

# Lesson 1.3



## Principles of United Nations Peacekeeping

### Lesson at a Glance

#### Aim

To introduce the basic principles and success factors of UN peacekeeping and explain how to put them into practice.

#### Relevance

Everyone involved in UN peacekeeping must know, understand and apply them

The Basic Principles provide a navigational aid – a compass – for UN peacekeeping personnel in the field and at Headquarters.

The Basic Principles are outlined in the Principles and Guidelines on UN Peacekeeping Operations (also known as the Capstone Doctrine), the doctrine for UN peacekeeping.

#### Learning Outcomes

Learners will:

- List basic principles and key success factors of UN peacekeeping
- Explain “legitimacy” and “credibility” of UN peacekeeping
- Describe how peacekeepers support legitimacy and credibility
- Explain what “national and local ownership” means and why it is essential to peacekeeping success

## Lesson Map

### Duration: 45 minutes total

20 minutes: presentation

25 minutes: interactive exchange or activity

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## The Lesson



### Starting the Lesson

Introduce the following (using the Introductory Slides):


- Lesson Topic
- Aim
- Relevance
- Learning Outcomes
- Lesson Overview

Review the definitions of key words to be repeated from the previous lesson such as “impartiality”, “use of force”, “robust peacekeeping”, “legitimacy”, “credibility” and “sovereignty/sovereign state”.

Present key words and their definitions on individual sheets of different coloured paper and post on the wall for learners to easily refer to during the course of the training.


## Basic Principles

### Slide 1



#### The Basic Principles of UN Peacekeeping

- Consent
- Impartiality
- Non-use of force except in self-defence and defence of the mandate



**Key Message:** The three basic principles of UN peacekeeping are:

- Consent
- Impartiality
- Non-use of force, except in self-defence and defence of the mandate

The three basic principles have developed through experience. They reinforce each other.

The three **principles apply to all peacekeepers in missions and at headquarters. The principles mean the same in traditional and multi-dimensional peacekeeping operations.** They apply in all peacekeeping planning, implementation and conduct.

Slide 2

Basic Principle #1: Consent

- All UN peacekeeping operations deploy at least with consent of the host authorities



**Key Message:** All UN peacekeeping operations deploy at least with consent of the host authorities.

**Consent means permission for something to happen or agreement to do something.**

**Consent ensures a mission has the political and physical freedom of action and support needed to carry out mandated tasks.**

Leading representatives or negotiators give the Security Council consent for a peacekeeping mission during the planning phase.

**Security Council action without the consent of the parties is typically a peace enforcement mission, rather than a peacekeeping mission.**

Without consent a UN peacekeeping operation risks becoming a party to the conflict.

A withdrawal of consent leads to changes in the international community's strategy. A withdrawal of consent by any of the parties challenges the reason for a peacekeeping operation. It may mean the Security Council withdraws the operation.

**Consent can be uncertain or unreliable.** Parties to a conflict may block aspects of the peacekeeping mission's mandate because of a lack of trust.

Weak command and control systems within parties to the conflict may mean differences of opinion exist between central and local levels of command. "Spoilers" may be active. Spoilers have an interest in spoiling a return to peace and security. They may be outside the control of main parties to a conflict.

Consent means more than signing an agreement of intent; it means helping to implement.

**Example – Withdrawal of Consent**

In the following example, a formal consent on paper was contradicted by a withdrawal of consent in reality:

The United Nations Mission in Ethiopia and Eritrea (UNMEE) was established by the Security Council in July 2000. Its mandate was to monitor the cessation of hostilities, agreed to by the two countries. In July 2008, the Security Council terminated the mandate of UNMEE. This was in response to:

- An effective refusal of consent
- Crippling restrictions imposed by Eritrea on UNMEE
- The cutting off of fuel supplies

The operation could not carry out its mandated tasks. The safety and security of UN personnel was at risk.

Slide 3



### Consent: What Peacekeepers Can Do

- Continuously scan and analyse environment
- Learn about host country
- Assess and report on parties
- Build and respect trust



**Key Message:** Peacekeeping personnel must watch for and be ready to prevent any loss of consent at the local or central level.

Consent by main parties to a conflict for deployment of a peacekeeping operation does not mean consent exists at local levels. The main parties may be internally divided or have weak command and control structures.

Important work for all UN peacekeepers is to **continuously scan and analyse the peacekeeping environment for:**

- **Signs or indications of loss of consent**
- **Ways support and consent can be strengthened**

By sharing observations with the units in the mission that exist to manage intelligence, peacekeepers help the mission prevent any loss of consent at local, sub-regional and central levels.

How can peacekeepers interpret local signals and watch for key indicators of consent? One way is by understanding the history, customs and culture in the mission area. When they know where they will be deployed, peacekeepers are encouraged to study the host country, communities and customs.

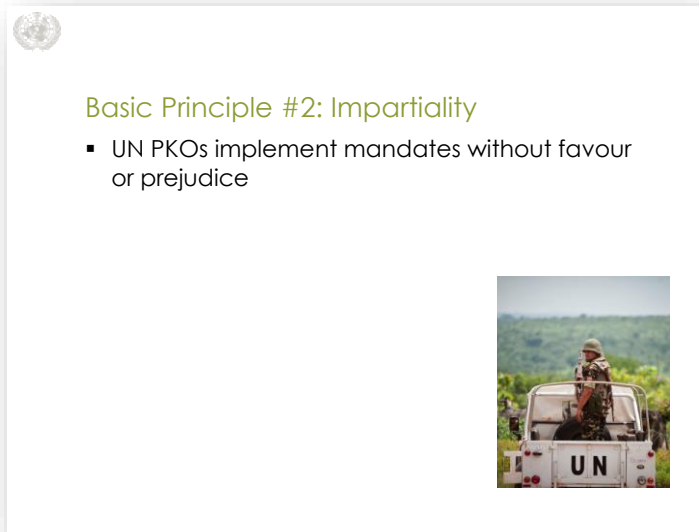
What are peacekeepers to do with observations of change in consent and support? Keeping their eyes open is a first step. Peacekeepers must also **assess and report on the changing interests and motivation of parties, their supporters and community members.**

Peacekeepers who work directly with members of local populations need to **build mutual respect and trust**, a contribution to sustainable peace.



Remind learners about the definition of “impartiality”. **Impartiality** means not taking sides.

#### Slide 4



**Key Message:** UN peacekeeping operations mandates are implemented with no favour or prejudice to any parties to the conflict.

Impartiality is crucial to maintaining consent and cooperation of the main parties. The principle of impartiality supports the principle of consent. This shows how basic principles reinforce each other.



Ask learners about the difference between impartiality and neutrality. Clarify by moving on with the lesson.

**Impartiality does not mean doing nothing. Impartiality is different from inactivity or from neutrality.** Impartiality means even-handed and unbiased contact with all parties to a conflict by a UN peacekeeping operation. UN actions are to reflect fair implementation of mandate. UN peacekeeping operations must be impartial in dealings with parties to a conflict, but not neutral in execution of their mandate.

**A peacekeeping operation is similar to a good referee in a sports game, one who is impartial but also able to penalize infractions.** A peacekeeping operation cannot condone any actions that violate:

- The peace process, agreements
- International norms and principles upheld by a UN peacekeeping operation




Impartiality is not equal treatment of all parties at all times. This would be appeasement. In some cases, local parties are obvious aggressors and/or victims. Their actions may contradict agreements and Charter principles, as well as mission standards.

**Peacekeepers will have contact with humanitarian workers. Humanitarian work involves aid and action designed to save lives. Humanitarian work is guided by principles that use the same terms, impartiality and neutrality. The meaning is different.**

For the humanitarian actors, such as the International Movement of the Red Cross and Red Crescent, **impartiality** means being guided solely by needs. No discrimination is made on the basis of nationality, race, gender, class or religious or political beliefs. **Neutrality for humanitarian actors** means to take no sides in hostilities, or engage in controversies of a political, racial, religious or ideological nature.

Differences in definition and use of terms may seem minor. They are important because they define identity and determine actions in the field.

Slide 5



### Impartiality: What Peacekeepers Can Do

- Build relationships
- Avoid activities compromising impartiality
- Rationale for action well-established and communicated
- Public information communications and key messages enforced




**Key Message:** A peacekeeping operation must be seen to be fair, open and transparent. This maintains the principle of impartiality.

This means the mission has to:

- Build and keep good relations with the parties to the conflict
- Avoid all activities that might compromise the image of the mission as impartial


A mission may decide to take action if a peacekeeping process is being undermined. **The rationale for action must be well established and communicated.** The mission needs to communicate to everyone the reasons as well as evidence on which the decision to act is based. The goal of clear, open communication is to lessen possible backlash against the mission. The critical role of the Public Information Office (PIO) in the mission is critical at such times.

Slide 6



Basic Principle #3: Non-Use of Force Except in Self-Defence & Defence of the Mandate

- Use of force permitted in self-defence and defence of mandate
- Security Council authorizes “all necessary means” to defend the mandate



**Key Message:** Use of force only in self-defence has evolved to include the use of force in order to also defend the mandate.


Here, “force” refers to the use of armed personnel (military, and where applicable, police) using ‘arms’ or ‘weapons’.

“Self-defence” is understood to be defence of UN personnel and property. One aspect of changing peacekeeping conditions in the last decades is targeting of the UN.

The initial principle was that UN peacekeeping operations would only use force in self-defence. Use of force is accepted now in defence of the mandate.


Even with a robust mandate, a UN peacekeeping operation **only uses force in a gradual manner.**

Slide 7



Non-Use of Force: What Peacekeepers Can Do

- Exercise restraint
- Precise, proportional and appropriate use
- Early de-escalation of violence, non-violent means of persuasion
- ROE or DUF



**Key Message:** The peacekeeping operation must

- Exercise restraint in the use of force
- Ensure its use is precise, proportional and appropriate for the local context
- Be mindful of the need for early de-escalation of violence and return to non-violent means of persuasion

**Knowing the wider environment and being able to interpret and respond to signs and information is part of personal survival as well as mission success.**

Many **factors influence a decision about** use of force:

- Political implications
- Mission capability
- Public perceptions (local and international)
- Humanitarian impact
- Force protection
- Safety and security of personnel
- Effect on national and local consent for the mission

The aim of the use of force is to influence and deter spoilers working against the peace process or seeking to harm civilians or the UN personnel and property. The aim is not military defeat.

**Minimum use of force** is to be applied to achieve the desired tactical result, still sustaining consent for the mission and its mandate. This illustrates how the three basic principles inter-link: impartiality, consent and non-use of force except in self-defence and defence of the mandate.

Specific documents outline the use of force. All peacekeepers must know:

- The mission-wide **Rules of Engagement (ROE) for the military**
- The **Directive on the Use of Force (DUF)** for police components

These two documents clarify:

- Different levels of force for different circumstances
- How each level of force is to be used, and
- The required authorizations



*The Rules of Engagement, Directive on the Use of Force and International Humanitarian Law determine how force is to be used within the mandate. There will be additional information on International Humanitarian Law in Lesson 1.4 and on the Rules of Engagement and Directive on the Use of Force in Lesson 1.5.*

## Other Success Factors


### Slide 8



**Key Message:** Other factors are critical for success of peacekeeping operations. Three reinforce and support each other:


- Legitimacy
- Credibility
- Promotion of National and Local Ownership

Slide 9



**Success Factor #1: Legitimacy**

- UN PKOs have international legitimacy
- Quality and conduct of personnel affect perceived legitimacy



**Key Message:** A UN peacekeeping operation has international legitimacy because:

- It is based on the UN Charter and international law
- It is popularly accepted by Member States


UN peacekeeping operations have international legitimacy, based on several facts:

- The UN, Security Council and the Secretary-General are committed to the principles and purposes of the UN Charter, as well as international law
- The Security Council has lead responsibility for global peace and security
- The Security Council issues a specific mandate for any peacekeeping operation
- Member States consent to deployment and contribute personnel, equipment and funding
- The Secretary-General directs peacekeeping operations – a recognized, impartial, well-respected international figure

Conduct of an operation influences how those on the ground perceive its legitimacy. Depending on the firmness and fairness a mission applies in achieving its mandate, perceptions of legitimacy can change.


The quality and conduct of military, police and civilians can directly affect perceived legitimacy.

Slide 10



### Legitimacy: What Peacekeepers Can Do

- Maintain high standards of professionalism, competence, integrity
- Respect local population
- Zero tolerance for sexual exploitation and abuse



**Key Message:** The UN expects all peacekeepers to act and behave to the highest standards. Behaviour is to be consistent with the important responsibilities entrusted to a UN peacekeeping operation.

High standards include professionalism, competence and integrity.

Specific influences on the perceived legitimacy of a peacekeeping operation include:

- How the peacekeeping **operation uses force**
- **The discipline imposed on personnel**
- **The respect shown to local customs, cultural artifacts, institutions and laws**
- **The decency with which local people are treated**

All peacekeeping personnel are to know the high standards of conduct expected of them. The UN has **zero tolerance for any sexual exploitation and abuse or other serious misconduct**.



*The issue of legitimacy will also be discussed in Module 3 in Lesson 3.3 on Conduct and Discipline, and Lesson 3.4 on Sexual Exploitation and Abuse.*





Remind learners about the definition of “credibility” from Lesson 1.1. To be **credible** means to be believable, worthy of confidence and trust.

## Slide 11

### Success Factor #2: Credibility

- Depends on achieving mandate
- Affected by ability to manage and meet expectations



**Key Message:** The credibility of a UN peacekeeping operation depends on the belief that the mission can achieve its mandate. Credibility is affected by how capable and effective the mission is at managing and meeting the expectations of the international and local communities.

UN peacekeeping occurs in **volatile, highly tense and difficult environments**. Lawlessness and insecurity may be prevalent at local levels. Those who want to exploit the political and security vacuum will find opportunities. The UN peacekeeping operation may threaten some interests. **The mission is likely to be tested for weakness and division.**

To achieve and maintain its credibility, the mission requires:

- **A clear mandate that can be achieved**
- **Resources and capabilities to match the mandate**
- A sound mission plan
- Clear communications about the plan
- Impartial and effective implementation at all levels

Local people have high expectations for the UN peacekeeping operation. They believe it will address their most pressing needs. The ability to **manage these expectations** through the life of a peacekeeping operation affects mission credibility.

Credibility, once lost, is hard to regain. A mission with low credibility becomes marginalized (or “insignificant”) and ineffective. Consent may erode. Legitimacy may

be seen as weak or frayed. Critics, opponents and spoilers may exploit points of weakness.

**Loss of credibility may directly affect the morale of personnel, further eroding mission effectiveness.** Mission success requires that credibility is maintained.




*Ask learners how they can contribute to the credibility of the mission. What does being believable, worthy of confidence and trust mean to them as individual peacekeepers?*

Slide 13



Success Factor #3: Promotion of National & Local Ownership

- Inclusive and consultative processes
- Include local and national perspectives
- Allow national capacity to lead



**Key Message:** “National and local ownership” refers to inclusive and consultative processes based on the perspectives, priorities and vision of the local stakeholders in the society moving from conflict to peace. It is grounded in the belief that building sustainable peace requires active engagement of local actors at all levels.

Building sustainable peace cannot be solely an outside activity with international actors as primary agents.

The UN is committed to national and local ownership. National and local ownership is essential to peacekeeping success. This is because:

- It reinforces the perceived legitimacy of the mission
- It is critical to successful implementation of a peace process or peace agreement, which the mission mandate supports
- It helps ensure the sustainability of peacebuilding after the mission has withdrawn

**Promoting national and local ownership involves:**

- **Including local and national perspectives** on needs and best solutions
- **Nurturing national capacity to re-emerge quickly from conflict to lead critical political and development processes**

A multi-dimensional UN peacekeeping operation may have to perform important state functions in the short-term. Examples include the provision of security and maintenance of public order by the military and police. These functions are to be done in a consultative way, building or reinforcing national and local capacity for military, police and civilian functions. Local people will take over the work when the operation withdraws.

Slide 14



Promotion of National and Local Ownership: What Peacekeepers Can Do

- Respect national sovereignty
- Support and build national capacity
- Build trust, cooperation
- Be sensitive to local needs, perspectives



**Key Message:** Peacekeepers are to make all effort to promote national and local ownership. Every stage of planning and mission activity presents opportunities.

Peacekeeping missions must **be aware of and respect national sovereignty**.

Peacekeepers must **be aware of existing national capacity** and work to **support and build national capacity**. A mission is to avoid displacing local or national capacity wherever possible. To “displace” means to move something from its position or place. As legitimate and capable government structures emerge, the role of international actors diminishes quickly. The mission must allow national capacity to lead critical processes and state functions, such as military and police functions for security and public order.

All peacekeeping personnel must make every effort to **build trust and cooperation with local and national actors**. This inclusive and collaborative approach is critical to mission success. Peacekeeping operations are better able to pass on a mission’s tasks to local people and institutions when they have built strong relationships through working together closely.

All peacekeepers must **be sensitive to local needs and perspectives**. A real understanding of the hopes of the entire local population involves recognizing all opinions and views, as well as a strong understanding of the political and wider socio-economic context.

Peacekeepers can also consider the following actions:

- Talk to people in all parts of society. Consult with them on their needs and how the mission's work can improve lives. Relay that information back through mission communication channels.
- Do not ignore marginal and vulnerable people. Make special efforts to hear their views.
- Be in touch with local officials, non-governmental organizations, different political parties, women's associations, youth and student groups and groups for minorities and the elderly. All opinions and views need to be heard and understood in an open, transparent process. Make sure no group feels left out or discriminated against.
- Steadily build knowledge of local history, cultures and values – a critical tool in support of national and local ownership. When people feel their culture is recognized and valued, their self-respect and confidence increases.
- Informally ask for feedback and support surveys of client satisfaction with the peacekeeping mission and its work, keeping open communication lines with partners.

## Summary

### Basic principles and key success factors of UN peacekeeping

- The three basic principles of UN peacekeeping are: consent, impartiality and non-use of force, except in self-defence and defence of the mandate.
- All UN peacekeeping operations deploy with **consent** of main parties to a conflict.
- **Impartiality** for UN peacekeeping operations means that mandates are implemented with no favour or prejudice to any parties to the conflict.
- The peacekeeping operation must: exercise restraint in the **use of force**; ensure its use is precise, proportional and appropriate for the local context; and be mindful of the need for early de-escalation of violence and return to non-violent means of persuasion.
- Other key factors for the success of UN peacekeeping operations include: legitimacy, credibility and the promotion of national and local ownership.

### “Legitimacy” and “credibility” of UN peacekeeping

- To be **legitimate** means to be lawful, permitted or valid. A UN peacekeeping operation has international legitimacy because it is based on the UN Charter and international law, and is popularly accepted by Member States.
- To be **credible** means to be believable, worthy of confidence and trust. The credibility of a UN peacekeeping operation depends on the belief that the mission can achieve its mandate.

### Peacekeepers support to legitimacy and credibility

- The quality and conduct of military, police and civilian peacekeeping personnel can directly affect perceived **legitimacy**. The UN expects all peacekeepers to act and behave to the highest standards.
- **Credibility** is affected by how capable and effective the mission is at managing and meeting the expectations of the international and local communities. The mission and all personnel must work to implement the mandate, and must always maintain a confident, capable and unified posture. The mission must also be able to manage the expectations of the local population.

**“National ownership” and why it is essential to peacekeeping success**

- **“National and local ownership”** refers to inclusive and consultative processes, based on the perspectives, priorities and vision of the local stakeholders in the society moving from conflict to peace. It is grounded in the belief that building sustainable peace requires active engagement of local actors at all levels.
- Promoting national and local ownership involves:
  - Including local and national perspectives on needs and best solutions
  - Nurturing national capacity to re-emerge quickly from conflict to lead critical political and development processes
- It is critical to successful implementation of a peace process or peace agreement, which the mission supports.

## Learning Activities

Detailed instructions for each learning activity may be found below. Here is an overview of learning activities for the instructor to choose from:

Number	Name	Methods	Time
1.3.1	Basic Principles and Success Factors (1)	True/False statements	25-30 minutes
1.3.2	Basic Principles and Success Factors (2)	Facilitated large group discussion, prompted by key questions	25-30 minutes
1.3.3	Concepts and Definitions	Mix and match – match key words to definitions	30 minutes



### 1.1.1 Basic Principles and Success Factors (1)

#### Method

True/false statements, flip-chart sheets, moving between stations (see variations at end)

#### Purpose

To reinforce learning of UN peacekeeping principles and success factors

#### Time

25 – 30 minutes total

Introduction 3 minutes

Activity 15 minutes

Debrief 10 minutes

#### Preparation

- Prepare flip chart sheets for principles and success factors, one concept per sheet.  
**PRINCIPLES:** consent, impartiality, non-use of force except in self-defense or in defense of the mandate  
**SUCCESS FACTORS:** legitimacy, credibility, promotion of national and local ownership
- Prepare true and false statements for each point. Aim for three statements for each principle and each success factor. Write these on half of a flip-chart, large print. Put one statement per sheet.
- Read variations of the learning activity at the end of these instructions. Choose one. Make sure you have small post-it notes if you use that option.

#### Instructions

1. Introduce and explain the activity. As table groups, learners move quickly from sheet to sheet, putting a tick on statements they believe are True. Instructions will vary depending on the variation chosen.
2. Get people moving.
3. Circulate the room and track patterns of response. Mentally note where groups disagree. These will need more time to debrief. Move the groups along so the exercise stays on time.
4. Keep people on their feet as you debrief the exercise. Stop briefly at each sheet, note the patterns of response. If time allows, ask people to explain their reasons. Clarify whether each statement is true or false, and underscore the importance of learning the point.
5. Sum up by recapping the three principles and three success factors. Ask “What are the three principles?” Get the participants to call back the

answer, as a group. Get them to do it again, loudly. It will help raise the energy. Do the same with the three success factors. Prompt with One, Two, Three.

### Variations

This flexible activity can be done in different ways. The version with stations is useful because it involves movement, which helps keep energy up. Other variations may be better, depending on the time available, room layout and number of participants.

**Variation 1:** Read each statement to the group. Ask people if it is true or false. Encourage people to call out an answer – true or false? When most agree, confirm and move on. If people disagree, use that opening to clarify the point and move on.

**Variation 2:** Read the statements to the group. Ask participants to raise hands if they think the statement is true. Follow same steps as for variation 1.

**Variation 3** (Stations with post-it notes). Prepare the flip-chart sheets and stations as explained above. Have them ready before the session. Put small post-it notes on each table. Give participants enough post-it notes to put one on each of the statements. Explain the activity: move from sheet to sheet and put post-it notes on the ones people believe are TRUE. Move people along. Use the number of post-it notes as the basis of debriefing. Debrief the exercise by moving with the group from station to station, inviting people to give reasons for believing each statement is true or false, and confirming which are true.

## 1.3.2 Basic principles and success factors (2)

*Note on Use: You may want to combine 1.3.1 and 1.3.2 into one learning activity with two parts.*

### Method

Facilitated large group discussion, prompted by key questions

### Purpose

To reinforce learning of basic principles and success factors, and the relationship between them

### Time

25-30 minutes

### Preparation

- Decide on and develop the questions you want to use to prompt and guide discussion. A planned sequence of questions works well. Instructor Guidance covers effective use of a sequence of questions.

#### Examples of questions

- 1) What is the relationship between basic principles and key factors?
  - 2) How is *impartiality* different from *neutrality*?
  - 3) What does *neutrality* mean in humanitarian work? What does it mean in peacekeeping?
- Prepare one flip-chart for principles, one for key success factors. Use these to summarize, keeping them as wall visuals through the rest of the course. This reinforces learning, and the information is available for you to refer to in later lessons.

### Instructions

1. Introduce the activity. The three principles and three success factors are a set that reinforce each other. They are not separate. Undermining one factor undermines them all. Strengthening one factor strengthens the others. The discussion purpose is to emphasize these inter-connections and the strong relationship between the principles and factors as well as review them.
2. Pose the questions. Draw answers from different participants. When the group is in agreement, move on. Watch for body language and facial expressions for signs that some participants may be struggling with the content. Check with them at the next break.

3. Summarize, possibly with a call back. Ask the group what the three principles are: get the whole group to respond loudly, in unison. Repeat until all participate. Do the same with success factors. Alternatively, recap them verbally, use a flip-chart or a Powerpoint slide.

### 1.3.3 Concepts and definitions

#### Method

Mix and match – match key words to definitions

#### Purpose

To review concepts presented in Lesson 1.3

#### Time

30 minutes total

5 minutes for introduction and instructions

10 minutes for work in small groups

10 minutes for discussion and questions in large group

5 minutes to summarize and close

#### Preparation

- Look over the concepts and definitions for the three principles and three success factors, and finalize the exercise based on your own assessment of learning gaps and needs. Adapt the technique to focus on specific learning needs of each group.
- Decide how large you want the text to be. Larger type is easier for participants. Use normal paper for single use, and thicker, more durable paper for repeat use.
- Decide on groups of 6 people. Table groups may work well.
- Format sheets, with each concept and each definition on a separate piece of paper. Make copies of key concept words and definitions, enough sets for the number of groups.

#### Instructions

1. Introduce the activity and divide participants into groups.
2. Explain the method, for each group will match names or concepts with definitions, in 10-15 minutes. This type of activity is in previous lessons, so needs only a short introduction if a similar one has been carried out before.
3. Hand out sets of concept words and definitions, one to each group.
4. Circulate the room, and keep an eye on the process. Help where needed. Watch when groups finish. Do not let people sit too long.
5. Let people know when half the time is gone.
6. Allow time for questions or comments when the exercise is over. Invite experienced participants to share reflections on the key concepts, and give examples.

<p><b>Consent</b></p>	<p>All UN peacekeeping operations should be deployed with _____ of the main parties.</p> <p>Security Council action taken without the _____ of the parties is typically a peace enforcement mission, not a peacekeeping mission.</p>
<p><b>Impartiality</b></p>	<p>UN peacekeeping operations must implement mandates without favour or prejudice toward any parties to the conflict. _____ is crucial to maintaining consent and cooperation of main parties.</p>
<p><b>Non-use of force except in self-defense &amp; of defense mandate</b></p>	<p>A fundamental principle for all peacekeeping personnel to keep in mind. Particularly important where there is a 'robust mandate'.</p>
<p><b>Legitimacy</b></p>	<p>A UN peacekeeping operation has international _____ because it is based on the UN Charter and international law, and popularly accepted by Member States.</p> <p>The quality and conduct of military, police and civilians can directly affect perceived _____.</p>

<p><b>Credibility</b></p>	<p>The _____ of a UN peacekeeping operation depends on the belief that the mission can achieve its mandate. _____ is affected by how capable and effective the mission is at managing and meeting the expectations of the international and local communities.</p>
<p><b>Impartiality – for humanitarian workers</b></p>	<p>_____ means being guided solely by needs, making no discrimination on the basis of nationality, race, gender, class, religious or political beliefs.</p>
<p><b>National and local ownership</b></p>	<p>Promoting _____ involves:</p> <ol style="list-style-type: none"> <li>1. including local and national perspectives on needs and best solutions;</li> <li>2. nurturing national capacity to re-emerge quickly from conflict, to lead critical political and development processes.</li> </ol>

## Evaluation

**Note on Use:** Three types of learning evaluation questions are:

- 1) Fill in the blank / sentence completion
- 2) Narrative
- 3) True-False

Combine in different ways for pre-assessment and post-assessment. Each evaluation type covers different content. No sub-set covers all learning outcomes. Make sure you include learning evaluation questions for each learning outcome when you combine them.

Three main uses of evaluation questions are: a) informally ask the whole group, b) semi-formally assign to small groups, or c) formally give to individuals for written responses.

Other suggestions for evaluating learning follow the table.

Evaluation Questions for Lesson 1.3	
Questions	Answers
Sentence Completion	
1. Non-use of force, except in _____ and _____.	Self-defence and defence of the mandate
2. All UN peacekeeping operations deploy with _____ of the main parties to a conflict.	Consent
3. Impartiality for UN peacekeeping operations means that mandates are implemented with _____ to any parties to the conflict.	No favour or prejudice
4. The _____ authorizes use of force in UN peacekeeping.	Security Council
5. The _____ and _____ of military, police and civilian peacekeeping personnel can directly affect perceived legitimacy. The UN expects all peacekeepers to act and behave to the _____.	Quality and conduct Highest standards
6. The UN has a _____ policy towards sexual exploitation and abuse.	Zero tolerance
7. Peacekeepers apply _____ in the	Restraint



use of force. They are mindful of the need for early _____ of violence.	De-escalation
8. Legitimacy, credibility and promotion of national and local ownership are _____ for peacekeeping.	<p>Success factors (or factors that influence success).</p> <p>Distinguish these from three core principles: consent, impartiality, non-use of force except in self-defense or defense of the mandate.</p> <p>Participants may fill-in-the-blank with “essential”, or “critical”, also valid although not as accurate in relation to lesson content.</p>
9. All peacekeeping personnel must make every effort to build _____ with local and national actors.	Trust and cooperation
10. The _____ clarify use of force for the military component in a peacekeeping mission.	Rules of Engagement (ROE) and Directive on the Use of Force (DUF)
11. The credibility of a UN peacekeeping operation depends on the belief that the mission can achieve its _____.	Mandate
12. Credibility is affected by how capable and effective the mission is at _____ of the international and local communities.	Managing and meeting the expectations
13. A UN peacekeeping operation has international _____ because it is based on the UN Charter and international law, and popularly accepted by Member States.	Legitimacy
14. National and local ownership is grounded in the belief that building sustainable peace requires _____.	Active engagement of local actors at all levels
15. Peacekeepers must know and respect: _____.	<p>This question can be answered in several ways. Peacekeepers must know and respect:</p> <ul style="list-style-type: none"> <li>• national sovereignty, as part of promoting national and local ownership;</li> </ul>

	<ul style="list-style-type: none"> <li>existing national capacity – and work to support and build it through all mission activities;</li> <li>local needs and perspectives, as part of building trust and cooperation.</li> </ul> <p>Learners may also answer:</p> <ul style="list-style-type: none"> <li>the mission mandate</li> <li>other peacekeepers, mission components</li> <li>local people – including vulnerable and marginalized</li> <li>themselves</li> </ul> <p>Emphasize the national dimensions.</p>
<p style="text-align: center;"><b>Narrative</b></p> <p style="text-align: center;"><i>Note: Frame narrative evaluations as questions, requests or directions.</i></p>	
1. What three principles of UN peacekeeping have remained the same since 1945?	<ol style="list-style-type: none"> <li>Consent</li> <li>Impartiality</li> <li>Non-use of force, except in self-defense or defense of the mandate</li> </ol>
2. Why is consent critical for peacekeeping missions?	<ul style="list-style-type: none"> <li>Consent ensures a mission has political and physical freedom of action and support needed to carry out mandated tasks.</li> <li>Without consent, a UN peacekeeping operation risks becoming a party to the conflict.</li> <li>Security Council action without the consent of the parties is typically a peace enforcement mission, not a peacekeeping mission.</li> </ul>
3. What can influence changes in consent during a peacekeeping operation?	<ul style="list-style-type: none"> <li>Parties to a conflict may block aspects of the peacekeeping mission's mandate because of a lack of trust.</li> <li>Weak command and control systems in parties to the conflict may mean differences of opinion exist between central and local levels of command.</li> <li>"Spoilers" may be active. Spoilers have an interest in preventing return to peace and security.</li> </ul>
4. What are some of the ways peacekeepers try to ensure and	<ol style="list-style-type: none"> <li>Continuously scan and analyze the peacekeeping environment for;</li> </ol>

maintain consent?	<ul style="list-style-type: none"> <li>• Signs or indications of loss of consent,</li> <li>• Actions to strengthen support and consent;</li> </ul> 2. Understand history, customs and culture in the mission area; 3. Assess and report on changing interests and motivation of parties, supporters and community members.
5. What does impartiality mean in UN peacekeeping?	<ul style="list-style-type: none"> <li>• Impartiality means not taking sides. UN peacekeepers implement mandates with no favor or prejudice to any parties to the conflict.</li> <li>• Impartiality means even-handed and unbiased contact with all parties to a conflict by a UN peacekeeping operation.</li> </ul>
6. What does a “robust mandate” authorize?	<p>A “robust mandate” authorizes “use (of) all necessary means” to defend the mandate – including the use of force.</p> <p>Even with a robust mandate, a UN peacekeeping operation only uses force as a last resort, when all other methods of persuasion have failed.</p>
7. What two documents guide use of force for peacekeeping operations?	<ol style="list-style-type: none"> <li>1. The Rules of Engagement (ROE) for the military, and</li> <li>2. The Directive on the Use of Force (DUF) for police.</li> </ol>
8. Mission credibility requires certain conditions. Name them. •	<ul style="list-style-type: none"> <li>• a clear mandate that can be achieved;</li> <li>• a sound mission plan;</li> <li>• clear communications about the plan; resources and capabilities to match the mandate;</li> <li>• impartial and effective implementation at all levels.</li> </ul> <p>All five are essential.</p>
9. The quality and conduct of personnel can directly affect perceived legitimacy. What are the specific influences on the perceived legitimacy of a peacekeeping	<ol style="list-style-type: none"> <li>1. how the peacekeeping operation uses force,</li> <li>2. the discipline imposed on personnel,</li> <li>3. the respect shown to local customs, cultural artefacts,</li> </ol>

operation?	institutions, and laws, and 4. the decency with which local people are treated.
10. What does “managing expectations” mean, in a peacekeeping operation?	“Managing expectations” means every peacekeeper must be careful to avoid making false promises to local communities. People expect a lot from a peacekeeping mission. A perceived failure to meet expectations may lead to dissatisfaction or active opposition.
11. Why is national and local ownership so essential to peacekeeping success?	Ownership is essential for a lasting or sustainable peace. National and local ownership: <ul style="list-style-type: none"> <li>• reinforce perceived legitimacy of an operation;</li> <li>• support mandate implementation;</li> <li>• help ensure sustainability of peace after a mission has withdrawn – i.e. that peace lasts.</li> </ul>
12. Explain where international legitimacy comes for UN peacekeeping operations.	<ul style="list-style-type: none"> <li>• The Security Council has lead responsibility for global peace and security.</li> <li>• The SC issues a specific mandate for a peacekeeping operation that matches the crisis.</li> <li>• Many Member States contribute people, equipment and money.</li> <li>• The Secretary-General directs peacekeeping, and is well-respected and impartial.</li> <li>• The UN is committed to the principles of the UN Charter.</li> </ul>
13. What actions can peacekeepers take to promote national and local ownership? Name at least three that you see as high priorities.	<ul style="list-style-type: none"> <li>• Be aware of and respect national sovereignty.</li> <li>• Be aware of and respect national capacity.</li> <li>• Work to support and build national capacity.</li> <li>• Build trust and cooperation with local and national actors.</li> <li>• Be sensitive to local needs and perspectives.</li> <li>• Talk to people in all parts of society, including marginal groups.</li> </ul>

	<ul style="list-style-type: none"> <li>• Be in touch with a wide range of contacts – local officials; NGOs; groups of students, women, youth, elderly; the private sector. Make sure no group is or feels left out.</li> <li>• Steadily build knowledge of local history, culture and values.</li> <li>• Get feedback – informally, and through client surveys.</li> <li>• Keep communication lines open.</li> </ul>
Sentence Completion	
1. The three principles of peacekeeping only apply to peacekeeping operations in the field.	<b>False.</b> The principles apply in missions and at headquarters.
2. The three principles of peacekeeping only apply to military components.	<b>False.</b> The principles apply to all peacekeepers and all aspects of peacekeeping.
3. Humanitarians define <i>impartiality</i> and <i>neutrality</i> differently from peacekeepers.	<b>True.</b> For the International Red Cross and Red Crescent Movement, impartiality means being guided solely by needs. Neutrality for humanitarians means not taking sides in hostilities or engaging in controversies. For peacekeepers, impartiality and neutrality mean even-handed and unbiased contact with all parties to a conflict.
4. Impartiality means equal treatment of parties to a conflict, at all times.	<b>False.</b> Sometimes local parties are obvious aggressors or victims. Impartiality means even-handed and unbiased contact, but it does not mean doing nothing in the face of violations of agreements, UN charter principles or mission standards. Equal treatment at all times can be a policy of appeasement.
5. The aim of use of force in peacekeeping is military defeat.	<b>False.</b> The aim of use of force is to influence and deter spoilers working against a peace process or trying to harm civilians, UN staff or property.
6. How peacekeepers (military, police, civilians) act can influence a peacekeeping mission's perceived legitimacy.	<b>True.</b> Firmness and fairness by UN personnel and military influence how local people view and respect a mission. This can influence consent. To be legitimate means to be lawful, permitted or valid. The legitimacy of UN

	peacekeeping is related to quality and conduct of personnel - police, military and civilians.
7. Partnership between a peacekeeping operation and national / local actors is not a priority until near the end of a mission's life.	<b>False.</b> Developing these partnerships is critical from the beginning of a peacekeeping operation. Promoting national and local ownership is a high priority, and involves consulting with local people and counterparts on needs and best solutions, as well as nurturing and developing national capacity through all actions. This helps a country re-emerge quickly from conflict.
8. Part of the UN's obligation is to reinforce existing local capacity and build national capacity.	<b>True.</b> Drawing on existing capacity and strengthening it is important for all peacekeepers. The mission must allow national capacity to lead critical processes and state functions, such as security and public order. National and local capacity is what will carry on beyond the end of a peacekeeping mission and ensure lasting peace and development.
9. The UN makes special efforts to meet with and engage marginalized people and vulnerable groups.	<b>True.</b> The Un expects peacekeepers to make special efforts to hear views of all people in a society, including the marginal or vulnerable. This may include women, children, a particular ethnic or religious group, elderly, people with disabilities.

### More ways to evaluate learning

- Ask participants in small groups to share the *key messages* they think are most important from this lesson, and present them to the whole group.
- Assign as homework a lesson review and noting of *key messages*. The next day, invite each participant to contribute one *key message*, either in a round or on post-it notes. Prepare a consolidated summary from their work, adding any missing points or emphasis.

## Commonly Asked Questions and Key Words

Key Words or phrases for this lesson:

Key Word or Phrase	Definition
<b>Impartiality</b>	<b>Impartiality</b> means not taking sides.
<b>Coercive measures/ use of force</b>	<b>“Coercive measures”</b> involve authority or <b>force</b> to make an individual or group do something, or stop doing something. The UN Charter outlines measures the Security Council can authorize to maintain international peace and security – including “coercive measures”. Examples of “coercive measures” include sanctions, blockades, and military force as a last resort.
<b>Robust peacekeeping</b>	In <b>“robust peacekeeping”</b> , a UN peacekeeping operation is deployed <ul style="list-style-type: none"> <li>a) with consent of the host authorities or main parties to the conflict</li> <li>b) with a strong mandate to use force to deter spoilers and to ensure proper implementation of the peace agreement.</li> </ul> Robust peacekeeping involves the use of force at the tactical level. Robust peacekeeping is different from peace enforcement, which uses force at a strategic level, without the consent of the parties to a conflict.
<b>Legitimacy</b>	To be <b>legitimate</b> means to be lawful, permitted or valid.
<b>Credibility</b>	To be <b>credible</b> means that the UN is believable, worthy of confidence and trust.
<b>Sovereignty/sovereign state</b>	<b>Sovereignty</b> refers to supreme power or authority. A <b>“sovereign state”</b> is one that is “completely and independently controlled by its own government.”

Commonly asked questions from participants:

Possible Questions	Possible Responses
What is humanitarian work?	<b>Humanitarian work or “assistance”</b> is generally accepted to mean the aid and action designed to save lives, alleviate suffering and maintain and protect human dignity. Humanitarian assistance includes basic supplies of drinking water and food, shelter and medical care.
What is the International Red Cross and Red Crescent Movement?	The <b>International Red Cross and Red Crescent Movement</b> is a large global network of humanitarians. One goal is to reduce or “alleviate” human suffering. This is particularly important during armed conflict and other emergencies. The “Movement” is made up of the following components: <ol style="list-style-type: none"> <li>1. the International Committee of the Red Cross (ICRC)</li> <li>2. the National Red Cross or Red Crescent Societies, and</li> <li>3. the International Federation of Red Cross and Red Crescent Societies</li> </ol>
How do armed peacekeepers know whether they can use force?	The Rules of Engagement (for military) and Directive on the Use of Force (for police) will indicate where and when force can justifiably be used, and the graduated levels of force that are appropriate for different situations.
What is the difference between impartiality and neutrality?	Impartiality, as a principle of UN peacekeeping, means that the peacekeeping operation deals with all parties to a conflict in an unbiased and evenhanded manner, and its actions are focused on implementing its mandate fairly. Humanitarian actors also use the terms impartiality and neutrality, however their meaning is somewhat different. For the International Red Cross and Red Crescent Movement, in particular, 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, any time, in controversies of a political, racial, religious or ideological nature.
What is the difference between the humanitarian principle of impartiality and the principle of neutrality? Is that different than the basic principle of impartiality in peacekeeping?	The humanitarian principle of neutrality means that humanitarian assistance is provided to those persons in need without considering whether the political views of that group, their political leaders or government are considered to be “right” or “wrong” in any way. The humanitarian principle of impartiality means that humanitarian assistance should be equally accessible to all who need it, regardless of their ethnic origin, gender, nationality, political opinion, race or religion. The peacekeeping principle of impartiality is slightly different because it aims to keep the peace process



	moving forward by ensuring that the UN does not show bias or prejudice to any one party. However, where parties or spoilers may be blocking the peace process, the peacekeeping principle of impartiality allows the UN to respond through diplomatic or other action. The UN thereby takes a stand as to what actions are considered to be legitimate in moving the peace process forward.
How long have the Basic Principles and Guidelines on UN Peacekeeping Operations been applicable?	They have been applicable since the beginning of peacekeeping operations, however, the recent publication confirmed their validity and added refinements.

## Reference Materials

Below are materials which are a) referenced in this lesson, and b) required reading for instructor preparations:

- Charter of the United Nations
- United Nations Peacekeeping Operations Principles and Guidelines (also known as the Capstone Doctrine)

## Additional Resources

### UN Information

The website for UN peacekeeping: <http://www.un.org/en/peacekeeping/>

Current peacekeeping operations:

<http://www.un.org/en/peacekeeping/operations/current.shtml>

(Click on “Factsheet” to download the latest map)

Past peacekeeping operations:

<http://www.un.org/en/peacekeeping/operations/past.shtml>

(Click on “Peacekeeping Operations Timeline” for the factsheet)

Original Security Council Resolutions on peacekeeping mission mandates:

<http://www.un.org/en/sc/documents/resolutions/>

(You must know the start year, country and resolution reference details for the mission you wish to search for – for this information, identify the name of the mission, and use the links above under “Current” and “Past” peacekeeping operations)

### UN Documents

UN documents can be found on: <http://www.un.org/en/documents/index.html>

(Search by document symbol, e.g. A/63/100)

### DPKO and DFS Guidance

The repository for all official DPKO and DFS guidance is the Policy and Practice Database: [ppdb.un.org](http://ppdb.un.org) (only accessible from the UN network). Official peacekeeping guidance documents are also accessible through the Peacekeeping Resource Hub: <http://research.un.org/en/peacekeeping-community>

Instructors are encouraged to check for the latest guidance.

## **UN Films**

UN films can be found on YouTube: <https://www.youtube.com/user/unitednations>

## **Additional Information**

Trainers should let participants know that in addition to the mission-specific information received during this training, participants should also familiarize themselves with the Pre-deployment Information Package (PIP). The PIP provides information on the mission and the local context:

<http://peacekeepingresourcehub.unlb.org>

## **Additional Training Resources**

UN Peacekeeping Operations: An Introduction

<http://portals.unssc.org/course/index.php?categoryid=4>

Participants should also be aware that there is mandatory Induction Training for all personnel arriving in mission which they must attend. The Induction Training will provide further information on the history, customs and culture of the mission area, the role of the mission and the rules and procedures within the mission.