelerators, and triggers relevant to UN system security;

- UN Missions and individual UN agencies have little helpful integrated decision-support mechanisms; and

- The UN system has no organized global directory of reliable sources.

Again, this means that you must not rely totally on someone else for your security and the security of your personnel.[7]

The Department of Peace Operations

Mandate: In accordance with the purposes and principles enshrined in the Charter of the United Nations, DPO is dedicated to assisting the Member States and the Secretary-General in their efforts to maintain international peace and security. The Department's mission is to plan, prepare, manage, and direct UN peacekeeping operations so that they can effectively fulfil their mandates under the overall authority of the Security Council and General Assembly, and under the command vested in the Secretary-General.

DPO provides political and executive direction to UN peacekeeping operations and maintains contact with the Security Council, troop and financial contributors, and parties to the conflict in the implementation of Security Council mandates. DPO strives to provide the best possible and most cost-efficient administrative and logistical support to missions in the field through the timely deployment of quality equipment and services, adequate financial resources, and well-trained personnel. The Department works to integrate the efforts of UN, governmental, and non-governmental entities in the context of peacekeeping operations. DPO also provides guidance and support on military, police, mine action, and logistical and administrative issues to other UN political and peacebuilding missions.

The New Horizon Initiative[8] and its subsequent progress reports assess the major policy and strategy challenges facing United Nations peacekeeping. It is an attempt to understand current and future requirements in peacekeeping and to collaborate with Member States and other stakeholders in the process. Changes in UN peacekeeping policy will affect safety and security issues for peacekeepers. It is a document worth reading in the context of the original Capstone doctrine of 2008.[9]

In early 2012, the Department of Peacekeeping Operations (DPKO, now DPO) and the entire UN peacekeeping system was confronted once again with issues concerning conduct and discipline. All UN personnel should respect local laws, customs, and practices; treat host country inhabitants with respect, courtesy, and consideration; and act with impartiality, integrity, and tact. The truth is that in any peacekeeping operation, there are those who, by their actions, place all peacekeepers in jeopardy. In spite of the UN policy of zero tolerance against sexual exploitation or abuse (see Lesson 6 on Cross-Cutting Issues) a number of peacekeepers have been charged. Misconduct is treated seriously, and this means that all peacekeepers have a responsibility to report such incidents. For one's own future safety while working in a potentially hostile environment, this is important to remember.

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7) Adapted from various writings of Robert David Steele (former US Marine Corps infantry and intelligence officer and Central Intelligence Agency operative)
8) See <https://peacekeeping.un.org/sites/default/files/newhorizon_update02_0.pdf>
9) See <https://peacekeeping.un.org/sites/default/files/capstone_eng_0.pdf>

For extensive background information, view the video "Mandated to Protect — Protection of Civilians in Peacekeeping Operations" (at <http://www.youtube.com/watch?v=bRmasLzbkpU>).

Exercise »

Review "The Ten Rules: Code of Personal Conduct" (at <https://conduct.unmissions.org/ten-rulescode-personal-conduct-blue-helmets>) and visit the Conduct and Discipline Unit website (at <http://cdu.unlb.org/>) to fully understand the concept of misconduct, sexual exploitation and abuse, and awareness for you as peacekeeping personnel. Penalties of misconduct are severe for all peacekeepers, whether they are military, civilian, or police.

End-of-Lesson Quiz »

1. **When and where did the United Nations officially come into existence?**

   A. In 1919 following World War I at the Treaty of Versailles

   B. In October of 1944 at Dumbarton Oaks in Washington, D.C.

   C. On 24 October 1945 following ratification by a majority of the nations that had met in San Francisco in June 1945

   D. On 24 October 1949 with the laying of the cornerstone for UN Headquarters in New York

2. **What are the six principal organs of the United Nations?**

   A. General Assembly, Security Council, Economic and Social Council, Trusteeship Council, International Court of Justice, and Secretariat

   B. General Assembly, Security Council, UNICEF, Trusteeship Council, International Court of Justice, Secretariat

   C. General Assembly, Security Council, Economic and Social Council, Trusteeship Council, International Criminal Court, Secretariat

   D. General Assembly, Security Council, Economic and Social Council, Trusteeship Council, International Atomic Energy Administration, Secretariat

3. **How many levels are there in the new Security Level System?**

4. **Which principal organ is the administrative arm of the UN?**

   A. The Secretariat

   B. DPO

   C. The Secretary-General

   D. The diplomatic missions in New York

5. **Which chapter of the UN Charter addresses the peaceful settlement of disputes?**

   A. Chapter V

   B. Chapter VI

   C. Chapter VII

   D. Chapter VIII

6. **List the five permanent Members of the Security Council.**

7. **What is DPO?**

   A. Department of Peacekeeping Organization

   B. Department of Peace Organizations

   C. Division of Peace Operations

   D. Department of Peace Operations

8. **Third-generation peacekeeping is _____.**

   A. Observation, monitoring and reporting

   B. Complex and multi-dimensional

   C. Supervision of ceasefire

   D. Muscular peacekeeping

9. **What do SOFA and SOMA stand for?**

10. **What is the Security Level System based upon?**

Answer Key »

1.   C

2.   A

3.   six

4.   A

5.   B

6.   China, France, the Russian Federation, the United Kingdom, and the United States

7   D

8.   D

9.   Status of Forces Agreement, Status of Mission Agreement

10   This system is based on threat and not risk

Appendix A: List of Acronyms

|	
ACCORD	African Centre for the Constructive Resolution of Disputes
ACS	Access Control System
AFP	"Agencies, Funds and Programmes"
AMP	Advanced Medical Post
ASC	Area Security Coordinator
AU	African Union
c/s	call sign
CAFF	children associated with fighting forces
CBO	community based organization
CBR	"chemical, biological, and radiological "
CBRN	"chemical, biological, radiological, or nuclear"
CCPO	Chief Civilian Personnel Officer
CCTV	closed circuit television
CEB	United Nations System Chief Executives Board for Coordination
CMO	Chief Military Observer
CMT	Crisis Management Team
CPI	Convention on Privileges and Immunities
CPNI	Centre for the Protection of National Infrastructure (United Kingdom)
CPR	Cardiopulmonary Resuscitation
CPTED	crime prevention through environmental design
CRS	Catholic Relief Services
CSA	Chief Security Adviser
CSFP	Country Security Focal Point
CSO	Chief Security Officer
DDR	"Disarmament, Demobilization, Reintegration"
DFS	Department of Field Services
DO	Designated Official
DOS	Department of Operational Support
DPA	Department of Political Affairs
DPKO	Department of Peacekeeping Operations

DPO	Department of Peace Operations
DPPA	Department of Political and Peacebuilding Affairs
DSS	Department of Safety and Security
DUF	Directive on the Use of Force
ECA	Economic Commission for Africa
ECLAC	Economic Commission for Latin America and the Caribbean
ECOWAS	Economic Community of West African States
EGS	Executive Group on Security
EOD	Explosive Ordnance Disposal
ESCAP	Economic and Social Commission for Asia and the Pacific
ESCWA	Economic and Social Commission for Western Asia
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
HLCM	High-Level Committee on Management
IAP	Incident Action Plan
IASC	Inter-Agency Standing Committee
IASMN	Inter-Agency Security Management Network
ICC	International Criminal Court
ICC	interim care centre
ICJ	International Court of Justice
ICP	Incident Command Post
ICRC	International Committee of the Red Cross
ICS	Incident Command System
ICT	Information and Communication Technologies
IDP	Internally Displaced Person
IED	Improvised Explosive Device
IEP	interculturally effective person
IMF	International Monetary Fund
ISF	international security forces
LA	Language Assistants

LOC	level of consciousness
LSA	Local Security Assistant
MDRP	Multi-Country Demobilization and Reintegration Program
MIC	Minimum Initial Care
MINUSTAH	UN Stabilization Mission in Haiti
MONUC	UN Organization Stabilization Mission in the Democratic Republic of the Congo
MORSS	Minimum Operating Residential Security Standards
MOSS	Minimum Operating Security Standards
MOU	Memorandum of Understanding
MSF	Médecins Sans Frontières (Doctors without Borders)
NATO	North American Treaty Organization
NGO	non-governmental organization
OCHA	Office for the Coordination of Humanitarian Affairs
PIN	personal identification number
PMSS	Personnel Management and Support Services
POW	prisoner of war
PSO	Peacebuilding Support Office
PTSD	Post-Traumatic Stress Disorder
PTT	push-to-talk
ROE	Rules of Engagement
SA	Security Adviser
SALW	small arms and light weapons
SELCAL	selective-calling radio system
SG	Secretary-General
SGBV	sex- and gender-based violence
SGTM	Standard Generic Training Module
SITREP	situation report
SLS	Security Level System
SMT	Security Management Team
SO	Security Officer

SOFA	Status of Forces Agreement
SOMA	Status of Mission Agreement
SOP	Standard Operating Procedures
SRA	Security Risk Assessment
SRM	Security Risk Management
SRSG	Special Representative of the Secretary-General
SSS	Security and Safety Services
STA	Structured Threat Assessment
UN	United Nations
UNAMID	United Nations Mission in Darfur
UNCRC	United Nations Convention on the Rights of the Child
UNDP	United Nations Development Programme
UNFICYP	UN Peacekeeping Force in Cyprus
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNMIS	United Nations Mission in Sudan
UNMO	UN military observer
UNMOGIP	UN Military Observer Group in India and Pakistan
UNOG	United Nations Office at Geneva
UNON	United Nations Office in Nairobi
UNOV	United Nations Office in Vienna
UNPKF	United Nations Peacekeeping Force
UNPOL	UN police officer
UNSCR	UN Security Council Resolution
UNSECOORD	United Nations Security Coordinator
UNSMS	United Nations Security Management System
UNSSC	UN Systems Staff College
UXO	Unexploded Ordnance
VBIED	Vehicle Borne Improvised Explosive Device
WB	World Bank

WCRP	World Conference on Religion and Peace
WFP	World Food Programme
YMCA	Young Men's Christian Association
ZSP	Zone Staging Point

Appendix B: Current Peacekeeping Missions
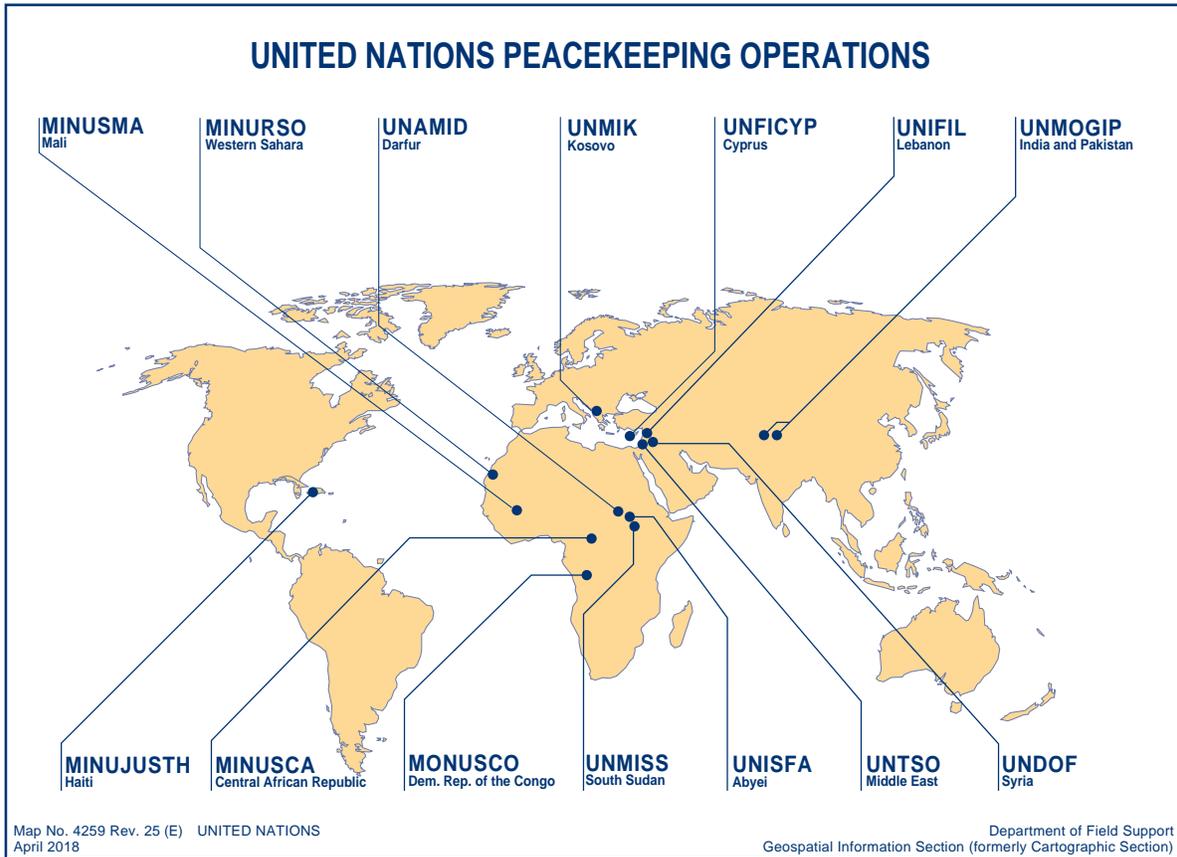
UN Peacekeeping Map from the UN Cartographic Section, April 2018: <www.un.org/Depts/Cartographic/map/dpko/P_K_O.pdf>.

» *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: <https://peacekeeping.un.org/en/resources>.*

About the Author: Marshall Wm. Conley, Ph.D.

> Dr. Conley has worked under contract for a number of United Nations agencies over the past 25 years and is the author of more than 140 publications and professional papers. He was a Senior Professor of Human Rights and Peace Studies at Acadia University, Nova Scotia, Canada, until 2000.

He is currently President of Conley-International Education Consultants. He has developed training programs for governments, international organizations, and non-governmental organizations in 30 countries. His clients have included the African Union, UNHCR, UNHCHR, ILO, UNCTAD, UNESCO, UNSSC, UNICEF, the United Nations Rule of Law Unit, the Council of Europe of the European Union, and a number of Canadian Government Departments, as well as a variety of international NGOs. He has administered projects in 21 African countries and designed and conducted training in a variety of venues from Africa, Europe, Asia, and North America on subjects ranging from security for UN Peacekeepers, Training of Trainers, rebuilding war-torn societies, DDR, Early Warning, African Union Senior Police Commanders courses, UNAMID (Darfur) pre-deployment training, Democratic Development and Governance, Pre-deployment Training, citizenship development, human rights reporting, and teaching to ethical and rights issues related to the human genome.

Dr. Conley is a Board Member of the Institute of International Relations, University of the West Indies, Trinidad & Tobago. In addition he served as a Senior Advisory Panel Member for the programme evaluations of the United Nations Department of Peacekeeping Operations and the Department of Safety and Security (DSS) 2013-2014. He is the author of two additional online courses: "Conflict Analysis and the Nature of Conflict in Africa" (*PATRIR - Peace Action, Training and Research Institute of Romania* - www.patrir.ro/) and *"Early Warning and Early Response and Contemporary Peace Operations*" (EWER — www.patrir.ro).

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Instructions for the End-of-Course Examination

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 lessons 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/> 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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