

Introduction to United Nations Peace Operations

A United Nations Peace Operation* (more commonly known as *Peacekeeping*) is one endorsed by the international community in order to contain a crisis or conflict; its aim is to keep the crisis from worsening while providing scope to all sections of society to participate in the process of governing the country.

** it should be noted that the AU, EU and NATO (amongst other actors) engage in Regional Peace Operations under UN Mandate, in partnership with the UN, or as a stand-alone entity,*

Since it was first deployed to serve in UN peace operations in the 1960s, the UN Police has become a central component of the UN's efforts to bring peace and security to conflict-torn environments. Since the 1990s in particular, calls for the engagement of the UN Police in support of the local police have increased and its mandates have become complex and multidimensional in their purpose, moving beyond traditional monitoring, advisory and training functions to focus on supporting the core reform and restructuring of local police agencies with the ultimate aim of capacity enhancement of the host country.

More than ever before, the efforts of UN police to help build local police capacity together with its rule of law partners are regarded as instrumental in establishing and maintaining law and order and a precondition for supporting the emergence of nascent peace-building environments. Most other UN peace-support activities cannot take place in any definite manner without a functioning local police service within a framework of the rule of law. The ultimate goal of the UN Police is to help realize, in a tangible manner, the establishment and maintenance of community-based trust and reconciliation so that the local police agencies are regarded as democratic, impartial and an integral partner in local community structures and processes.

Concepts of United Nations Peace Operations

Kofi Annan, former Secretary-General of the United Nations, outlined seven categories for future UN efforts to restore peace and security. These seven concepts reflect the growing scope and complexity of UN activities and provide useful insight into how the world can more fully embrace and achieve the objectives of the UN Charter (refer Annex I).

They are summarised below:

- **Preventive diplomacy** is action to prevent disputes from developing between parties, prevent existing disputes from escalating into conflicts and to limit the spread of the latter when they occur. It may take the form of mediation, conciliation or negotiation.
- **Peacemaking** is diplomatic action whereby hostile parties reach negotiated agreements through such peaceful means as those set out in Chapter VI of the UN Charter. The Security Council may recommend ways to resolve a dispute or request the Secretary-General's mediation. The Secretary-General may take diplomatic initiatives to encourage and maintain the momentum of negotiations.
- **Peacekeeping** is a UN presence in the field (normally involving military, UN police and civilian personnel), with the consent of the parties, to implement or monitor the implementation of arrangements relating to the control of conflicts (cease-fire, separation of forces, etc.) and their resolution (partial or comprehensive settlements) or to ensure the safe delivery of humanitarian relief.
- **Peace-enforcement** may be needed when all other efforts fail. The authority for enforcement is provided by Chapter VII of the Charter, and includes the use of armed force to maintain or restore international peace and security in situations in which the Security Council has determined the existence of a threat to peace, breach of the peace or act of aggression.
- **Peace-building** is critical in the aftermath of conflict. Peace-building includes the identification and support of measures and structures which will promote peace and build trust and interaction among former enemies, in order to avoid a relapse into conflict. UN assistance helps in building systems, structures and consolidating democracy. These in turn help in persuading armed movements to transform themselves into political entities.
- **Sanctions** are an enforcement mechanism with the Security Council. They involve economic and trade restrictions, arms embargoes, travel bans and financial or diplomatic restrictions. The purpose of sanctions is to apply pressure to modify the behaviour of a party which is threatening international peace and security, and not to punish or otherwise exact retribution.

Fundamentals of Peacekeeping

- **Consent:** UN peacekeeping operations are established with the consent and co-operation of the main parties involved in a conflict.
- **Impartiality:** UN peacekeeping operations must be impartial in character and cannot take sides without becoming part of the conflict they have been mandated to control and resolve.
- **Minimum Use of Force:** In peacekeeping operations, force will not be used to implement the mandate. However, minimum use of force does not exclude self-defence of UN personnel and protection of property. The use of force is clearly defined in the rules of engagement (ROE).
- **Credibility:** The credibility of a peacekeeping operation is confirmation of its ability to accomplish its mandate. To carry out its mandate effectively and win the trust of the parties, a peacekeeping operation must be able to call on trained personnel who are well equipped and possess high professional standards.
- **Negotiation and Mediation:** Negotiation and mediation have enormous potential in de-escalating a conflict, to promote a secure environment, and to develop peaceful and lasting solutions to a conflict.

Working Methods in a Peacekeeping Operation

A peacekeeping mission involves a political dimension. The Head of the Mission is responsible for establishing the inter-operability of the various components of the mission, considering the political objectives defined in the mandate. The frame of reference for dealing with rapidly-changing or unanticipated situations that require an immediate response is:

- **Coordination:** A peace operation always involves a wide range of organisations, e.g. UN relief agencies and non-governmental organisations. Personnel at all levels should seek to establish and nurture coordination within the mission, with UN headquarters, within their operational areas and with the local population. The success of a peace operation lies in the capacity of its different components to integrate their actions as they relate to each other.
- **Communication:** The exchange of views between all stakeholders is the best means of ensuring mutual support and understanding.

- **Consultation:** To win the confidence of partners, and to capitalise on their capacity, both inside and outside the Missions, it is crucial to consult them.
- **Consensus:** Field missions work as a whole; the successful completion of one component can have tremendous advantages for on the others. Conversely, the failure of one component can seriously hamper the whole mission mandate. Therefore it is advisable to seek consensus at all levels: inception, planning, and implementation of individual action plans.
- **Transparency:** Transparency is consistent with the prevailing requirements for security. All parties should be fully aware of the motives, mission and intentions of the operation.
- **Liaison:** Communication should be established at every possible level at the earliest opportunity and liaison must be continuously maintained.
- **Information:** Information is essential for the operation in order to make continuously updated assessments of the attitudes and capabilities of the parties concerned.
- **Reporting:** All activities and all incidents an operation encounters may have political ramifications. Therefore, reporting and decision-making may be more centralized than in standard police operations. The UN Police component must have adequate communication systems to facilitate the rapid transmission of information from the lowest level in the field to the mission headquarters.

Establishing Peacekeeping Operations

Peacekeeping operations are established by the Security Council. In each case, a new mission must be designed and its components assembled to meet the requirements of that particular situation. Since the UN has no large-scale full-time police force at its disposal, this means that the Organisation must recruit and select police officers, generates troops and select international and national civilian staff, as required by the Mission's mandate.

There is no fixed or mandated sequence of events leading to the establishment of a peacekeeping operation, but in most cases some combination of the following events occurs:

- *Consultations/ Peace Agreements*

As the hostile parties in a particular conflict approach a negotiated settlement, consultations take place among Member States, the Secretariat, the parties on the ground, concerned States in the region and countries that are potential contributors of police, troops and other resources, regarding the possible need for a UN presence and the shape it might take. It is particularly critical that the parties to the conflict should consent to UN involvement. Often, one or more of the parties will insist, as a precondition for signing the peace agreement, on a UN role in verifying compliance with or helping to implement the agreement. As such, peace agreements often define the contours of any future UN operation. During the negotiations phase, the UN should indicate the kind of mandate that it would be able to implement -based on its capacity, expertise and previous experience –should the Security Council agree to authorise such a mandate.

- *Technical Assessment Missions*

As soon as security conditions permit, an integrated technical assessment mission, involving the relevant UN departments, funds and programmes, travels to the country or territory where the mission is to be established, to assess the overall security, political, humanitarian, human rights and military situation on the ground and the implications for a UN operation. The police component of this mission is charged with the responsibility of determining the situation on the ground, the condition of the local police agencies, their capabilities and the level of policing support required for a future mission.

- *Report of the Secretary-General*

The Secretary-General makes recommendations to the Security Council, taking into account the findings and recommendations of the technical assessment mission, on the options for establishing a peacekeeping operation, including its size and resources.

- *Security Council Resolutions*

The Security Council passes a resolution authorizing the operation's deployment, and determines its size and mandate. (Such decisions require at least nine out of 15 votes in favour and are subject to a veto by any of the Council's five permanent members - China, France, the Russian Federation, the United Kingdom and the United States). The budget and resources of the mission are then subject to General Assembly approval.

- *Planning*

Planning for police, political, troops, military, operational and support (e.g. logistics and administration) issues is carried on concurrently with the SRSG (Special Representative of the Secretary-General) or other senior official and DPKO (Department of

Peacekeeping Operations) in the lead. The planning phase usually involves the establishment of a Headquarters-based joint working group or integrated mission task force (IMTF), with participation of all relevant UN departments, funds and programmes. This helps prevent loss of time once a peacekeeping operation is mandated by the Security Council.

- *Contributions of Personnel and Other Resources from Member States*

Member States are invited to contribute police officers, formed police units (if required) and military troops as well as supplies, equipment, transportation and logistical support in line with the potential mandate. At this stage, the member states are informed of the kind of profile and specific skill sets expected from their police officers.

- *Deployment*

Deployment proceeds as quickly as possible, taking into account the security and political conditions on the ground. This often starts with the deployment of 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.

- *Reporting by the Secretary-General*

The Secretary-General reports regularly to the Security Council concerning the activities of the operation.

- *Review by the Security Council*

The Security Council renews and amends the mission's mandate, as required, until the mission is completed or closed.

Mandate and Key Personnel in Peace Operation

The composition of a UN peacekeeping operation depends on the mandate which the Security Council dictates in light of the problems to be solved in the conflict area. In the past decade there has been a trend towards the deployment of *multi-dimensional peacekeeping operations* (also referred to sometimes more generally as peace operations) rather than the traditional operations where the goal has been to monitor and ensure the separation of opposing armed forces.

Such operations may be required to:

- Assist in implementing a peace agreement; Monitor a ceasefire or cessation of hostilities to allow for political negotiations and a peaceful settlement of disputes;
- Provide a secure environment, encouraging a return to normal civilian life;

- Prevent the outbreak or spill-over of conflict across borders;
- Lead States or territories through a transition to stable government based on democratic principles, good governance and economic development; and
- Administer a territory for a transitional period, thereby carrying out all the functions that are normally the responsibility of the government.

The command of peacekeeping operations is vested in the Secretary-General under the authority of the Security Council. The Secretary-General delegates the overall responsibility for the conduct and support of these operations to the *Under-Secretary-General for Peacekeeping Operations*.

The Secretary-General appoints a *Special Representative of the Secretary-General* (SRSG) with the consent of the Security Council, who serves as the Head of Mission and is responsible for implementing the Mission's mandate. The SRSG has the authority over all components of the Mission and reports to the Secretary-General through the Under-Secretary-General for Peacekeeping Operations.

The SRSG's responsibilities can be divided into several broad areas:

- Facilitator of a political process;
- Head of the UN presence;
- Head of Mission; and
- Interim or transitional administrator.

The SRSG contributes to the interpretation and practical application of the mandate on the ground. To this end, the SRSG develops the political strategy and plans for mandate implementation, taking into account the legal and political framework. As the highest-ranking UN official in the area of operation, the SRSG has the authority to establish the political framework, and provide leadership for, the UN presence in the mission area.

The SRSG also provides direction and guidance for each component of the mission (e.g. military and UN police) and ensures that activities are undertaken in an integrated manner. The SRSG initiates the development of a mandate implementation plan in close coordination with the senior management team of the mission.

The *Director of Administration* (DOA) or the *Chief Administrative Officer* (CAO) assists the SRSG in ensuring that the mission is managed, administered and supported in line with UN regulations. The DOA's responsibilities include all general and technical services related to the mission's activities, as well as the requisite administrative and logistic support for carrying out the substantive work of the mission.

A *Force Commander* (FC) advises the SRSG on all military matters. The FC has operational control of the military component including the staff, military observers and Formed Military Units.

The *Police Commissioner* (PC) or the *Senior Police Adviser* (SPA) is responsible for all police-related aspects of the mandate including the management of the UN police component and, where they exist, *Ready Reaction* or *Formed Police Units* (FPUs). Depending on the mandate, the PC/SPA is responsible for monitoring, advising and or assisting the national police service in support of democratic and community-based policing, institutional reform and restructuring and capacity-building. In some missions such as Kosovo (UNMIK), the UN police component was also given the added responsibility of being the *executive police service* in the territory.

The Department of Peacekeeping Operations (DPKO)

The Security Council is the authority for mandating and terminating UN Peace Operations. The command of a peace operation is vested in the Secretary-General under the authority of the Security Council. The Secretary-General, has in turn, delegated the responsibility for the planning, preparation, conduct and direction of all UN Peace Operations to the *Under-Secretary-General for Peacekeeping*. The Department of Peacekeeping Operations assists in the provision of substantive services to the Security Council and the General Assembly and provides secretariat services for the *Special Committee on Peacekeeping Operations*.

The Role of the Department of Peacekeeping Operations

The *Department of Peacekeeping Operations* (DPKO) assists the Member States and the Secretary-General in their efforts to maintain international peace and security. At the time of writing, the Department was responsible for planning, managing, preparing, supporting and directing UN Peace Operations in order 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.

The DPKO provides political and executive direction for UN Peace Operations and maintains contact with the Security Council, police, troop and financial contributors, and with the parties to the conflict, in the implementation of Security Council mandates. The DPKO 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. The Department also provides guidance and support on military, police, mine action, and logistical and administrative issues to other UN political and peace operations.

Each peacekeeping operation has a specific set of mandated tasks, but all share certain common aims, which are to alleviate human suffering and create conditions and build institutions for self-sustaining peace. The substantial presence of a peacekeeping operation on the ground contributes to this aim by introducing the UN as a third party with a direct impact on the political process. In performing its tasks, the DPKO aims to minimise the many risks to which peacekeepers may be exposed in the field.

Structure of the DPKO

The DPKO consists of the following organisational units:

- Office of the Under-Secretary-General (OUSG);
 - Executive Office (EO);
 - Office of Operations (OO);
 - Office of Mission Support (OMS);
 - Peacekeeping Best Practices Unit (PBPU); and
 - Mine Action Service (MAS)
 - Military Division (MD);
 - Police Division (PD).
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- *Office of the Under-Secretary-General (USG-DPKO)*

The Office of the Under-Secretary-General provides the overriding policy and strategic advice to the USG and manages the day-to-day functioning and direction of the Department. It manages the Department's communications strategies and assists the USG in developing the Department's organisation and working methods and strategies for working with Member States and other UN Departments and agencies.

- *Executive Office*

The Executive Office provides DPKO staff with personnel, financial and administrative support. This includes assistance in areas such as job classification, recruitment, placement, entitlements, and counselling and staff-management relations. The Office also handles the Department's budget and financial management and reporting processes. Finally, it is responsible for ensuring the allocation of office space, office equipment and other such services at Headquarters.

- *Office of Operations*

The Office of Operations provides the lead political and operational guidance and planning to all peacekeeping missions. It is responsible for fulfilling the Secretary-General's reporting obligations to the Security Council and for the preparation of maps (digital and other-wise) for the Security Council, UN Headquarters and field operations. It regularly monitors events and gathers information from all mission areas and undertakes security and threat assessments.

- *Office of Mission Support*

The Office of Mission Support manages the logistical and administrative processes which are an integral part of all phases of a peace-keeping operation. These efforts involve implementation and monitoring of policies related to logistical services and equipment, the development of human resource management policies, and the development of procedures related to the preparation and implementation of mission budgets.

- *Peacekeeping Best Practices Unit*

The Peacekeeping Best Practices Unit (PBPU) assesses and evaluates the successes and failures of all UN peacekeeping operations. It singles out best practices and lessons learned, and develops guidelines and recommendations to ensure better planning, management and performance of operations in ongoing and future missions. Thematic advisers for DPKO are housed in PBPU. These include penal matters and criminal justice, *Disarmament, Demobilisation and Reintegration (DDR)*, and HIV/AIDS as well as gender advisers. The Unit is responsible for servicing the Fourth Committee (Special Political and Decolonisation) and the Special Committee on Peacekeeping Operations.

- *Mine Action Service*

The Mine Action Service (MAS) develops policies on landmine awareness and coordinates the DPKO's activities aimed at reducing the dangers posed by the existence of landmines in its areas of operation. These efforts involve monitoring and undertaking assessments of landmine threats and providing help towards victim assistance and the implementation international mine action standards. The Service manages E-MINE: the *Electronic Mine Information Network*.

- *Military Division*

The Military Division undertakes all military planning for the DPKO and develops the strategies and concepts of operations for military components in peacekeeping missions. As such, it is responsible for ensuring the deployment and rotation of military personnel to and from the field. The Division also maintains a training and evaluation capacity

including in-mission training activities for military personnel as well as offering training support and advice to Member States and regional organizations in order to enhance their preparedness and capacity to participate in peacekeeping operations around the world.

Police Division

Functions and Structure of the UN Police Division

The UN Police Division plays the lead role in the UN in providing advice on international police issues and supporting the activities of the UN Police in Peace Operations. The Police Division supports UN police operations of various kinds in all UN peacekeeping missions around the world. Several thousand international police officers with a wide variety of national experience are currently deployed in the field. UN Police Officers provide day-to-day expert advice, mentoring and training for the local police and assist in the restructuring and reform of locally owned police institutions and structures. The Police Division is a core organisational unit of the UN's Department of Peacekeeping Operations (DPKO). The Police Division is led by the *Police Adviser* who reports directly to the Under Secretary-General (USG) for Peacekeeping Operations. The Police Advisor provides substantive advice and support to the USG, other senior UN Secretariat officials and to senior management in field missions on issues related to policing, law and order and related judicial and penal matters. The Police Division is staffed with police officers recruited from various Member States on a rotational basis, as well as civilian staff.

The Division currently comprises four functional units:

1. *Office of the Police Adviser,*
2. *Strategic Policy and Development Unit,*
3. *Training and Development Section;* and
4. *Mission Management Section.*

1. Office of the Police Advisor

The Office of the Police Adviser is responsible for the management of the Division while developing the overall strategic direction to be pursued on UN police issues in peacekeeping missions around the world. It develops strategy in co-operation with Member States, other UN Departments and agencies, regional and sub-regional organisations, universities and research institutes. In addition, the Office is responsible for all matters related to utilising information technology and for the sharing of information within the Police Division/DPKO and between Headquarters and the field.

2. Strategic Police and Development Unit

The Strategic Policy and Development Unit are responsible for the full range of issues related to the implementation of UN Police activities, including those that pertain to conflict prevention, peacekeeping and peacebuilding. Activities include developing *Concepts of Operations (ConOps)* and *Integrated Mandate Implementation Plans (IMIPs)* for existing UN police components in the field, as well as undertaking planning and field assessments for new UN Police Operations. The Unit is also engaged in developing and updating mission-specific performance guidelines and procedures for UN police personnel.

3. Training and Development Unit

The Training and Development Section is responsible for all issues related to the training of UN Police Officers. It assists in the development of pre-deployment, induction and in-mission training programmes by providing related advice and support. The Section also supports UN peacekeeping missions that have a mandate to provide training for local police services. The Section maintains contact and liaison with peacekeeping operations, Member States and major regional and national peacekeeping training centres with regard to current training practices, standards and policies. It also prepares and distributes a wide range of training materials to UN peacekeeping operations and to Member States. The Police Division also assists Member States in developing national and regional training capacities through "train-the-trainer" workshops aimed at developing a pool of expert UN police trainers.

4. Mission Management Section

The Mission Management Section oversees and provides advice on the operations of all UN police components in peacekeeping missions, including advice on best police practices and lessons learned. The Section ensures that:

- the UN police components adhere to their Security Council mandate(s);
- advises and guides the components in their field activities;
- evaluates and reviews their progress;
- administers the deployment and rotation of all UN police officers from their home country to the Mission areas;
- processes disciplinary cases and ensures that personnel records are accurate and updated in a timely manner; and
- performs all other administrative functions pertaining to serving UN Police Officers in the field.

The Section works in close collaboration with the Desk Officers from the DPKO's *Office of Operations*, *Office of Mission Support* and all other UN Secretariat Departments and UN agencies.

The Police Division also directly assists Member States in the selection of their police officers for service in the UN peacekeeping operations, primarily by deploying Selection Assistance Teams (SATs) to assist Member States in the screening and testing of candidates.

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