

# The Role of United Nations Police in Peace Operations



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*The United Nations Mission in Liberia (UNMIL) withdrew its military presence from the country on 8 February 2018 as part of the termination of its mandate scheduled for 30 March 2018. UNMIL was established in September 2003 to monitor a ceasefire agreement in Liberia, following the conclusion of the Second Liberian Civil War. Inspector Second Class Zhang Ying, a member of a Chinese Formed Police Unit (FPU) deployed with UNMIL, interacts with a girl of the Steward Camp in Tubmanburg, destination of the last long-range patrol the contingent conducted before withdrawal. 1 February 2018. UN Photo #750383 by Albert González Farran.*

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**The author of this course is Detective Superintendent Sue King of the Australian Federal Police (Retired). This training document is co-branded with the expressed agreement of the Australian Federal Police. We thank the Australian Federal Police for their support in preparing this course.**

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Versions of this course offered in other languages may differ slightly from the primary English master copy. Translators make every effort to retain the integrity of the material.

# The Role of United Nations Police in Peace Operations

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## Method of Study

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*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 material. 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 re-reading 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](http://www.peaceopstraining.org/users/user_login)>***  
***from virtually anywhere in the world.***
- Your exam will be scored electronically. If you achieve a passing grade of 75 per cent or higher on the exam, you will be awarded a Certificate of Completion. If you score below 75 per cent, you will be given one opportunity to take a second version of the End-of-Course Examination.
  - A note about language: This course uses English spelling according to the standards of the Oxford English Dictionary (United Kingdom) and the United Nations Editorial Manual.

### **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; and
- The ability to download your Certificate of Completion for any completed course.

LESSON

1

# The United Nations System



UN Photo #27812 by Sophia Paris.

This lesson outlines the purpose of the United Nations, particularly as it relates to UN Peacekeeping and international peace and security.

## In this lesson »

- Section 1.1 The Purpose of the United Nations
- Section 1.2 The Primary Strategic Peacekeeping Bodies of the United Nations
- Section 1.3 The United Nations Secretariat and Peacekeeping

## Lesson Objectives »

- Describe the origin and purpose of the United Nations.
- Describe the key organs of the United Nations.
- Outline the main units within the United Nations Secretariat that work in peacekeeping.



*Members of the delegation from China at the signing of the United Nations Charter: Dr. V. Wellington Koo, of China, signed on behalf of his government. 26 June 1945. UN Photo #236035 by Rommel.*

The lesson includes information on the strategic decision-making bodies of the United Nations, including the Security Council, which issues the peacekeeping mandates that guide peacekeepers' duties in the field. The departments that operationalize the Security Council mandates are also discussed in some detail, including how they relate to UN policing.

## Section 1.1 The Purpose of the United Nations

The United Nations is an international organization founded shortly after the Second World War in 1945. It currently consists of 193 Member States. 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 Charter of the United Nations:<sup>1</sup>

“We the peoples of the United Nations determined

- » 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[.]”

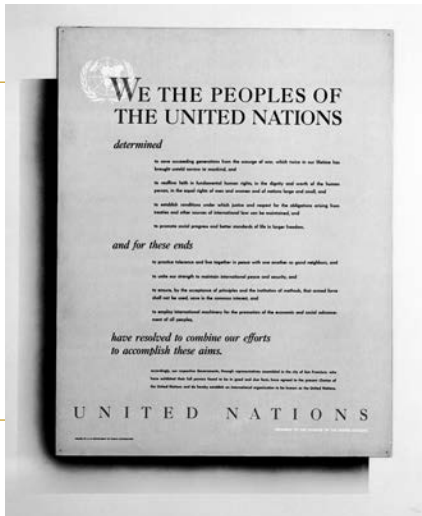
The purpose and principles of the United Nations can be found in Chapter I, Article 1 of the Charter.

“The Purposes of the United Nations are:

1. To maintain international peace and security, and to that end: to take effective collective measures for the prevention and removal of threats to the peace ...
2. To develop friendly relations among nations based on respect for the principle of equal rights and self-determination of peoples ...
3. To achieve international co-operation in solving international problems of an economic, social, cultural, or humanitarian character, and in promoting and encouraging respect for human rights and for fundamental freedoms for all without distinction as to race, sex, language, or religion; and
4. To be a centre for harmonizing the actions of nations in the attainment of these common ends.”

---

1) United Nations, United Nations Charter, 26 June 1945.



## View the UN Charter online >>

To read the entire founding document of the United Nations and to reference the articles mentioned in this lesson, access the Charter online at [www.un.org/en/documents/charter/](http://www.un.org/en/documents/charter/).

*UN Photo #101834 by United Nations.*

The Charter is an international treaty ratified by Member States through their own sovereign legal processes. It provides options for the UN to take various actions on a range of issues, including peacekeeping. Two bodies, the General Assembly and the Security Council, debate issues and vote on decisions.

The UN describes itself as having two distinctive characteristics: uniqueness and impartiality.

### 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 (e.g. specialized agencies, funds, and programmes) affect the lives of people around the globe and make the world a better place. The UN works on a broad range of fundamental issues, including sustainable development, environmental protection, refugee protection, disaster relief, counter-terrorism, disarmament, non-proliferation, promoting democracy and 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>2</sup>

### The UN is an impartial organization

All States around the world that have joined the UN are equal members. The impartiality and universality of the UN are key elements of its legitimacy. It is important to recognize the difference between impartiality and neutrality and how the UN and humanitarian actors use these terms differently in the field. According to the UN Core Pre-deployment Training Materials (CPTMs), 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 focus on implementing its mandate fairly. Humanitarian actors also use the terms “impartiality” and “neutrality”; however, their meanings are somewhat different. For the International Red Cross and Red Crescent Movement, impartiality means being guided solely by needs, making no discrimination on the basis of nationality, race, gender, class, or religious or political beliefs, while neutrality means to take no sides in hostilities or engage in controversies of a political, racial, religious, or ideological nature at any time.

2) United Nations, *The United Nations: It's Your World*, 6 November 2008. Available from: <https://www.youtube.com/watch?v=bHmXZxSABm0>.

## Section 1.2 The Primary Strategic Peacekeeping Bodies of the United Nations

At the strategic level, the Security Council and the General Assembly make all high-level decisions related to peacekeeping. The United Nations has a large Secretariat of UN staff, led by the Secretary-General, who perform a diverse range of administrative functions and carry out the decisions of the Security Council and the General Assembly. Relevant departments in the United Nations Secretariat, as well as heads of missions (HOMs) and heads of police components (HOPCs) in the field, make operational- and tactical-level peacekeeping decisions.

### Security Council

Under the UN Charter, the Security Council has the primary responsibility for the maintenance of international peace and security and deliberates on world issues and conflicts that it believes pose a threat to peace or constitute an act of aggression (as defined under the UN Charter). Fifteen Members sit on the Security Council, each with one vote. There are five permanent Members — China, France, Russia, the United Kingdom, and the United States. Each permanent Member has the power to veto any Security Council resolution that does not align with its national interests. According to Article 25 of the UN Charter, all Member States are obligated under international law to comply with Security Council decisions.

*A wide view of the 19 April 2017 Security Council Council meeting on the Situation in Libya. 19 April 2017. UN Photo #720235 by Rick Bajornas.*



Under the Charter, the Security Council's functions and powers are:<sup>3</sup>

- » "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;

3) UN Security Council, "Functions and Powers", accessed 15 January 2018. Available from: <<http://www.un.org/en/sc/about/functions.shtml>>.

- » 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';
- » 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."

The Security Council determines when and where to authorize and deploy a UN peacekeeping operation or special political mission (SPM). Authorization is given through a Security Council resolution, which establishes the mandate of the peacekeeping operation, as well as the "authorized strength", or the number of troops and police to deploy to a mission.

All other options available will be exhausted before the Security Council authorizes a peacekeeping operation. These options may include seeking negotiations for the peaceful resolution of disputes and sanctions, although these options also can run parallel to an authorized peacekeeping operation.

When deliberating the establishment of a new peacekeeping operation, the Security Council will consider:<sup>4</sup>

- » "Whether there is a ceasefire in place and the parties have committed themselves to a peace process intended to reach a political settlement;
- » Whether a clear political goal exists and whether it can be reflected in the mandate;
- » Whether a precise mandate for a UN operation can be formulated;
- » Whether the safety and security of UN personnel can be reasonably ensured, including in particular whether reasonable guarantees can be obtained from the main parties or factions regarding the safety and security of UN personnel."

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4) Department of Peace Operations (DPO), "Role of the Security Council". Available from: <<https://peacekeeping.un.org/en/role-of-security-council>>.

The Security Council determines the drawdown and cessation timeline for missions in consultation with the Secretariat, the mission leadership, and the host State. It also monitors the work of UN peacekeeping operations on an ongoing basis, including through periodic reports from the Secretary-General and by holding dedicated Security Council sessions to discuss the work of specific operations.<sup>5</sup> The Security Council also can hear directly from the mission leadership, including the Special Representative of the Secretary-General (SRSG), the force commander, and the HOPC.

The Standing Committee on Peacekeeping Operations and Political Missions serves as a peacekeeping advisory forum for the Security Council. This committee consists of military and police professionals who consider technical and practical issues that relate to peacekeeping operations and provide advice to the senior leadership of their diplomatic missions (usually ambassadors) to assist them when making political decisions related to peacekeeping operations and SPMs.

## Mandates

The CPTMs define a mandate as "an official order, directive or authorization to take specific action."<sup>6</sup>

"Any peacekeeping operation must have a Security Council resolution. Security Council resolutions contain mandates for peacekeeping operations. A mandate is an authorization and directive to take specific action. The peacekeeping mandate in a Security Council resolution is the legal basis for all actions or tasks of the peacekeeping operation, including the use of force."<sup>7</sup>

It is essential that all personnel of a peacekeeping mission have a thorough knowledge of the mandate because it "not only lists tasks of the peacekeeping mission, but may also give conditions or 'benchmarks' for withdrawal of a mission."<sup>8</sup>

"The range of mandated tasks differs between peacekeeping missions based on the nature of the conflict, the challenges it presents and the current situation. The type and content of peace agreements reached by parties to a conflict influence specific tasks in set in Security Council mandates.

Security Council mandates also set cross-cutting thematic tasks which are applied to all peacekeeping missions. Under 'themes', these tasks respond to all acts of violence or abuses committed against civilians in situations of armed conflict. The tasks are 'crosscutting' because they are everyone's work and everyone's responsibility."<sup>9</sup>

5) UN Security Council, "Role of the Security Council".

6) DPKO/DFS, *Core Pre-deployment Training Materials for United Nations Peacekeeping Operations* (New York: United Nations, 2017), Module 1, Lesson 1.5, 5. Available from: <<http://research.un.org/revisecptm2017/Module1>>.

7) DPKO/DFS, *CPTM*, Module 1, Lesson 1.1, 14.

8) DPKO/DFS, *CPTM*, Module 1, Lesson 1.5, 6

9) DPKO/DFS, *CPTM*, Module 1, Lesson 1.5, 6.



## General Assembly

The General Assembly is the main deliberative, policymaking, and representative organ of the UN. All Member States of the UN are represented in the General Assembly, making it the only UN body with universal representation. The General Assembly is a unique forum for multilateral discussion of international issues, including peace and security. The full UN membership meets in the General Assembly Hall in New York each September for the annual General Assembly session and general debate.

While it is the Security Council's responsibility to make political decisions to establish or terminate UN peacekeeping operations, the General Assembly also plays a key role in financing peacekeeping as well as providing policy direction to the Secretariat on peacekeeping matters.

The cost of peacekeeping is borne by all UN Member States, as funding is apportioned through a scale of assessments that take into account the economic wealth of Member States. However, the permanent Members of the Security Council provide a larger proportion of the peacekeeping budget due to their shared responsibility for the maintenance of international peace and security.

The Fifth Committee (Administrative and Budgetary) of the General Assembly approves and oversees the peacekeeping budget. This includes how specific field operations are funded and equipped as well as the staffing and funding of departments within the Secretariat that deal with peacekeeping.

The General Assembly monitors the performance of UN Peacekeeping and provides direction to the Secretariat through the Special Committee on Peacekeeping Operations. Delegates who make up this committee usually come from the military, police, or diplomatic services of Member States.<sup>10</sup>



*Miroslav Lajčák, President of the seventy-second session of the General Assembly, speaks at the conclusion of the Assembly's annual general debate on 25 September 2017. UN Photo #736383 by Cia Pak.*

10) DPO, "Role of the General Assembly", accessed 1 March 2018. Available from: <<https://peacekeeping.un.org/en/role-of-general-assembly>>.

The General Assembly has several functions and powers, as outlined in the UN Charter:<sup>11</sup>

- » Article 10: “The General Assembly may discuss any questions or any matters within the scope of the present Charter or relating to the powers and functions of any organs [of the United Nations].”
- » Article 11, para. 1: “The General Assembly may consider [and make recommendations based on] the general principles of co-operation in the maintenance of international peace and security, [including disarmament]”.
- » Article 11, para. 2: “The General Assembly may discuss any questions relating to international peace and security ... may make recommendations with regard to any such questions to the state or states concerned or to the Security Council or to both.”
- » Article 13: “The General Assembly shall initiate studies and make recommendations for the purpose of:
  - a** promoting international co-operation in the political field and encouraging the progressive development of international law and its codification;
  - b** promoting international co-operation in the economic, social, cultural, educational, and health fields, and assisting in the realization of human rights and fundamental freedoms for all without distinction as to race, sex, language, or religion.”
- » Article 14: “[T]he General Assembly may recommend measures for the peaceful adjustment of any situation ... which it deems likely to impair the general welfare or friendly relations among nations”.
- » Article 15, para. 1–2: “The General Assembly shall receive and consider annual and special reports from the Security Council ... and other organs of the United Nations”.
- » Article 17: “The General Assembly shall consider and approve the budget of the Organization”.
- » Article 18, para. 2: With two-thirds majority, the General Assembly shall “[elect] the non-permanent members of the Security Council,” as well as the Members of other United Nations councils and organs.

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11) United Nations, Charter of the United Nations, 1945.

- » Article 97: “The Secretary-General shall be appointed by the General Assembly upon the recommendation of the Security Council.”

## Section 1.3 The United Nations Secretariat and Peacekeeping

The United Nations includes a large Secretariat staff that executes the mission of the UN as outlined in the Charter. Several UN departments that perform broad and varied roles; those related to UN policing are:

- » Department of Peace Operations (DPO)<sup>12</sup>
- » Office of Rule of Law and Security Institutions (OROLSI)
- » United Nations Police Division (UNPOL)
- » Security Sector Reform Unit (SSRU)
- » Office of Military Affairs (OMA)
- » Department of Operational Support (DOS)
- » Department of Political and Peacebuilding Affairs (DPPA)

### Department of Peace Operations

The executive direction and administration of all UN peacekeeping operations are executed by DPO. DPO is led by the Under-Secretary-General for Peace Operations, who reports to the Secretary-General and Deputy Secretary-General.

DPO is located in New York at UN Headquarters. Its roles and functions are to:

- Direct and control UN peacekeeping operations.
- Develop policies and operational guidelines based on Security Council resolutions (e.g. mission mandates).
- Prepare reports from the Secretary-General to the Security Council on each peacekeeping operation, including appropriate observations and recommendations.
- Advise the Secretary-General on all matters related to the planning, establishment, and conduct of UN peacekeeping operations.
- Act as a focal point between the Secretariat and Member States looking for information on any matters related to a UN peacekeeping mission.

#### Safety and Security >>

For more information on the safety and security of UN Peacekeepers, see <[www.un.org/undss/content/what-we-do-0](http://www.un.org/undss/content/what-we-do-0)>.

Finally, DPO is accountable to the Secretary-General and responsible for ensuring that DPO-led field missions meet the requirements of the United Nations Security Management System.

<sup>12</sup> As part of organizational restructuring beginning 1 January 2019, the Department of Peacekeeping Operations (DPKO) became the Department of Peace Operations (DPO), the Department of Field Support (DFS) became the Department of Operational Support (DOS), and the Department of Political Affairs (DPA) became the Department of Political and Peacebuilding Affairs (DPPA).



*Dmitry Titov, Assistant Secretary-General of OROLSI, and Nina Lahoud, Deputy Director of the Department of Peacekeeping Operations Asia and Middle East Division, arrive in Baucau, Timor-Leste, where they were met by the Commander of the UN Police's Bangladeshi Unit. 21 April 2010. UN Photo #434571 by Martine Perret.*

## Office of Rule of Law and Security Institutions

OROLSI is an office of DPO. It is led by an Assistant Secretary-General who reports to the Under-Secretary-General. The primary aim of OROLSI is to support the work of UN missions to help national authorities achieve lasting peace by establishing accountable and transparent justice and security systems and reinforcing security through disarmament, demobilization, and the reintegration of ex-combatants. OROLSI provides specialists to help manage unsafe minefields and unexploded ordnance that remain threats to local communities and peacekeepers following armed struggles.<sup>13</sup>

OROLSI provides an integrated, holistic, and coordinated approach to DPO rule of law activities across police, justice and corrections, and security sector reform (SSR). This is particularly important given the synergies that exist between these security institutions. There is little practical use in having the capacity to arrest suspects if there is no justice system to determine their innocence or guilt and no corrections facilities in which to detain the guilty.

## UN Police Division

UNPOL is a division of OROLSI and is led by the UN Police Adviser. The UN Police Adviser currently reports to the Assistant Secretary-General of OROLSI. In 2014, the UN Police Adviser released a strategic vision for UN policing called "UN Police Towards 2020: Serve and Protect to Build Peace and Security".<sup>14</sup>

An independent review conducted on UNPOL in 2016 made a number of recommendations to change the structure of the division.<sup>15</sup> As of 2018, UNPOL consists of three sections: Strategic Policy and Development, Mission Management and Support, and Selection and Recruitment. Section heads report to the UN Deputy Police Adviser and the UN Police Adviser as well as the Standing Police Capacity (SPC) in Brindisi, Italy.

13) DPO, "Strengthening the Rule of Law", accessed 1 March 2018. Available from <<https://peacekeeping.un.org/en/strengthening-rule-of-law>>.

14) UNPOL "UN Police Towards 2020: Serve and Protect to Build Peace and Security: A Vision and Multi-year Strategy", March 2014.

15) United Nations, "External Review of the Functions, Structure and Capacity of the UN Police Division", 31 May 2016.

The Strategic Policy and Development Section is responsible for:

- Developing and reviewing technical guidance, directives, and standard operating procedures for the police components of missions (such as the Strategic Guidance Framework for International Police Peacekeeping [SGF]).
- Conducting police strategic planning and developing concepts of operations as well as mandate and implementation plans in coordination with DPO Integrated Operational Teams (IOT).
- Monitoring police plans as well as analysing and evaluating results achieved and lessons learned by the police components of missions in coordination with other stakeholders.
- Supporting the efforts of other United Nations System partners, such as the UN Office on Drugs and Crime (UNODC), concerning police and law enforcement issues.

The Mission Management and Support Section is responsible for:

- Providing technical advice to the police components of missions in coordination with the IOT to facilitate the implementation of their respective mandates.
- Liaising with missions and other stakeholders, as appropriate, on police and law enforcement matters and related administrative, operational, and technical issues.

The Selection and Recruitment Section is responsible for:

- Ensuring the selection, deployment, rotation, and extension of tours of duty of UN Police officers, including members of formed police units (FPUs) and internationally recruited professional civilian staff in police components, in coordination with Member States and field missions.
- Planning and undertaking selection assistance and pre-deployment visits to police-contributing countries (PCCs), collaborating with DOS on the contingent-owned equipment negotiation process, and taking part in reconnaissance visits to the field.

The SPC in Brindisi is a group of 40 UN Police officers who provide a rapid police deployment capability for the United Nations for use in the start-up phase of UN peace operations and other crisis situations. SPC officers have specialist expertise in various areas,<sup>16</sup> including police reform and restructuring, public order, transnational organized crime, community-oriented policing, legal affairs, analysis, training, planning, logistics, budget and funds management, human resources, information and communication technology, investigations, and gender advisory services.

The role of the SPC is to:

- Provide a coherent police and law enforcement start-up capability for new peace operations led by DPO for peacekeeping missions and DPPA for special political missions.
- Assist peace operations led by DPO and DPPA through the provision of police and law enforcement advice and expertise. When appropriate, the SPC may also be called upon to conduct operational assessments and evaluations of police components.

UNPOL also works with the DPO Integrated Training Service to develop training and tools for cross-cutting issues, such as sexual and gender-based violence (SGBV).

16) UNPOL, "Standing Police Capacity", accessed 23 March 2018. Available from: <<https://police.un.org/en/standing-police-capacity>>.

## Security Sector Reform Unit

The UN defines SSR as “a process of assessment, review and implementation as well as monitoring and evaluation of the security sector, led by national authorities, and that has as its goal the enhancement of effective and accountable security for the State and its peoples, without discrimination and with full respect of human rights and the rule of law.”<sup>17</sup> In the *Report of the Secretary-General, “Securing peace and development”*, security sector is “a broad term used to describe the structures, institutions and personnel responsible for the management, provision and oversight of security in a country.”<sup>18</sup> This often includes the military, police, prisons, customs, and border patrol agencies, but it may also refer to those responsible for oversight and legislation for the security sector, such as the judiciary and politicians.

In post-conflict environments, reforming and restructuring a nation’s security institutions are critical to rebuilding trust and confidence of populations in their governments and, in this case, their police. When effectively done, SSR can create accountable and transparent law enforcement agencies and other security institutions, with sufficient checks and balances to help prevent a resurgence of conflict or abuses of power.

UN Police work closely with SSRUs within missions to help rebuild, restructure, and reform law enforcement agencies. UN experts also work with the host State to draft strategic police plans, appropriate law enforcement legislation, and evaluation frameworks.

## Office of Military Affairs

OMA is the military equivalent of UNPOL. As part of DPO, the role of OMA is to provide military expertise and advice to UN departments and Member States, as well as support the efficient and effective delivery of military capabilities to military components of UN peacekeeping operations. UNPOL works closely with OMA, particularly in relation to information sharing and force protection arrangements. UNPOL also consults closely with OMA during the development of its Concept of Operations and Directives on the Use of Force to ensure complementarity.

## Department of Operational Support

DOS is responsible for delivering dedicated support to UN field operations, including peacekeeping operations and SPMs. This includes personnel, finance, procurement (purchasing), logistics, communications, information technology, and other administrative and general management issues.

## Department of Political and Peacebuilding Affairs

DPPA-led field operations are SPMs and are led by SRSGs. Their primary function is to engage with host State authorities and humanitarian actors on the ground in relation to nation-building activities across a range of disciplines to help prevent and resolve conflict and support complex political transitions.<sup>19</sup>

DPPA contributes to UN efforts across conflict prevention, peacemaking, and post-conflict peacebuilding, all of which involve police contributions. DPPA’s roles in conflict prevention and resolution efforts include:

- Advising the Secretary-General on actions that could advance the cause of peace (e.g. police capacity-building projects).

17) UN General Assembly and Security Council, “Securing peace and development: the role of the United Nations in supporting security sector reform”, *Report of the Secretary-General, A/62/659-S/2008/39*, 23 January 2008, sect. III, para. 17.

18) UN General Assembly and Security Council, “Securing peace and development”, sect. III, para. 14.

19) DPPA, “DPPA Around the World”, accessed 25 January 2019. Available from: <<https://dpa.un.org/en/dppa-around-world>>.



*B. Lynn Pascoe, Under-Secretary-General for Political Affairs, addresses the Security Council meeting on the maintenance of international peace and security, at UN Headquarters in New York. 25 June 2007. UN Photo #148238 by Eskinder Debebe.*

- Providing support and guidance to UN peace envoys and political missions in the field (e.g. advice on how to improve policing in a particular SPM).
- Serving Member States directly through electoral assistance and the support of DPPA staff to the work of the Security Council and other UN bodies.

DPPA collaborates with UN peacekeeping operations by supporting or conducting elections in post-conflict countries. Additionally, the DPPA Electoral Assistance Division supports peacekeeping operations with needs assessments, policy guidance, and deployment of specialized personnel, including police.

## End-of-Lesson Quiz »

1. **The \_\_\_\_\_ was created to establish a common language of understanding among its Member States and to avoid the sufferings of war.**
  - A. International Committee of the Red Cross
  - B. United Nations
  - C. United States
  - D. None of the above
  
2. **The values enshrined in the Charter of the United Nations includes which of the following?**
  - A. 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
  - B. To establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained
  - C. To promote social progress and better standards of life in larger freedom
  - D. All of the above
  
3. **Two of the most well-known activities of the United Nations are \_\_\_\_\_ and \_\_\_\_\_. (Pick two.)**
  - A. humanitarian assistance
  - B. peacekeeping
  - C. regulating international trade
  - D. intervening in elections
  
4. **What are key elements of the legitimacy of the UN?**
  - A. Some nations are better represented than others
  - B. Impartiality and universality
  - C. Security Council Member States are wholly responsible for funding the United Nations
  - D. Capitalism and socialism
  
5. **At the strategic level, which bodies make high-level decisions relating to peacekeeping?**
  - A. The UN Secretariat under direction from the Secretary-General
  - B. The Group of Friends for Peacekeeping
  - C. The Security Council and the General Assembly
  - D. The International Criminal Court
  
6. **Which of the following Member States is a permanent Member of the Security Council?**
  - A. Japan
  - B. India
  - C. United Kingdom
  - D. Germany
  
7. **What does the Security Council consider when deliberating whether to establish a new peacekeeping operation?**
  - A. Whether a clear political goal exists and whether it can be reflected in the mandate
  - B. Whether the safety and security of UN personnel can be reasonably assured
  - C. Whether a precise mandate for a UN operation can be formulated
  - D. All of the above
  
8. **Under the UN Charter, the \_\_\_\_\_ may make recommendations for the peaceful settlement of any situation that might impair friendly relations among nations.**
  - A. General Assembly
  - B. Security Council
  - C. African Union
  - D. Department of Peace Operations

*Answer Key provided on the next page.*



## End-of-Lesson Quiz »

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**9. The Department of Political and Peacebuilding Affairs helps to prevent and resolve conflict by \_\_\_\_\_.**

- A. advising the Secretary-General on actions that could advance the cause of peace (e.g. police capacity-building projects)
- B. providing support and guidance to UN peace envoys and political missions in the field (e.g. advice on how to improve policing in a particular SPM)
- C. serving Member States directly through electoral assistance and through the support of DPPA staff to the work of the Security Council and other UN bodies
- D. All of the above

**10. Which of the following UN Departments relate to UN policing?**

- A. UNPOL
- B. DPO
- C. DOS
- D. All of the above

## Answer Key »

- 1. B
- 2. D
- 3. A and B
- 4. B
- 5. C
- 6. C
- 7. D
- 8. A
- 9. D
- 10. D

## Appendix A: List of Acronyms

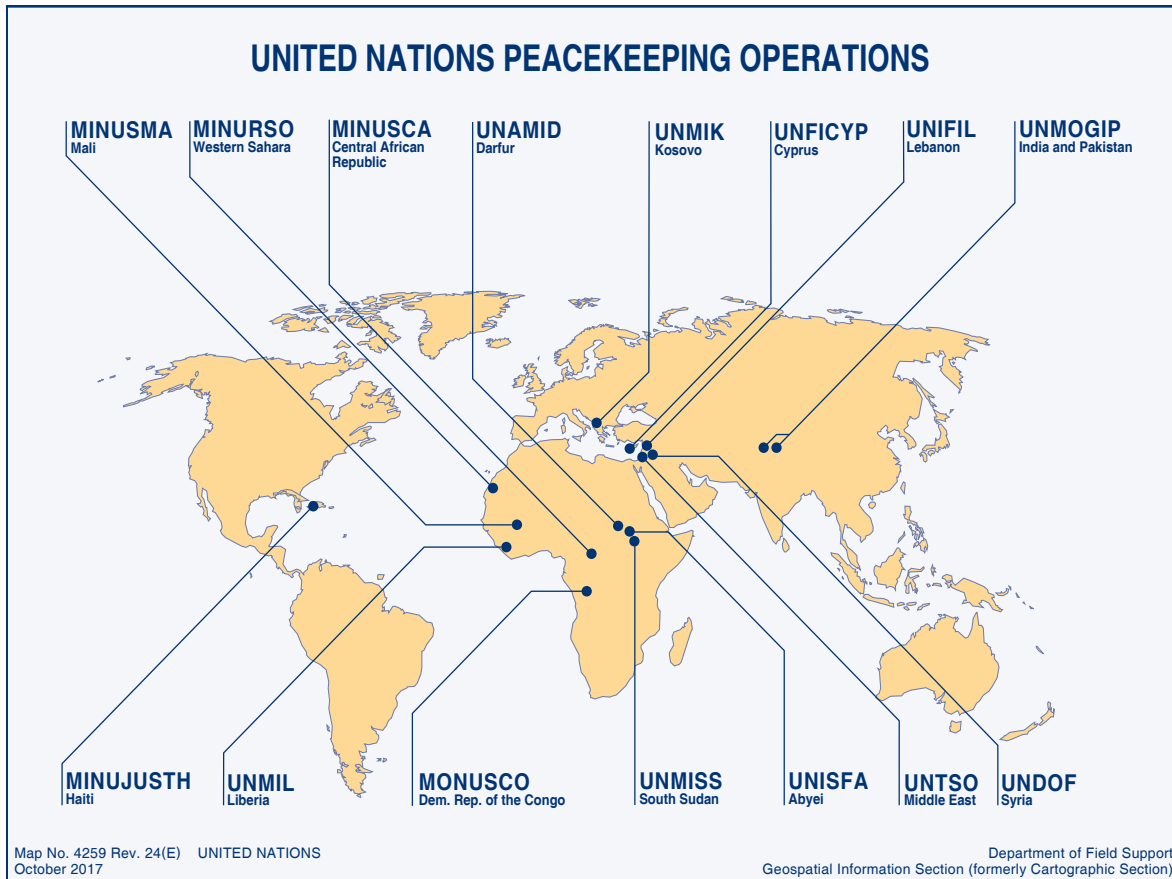
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AMISOM	African Union Mission to Somalia
ASG	Assistant Secretary-General
C34	Special Committee on Peacekeeping Operations
CPTM	Core Pre-deployment Training Materials
DFS	United Nations Department of Field Support
DPKO	United Nations Department of Peacekeeping Operations
DPO	United Nations Department of Peace Operations
DPPA	United Nations Department of Political and Peacebuilding Affairs
Europol	European Union Agency for Law Enforcement Cooperation
FPU	formed police unit
HNP	Haitian National Police
HOM	head of mission
HOPC	head of police component
IDP	internally displaced person
IOT	Integrated Operational Teams
IPO	individual police officer
MINUSCA	United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic
MINUSMA	United Nations Multidimensional Integrated Stabilization Mission in Mali
MINUSTAH	United Nations Stabilization Mission in Haiti
MOU	Memorandum of Understanding
NGO	non-governmental organization
OHCHR	Office of the United Nations High Commissioner for Human Rights
OIOS	United Nations Office of Internal Oversight Services
OMA	Office of Military Affairs
ONUC	United Nations Operation in Congo

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OROLSI	Office of Rule of Law and Security Institutions
PCC	police-contributing country
PNTL	Timor-Leste National Police
SEA	sexual exploitation and abuse
SGBV	sexual and gender-based violence
SGF	Strategic Guidance Framework for International Police Peacekeeping
SOC	serious and organized crime
SPC	Standing Police Capacity
SPM	special political missions
SPT	specialized police team
SRSG	Special Representative of the Secretary-General
SSR	security sector reform
SSRU	Security Sector Reform Unit
SWAT	Special Weapons and Tactics
UNAMID	African Union-United Nations Hybrid Operation in Darfur
UNCIVPOL	United Nations Civilian Police
UNFICYP	United Nations Peacekeeping Force in Cyprus
UNMIK	United Nations Interim Administration Mission in Kosovo
UNMIL	United Nations Mission in Liberia
UNMISS	United Nations Mission in South Sudan
UNMIT	United Nations Integrated Mission in Timor-Leste
UNOCI	United Nations Operation in Côte d'Ivoire
UNODC	United Nations Office on Drugs and Crime
UNPOL	United Nations Police Division
UNTAET	United Nations Transitional Administration in East Timor
WAN	women's advisory network

## Appendix B: Current Peacekeeping Missions



UN Peacekeeping Map from the UN Cartographic Section, October 2017: <[www.un.org/Depts/Cartographic/map/dpko/P\\_K\\_O.pdf](http://www.un.org/Depts/Cartographic/map/dpko/P_K_O.pdf)>.

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

## Appendix C: Global Focal Point Fact Sheet<sup>1</sup>

March 2017



# GLOBAL FOCAL POINT FOR POLICE, JUSTICE & CORRECTIONS (RoL)

AN ARRANGEMENT FOR JOINT DELIVERY AND A SINGLE ENTRY POINT FOR UN POLICE, JUSTICE & CORRECTIONS INTERVENTIONS IN CRISIS SITUATIONS



**GFP Partners provide support to operations in:**

- 3** **TRANSITION SETTINGS**  
DARFUR, HAITI, LIBERIA
- 10** **PEACE OPERATIONS CONTEXTS**  
AFGHANISTAN, CAR, COLOMBIA, DRC, GUINEA BISSAU, IRAQ, KOSOVO, MALI, SOMALIA, S. SUDAN
- 6** **EMERGING/ SUSTAINING PEACE CONTEXTS**  
BURKINA FASO, GUINEA, SRI LANKA, THE GAMBIA, SYRIA RESPONSE, YEMEN

### ONE UN APPROACH TO POLICE, JUSTICE AND CORRECTIONS AND THE BROADER RULE OF LAW

The United Nations, through its various entities, works to strengthen the rule of law in some of the world's most volatile places, requiring coordination of a broad range of interventions by different actors.

Since 2012, the *Global Focal Point arrangement for Police, Justice and Corrections Areas in the Rule of Law in Post-Conflict and other Crisis Situations (GFP)* has brought together complementary capacities in efforts to **improve delivery on the ground** with a view to **preventing** the outbreak, escalation, continuation and recurrence of **violent conflict**.

DPKO and UNDP have been entrusted joint responsibility to convene UN entities in order to **respond to country-level requests of system-wide relevance**. Co-located partners OHCHR, UN Women, UNODC and others contribute their expertise in accordance with their specialised roles and specific mandates for a coherent and coordinated response. The GFP arrangement thus acts as a **bridge between peacekeeping, development, political, peace sustainment, humanitarian** and other actors, as a **single entry point for system-wide rule of law assistance**.

Through **joint assessments, planning, and programming**, the GFP arrangement has been supporting a one UN approach to rule of law assistance, relying primarily on **voluntary funding** and striving to **increase impact** by:

REDUCING  
**COMPETITION**

ENCOURAGING  
**INNOVATION**

LEVERAGING  
**EXPERTISE**

RAPID DEPLOYMENT OF  
**EXPERTISE & JOINT DELIVERY**

JOINT  
**KNOWLEDGE & TRAINING**

JOINT ASSESSMENTS,  
**PLANNING & DESIGN OF ASSISTANCE**

JOINT  
**FUNDRAISING EFFORTS FOR COUNTRY PROGRAMMES**

#### GFP PARTNERS

UN entities working on police, justice and corrections and the broader Rule of Law, co-chaired by DPKO and UNDP, including OHCHR, UN Women, UNODC, and others

#### COVERAGE

United Nations Peacekeeping and Special Political Mission settings, particularly transitions, and other critical situations

#### BASIS

Secretary-General Decision No 2012/13 on Rule of Law Arrangements of September 2012

#### RELEVANCE

The GFP arrangement provides a model for coordination and joint delivery across cross-cutting thematic areas

1) United Nations Development Programme, "Fact Sheet: Global Focal Point for Police, Justice and Corrections", March 2017.

## Appendix D: Basic Principles on the Use of Force and Firearms

*This document has been taken directly from [www.un.org](http://www.un.org).<sup>2</sup>*

### Basic Principles on the Use of Force and Firearms by Law Enforcement Officials

#### Adopted by the Eighth United Nations Congress on the Prevention of Crime and the Treatment of Offenders, Havana, Cuba, 27 August to 7 September 1990

Whereas the work of law enforcement officials<sup>1</sup> is a social service of great importance and there is, therefore, a need to maintain and, whenever necessary, to improve the working conditions and status of these officials,

Whereas a threat to the life and safety of law enforcement officials must be seen as a threat to the stability of society as a whole,

Whereas law enforcement officials have a vital role in the protection of the right to life, liberty and security of the person, as guaranteed in the Universal Declaration of Human Rights and reaffirmed in the International Covenant on Civil and Political Rights,

Whereas the Standard Minimum Rules for the Treatment of Prisoners provide for the circumstances in which prison officials may use force in the course of their duties,

Whereas article 3 of the Code of Conduct for Law Enforcement Officials provides that law enforcement officials may use force only when strictly necessary and to the extent required for the performance of their duty,

Whereas the preparatory meeting for the Seventh United Nations Congress on the Prevention of Crime and the Treatment of Offenders, held at Varenna, Italy, agreed on elements to be considered in the course of further work on restraints on the use of force and firearms by law enforcement officials,

Whereas the Seventh Congress, in its resolution 14, inter alia, emphasizes that the use of force and firearms by law enforcement officials should be commensurate with due respect for human rights,

Whereas the Economic and Social Council, in its resolution 1986/10, section IX, of 21 May 1986, invited Member States to pay particular attention in the implementation of the Code to the use of force and firearms by law enforcement officials, and the General Assembly, in its resolution 41/149 of 4 December 1986, inter alia, welcomed this recommendation made by the Council,

Whereas it is appropriate that, with due regard to their personal safety, consideration be given to the role of law enforcement officials in relation to the administration of justice, to the protection of the right to life, liberty and security of the person, to their responsibility to maintain public safety and social peace and to the importance of their qualifications, training and conduct,

The basic principles set forth below, which have been formulated to assist Member States in their task of ensuring and promoting the proper role of law enforcement officials, should be taken into account and respected by Governments within the framework of their national legislation and practice, and be brought to the attention of law enforcement officials as well as other persons, such as judges, prosecutors, lawyers, members of the executive branch and the legislature, and the public.

#### General provisions

1. Governments and law enforcement agencies shall adopt and implement rules and regulations on the use of force and firearms against persons by law enforcement officials. In developing such rules and regulations, Governments and law enforcement agencies shall keep the ethical issues associated with the use of force and firearms constantly under review.

2. Governments and law enforcement agencies should develop a range of means as broad as possible and equip law enforcement officials with various types of weapons and ammunition that would allow

2) United Nations, "Basic Principles on the Use of Force and Firearms by Law Enforcement Officials", 7 September 1990.

for a differentiated use of force and firearms. These should include the development of non-lethal incapacitating weapons for use in appropriate situations, with a view to increasingly restraining the application of means capable of causing death or injury to persons. For the same purpose, it should also be possible for law enforcement officials to be equipped with self-defensive equipment such as shields, helmets, bullet-proof vests and bullet-proof means of transportation, in order to decrease the need to use weapons of any kind.

3. The development and deployment of non-lethal incapacitating weapons should be carefully evaluated in order to minimize the risk of endangering uninvolved persons, and the use of such weapons should be carefully controlled.
4. Law enforcement officials, in carrying out their duty, shall, as far as possible, apply non-violent means before resorting to the use of force and firearms. They may use force and firearms only if other means remain ineffective or without any promise of achieving the intended result.
5. Whenever the lawful use of force and firearms is unavoidable, law enforcement officials shall:
  - ( a ) Exercise restraint in such use and act in proportion to the seriousness of the offence and the legitimate objective to be achieved;
  - ( b ) Minimize damage and injury, and respect and preserve human life;
  - ( c ) Ensure that assistance and medical aid are rendered to any injured or affected persons at the earliest possible moment;
  - ( d ) Ensure that relatives or close friends of the injured or affected person are notified at the earliest possible moment.
6. Where injury or death is caused by the use of force and firearms by law enforcement officials, they shall report the incident promptly to their superiors, in accordance with principle 22.
7. Governments shall ensure that arbitrary or abusive use of force and firearms by law enforcement officials is punished as a criminal offence under their law.
8. Exceptional circumstances such as internal political instability or any other public emergency may not be invoked to justify any departure from these basic principles.

### **Special provisions**

9. Law enforcement officials shall not use firearms against persons except in self-defence or defence of others against the imminent threat of death or serious injury, to prevent the perpetration of a particularly serious crime involving grave threat to life, to arrest a person presenting such a danger and resisting their authority, or to prevent his or her escape, and only when less extreme means are insufficient to achieve these objectives. In any event, intentional lethal use of firearms may only be made when strictly unavoidable in order to protect life.
10. In the circumstances provided for under principle 9, law enforcement officials shall identify themselves as such and give a clear warning of their intent to use firearms, with sufficient time for the warning to be observed, unless to do so would unduly place the law enforcement officials at risk or would create a risk of death or serious harm to other persons, or would be clearly inappropriate or pointless in the circumstances of the incident.
11. Rules and regulations on the use of firearms by law enforcement officials should include guidelines that:
  - ( a ) Specify the circumstances under which law enforcement officials are authorized to carry firearms and prescribe the types of firearms and ammunition permitted;

- ( b ) Ensure that firearms are used only in appropriate circumstances and in a manner likely to decrease the risk of unnecessary harm;
- ( c ) Prohibit the use of those firearms and ammunition that cause unwarranted injury or present an unwarranted risk;
- ( d ) Regulate the control, storage and issuing of firearms, including procedures for ensuring that law enforcement officials are accountable for the firearms and ammunition issued to them;
- ( e ) Provide for warnings to be given, if appropriate, when firearms are to be discharged;
- ( f ) Provide for a system of reporting whenever law enforcement officials use firearms in the performance of their duty.

#### **Policing unlawful assemblies**

12. As everyone is allowed to participate in lawful and peaceful assemblies, in accordance with the principles embodied in the Universal Declaration of Human Rights and the International Covenant on Civil and Political Rights, Governments and law enforcement agencies and officials shall recognize that force and firearms may be used only in accordance with principles 13 and 14.

13. In the dispersal of assemblies that are unlawful but non-violent, law enforcement officials shall avoid the use of force or, where that is not practicable, shall restrict such force to the minimum extent necessary.

14. In the dispersal of violent assemblies, law enforcement officials may use firearms only when less dangerous means are not practicable and only to the minimum extent necessary. Law enforcement officials shall not use firearms in such cases, except under the conditions stipulated in principle 9.

#### **Policing persons in custody or detention**

15. Law enforcement officials, in their relations with persons in custody or detention, shall not use force, except when strictly necessary for the maintenance of security and order within the institution, or when personal safety is threatened.

16. Law enforcement officials, in their relations with persons in custody or detention, shall not use firearms, except in self-defence or in the defence of others against the immediate threat of death or serious injury, or when strictly necessary to prevent the escape of a person in custody or detention presenting the danger referred to in principle 9.

17. The preceding principles are without prejudice to the rights, duties and responsibilities of prison officials, as set out in the Standard Minimum Rules for the Treatment of Prisoners, particularly rules 33, 34 and 54.

#### **Qualifications, training and counselling**

18. Governments and law enforcement agencies shall ensure that all law enforcement officials are selected by proper screening procedures, have appropriate moral, psychological and physical qualities for the effective exercise of their functions and receive continuous and thorough professional training. Their continued fitness to perform these functions should be subject to periodic review.

19. Governments and law enforcement agencies shall ensure that all law enforcement officials are provided with training and are tested in accordance with appropriate proficiency standards in the use of force. Those law enforcement officials who are required to carry firearms should be authorized to do so only upon completion of special training in their use.

20. In the training of law enforcement officials, Governments and law enforcement agencies shall give special attention to issues of police ethics and human rights, especially in the investigative process, to alternatives to the use of force and firearms, including the peaceful settlement of conflicts, the



understanding of crowd behaviour, and the methods of persuasion, negotiation and mediation, as well as to technical means, with a view to limiting the use of force and firearms. Law enforcement agencies should review their training programmes and operational procedures in the light of particular incidents.

21. Governments and law enforcement agencies shall make stress counselling available to law enforcement officials who are involved in situations where force and firearms are used.

#### **Reporting and review procedures**

22. Governments and law enforcement agencies shall establish effective reporting and review procedures for all incidents referred to in principles 6 and 11 ( f ). For incidents reported pursuant to these principles, Governments and law enforcement agencies shall ensure that an effective review process is available and that independent administrative or prosecutorial authorities are in a position to exercise jurisdiction in appropriate circumstances. In cases of death and serious injury or other grave consequences, a detailed report shall be sent promptly to the competent authorities responsible for administrative review and judicial control.

23. Persons affected by the use of force and firearms or their legal representatives shall have access to an independent process, including a judicial process. In the event of the death of such persons, this provision shall apply to their dependants accordingly.

24. Governments and law enforcement agencies shall ensure that superior officers are held responsible if they know, or should have known, that law enforcement officials under their command are resorting, or have resorted, to the unlawful use of force and firearms, and they did not take all measures in their power to prevent, suppress or report such use.

25. Governments and law enforcement agencies shall ensure that no criminal or disciplinary sanction is imposed on law enforcement officials who, in compliance with the Code of Conduct for Law Enforcement Officials and these basic principles, refuse to carry out an order to use force and firearms, or who report such use by other officials.

26. Obedience to superior orders shall be no defence if law enforcement officials knew that an order to use force and firearms resulting in the death or serious injury of a person was manifestly unlawful and had a reasonable opportunity to refuse to follow it. In any case, responsibility also rests on the superiors who gave the unlawful orders.

1/ In accordance with the commentary to article 1 of the Code of Conduct for Law Enforcement Officials, the term "law enforcement officials" includes all officers of the law, whether appointed or elected, who exercise police powers, especially the powers of arrest or detention. In countries where police powers are exercised by military authorities, whether uniformed or not, or by State security forces, the definition of law enforcement officials shall be regarded as including officers of such services.

**Appendix E: Special measures for protection from sexual exploitation and sexual abuse**

United Nations

ST/SGB/2003/13

**Secretariat**

9 October 2003

**Secretary-General's Bulletin****Special measures for protection from sexual exploitation and sexual abuse**

The Secretary-General, for the purpose of preventing and addressing cases of sexual exploitation and sexual abuse, and taking into consideration General Assembly resolution 57/306 of 15 April 2003, "Investigation into sexual exploitation of refugees by aid workers in West Africa", promulgates the following in consultation with Executive Heads of separately administered organs and programmes of the United Nations:

**Section 1  
Definitions**

For the purposes of the present bulletin, the term "sexual exploitation" means any actual or attempted abuse of a position of vulnerability, differential power, or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. Similarly, the term "sexual abuse" means the actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

**Section 2  
Scope of application**

2.1 The present bulletin shall apply to all staff of the United Nations, including staff of separately administered organs and programmes of the United Nations.

2.2 United Nations forces conducting operations under United Nations command and control are prohibited from committing acts of sexual exploitation and sexual abuse, and have a particular duty of care towards women and children, pursuant to section 7 of Secretary-General's bulletin ST/SGB/1999/13, entitled "Observance by United Nations forces of international humanitarian law".

2.3 Secretary-General's bulletin ST/SGB/253, entitled "Promotion of equal treatment of men and women in the Secretariat and prevention of sexual harassment", and the related administrative instruction<sup>1</sup> set forth policies and procedures for handling cases of sexual harassment in the Secretariat of the United Nations. Separately administered organs and programmes of the United Nations have promulgated similar policies and procedures.

<sup>1</sup> Currently ST/AI/379, entitled "Procedures for dealing with sexual harassment".

ST/SGB/2003/13

**Section 3****Prohibition of sexual exploitation and sexual abuse**

3.1 Sexual exploitation and sexual abuse violate universally recognized international legal norms and standards and have always been unacceptable behaviour and prohibited conduct for United Nations staff. Such conduct is prohibited by the United Nations Staff Regulations and Rules.

3.2 In order to further protect the most vulnerable populations, especially women and children, the following specific standards which reiterate existing general obligations under the United Nations Staff Regulations and Rules, are promulgated:

(a) Sexual exploitation and sexual abuse constitute acts of serious misconduct and are therefore grounds for disciplinary measures, including summary dismissal;

(b) Sexual activity with children (persons under the age of 18) is prohibited regardless of the age of majority or age of consent locally. Mistaken belief in the age of a child is not a defence;

(c) Exchange of money, employment, goods or services for sex, including sexual favours or other forms of humiliating, degrading or exploitative behaviour, is prohibited. This includes any exchange of assistance that is due to beneficiaries of assistance;

(d) Sexual relationships between United Nations staff and beneficiaries of assistance, since they are based on inherently unequal power dynamics, undermine the credibility and integrity of the work of the United Nations and are strongly discouraged;

(e) Where a United Nations staff member develops concerns or suspicions regarding sexual exploitation or sexual abuse by a fellow worker, whether in the same agency or not and whether or not within the United Nations system, he or she must report such concerns via established reporting mechanisms;

(f) United Nations staff are obliged to create and maintain an environment that prevents sexual exploitation and sexual abuse. Managers at all levels have a particular responsibility to support and develop systems that maintain this environment.

3.3 The standards set out above are not intended to be an exhaustive list. Other types of sexually exploitive or sexually abusive behaviour may be grounds for administrative action or disciplinary measures, including summary dismissal, pursuant to the United Nations Staff Regulations and Rules.

**Section 4****Duties of Heads of Departments, Offices and Missions**

4.1 The Head of Department, Office or Mission, as appropriate, shall be responsible for creating and maintaining an environment that prevents sexual exploitation and sexual abuse, and shall take appropriate measures for this purpose. In particular, the Head of Department, Office or Mission shall inform his or her staff of the contents of the present bulletin and ascertain that each staff member receives a copy thereof.

4.2 The Head of Department, Office or Mission shall be responsible for taking appropriate action in cases where there is reason to believe that any of the standards listed in section 3.2 above have been violated or any behaviour referred to in section

3.3 above has occurred. This action shall be taken in accordance with established rules and procedures for dealing with cases of staff misconduct.

4.3 The Head of Department, Office or Mission shall appoint an official, at a sufficiently high level, to serve as a focal point for receiving reports on cases of sexual exploitation and sexual abuse. With respect to Missions, the staff of the Mission and the local population shall be properly informed of the existence and role of the focal point and of how to contact him or her. All reports of sexual exploitation and sexual abuse shall be handled in a confidential manner in order to protect the rights of all involved. However, such reports may be used, where necessary, for action taken pursuant to section 4.2 above.

4.4 The Head of Department, Office or Mission shall not apply the standard prescribed in section 3.2 (b), where a staff member is legally married to someone under the age of 18 but over the age of majority or consent in their country of citizenship.

4.5 The Head of Department, Office or Mission may use his or her discretion in applying the standard prescribed in section 3.2 (d), where beneficiaries of assistance are over the age of 18 and the circumstances of the case justify an exception.

4.6 The Head of Department, Office or Mission shall promptly inform the Department of Management of its investigations into cases of sexual exploitation and sexual abuse, and the actions it has taken as a result of such investigations.

## **Section 5**

### **Referral to national authorities**

If, after proper investigation, there is evidence to support allegations of sexual exploitation or sexual abuse, these cases may, upon consultation with the Office of Legal Affairs, be referred to national authorities for criminal prosecution.

## **Section 6**

### **Cooperative arrangements with non-United Nations entities or individuals**

6.1 When entering into cooperative arrangements with non-United Nations entities or individuals, relevant United Nations officials shall inform those entities or individuals of the standards of conduct listed in section 3, and shall receive a written undertaking from those entities or individuals that they accept these standards.

6.2 The failure of those entities or individuals to take preventive measures against sexual exploitation or sexual abuse, to investigate allegations thereof, or to take corrective action when sexual exploitation or sexual abuse has occurred, shall constitute grounds for termination of any cooperative arrangement with the United Nations.

## **Section 7**

### **Entry into force**

The present bulletin shall enter into force on 15 October 2003.

*(Signed)* Kofi A. Annan  
Secretary-General

## Appendix F: Suggested Further Reading

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### Lesson 1

- *UN Police Towards 2020: Serve and Protect to Build Peace and Security*. Available at: <<https://police.un.org/en/un-police-strategy-2014-2020>>.
- *United Nations Security Sector Reform Perspective*. Available at: <[https://peacekeeping.un.org/sites/default/files/ssr\\_perspective\\_2012.pdf](https://peacekeeping.un.org/sites/default/files/ssr_perspective_2012.pdf)>.

### Lesson 5:

- *The United Kingdom's Joint Emergency Services Interoperability Programme: Joint Doctrine - the interoperability framework*. Available from: <[www.jesip.org.uk/uploads/resources/JESIP-Joint-Doctrine.pdf](http://www.jesip.org.uk/uploads/resources/JESIP-Joint-Doctrine.pdf)>.
- *Department of Peacekeeping Operations: Policy on the Protection of Civilians in United Nations Peacekeeping*. Available at: <<https://peacekeeping.un.org/en/protection-of-civilians-mandate>>.
- *The Department of Peacekeeping Operations: Policy on Gender Equality in UN Peacekeeping Operations*. Available at: <<https://police.un.org/en/un-police-gender-initiatives>>.

### Lessons 6 and 7:

- *UN Rule of Law Indicators: Implementation Guide and Project Tools*. Available at: <[www.un.org/en/events/peacekeepersday/2011/publications/un\\_rule\\_of\\_law\\_indicators.pdf](http://www.un.org/en/events/peacekeepersday/2011/publications/un_rule_of_law_indicators.pdf)>.

## About the Author: Detective Superintendent Sue King (Retired)



*Photo provided by and used with the permission of the author.*

Detective Superintendent Sue King joined the Australian Federal Police (AFP) in 1994. She commenced in-uniform policing and went on to work in the Criminal Investigations Branch, Sexual Assault Unit and Asian Crime Unit.

In 2000, King was seconded to the United Nations Serious Crimes Unit in Timor-Leste, where she led a number of high-profile war crime investigations, including mass/gang rape matters and the Suai Church Massacre. On return, King transferred to the AFP Sydney Office where she worked on organized crime, terrorism, and drug operations before being promoted into protection operations. In 2007, King was posted to the Australian High Commission in London as the Counterterrorism Liaison Officer for Western Europe. She also represented Australia on Europol Counter Terrorism working groups. King returned to Melbourne in 2011 as head of the Joint Counterterrorism Team, working in partnership with the Victorian Police, the Australian Intelligence Community, and other stakeholders to prevent, disrupt, and investigate terrorist activity.

King is currently the Police Adviser at the Australian Mission to the United Nations in New York. She provides advice on peacekeeping, conflict prevention, organized crime, sexual violence, police capacity development, and counterterrorism. King drafted the first-ever UN Security Council resolution on policing, which provides strategic direction and guidance on the role of UN Police in conflict-affected countries. King is also the AFP's Senior Liaison Officer to Canada and New York.

King has 22 years of diverse policing experience, including in community policing, serious and organized crime, learning and development, emergency management, protection, policy and governance, international peacekeeping and counter-terrorism. She has worked in offices in Canberra, Melbourne, and Sydney, and overseas in Africa, Asia and the Pacific, Europe, and North America.

King has a bachelor of arts and has completed graduate studies in terrorism, police management, and transnational crime prevention. She is a graduate of Harvard University's Kennedy School of Government, where she studied Leadership Studies. King has been awarded Australian Honours, including the National Medal, National Police Service Medal, Police Overseas Service Medal, and United Nations Medal. She has received the AFP Service Medal, two AFP Commissioner's Commendations for Excellence in Overseas Service, and two Foreign Affairs Citations for Excellence.

## Instructions for the End-of-Course Examination

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### Format and Material

The End-of-Course Examination is a multiple-choice exam that is accessed from the Online Classroom. Most exams have 50 questions. Each question gives the student four choices (A, B, C, and D), and only one is the correct answer. The exam covers material from all 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/](http://www.peaceopstraining.org/users/courses/)> and clicking the title to this course. Once you arrive at the course page, click the red “Start Exam” button.***

### Time Limit

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

### Passing Grade

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

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- Visit <[www.peaceopstraining.org/courses/](http://www.peaceopstraining.org/courses/)> for a list of all current courses.
- If a particular category of study interests you, such as Human Rights, Logistics, or Military Studies, consider the POST Certificate programme available in six areas of specialization. See the requirements at <[www.peaceopstraining.org/specialized-training-certificates/](http://www.peaceopstraining.org/specialized-training-certificates/)>.
- Stay connected with POTI by visiting our community page and engaging with other students through social media and sharing photos from your mission. Visit <[www.peaceopstraining.org/community](http://www.peaceopstraining.org/community)> for more. Once you pass your exam, see your name featured on the Honour Roll as well.