

# Lesson 1.5



## Security Council Mandates in Practice

### Lesson at a Glance

#### Aim

To explain how Security Council mandates are set up and used to direct a peacekeeping mission.

#### Relevance

All peacekeepers **need to know, follow and implement the Security Council mandate.**

The mandate:

- Details specific tasks for peacekeeping personnel
- Clarifies how a mission will operate

Security Council mandates can be vague or open to interpretation. The UN Secretariat and mission leadership also prepare clear, **detailed plans called “operational frameworks”.**

All peacekeeping personnel should be familiar with the mandate and documents in the operational framework outlining their responsibilities.

#### Learning Outcomes

Learners will:

- Explain why peacekeeping personnel must know the mandate of their peacekeeping operation
- Describe how the Security Council monitors mandate implementation
- List at least three key documents that operationalize Security Council mandates
- Explain why all armed UN peacekeeping personnel must know the rules of engagement (ROE) or directive on the use of force (DUF)

## Lesson Map

**Duration: 45 minutes total**

20 minutes: presentation

25 minutes: interactive exchange or activity

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Starting the Lesson	Intro Slides
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Why should Peacekeeping Personnel be Familiar with the Security Council Mandate?	Slide 2
Establishing the Mandate for a Peacekeeping Operation	Slide 3
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## The Lesson



### Starting the Lesson

Introduce the following (using the Introductory Slides):

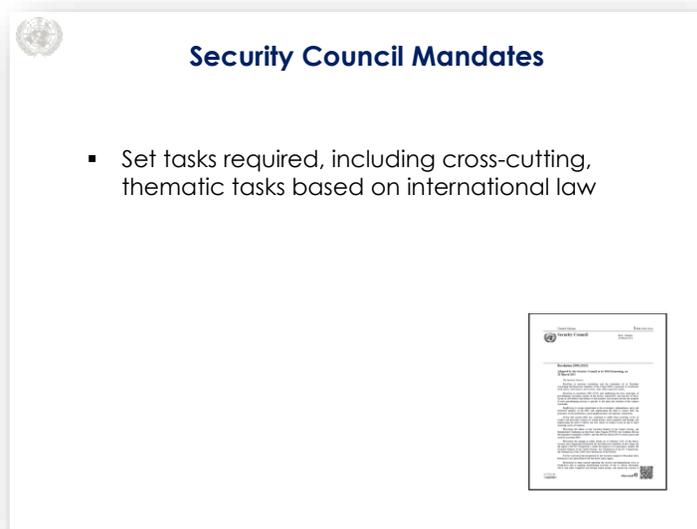
- Lesson Topic
- Aim
- Relevance
- Learning Outcomes
- Lesson Overview

Encourage learners to keep mission mandates in mind, and read them after this lesson to reinforce learning on the “establishment and operationalization of Security Council mandates”.

The language is technical. Prepare participants by alerting them. Reading and absorbing key terms and concepts may take longer than for earlier lessons. Take time at the beginning of the lesson to review the root words and meaning of “establishment and operationalization of Security Council mandates”, the main subject. **Establish** means to set up. **Operationalize** means to put into action. Watch learner reactions as you move through the lesson, and take time to define terms as needed.

## Security Council Mandates

### Slide 1



**Key Message:** Security Council mandates set tasks, which are specific to each peacekeeping mission.

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 Security Council mandates.

Security Council mandates set **cross-cutting thematic tasks** 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 “cross-cutting” because they are everyone’s work and everyone’s responsibility.

Cross-cutting thematic tasks are assigned to UN peacekeeping missions on the basis of landmark Security Council resolutions. These resolutions are **based on international law**.

Cross-cutting thematic tasks are set in the areas of:

- **Women, peace and security and ending conflict related sexual violence:** (Security Council Resolutions 1325 in 2000, 1820 in 2008, 1888 and 1889 in 2009, 1960 in 2010, 2106 and 2122 in 2013, 2242 in 2015)
- **Children and armed conflict** (Security Council Resolutions 1612 in 2005 and later resolutions 2068 in 2012 and 2143 in 2014)
- **Protection of civilians in armed conflict** (Security Council Resolutions 1674 and 1738 in 2006, 1894 in 2009, 1998 and 2015 in 2011).

In particular, the resolutions strongly condemn:

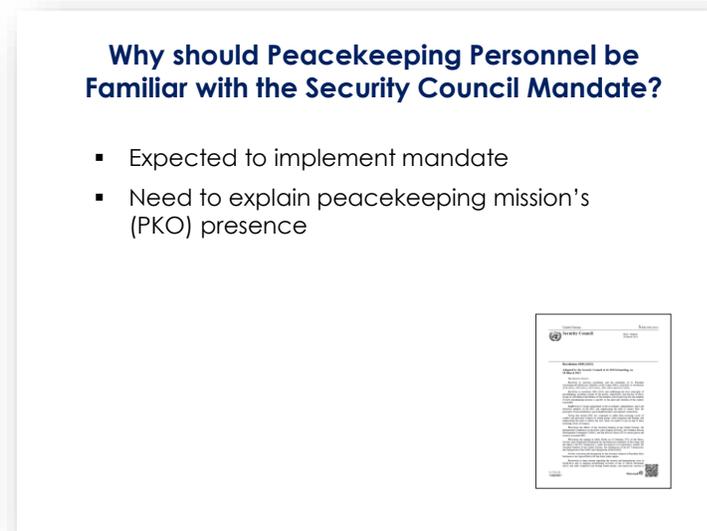
- Torture
- Gender-based and sexual violence
- Violence against children
- The recruitment and use of child soldiers
- The trafficking of human beings
- The intentional denial of humanitarian assistance

## Why should Peacekeeping Personnel be Familiar with the Security Council Mandate?



*Some facts are in earlier lessons. Consider starting by brainstorming. Instead of showing the slides, use questions and information on them to prompt responses. Confirm that participants know core information, and use available time for new content.*

### Slide 2



**Key Message:** Peacekeeping personnel are deployed to carry out or “implement” the tasks set in the mandate. This is why peacekeeping personnel must know the mandate of their peacekeeping mission.

Thorough knowledge of the mandate is essential. The mandate lists **tasks of the peacekeeping mission**. Mandates may also give conditions or “benchmarks” for withdrawal of a mission.

Mission efforts focus on carrying out these tasks. The Security Council monitors how the Secretariat and mission implement the mandate. When a peacekeeping mission closes, partners take over remaining tasks.

The Security Council may change a mandate in a new resolution. Peacekeeping personnel need to know the current mandate. UN peacekeeping personnel must be able to explain why the peacekeeping mission is in a country and what it does.

## Establishing the Mandate for a Peacekeeping Mission

### Slide 3



**Key Message:** The Security Council decides on deployment of a UN peacekeeping operation. The process leading to that decision follows standard steps.



*Encourage learners to think of the steps as part of a connected process, not as separate measures. The UN is large. Work in the peace and security field is complex. The procedures outlined ensure that decisions to carry out peacekeeping are a) open and transparent and b) based on the best available knowledge and insight. They show how seriously the Security Council takes a decision about a peacekeeping operation.*

### **Request to Security Council to debate a situation:**

- When a crisis or dispute happens (between or within countries), the Secretary-General, the General Assembly and every Member State can ask the Security Council to consider and debate the situation.
- **The Security Council addresses each crisis case-by-case to find the most suitable response.** Responses are measures in the UN Charter, peaceful and coercive.

- The Security Council assesses risk to international peace and security. If a situation poses a risk, **the Council may ask the Secretary-General to start UN conflict prevention or peace-making measures. It may also choose to monitor measures that regional powers are already undertaking.**

#### Consultation and analysis with key partners:

- The **Strategic Assessment (SA)** is a UN system-wide analysis of the situation. It brings together UN political, security, development, humanitarian and human rights entities to:
  - Develop a shared understanding of the conflict or post-conflict situation
  - Identify the role of stakeholders and core peace consolidation priorities
  - Define the best framework for UN engagement
- DPKO and DFS consult the wider UN system. This includes UN Secretariat departments and offices and UN specialized agencies, funds and programmes. UN actors present in the country of focus are important sources. Consultation is through the UN Country Team (UNCT).



*This first reference to the UNCT may be worth explaining. All parts of the UN in a country are members of a coordinating group called the UN Country Team. More detail on the UNCT appears in later lessons.*

- DPKO and DFS consult other relevant partners:
  - The host government, national authorities
  - Civil society and other local representatives
  - Regional and sub-regional organizations
  - International financial institutions (e.g. World Bank, International Monetary Fund)
  - Key Member States (including potential troop and police contributing countries and donor countries)
- **A Technical Assessment Mission (TAM)** goes to the country or territory recommended for a peacekeeping operation as soon as security allows. **The role of the TAM is to:**
  - **Analyze and assesses circumstances on the ground - overall security, political, humanitarian, human rights and military**
  - **Consider implications of a possible UN peacekeeping operation.**
- The TAM may have people from the UN system. It should also involve the UN Country Team (UNCT).

#### Security Council resolution with decision and mandate:

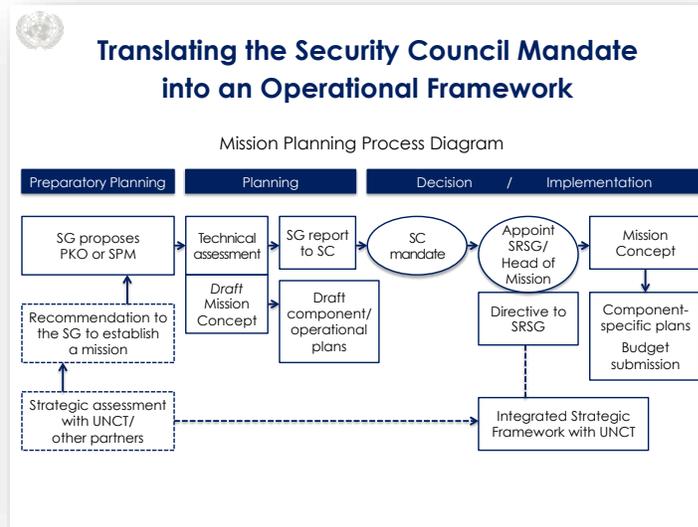
- **The Security Council decides to deploy a peacekeeping operation. It issues a resolution with a decision and a mandate.**
- The Security Council resolution authorizes the mission and sets the size (total number of personnel), mandate and tasks.

## Translating the Mandate into an Operational Framework



For the upcoming topics make a decision on the level of detail to which you explain the processes based on the group of learners you are addressing.

### Slide 4



**Key Message:** The mission mandate is the basis of all the tasks of the mission. However, the mandate does not give details or specific instructions.

Security Council mandates give high-level strategic direction.

**Additional detailed plans put into action or “operationalize” a Security Council mandate. Key planning documents** guide how a mission implements a Security Council mandate (listed below). The documents clarify how to interpret the mandate and the roles and responsibilities of military, civilian and police personnel. These planning documents make up the **“operational framework”** of a peacekeeping mission.

Slide 5



**Key Message:** DPKO and DFS use the mandate to develop an operational framework for a mission.

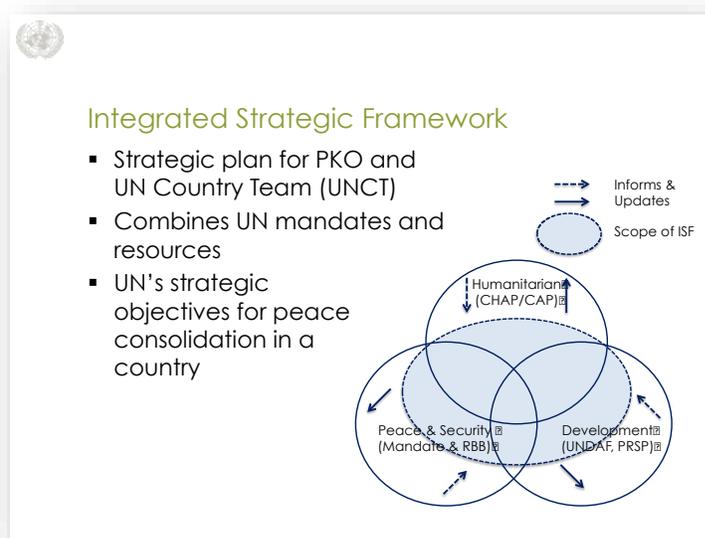
Key planning documents are:

- Integrated Strategic Framework (ISF)
- Mission Concept
- Concept of Operations (CONOPs)
- Rules of Engagement (RoE)
- Directive on the Use of Force (DUF)
- Missions' Results-Based Budget (RBB)



*Pause the presentation to ask participants if they are familiar with these documents. Encourage people to share what they know. Note points on a flip-chart sheet. Build on them when you resume the presentation. With regards to the diagram, **CONOPs**, **ROE** and **DUF** are examples of “component-level plans” – specific to military and police components.*

Slide 6



**Key Message:** The ISF is a strategic plan for the peacekeeping mission and other UN actors in the host country.



*Remind learners that a peacekeeping mission is short-term. UN specialized agencies, funds and programmes represented in the UNCT are long-term partners. They know the country and have a continuing presence in peaceful times.*

Armed conflicts are increasingly complex. Interventions must integrate political, security, humanitarian and development sides of UN work.

The principle of integration maximizes the individual and collective impact of the UN actors in conflict and post-conflict situations. "Integrated Assessment and Planning" ensures one common UN vision and strategy.

Where both a UNCT and a multidimensional peacekeeping operation are in a country, an ISF is required.

The ISF **considers the combined mandates and resources of the mission and the UNCT. It creates a single framework** of agreed priorities for peace consolidation. It outlines agreed results, responsibilities and timelines.

The UN ISF connects to the host country's national strategies and plans. The ISF also connects to other UN plans. Two relevant ones are the UN Development Assistance Framework (UNDAF) and the UN Common Humanitarian Action Plan (CHAP).



*The UNDAF, the national government and the UN agree about programmes. The UN CHAP coordinates humanitarian actions. The ISF ensures development and humanitarian partnerships and priorities are considered, as the UN responds to peace and security threats.*

The ISF planning document is usually initiated by the Mission Strategic Planning Unit and finalized by the senior management group of the mission in collaboration with UN Headquarters in New York.

Slide 7

**Mission Concept**

- Translates political intent of mandate into strategy, plans and guidance for all components
- Informs component-level planning – military, civilian and police

Military Civilian Police

**Key Message:** The Mission Concept translates the political intent of the mandate into strategy, plans and guidance for all components.

The “Mission Concept” is developed from the mandate. The Mission Concept:

- Contains the vision and focus of the mission
- **Gives a roadmap for organizing mission work**

The Mission Concept brings clarity, coherence and synergy, including in the use of mission resources. It is a management tool for senior mission leadership.

The Mission Concept **informs “component-level” planning** – for military, civilian and police components.

Traditional peacekeeping operations do not operate in integrated settings and do not use the ISF to plan. **They need a Mission Concept to fill the planning gap.** For missions that do use an ISF or similar plan, the Mission Concept provides mission-specific priorities not included in the ISF.

New missions at start-up must develop a Mission Concept. Any change in conditions may require development or revision of a Mission Concept. Examples include change in the mission mandate, reconfiguration of the mission or UN presence and key milestones in the mission's lifecycle.



*“Key milestones in the mission's lifecycle” include the phases of mission start-up, mandate implementation and transition (handover, withdrawal, liquidation). Ensure learners understand these terms.*

Slide 8



### Concept of Operations

- Outlines key security objectives, requirements and tasks for military and police components
- Separate CONOPS for military and police



**Key Message:** The Concept of Operations (CONOPS) is prepared from the Mission Concept. The CONOPS outlines 1) key security objectives, 2) requirements and 3) tasks for military and police components. Military and police have their own CONOPS.

The CONOPS links the mission mandate to key objectives:

- Strategic intent
- Organization and deployment (including timelines)
- Security/force protection
- Rules of engagement (ROE) and the directive on the use of force (DUF)
- Administration and logistics
- Command and control

The CONOPS drives lower level plans for military and police components.

There is a “Military Strategic Concept of Operation” and a “Police Concept of Operation”.

**Military CONOPS:**

- The Military CONOPS is an internal UN document, prepared by the Military Planning Service of DPKO.
  - The Head of the Military Component (HoMC) may issue a Military Operations Plan or “Operation Order”. This directly supports the CONOPS. It is the HoMC's formal written direction to the Military Component.

**Police CONOPS:**

- The Police Division of DPKO prepares the standard Police CONOPS. It includes:
  - The latest update on the situation
  - The requirements of the Police component

- Strategic directives from the UN Police Adviser
- Programmes for delivery
- Expected outcomes of police operations and activities in the mission
- The Police CONOPS covers 1) the mandated strength of the Police component and 2) broad guidelines on command, coordination, administration and logistics.

## Slide 9



**Rules of Engagement & Directive on Use of Force**

- Guide **use of force**
- ROE for military component; DUF for police component
- Guidance in accordance with mandate, UN Charter, international law



A photograph showing a soldier in a green uniform and helmet standing in the back of a white UN vehicle. The vehicle has 'UN' written on its side. The background is a lush green landscape.

**Key Message:** The Rules of Engagement (ROE) and Directive on the Use of Force (DUF) guide the use of force according to the Charter and the mandate. They must also comply with international humanitarian and human rights law.

The ROE is for the military component and the DUF is for the police component, where Formed Police Units (FPUs) are authorized to carry arms.

The ROE and DUF:

- Apply specifically to military and police personnel
- Detail how and when to use force; details include constraints and latitudes (scope) in using force and the right of self-defence.
- Clarify different levels of force to use in different circumstances
- Provide practical guidance to commanders, including on needed authorizations
- Are mission-specific documents that apply to a particular mission and mandate
- Are legally binding documents internal to the UN

RoE:

- Outlines the authority of armed UN military personnel to use force in mandate implementation
- States when force may not be used by armed UN military personnel
- Applies to all armed military personnel and units in the mission

DUF:

- Indicates whether UN police are armed
- States when they have legal authority to use force
- Applies to all armed police personnel and units (such as Formed Police Units) in the mission

## Slide 10



The slide features the United Nations logo in the top left corner. The title is "Rules of Engagement & Directive on Use of Force: The Importance" in green text. Below the title is a bulleted list with three items. At the bottom right of the slide is a small photograph of a hand holding a handgun, pointing it towards the right.

Rules of Engagement & Directive on Use of Force: The Importance

- Use of force specific to mission and its mandate
- Robust for volatile and potentially dangerous environments
- Differs from national legal restrictions



**Key Message:** Armed UN military and police must be very clear on the rules for use of force. They need to know the ROE and DUF.

It is important to **clearly understand** the ROE and DUF because:

- The **use of force is specific to the mission and its mandate**, and armed military and police personnel **must be aware of how such force should be applied in the field**.
- Contemporary peacekeeping operations are often deployed to **volatile and potentially dangerous environments**. The ROE and DUF will be robust enough for a UN peacekeeping operation to a) retain credibility and b) have freedom of action to implement the mandate.
- Troop and Police contributing countries may have **national legal restrictions on the use of force**. They must inform DPKO and the Military/Police commander of restrictions to avoid problems.

Mission leadership ensures that all relevant personnel in a mission know the ROE and DUF and apply them uniformly. UN military and police commanders are responsible for all personnel under their command knowing the ROE or DUF.

DPKO briefs troop and police contributing countries to UN peacekeeping operations. It provides key documents (the CONOPS, ROE, DUF) through Permanent Missions in New York. Permanent Missions are diplomatic representatives of a country to the UN.

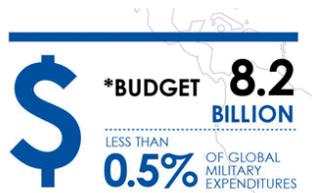
Slide 11



*Instructors should download the latest version of the budget.*

### Results-Based Budgeting

- The budget process by PKOs to:
  - Get resources for activities
  - Measure performance



**Key Message:** Results-Based Budgeting (RBB) is the budget process used by UN peacekeeping operations to: 1) get resources for activities and 2) measure performance.

Resources need to match the mandate for peacekeeping to succeed.

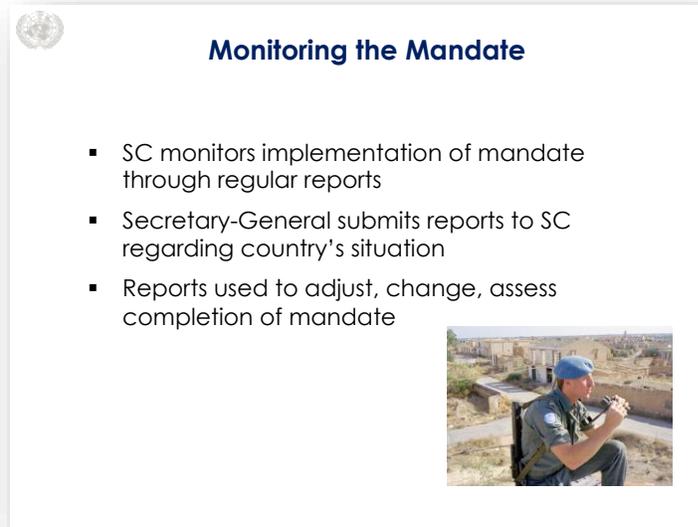
The peacekeeping operation asks for and gets funding from the UN General Assembly for **resources to carry out tasks in a Security Council mandate. Funds cover activities, personnel, equipment, supplies and facilities.**

**The RBB process flows directly from planning.**

All needs must be covered in the annual RBB. No funds will be available otherwise.

## Monitoring the Mandate

### Slide 12



**Monitoring the Mandate**

- SC monitors implementation of mandate through regular reports
- Secretary-General submits reports to SC regarding country's situation
- Reports used to adjust, change, assess completion of mandate



**Key Message:** The Security Council monitors the implementation of the mandate through regular reports.

The Security Council requires regular reports from the Secretary-General on a country's situation. Peacekeeping operations provide daily, weekly and monthly reports to Headquarters. The Under-Secretary General of DPKO prepares summary reports.

**The Security Council can adjust or change the mandate of the peacekeeping operation based on reports. Each change in the mandate requires a new Security Council resolution.**

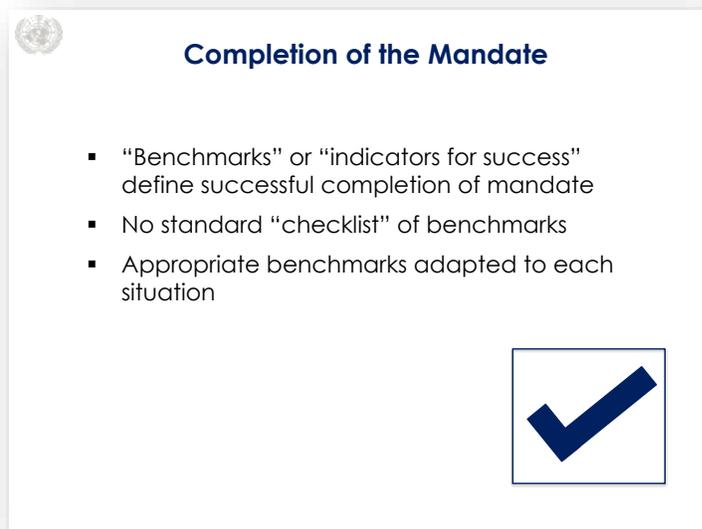
The Security Council uses the reports to

- Assess when an operation has completed its mandate
- Decide when an operation should transition or withdraw

The Secretary-General's reports and Security Council discussions and decisions are public documents, available on the Security Council website. The UN encourages all peacekeeping personnel to stay informed of developments and changes in the mandate while they are deployed.

## Completion of the Mandate

### Slide 13



The slide features a small UN emblem in the top left corner. The title "Completion of the Mandate" is centered at the top. Below the title is a bulleted list with three items. At the bottom right of the slide is a large blue checkmark icon inside a square border.

### Completion of the Mandate

- “Benchmarks” or “indicators for success” define successful completion of mandate
- No standard “checklist” of benchmarks
- Appropriate benchmarks adapted to each situation



**Key Message:** Benchmarks or indicators for success define when a peacekeeping operation has successfully completed its mandate.



*Ask participants if they can give examples of “benchmarks”. They are signposts, or marks of progress. (Peacekeeping examples of benchmarks are below).*

The Security Council decides on the withdrawal or transition of UN peacekeeping operations. This decision is based on the Secretary-General's reports. The reports contain advice and recommendations from the Secretariat.

**No standard “checklist” exists of benchmarks or indicators for success. Appropriate benchmarks are adapted to each situation.** The choice depends on the underlying causes of conflict and dynamics. Benchmarks may change as a situation evolves.

For traditional peacekeeping missions the indicator for success of a mission is clear. A traditional peacekeeping mission has successfully completed its mandate when the states or parties to a conflict agree to a peaceful resolution.

Defining success in completing a mandate is harder for complex, multi-dimensional peacekeeping missions. The UN uses the Secretary-General's reports and Security Council resolutions to try and set **benchmarks or indicators for success** for individual peacekeeping operations. Complex realities make this difficult.

Examples of key benchmarks:

- Absence of violent conflict and large-scale abuses of human rights
- Respect for rights of women and minorities
- Ability of national armed forces and national police to provide security and maintain public order, with civilian oversight and respect for human rights
- Women and men having equal rights to vote and seek political office
- Free and fair elections
- Legitimate political institutions are set up and functioning (e.g. a legislature)

As part of knowing the mandate, all UN peacekeeping personnel are to know the conditions or benchmarks for the withdrawal of their mission.

#### **Example 1 of Benchmarks for Withdrawal: UNMIL in Liberia**

Not every UN peacekeeping operation has clearly defined conditions or benchmarks for withdrawal. The Security Council used detailed benchmarks to measure progress and assess success for the United Nations Mission in Liberia (UNMIL). On the advice of the Secretary-General, benchmarks monitored by the Security Council included:

- Progress on security
- Reintegration of ex-combatants
- Economic revitalization of the country
- Reestablishment of state authority over natural resources
- Progress on governance and rule of law
- Establishment of infrastructure and basic services, including renovation of 39 schools and construction of 41 new schools

The Liberian Government showed progress on security by:

- Developing a national security strategy
- Having functioning national armed forces and police units across the country

Progress on governance and rule of law included justice sector reform, promotion and protection of human rights and establishment of an Anti-Corruption Commission.

#### **Example 2 of Benchmarks for Withdrawal: UNAMSIL in Sierra Leone:**

The United Nations Assistance Mission in Sierra Leone (UNAMSIL) completed its mandate in 2005. The Security Council followed the advice of the Secretary-General. It set the following benchmarks to monitor the withdrawal of UNAMSIL:

- Building the capacity of the army and police
- Reintegrating ex-combatants
- Restoring Government control over diamond mining
- Consolidating State authority throughout the country
- Ensuring progress to end the conflict in neighbouring Liberia



## Summary

### Why peacekeeping personnel must know the mandate of their peacekeeping operation

- Peacekeeping personnel are deployed to carry out or “implement” the tasks set in the mandate.
- UN peacekeeping personnel must explain why the peacekeeping operation is in a country and what it does.

### How the Security Council monitors mandate implementation

- The Security Council monitors the implementation of the mandate through regular reports. The Secretary-General reports to the Security Council on a country's situation.
- The Security Council uses the reports to:
  - Assess when an operation has completed its mandate
  - Decide when an operation should transition or withdraw

### Key documents that operationalize Security Council mandates

- Detailed plans put into action or “operationalize” a Security Council mandate. Key planning documents are:
  - Integrated Strategic Framework (ISF)
  - Mission Concept
  - Concept of Operations (CONOPs)
  - Rules of Engagement (RoE)
  - Directive on the Use of Force (DUF)
  - Missions' Results-Based Budget (RBB)

### Why all armed peacekeeping personnel must know the ROE and DUF

- The Rules of Engagement (ROE) and Directive on the Use of Force (DUF) guide armed UN military and police on the use of force.
- The ROE and DUF:
  - Detail how and when to use force; details include constraints and latitudes (scope) in using force and the right of self-defence
  - Clarify different levels of force to use in different circumstances
  - Provide practical guidance to commanders, including on needed authorizations
- It is important to **clearly understand** the ROE and DUF because the use of force:
  - Is specific to the mission and its mandate
  - May be robust for volatile and potentially dangerous environments
  - May differ from national legal restrictions on the use of force

## 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
1.5.1	Security Council mandates	Group work on mandates and guiding questions with reports	60 minutes
1.5.2	ROE/DUF – Guidance on the Use of Force ( <i>Note: particularly important for Commanders</i> )	Guided discussion	25-30 minutes

## 1.5.1 Security Council Mandates

### Method

Group work on mandates and guiding questions, with reports

### Purpose

- To guide participants in reading and understanding Security Council mandates
- To deepen knowledge of mandate for participants who know their mission of deployment

### Timing

60 minutes

15-20 minutes for small group discussions

25 - 30\* minutes to report back (allowing 3-5 minutes per group)

10 minutes to debrief and close activity(\*more groups may need more time to report)

### Preparation

- Decide on groups for the activity, 4-8 people. Where participants know their mission of deployment, make mission-specific groups.
- Prepare sets of 3-4 mandates for each group, and enough copies for each participant. Put the sets for each group in folders, for easier distribution. Select a wide variety of mandates, for different types of peacekeeping operations. (If participants know where they will be deployed, let them concentrate on their specific mandate but still read the others).
- Consider using mandates from these missions: MINURSO, UNMIL, MONUSCO, UNOCI, UNMISS, UNOMIG, MINUSTAH.
- Download mission mandates from:  
<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 using the following links:  
<http://www.un.org/en/peacekeeping/operations/current.shtml>;  
<http://www.un.org/en/peacekeeping/operations/past.shtml>
- Consider giving copies of mandates the day before the session, as homework. If not possible, give extra time at the beginning of the session for participants to read the mandates and plan to use fewer questions.
- Read the chosen mandates and the list of questions. Add questions of your own. Choose the questions for the groups, and make an answer sheet. Prepare to use it to prompt with hints and correct answers. Assign different

questions to different groups, so report-backs are not repetitive. Minimum number of questions 2-3 per group. It takes 20-25 minutes to complete 4-5 questions for several mandates (some questions will take longer). Print out a copy of selected questions for each group.

- Prepare main themes to debrief – see notes below.

### **Instructions**

1. Identify the groups and distribute the folders with sets of mandates to read the day before the exercise. If not, distribute folders with mandates on the day.
2. Introduce the activity and the timing. Groups will work for about 20 minutes to compare mandates of different peacekeeping operations and discuss the answers to the questions. Brief reports will be made back to the large group. Allow time for reading mandates if necessary. Invite questions and get groups working.
3. Bring the groups back after 20 minutes. Have each group report. If some groups have the same mandates, ask them to answer different questions rather than having the same answers repeated. Ask the other groups whether they agree with the answers provided by the reporting group.
4. Summarize main points and reinforce this lesson's key messages, including diversity of mandates.

### **Questions to combine for different groups**

- a) *What type of peacekeeping operation does this mandate call for?*
- b) Which mandates refer to a peace agreement or cease-fire?
- c) Does any sentence indicate the UN peacekeeping operation may use force to protect UN personnel or property? Does the Security Council use the same language for use of force in each mandate?
- d) Does any sentence say the UN peacekeeping operation may use force to protect civilians? Is this language the same for all mandates?
- e) Which mandates refer to humanitarian assistance? International humanitarian law?
- f) How many references are there to women and children in each mandate? Does any mandate not refer to women or children?
- g) Does any mandate not include a reference to international human rights?

- h) Which mandates refer to disarmament, demobilization and reintegration (DDR) of combatants?
- i) Which mandates refer to elections? In which is the UN peacekeeping operation mandated to conduct elections? How many have the mandate to support the national government in conducting elections?

### **Points for instructor debriefing**

1. All mandates for multi-dimensional peacekeeping operations mention the **name of a specific peace agreement**. The mandate is to support the implementation of that peace agreement. Mandates for traditional peacekeeping operations often do not mention a peace agreement because it does not yet exist. A cease-fire agreement (a type of peace agreement) may exist, and may be mentioned in the mandate.
2. **Language on the use of force differs** between mandates. No standard language exists. Terms in use evolve. Language may be vague for political reasons. Highlight the lack of clarity that may exist at the political level. Operational guidance covered in Lesson 1.5 is necessary because of this lack of clarity.
3. **Language on protection of civilians differs** between mandates. The POC mandate in peacekeeping focuses on addressing the gravest threats of physical violence against civilians. . As with the use of force, language used by the Security Council has evolved. An example is the Security Council indicating that *“without prejudice to the responsibility of the Government, UN peacekeeping operations should protect civilians under imminent threat”* (see for example, the mandate of UNAMID).
4. Multi-dimensional peacekeeping operations are often mandated to facilitate **humanitarian assistance**. The mission usually provides security or support when humanitarian assistance is provided outside the peacekeeping operation. Peacekeeping operations generally do not provide humanitarian assistance directly.
5. Mandates for multi-dimensional peacekeeping operations will have one or more references to **women and children**. The Security Council recognizes they suffer during a conflict. The mandates of all multi-dimensional peacekeeping operations include specific tasks for the mission to promote and protect **human rights**.
6. Most mandates for multi-dimensional peacekeeping operations refer to **DDR – disarmament demobilization and reintegration**.
7. Many multi-dimensional peacekeeping operations are mandated to assist Governments to organize **national or local elections**.
  - In some cases, mandated tasks may also include observing elections.
  - Less common is a mandate for the UN to carry out elections.

- For elections, different components and the UN Country Team (UNCT) carry out different tasks.  
For example, military and police components may help ensure security while civilian components work with the UN Development Programme (UNDP) to assist the Government register voters or organize elections.
- Integrated Support Services in missions may provide logistical support in cooperation with, or in support of, civilian electoral personnel in missions and in UN agencies.
- In some cases, mission mandate may include providing logistical support to the Government carrying out elections.
- Mandated tasks related to elections often cut across several different components. Different components of the peacekeeping operation and the UN Country Team must work together.

Lessons ahead cover more on these subjects.

## 1.5.2 ROE/DUF – guidance on the use of force

*Note on Use: The activity can be used to consolidate learning on the use of force from previous lessons. Guidance on the use of force can be connected to the basic principle of “non-use of force, except in self-defence and defence of the mandate” in Lesson 1.3 on the Principles of UN Peacekeeping. Guidance can also be connected to IHL in Lesson 1.4 on the Legal Framework, and the Protection of Civilians (POC) in Module 2. The activity focuses on “guidance” more than on the specifics of POC. You may wish to recall elements from Learning Activity 1.4.5 on the Essential Rules of IHL, particularly the principle of distinction between civilians and combatants. This activity is particularly important for Commanders who are the primary users of the ROE/DUF. All other personnel only require a briefing on the documents. Tailor the lesson for the specific component – DUF for the police component, and ROE for the military component.*

### Method

Guided discussion

### Timing

25 – 30 minutes

### Purpose

To understand the importance of guidance for the use of force, through discussion of a generic example of ROE/DUF

### Preparation

- Select a generic example of ROE or DUF.
- Prepare enough copies for all participants.
- Finalize the questions to guide the discussion. Choose from the questions below.
- Instructors may wish to read the Report of the Office of Internal Oversight Services (OIOS) on the “Evaluation of the Implementation and Results of Protection of Civilians Mandates in United Nations Peacekeeping operations”, 7 March 2014 (A/68/787)  
[https://oios.un.org/resources/ga\\_report/a-68-787-dpko.pdf](https://oios.un.org/resources/ga_report/a-68-787-dpko.pdf)

### Instructions

1. Introduce the activity. Stress its particular importance for Commanders if they are in the group.
2. Distribute the generic example of ROE/DUF. Give people enough time to read it over (5-10 minutes). Discussion will be 20-25 minutes.

3. Review and discuss the elements that guide use of force. Ask the group selected questions.
4. Summarize key points.
5. End with these key messages:
  - a) One of the basic principles of UN peacekeeping is the non-use of force, except in self-defence and defence of the mandate.
  - b) In using force, the UN peacekeeping mission must consider the effects or impact.
  - c) UN peacekeeping personnel have a right to self-defence and a duty to protect civilians. They must also comply with International Humanitarian Law (IHL).
  - d) The Rules of Engagement (ROE) and Directive on the Use of Force (DUF) provide guidance on the use of force.
  - e) Commanders are to make decisions on how and when to use force in the field based on the guidance in the ROE/DUF.
  - f) Armed UN military and police must be very clear on the rules for use of force.

## Questions

QUESTION 1: When should peacekeeping personnel use force?

- One of the basic principles of UN peacekeeping is the non-use of force, except in self-defence and defence of the mandate.
- “Self-defence” is understood to be defence of UN personnel and property.
- A robust mandate authorizes “use (of) all necessary means” to defend the mandate – including the use of force. The Security Council gives missions robust mandates when militias, criminal gangs and other spoilers try to undermine a peace process or threaten civilians. The Security Council must always authorize use of force.
- In using force, the UN peacekeeping mission must consider the effects or impact. UN peacekeeping personnel have a right to self-defence and a duty to protect civilians. They must also comply with International Humanitarian Law (IHL). Commanders are to make decisions on how and when to use force in the field based on the guidance in the ROE/DUF.

QUESTION 2: What are the negative effects in using armed force?

- The negative effects of the use of force include: Casualties and loss of human life, including civilians; and damage to and destruction of property, land and buildings.
- Other considerations for the UN peacekeeping mission in the use of force are the negative effects on the following:
  - 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 negative effects may be minimal for peacekeepers due to the basic principle of non-use of force, except in self-defence and defence of the mandate. In addition, UN peacekeeping personnel must follow International Law and guidance in the ROE/DUF.

QUESTION 3: How should armed peacekeeping personnel use force differently from combatants?

- Even with a robust mandate, a UN peacekeeping operation only uses force as a last resort, when all other methods of persuasion have failed.
- 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.
- 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.
- Minimum use of force is to be applied to achieve the desired tactical result, still sustaining consent for the mission and its mandate.

QUESTION 5: What is the document for?

- The Rules of Engagement (ROE) and Directive on the Use of Force (DUF) provides guidance on the use of force.

QUESTION 6: Who is the document for?

- The ROE is for the military component. The DUF is for the police component, where Formed Police Units (FPUs) are authorized to carry arms.

QUESTION 7: What specific information does the document give?

- Note the following:
  - ROE/DUF are mission-specific documents which apply to a particular mission and mandate. At times they are revised and updated.
  - ROE/DUF are legally binding documents internal to the United Nations. They are confidential documents.
- Discuss the different sections in the documents – including the annexes which would be attached. Highlight specific sections.
- Point to sections in the ROE/DUF which:
  - Detail how and when to use force. Details include constraints and latitudes (scope) in using force, and the right of self-defence.
  - Clarify different levels of force to use in different circumstances.
  - Provide practical guidance to commanders, including on needed authorizations.

## **GENERIC EXAMPLE OF ROE**

### **RULES OF ENGAGEMENT FOR THE MILITARY COMPONENT OF THE UNITED MISSION IN COUNTRY X**

#### **INTRODUCTION**

1. This document, including all of its Annexes (A-E), constitutes the entire Rules of Engagement (ROE) for the United Nations Mission in Country X (UNMIX).
2. This document provides the authority for the use of military force and explains policies, principles, responsibilities and definitions of the ROE.
3. These ROE are directions to operational commanders, which delineate the parameters within which force may be used by the military component of UNMIX, while executing its mandated activities. They are based on Security Council Resolution XXXX (Year), as well as subsequent resolutions of the Security Council on UNMIX. Where issued as prohibitions, they are orders not to take specific actions. Where issued as permissions, they are the authority for commanders to take certain specific actions if they are judged necessary to achieve the aim of the Mission. While remaining predominantly defensive in nature, the ROE allow for the offensive action, if necessary, in order to ensure the implementation of the tasks assigned to UNMIX's military component. The ROE also provide a definition of the circumstances under which the use of force by UNMIX military personnel may be justified.
4. In addition to the main document, the key elements are attached as follows:
  - a. Annex A Authorised Numbered ROE for the military members of the military component of UNMIX;
  - b. Annex B Definitions;
  - c. Annex C Supporting directions and procedures, including those for challenging, warning shots, search and apprehension;
  - d. Annex D Weapon States;
  - e. Annex E ROE Aide-Memoire.

#### **MANDATE**

5. The powers and authority of UNMIX is derived from Security Council Resolution XXXX (Year) and subsequent resolutions. They must be exercised in a manner consistent with UNMIX's mandate.

#### **MISSION**

6. Relevant provisions of Security Council Resolution XXXX (Year) as well as subsequent resolutions are set out in Annex A – “Authorised Numbered ROE for the military component of UNMIX”.

#### **EXECUTION OF ROE**

7. Principles
  - a. General
    - 1) The conduct of peacekeeping operations is guided by the purposes of the Charter of the United Nations and relevant principles of International Law (IL), including the Law of Armed Conflict (LOAC).

- 2) UNMIX military personnel must operate within the framework of this document that has been formulated in accordance with the parameters set out by Security Council Resolution XXXX (Year) and subsequent relevant Security Council resolutions.
  - 3) The UNMIX ROE provide direction to commanders at all levels governing the use of force within the Mission Area. They define the degree of force that may be used and the manner in which it may be applied. They are designed to ensure that the application of force is controlled and legal. The ROE inform commanders of the constraints imposed and the degrees of freedom they have, in the course of carrying out their mission.
  - 4) The ROE are to be translated in a clear and concise way into the language(s) of each participating nationality. Throughout the conduct of military operations, where armed force is to be used, UNMIL military personnel must comply with international legal principles of proportionality, the minimum use of force and the requirement to minimize the potential collateral damage.
  - 5) While the ROE may restrict the manoeuvre and operation of specific weapons system, they do not:
    - i. Describe specific doctrine, tactics and procedures;
    - ii. Address safety-related restrictions.
- b. International Law including Law of Armed Conflicts. Military personnel are required to comply with IL, including the LOAC, and to apply the ROE in accordance with those laws.
- c. Self-Defence
- 1) Nothing in these ROE negates a commander's right and obligation to take all necessary and appropriate action for self-defence. All personnel may exercise the inherent right of self-defence.
  - 2) Pre-emptive self-defence against an anticipated attack must be supported by credible evidence or information that justifies a reasonable belief that hostile units or persons are about to launch an immediate attack.
  - 3) Self-defence against a hostile force(s) may be exercised by individuals or those individual units under attack, or in danger of being attacked, as well as by other UN forces, that are able to assist those individuals, or individual units. Potentially hostile forces, which are beyond the range of their known weapon systems, or which are not closing on friendly forces, are not to be attacked without authority from a superior commander or clear and credible evidence or information that justifies a reasonable belief that a hostile act from those forces is imminent.
- d. Military Necessity. The principle of military necessity authorizes the use of only that force which is required to achieve the authorized objective. Military necessity does not authorize acts otherwise prohibited under IL, including the LOAC.
- e. Alternatives to the Use of Force. Whenever the operational situation permits, every reasonable effort must be made to resolve a potential hostile confrontation by means other than use of force (e.g. through negotiations or assistance from local authorities).
- f. Duty to Challenge and Warn. Before resorting to the use of force, every reasonable step must be taken to deter a party or person from committing a hostile act. The Procedure required by the UN to challenge and warn is given in Annex C.

- g. Duty to Observe Fire – Target Identification. Positive identification of hostile parties or persons is required before opening fire. All fire must be aimed and controlled, and only the minimum number of rounds necessary is to be fired. See Annex C.
  - h. Duty to Use Minimum and Proportional Force
    - 1) Any force must be limited, in its intensity and duration, to that which is necessary to achieve the authorized objective. In some circumstances operational urgency may dictate the immediate use of deadly force.
    - 2) The use of force must be commensurate with the level of the threat. However, the level of response may have to be higher than the level of the threat in order to minimize UN casualties and civilian casualties.
    - 3) Commanders should, where appropriate, consider the use of alternatives to the use of physical force, such as deception, psychological methods, and other non-lethal means, including the deployment or manoeuvre of larger forces in order to demonstrate resolve and intent.
  - i. Avoidance of Collateral Damage. When force is used, all feasible precautions are to be taken with a view to avoiding and in any event minimizing collateral damage.
  - j. Duty to report. Each and every confrontation resulting in a detention, or involving the use of deadly force, is to be reported through the chain of command as soon as possible, whether it results in casualties or not. More details are included in Annex C.
  - k. Right to Maintain Position. UNMIX military personnel may maintain their position, personnel or equipment when confronted with a hostile act or intent. In such circumstances, they may also use such force as is necessary to maintain their position and equipment, as authorized in these ROE.
  - l. Use of Force other than Self-Defence
    - 1) The use of force beyond self-defence may only be applied in the circumstances set out in paragraph 2 of Annex A and is subject to the conditions set out in these ROE.
    - 2) The Force Commander, or the commander to whom the authorization has been delegated, retains direct control over use of force in these circumstances.
8. Applicability. The ROE set out in this document apply to all national military personnel assigned to the military component of UNMIX as authorized by the Security Council.
9. Responsibility of Force Commander and Subordinate Commanders
- a. The implementation of these ROE is a command responsibility. These ROE are addressed to the Force Commander, who is then responsible for issuing them to all subordinate commanders. The Force Commander is ultimately responsible for the enforcement of these ROE.
  - b. The Force Commander and his/her subordinate commanders are not permitted to exceed these ROE, but may, when and as appropriate, authorize more restrictive limits on the actions of assigned forces, subject to United Nations Headquarters' (UNHQ) approval. A commander may issue these ROE as received from UNHQ, may add additional guidance or amplification, or may incorporate them into appropriate orders of instructions.
  - c. All commanders have an obligation to seek clarification if these ROE are considered to be unclear or inappropriate for the military situation.
  - d. It is the responsibility of the commanders of all National Contingents to ensure that all those under their command understand these ROE. To assist in this process, they must

issue the ROE Aide-Memoire (Blue Card), translated, where necessary, into the language(s) appropriate for their own contingent, to each individual under their command. This is to be done before the contingent can be considered to be operational.

- e. Training in the application of ROE is the responsibility of commanders at all levels. ROE training sessions should be conducted on a regular basis and, at a minimum, once per month and whenever UNMIX military personnel, including individual replacements or reinforcements as authorized by the Security Council, are deployed into the Mission area.
10. ROE Contravention. The following procedures apply in dealing with ROE contravention:
- a. Any ROE contravention is to be reported to the Department of Peacekeeping Operations (DPKO) at UNHQ through the UN chain of command, by the quickest possible means.
  - b. Flanking and subordinate commands should be informed where the consequences are likely to affect them.
  - c. Remedial measures, including training, should be taken to avoid reoccurrence.
  - d. Any contravention must be subject to formal investigation. The Force Commander is to convene a Board of Inquiry (BOI), which is to forward its findings together with the Head of Mission's (HoM) review/comments to the Under-Secretary General for Peacekeeping Operations as soon as possible. The findings will also be forwarded to the Troop Contributing Countries for follow-up and disciplinary action.
11. Security Classification. The ROE are classified as UN CONFIDENTIAL.
12. ROE Changes. These ROE can only be amended or changed with the authority of the Under-Secretary-General for Peacekeeping Operations.

Annex A	Authorised Numbered Rules of Engagement for UNMIX (ROE)
Annex B	Definitions
Annex C	Security Council supporting directions and procedures
Annex D	Weapon States
Annex E	Aide-Memoire

**AUTHORISED NUMBERED RULES OF ENGAGEMENT (ROE) FOR THE MILITARY  
MEMBERS OF THE MILITARY COMPONENT OF UNMIX**

**SECURITY COUNCIL RESOLUTIONS**

1. The mandate of the United Nations Mission in Country X (UNMIX) is set out in Security Council Resolution XXXX (Year), as well as subsequent relevant Security Council Resolutions.

**Authorisation of UNMIX Personnel to Use Force**

2. Acting under Chapter VII of the Charter and in pursuance of its mandate, UNMIX Military Personnel are authorized to take all necessary measures within the Mission’s capabilities and in its area of operations, including the use of force:
  - a) To provide security at key government installations, in particular ports and airports, and other vital infrastructure;
  - b) To protect United Nations personnel, facilities, installations and equipment, ensure the security and freedom of movement of United Nations personnel and, without prejudice to the efforts of the government, to protect civilians under imminent threat of physical violence, within its capabilities;
  - c) To facilitate the provision of humanitarian assistance, including by helping to establish the necessary security conditions; and
  - d) Within its capabilities to support the voluntary return of refugees and internally displaced persons.

**SPECIFIC RULES OF ENGAGEMENT FOR UNMIX:**

The following ROE have been authorized for use by military armed personnel serving in UNMIX:

**Rule 1 – Level of Force**

- Rule No. 1.1 Use of force, up to and including deadly force, to defend oneself, or other UN personnel against a hostile act or a hostile intent, is authorized.
- Rule No. 1.2 Use of force, up to and including deadly force, to defend other personnel as designated by the Head of Mission in consultation with the Force Commander, against a hostile act or a hostile intent, is authorized.
- Rule No. 1.3 Use of force, up to and including deadly force, to resist attempts to abduct or detain oneself, or other UN personnel, is authorized.
- Rule No. 1.4 Use of force, up to and including deadly force, to resist attempts to abduct or detain other personnel as designated by the Head of Mission in consultation with the Force Commander, is authorised.
- Rule No. 1.5 Use of force, up to and including deadly force, to protect UN facilities, installations, equipment, areas or goods designated by the Head of Mission in consultation with the

Force Commander, against any hostile act or hostile intent that involves a grave threat to life or serious bodily injury, is authorized.

- Rule No. 1.6 Use of force, up to and including deadly force, to protect key facilities, installations, areas or goods designated by the Head of Mission in consultation with the Force Commander, against a hostile act or a hostile intent that involves a grave threat to life or serious bodily injury, is authorized.
- Rule No. 1.7 Use of force, excluding deadly force, to protect UN facilities, installations, equipment, areas or goods designated by the Head of Mission in consultation with the Force Commander, against any hostile act or hostile intent that does not involve a grave threat to life or serious bodily injury, is authorized.
- Rule No. 1.8 Use of force, excluding deadly force, to protect key facilities, installations, areas or goods designated by the Head of Mission in consultation with the Force Commander, against a hostile act or a hostile intent that does not involve a grave threat to life or serious bodily injury, is authorized.
- Rule No. 1.9 Use of force, up to and including deadly force, to protect civilians in danger, against any hostile act or hostile intent that involves a grave threat to life or serious bodily injury, when competent local authorities are not in a position to render immediate assistance, is authorized.
- Rule No. 1.10 Use of force, up to and including deadly force, against any person or group that, through the use or threat of use of armed force, limits or intends to limit the freedom of movement of members of UN personnel, is authorized.
- Rule No. 1.11 Use of force, up to and including deadly force, against any person or group that, through the use or threat of use of armed force, limits or intends to limit the freedom of movement of humanitarian workers and other international personnel designated by the Head of Mission in consultation with the Force Commander, is authorized.
- Rule No. 1.12 Use of force, excluding deadly force, against any person or group that, through the use or threat of use of armed force, limits or intends to limit the freedom of movement of members of UN personnel, is authorized.
- Rule No. 1.13 Use of force, excluding deadly force, against any person or group that, through the use or threat of use of armed force, limits or intends to limit the freedom of movement of members of Armed Forces of Country X (AFX), Country X National Police (XNP) or other officials of the Government of Country X (GoX) that one's unit has been assigned to accompany, support or assist, is authorized.
- Rule No. 1.14 Use of force, excluding deadly force, to prevent the escape of any apprehended or detained person, pending hand-over to appropriate civilian authorities, is authorized.

## **Rule 2 – Use of Weapon Systems**

- Rule No. 2.1 Use of explosives in order to destroy weapons, ammunition, mines and unexploded ordnance, in the course of the disarmament exercise and/or demining, is authorized.
- Rule No. 2.2 Indiscriminate pointing of weapons in the direction of any person is prohibited.
- Rule No. 2.3 Firing of weapons, other than for organized training and as authorized in these ROE, is prohibited.
- Rule No. 2.4 Firing of warning shots is authorized.
- Rule No. 2.5 Use of riot control equipment and agents by trained personnel is authorized.
- Rule No. 2.6 Use of lasers for survey, range finding and targeting is authorized.
- Rule No. 2.7 Use of Electronic Countermeasures (ECM) is authorized.

**Rule 3 – Authority to Carry and Deploy Weapons**

- Rule No. 3.1 Carriage of loaded personal weapons is authorized.
- Rule No. 3.2 Overt carriage by individuals of hand-held support weapons such as machine guns, light mortars and hand-held anti-tank weapons is authorized.
- Rule No.3.3 Deployment and carriage of weapons on or in vehicles, aircraft (including helicopters) and vessels is authorized.

**Rule 4 – Authority to Detain, Search and Disarm**

- Rule No. 4.1 If the use of force against a person or group is authorized by Rule 1, detention of that person or f members of that group is authorized.
- Rule No. 4.2 Searching, including of detained person(s), for weapons, ammunition and explosives, is authorized.
- Rule No. 4.3 Disarming of individuals or groups, when so directed by the Force Commander, is authorized.

\*Note: Higher Authorities and the International Committee of the Red Cross (ICRC) must be promptly informed when detention is carried out.

**Rule 5 – Duty to Hand-over Detained Persons**

- Rule No. 5.1 All detained persons must be handed over to the appropriate local authorities as soon as possible.

## GENERIC EXAMPLE OF DUF

### **DIRECTIVE ON ARREST, DETENTION, SEARCHES AND USE OF FORCE FOR ALL UN POLICE OFFICERS ON ASSIGNMENT WITH THE UNITED NATIONS MISSION IN COUNTRY X (UNMIX)**

#### **GENERAL**

##### **Authority and Mandate**

1. This Directive, including Annexes A-M, constitutes the *Directive on arrest, detention, searches and use of force for all UN Police Officers on assignment with the United Nations Mission in Country X (UNMIX)* (hereinafter “Directive”).
2. This Directive provides the authority for the arrest, detention, searches and use of force by all UN Police Officers, both Individual Police Officers (IPOs) and Formed Police Units (FPUs) including those tasked as Protection Support Unit(s), in UNMIX (collectively, “UNMIX Police Officers”).
3. This Directive is issued by the USG –DPKO and sets out the principles, parameters, and conditions under which arrest, detention, searches and use of force may be used by UNMIX Police Officers while executing their mandated activities within the limits of their capacities and areas of deployment in accordance with Security Council Resolution (SCR) XXXX (Year). The Police Commissioner may issue more detailed directives to his commanding staff, including the FPU commanders.

##### **Command Responsibility**

4. Implementation of this Directive is a command responsibility. In accordance with the *DPKO/DFS Directive for Heads of Police Components of Peacekeeping Operations* (2006), the *DPKO/DFS Policy on Authority, Command and Control in UN Peacekeeping Operations* (2008), and the *DPKO/DFS Policy (revised) for Formed Police Units* (2010) (“FPU Policy”) (Annex J), the last of which forms an integral part of this Directive, primary and overall command of all UNMIX Police Officers is vested in the Police Commissioner who can delegate his/her command functions to his commanding staff including, inter alia, the deputy Police Commissioner, Chief of Operations, Deputy Chief of Operations for FPUs and Sector Commanders, Chief of Staff and Chief Development Coordinator, who together are responsible for all matters related to UNMIX Police Officers.
5. The Police Commissioner and those to whom he/she delegates command and control functions shall ensure that all UNMIX Police Officers under their respective command understand and comply with this Directive, as well as any further directives issued by the Police Commissioner.

##### **Principles of Use of Force**

6. At all times, use of force by all UNMIX Police Officers shall be consistent with the principles of necessity, proportionality/minimum use of force, legality and accountability as set forth in paragraphs 29-31, 33, 38-41 of this directive, and also found in the *DPKO/DFS FPU Policy*, section D.2.1 (Annex J).

Training and Qualifications for the Use of Force

7. Every UNMIX Police Officer who carries a firearm or other item(s) of law enforcement equipment must be fully familiar with this Directive and understand the rules it contains, and must have received current and proper training on the care and use of the particular weapon or item(s) of law enforcement equipment assigned to him/her. The Police Commissioner will issue detailed instructions regarding induction training and briefings on this Directive, including the documentation that must be submitted to prove that they have been received. A UNMIX Police Officer can only carry a firearm or other item(s) of law enforcement equipment if they have passed the requisite firearm assessments detailed hereunder and the Police Commissioner has certified that he/she has received the required briefings.
8. IPOs who have not been tested prior to deployment through the Assessment for Mission Service (AMS) are required to pass the AMS in the mission area, including the requisite firearms handling and shooting assessment, as per *DPKO/DFS Standard Operating Procedure on Assessment of Individual Police Officers for Service in UN Peacekeeping Operations and Special Political Missions* (2011).
9. FPU and FPU members who have not undergone the pre-deployment Assessment of Operational Capability (AOC) will receive firearms and public order management training in-mission conducted in accordance with the UN Peacekeeping Pre-deployment Training Standards for FPU, as per the *FPU Policy* (Annex J). They shall also be assessed on their individual weapons handling and shooting skills as per *DPKO/DFS Standard Operating Procedure on Assessment of Operational Capability of Formed Police Units for Service in UN Peacekeeping Operations* (2012). An FPU member who fails the weapons handling and shooting exercise immediately receives one more chance, failing which he/she will be removed from any duty requiring weapons handling and shooting skills and may be assigned to another position within the FPU which does not require these skills (*SOP on Assessment of Operational Capability of FPUs*, para. 90, 99). All future incoming operational FPU members will have been tested through the AOC as part of the pre-deployment assessment prior to arrival, as per the *FPU Policy* (Annex J, para. 101).
10. All operational FPU members shall be re-tested in their weapons handling and shooting skills once every six months. FPU members shall also be tested in public order management capacity one month after deployment and then at four month intervals thereafter, as per the *FPU Policy* (Annex J, para. 101-102).
11. UNMIX Police Officers who carry firearms or other item(s) of law enforcement equipment are required at all times while on duty to carry in their breast pocket an Aide-Memoire (Blue Card), as found in Annex I, provided by UNMIX which summarises the rules contained in this Directive.

### **Equipment and Weapons**

12. Members of FPUs may only carry and use the firearms and other items of law enforcement equipment for the exercise of their functions during the time of their mission as are listed in Annex B of this Directive. Detailed directives regarding the precise specifications of such items listed in Annex B are contained in the *UNMIX Force Requirement for FPUs* in Annex M. Members of FPUs may only carry and use firearms and other items of law enforcement equipment that conform to the specifications contained in the *UNMIX Force Requirement for FPUs*.
13. IPOs may only carry and use firearms and other items of law enforcement equipment for the exercise of their functions during the time of their mission as are listed in Annex C of this Directive. IPOs may only carry and use firearms and other items of law enforcement equipment that conform to the specifications contained in the *UNMIX Force Requirement for IPOs*.

14. It is the personal responsibility of every UNMIX Police Officer to keep his/her firearm, ammunition and other item(s) of law enforcement equipment secure. He/she must be able to account for their whereabouts and condition at all times. The Standard Operating Procedure for United Nations Police Assigned to UNMIX (SOP) issued by the Police Commissioner details the obligations of UNMIX Police Officers regarding the carriage, care and storage of firearms, ammunition and other item(s) of law enforcement equipment.

### **USE OF FORCE, FIREARMS OR OTHER LAW ENFORCEMENT EQUIPMENT**

25. UNMIX Police Officers are authorized to use force in the circumstances specified below. In resorting to force, the principles of necessity, proportionality/minimum use of force, legality and accountability recalled in paragraph 6 are to be observed at all times.

#### **Use of Force, excluding Lethal Force**

26. UNMIX Police Officers are authorized to use force or items of law enforcement equipment, excluding lethal force:
- a) To prevent or stop the commission of a crime that does not involve a grave threat to life or serious bodily injury, including in arresting or detaining the offender;
  - b) To protect or defend any of the following against a hostile act or a hostile intent that does not involve a grave threat to life or serious bodily injury;
    - i. Civilians, including women, children and humanitarian workers;
    - ii. Themselves or other members of their unit;
    - iii. Other United Nations and associated personnel;
    - iv. Members of the law enforcement agencies of Country X to whom they are providing support;
    - v. Members of other international security forces with whom UNMIX is carrying out joint operations;
    - vi. Designated persons to whom UNMIX is providing security;
    - vii. United Nations facilities, installations, equipment, areas or goods;
    - viii. Other key sites, facilities, installations, equipment, areas or goods designated by the SRSG, in consultation with the Police Commissioner;
  - c) To control the movement of assemblies;
  - d) To disperse assemblies that are unlawful but non-violent;
  - e) To prevent forcible passage by an individual or group through a roadblock, checkpoint or cordon whose establishment has been authorized by the law enforcement agencies of Country X and/or UNMIX;
  - f) Against any person or group who limits, or intends to limit, the freedom of movement of:
    - i. UNMIX Police Officers or their units;
    - ii. Members of the law enforcement agencies of Country X to whom UNMIX Police Officers are providing support;
    - iii. Members of other international security forces with whom UNMIX is carrying out joint operations;
    - iv. Designated persons to whom UNMIX is providing security;
    - v. Other United Nations and associate personnel; or
    - vi. Humanitarian workers;

- g) To prevent escape of any arrested or detained person, either pending their handover to the law enforcement agencies of Country X, or where such detained person has escaped or seeks to escape from detention facilities of Country X;
- h) Against any person or group that, through the use or threat of the use of unarmed force, is preventing or demonstrating intent to prevent oneself or other members of one's unit from carrying out lawful orders issued by a superior commander, in order to ensure the ability to carry out those orders;

### **Use of Force, up to and including Lethal Force**

27. UNMIX Police Officers are authorized to use force or items of law enforcement equipment up to and including lethal force, as a last resort, when all other means of de-escalation have failed:
- a) To prevent or put a stop to acts of civil unrest that involve a grave threat to life or serious bodily injury;
  - b) To prevent or stop the commission of a serious crime under international or national laws that involves a grave threat to life or serious bodily injury;
  - c) To protect or defend any of the following against a hostile act or hostile intent that involves a grave threat to life or serious bodily injury:
    - i. Civilians, including women, children and humanitarian workers;
    - ii. Themselves or other members of their unit;
    - iii. Other United Nations and associated personnel;
    - iv. Designated persons to whom UNMIX is providing security;
    - v. Members of the law enforcement agencies of Country X to whom they are providing support;
    - vi. Members of other international security forces with whom UNMIX is carrying out joint operations;
    - vii. United Nations facilities, installations, equipment, areas or goods;
    - viii. Other key sites, facilities, installations, equipment, areas or goods designated by the SRSG, in consultation with the Police Commissioner;
  - d) To resist armed attempts to abduct or detain:
    - i. Themselves or other members of their unit;
    - ii. Other United Nations and associated personnel;
    - iii. Designated persons to whom UNMIX is providing security;
    - iv. Members of the law enforcement agencies of Country X to whom they are providing support;
    - v. Humanitarian workers; and
    - vi. Other personnel designated by the SRSG in consultation with the Police Commissioner;
  - e) To prevent the armed escape of a detained person from detention facilities of Country X that involves a grave threat to life or serious bodily injury;
  - f) Against any person or group that, through the use or threat of the use of armed force, is preventing or demonstrating intent to prevent oneself or other members of one's unit from carrying out lawful orders issued by a superior commander, in order to ensure the ability to carry out those orders.
28. UNMIX Police Officers may not use force, firearms or other items of law enforcement equipment otherwise than in accordance with the authorization given in paragraphs 26 and 27 of this Directive.

### **Gradation of Force**

29. UNMIX Police Officers shall, as far as possible, apply de-escalation, non-violent means before resorting to the use of physical force, items of law enforcement equipment or firearms. They may use force, other items of law enforcement equipment or firearms only if other means remain ineffective for the purpose of achieving an authorized objective specified in paragraphs 26 and 27 of this Directive or are without any promise of achieving such an authorized objective. Gradation

of force as defined in paragraphs 29 and 34 of this Directive and also Section D.2.2 of the *FPU Policy* (Annex J), shall apply at all times to all UNMIX Police Officers.

30. If there is no practical alternative to the use of force, other items of law enforcement equipment or firearms in order to achieve an authorized objective specified in paragraphs 26 and 27 of this Directive, UNMIX Police Officers must, whenever the operational circumstances permit, observe the following graduated procedures:
- a) Unarmed force must be used, if at all possible;
  - b) If non-lethal incapacitating weapons, including tear gas, are possessed by members of an FPU who are trained to use those weapons, and where they would be an effective means to bring a threat to an end, then they must be used, if so allowed by the on-scene authorized commander;
  - c) If the preceding measures remain ineffective or are without any promise of achieving an authorized objective, an attempt should be made, if possible, to make use of the visual and audible effect of preparing a firearm for use;
  - d) If the preceding measures remain ineffective or are without any promise of achieving an authorized objective, warning shots should, if circumstances allow and to do so would not pose a threat, be fired at a safe point of aim that avoids the causing of collateral damage, in particular loss of life or personal injury;
  - e) If the preceding measures remain ineffective or have no real likelihood of achieving the authorized objective, the use of force against persons is authorized.
31. If UNMIX Police Officers intend to use force or firearms against other persons, they must first:
- a) Identify themselves in English or the primary language(s) spoken in the location to which the Officers are posted, as members of the United Nations Police; and
  - b) Give a clear verbal or visual warning, at least three times:
    - i. A verbal warning must be given in English or the primary language(s) used in the region of their intent to use either force or firearms, as follows:
      - a. If intending to use force, the warning - << UNITED NATIONS POLICE, STOP OR I USE FORCE >>
      - b. If intending to use firearms, the warning - << UNITED NATIONS POLICE, HALT OR I FIRE >>
    - ii. A visual warning may be given, inter alia, by means of a sign or use of hand-held flares;
- AND
- c) Give enough time for that warning to be obeyed, **UNLESS** either giving the warning or waiting for it to be obeyed would:
    - i. Unduly place themselves at risk of death or serious bodily harm;
    - ii. Create a risk of death or serious bodily harm to other persons; or
    - iii. Clearly be inappropriate or pointless in the circumstances.
32. All levels of command, including FPU Commanders, Sector Commanders, Supervisors and Chiefs of mobile patrols, have a duty to ensure that his/her officers know the warnings to be given verbally in English or the primary language(s) spoken in the region to which they are deployed.
33. Whenever the use of force, firearms or any other item of law enforcement equipment is determined to be required under paragraphs 26 and 27 of this Directive, UNMIX Police Officers shall:
- a) Act with restraint and only use the minimum degree of force that is proportional to the seriousness of the threat and necessary to achieve the authorized objective;

- b) Respect and preserve human life and cause the minimum injury to people;
  - c) Cause the minimum of damage to property;
  - d) As soon as practicable, provide assistance to anyone who is injured and to ensure that medical aid is rendered if needed; and
  - e) As soon as practicable, ensure that relatives or friends of people injured or affected by the incident are notified.
34. A UNMIX Police Officer shall not point a firearm or non-lethal incapacitating weapon in the direction of any person other than in the circumstances and to achieve the objectives set out in paragraphs 26 and 27 of this Directive, and unless the Officer intends to shoot, and is sure of his/her target and its background.

### **REPORTING AND INVESTIGATION**

38. Further, as soon as practicable and at the latest within 36 hours of the occurrence of arrest, the UNMIX Police Officer who carried out the arrest or detention or who has custody of the detainee must submit through the chain of command to the Police Commissioner a copy of the forms in Annexes E, F, G and H, duly completed.
39. Immediately after any incident involving the use of force, firearms or other item of law enforcement equipment and regardless of whether or not such use resulted in death or injury to people or damage to property, the UNMIX Police Officer concerned must verbally inform the Office of the Police Commissioner through the chain of command and record the details of the incident in a written report, including:
- a) The date, time and place of the incident;
  - b) The name(s), identification number(s) and unit(s) of the UNMIX personnel involved or present;
  - c) The name(s), , identification number(s) and unit(s) or, if not known, other identifying features of other law enforcement agencies of Country X involved or present;
  - d) The name(s), , identification number(s) and unit(s) or, if not known, other identifying features of other law enforcement groups involved or present not comprising UNMIX and Country X personnel;
  - e) The events leading up to the use of force, firearms or other item(s) of law enforcement equipment;
  - f) Why he/she used force, firearms or other item(s) of law enforcement equipment;
  - g) Details of the person(s) subjected to the use of force, firearms or other item(s) of law enforcement equipment;
  - h) The apparent results of the use of force, firearms or other item(s) of law enforcement equipment; and
  - i) A diagram of the incident scene, where appropriate.

He/she must submit the written report with the aforementioned details within twelve (12) hours of the time of the incident through the chain of command to the Police Commissioner. This report is separate from any notices and/or documentation that must be made or submitted pursuant to paragraph 35 of this Directive or Flash Reports discussed in SOP, section 6.1. The Police Commissioner will, without delay, investigate the incident and present a report on it to the SRSG who will transmit that report to the United Nations Headquarters. All UNMIX Police Officers are required to cooperate fully and actively with such investigation.

## **CONTRAVENTION**

40. UNMIX Police Officers are advised that obedience to superior orders shall not preclude a violation of this Directive, or of the rules that it contains, from being considered an act of serious misconduct if:
  - a) The Police Officer concerned knew that an order to use force, firearms or other item(s) of law enforcement equipment resulted in the death, injury of a person or damage to property was manifestly in violation of this Directive and the rules contained herein; and
  - b) He/she has a reasonable opportunity to refuse to follow the order.
41. Responsibility shall, in any case also rest on the superior(s) who gave an order in violation of this Directive and the rules contained herein, and shall be considered as a serious misconduct under paragraph 42. Failure of superiors to give an order in accordance with this Directive shall also be considered serious misconduct under paragraph 42.
42. Any contravention of this Directive, as well as of the rules contained herein, whether by act or omission, shall be considered as an act of serious misconduct under the *Directive for Disciplinary Matters Involving Civilian Police Officers and Military Observers* (2003).

## **DEFINITIONS**

43. The definitions in Annex A of this Directive shall form an integral part of this Directive.

## **ENTRY INTO FORCE**

44. This Directive is adopted without prejudice to the rules of engagement for the military component of UNMIX.
45. This Directive shall enter into force on [DATE].

Annex A	Definitions
Annex B	Authorised Firearms, Ammunition and Related Items of Law Enforcement for Members of FPU on Assignment with UNMIX
Annex C	Authorised Firearms, Ammunition and Related Items of Law Enforcement for IPO on Assignment with UNMIX
Annex D	Report of Arrest by National Authorities
Annex E	Statement of Detention
Annex F	Detention, Release, Transfer and/or Handover Details
Annex G	Receipt for Hand-over of Detained Person
Annex H	Statement of Release or Handover
Annex I	UNMIX Aide Memoire (Blue Card) - English
Annex J	DPKO/DFS Policy for Formed Police Units

- Annex K UN Interim SOP on Detention
- Annex L DPKO/DFS Guidelines on Taking, Publication and Distribution of Images of Persons in Custody
- Annex M UNMIX FPU Force Requirements

**Evaluation**

**Note on use:** The three types of learning evaluation questions are:

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

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 1.5	
Questions	Answers
<b>Fill-in-the-blanks</b>	
1. _____ means official order, directive or authorization.	Mandate
2. The _____ issues mandates for UN peacekeeping operations.	UN Security Council
3. Two types of assessment done before the Secretary-General recommends peacekeeping action to the Security Council are _____ and _____.	<ul style="list-style-type: none"> <li>1. Strategic assessment: a UN system-wide analysis of the conflict situation. It brings together UN political, security, development, humanitarian and human rights entities – including the UN Country Team (UNCT).</li> <li>2. Technical assessment mission (TAM): goes to the country or territory recommended for a peacekeeping operation for an analysis on the ground. It considers the implications of a possible UN peacekeeping operation. The TAM involves the UNCT and may have people from the UN system.</li> </ul>

<p>3. The _____ are the detailed plans which put the Security Council mandate into action. These planning documents clarify the roles and responsibilities of military, civilian and police personnel.</p>	<p>Operational Framework</p> <p>A Security Council mandate is a strategic decision. The Operational Framework gives details on how a mission implements a Security Council mandate.</p>
<p>4. The _____ takes the political intent of a Security Council mandate and translates it into strategic planning guidance for mission components.</p>	<p>Mission Concept – informs planning for military, civilian and police.</p>
<p>5. The _____, outlines 1) key security objectives, 2) requirements and 3) tasks for military and police components. It drives lower level plans for military and police components.</p>	<p>Concept of Operations, CONOPs. Key objectives it addresses:</p> <ul style="list-style-type: none"> <li>• strategic intent</li> <li>• organization and deployment, including timelines</li> <li>• security and force protection</li> <li>• rules of engagement and directives on use of force</li> <li>• administration and logistics</li> <li>• command and control</li> </ul>
<p>6. The _____ prepares a Military CONOPs.</p> <p>The _____ prepares a Police CONOPs.</p>	<p>The Military Planning Service of DPKO prepares this internal UN document.</p> <p>The Police Division of DPKO prepares the standard internal-UN Police CONOPs.</p> <p><i>Depending on participants, ask one or both questions.</i></p>
<p>7. _____ guides use of force for the military in peacekeeping. _____ guides use of force for police.</p>	<ul style="list-style-type: none"> <li>• The Rules of Engagement (ROE) guide use of force for the military component.</li> <li>• Directive on the Use of Force (DUF) guides use of force for police, where Formed Police Units (FPUs) are armed.</li> </ul> <p><i>Make sure participants know which document guides use of force for which component.</i></p>
<p>8. The _____ is the budget process for UN peacekeeping operations.</p>	<p>Results-based budget, RBB. The UN uses RBB in two ways:</p> <ol style="list-style-type: none"> <li>1. to get resources for peacekeeping;</li> <li>2. to measure performance.</li> </ol>
<p>9. The Security Council monitors the implementation of the mandate</p>	<p>Regular reports.</p>

through _____.	<p>The Security Council requires regular reports from the Secretary-General on a country's situation. Peacekeeping operations provide daily, weekly and monthly reports to Headquarters. The Under-Secretary General of DPKO prepares summary reports. The Security Council can adjust or change the mandate of the peacekeeping operation, based on reports.</p> <p>The Security Council uses the reports to</p> <ol style="list-style-type: none"> <li>a) assess when an operation has completed its mandate, and</li> <li>b) decide when an operation should transition or withdraw.</li> </ol>
10. A change in mandate for a peacekeeping operation requires _____.	<p>A new Security Council resolution.</p> <p>The Security Council may change mandates because of information in regular reports from the Secretary-General and Secretariat.</p>
11. All Security Council decisions and Secretary-General's reports on peacekeeping are _____ documents.	<p>Public documents. The UN encourages peacekeepers to read them, stay current, and share details with others.</p>
<b>True-false</b>	
1. All peacekeepers carry out the mandate of a peacekeeping operation.	<p><b>True.</b> That is why it is critical for peacekeepers to know the current mandate of their mission. The Security Council may update mandates, in new resolutions.</p>
2. The Security Council only issues one mandate for any peacekeeping operation.	<p><b>False.</b> As circumstances change, the Security Council may change the mandate, issuing a new resolution.</p>
3. The UN expects peacekeepers to keep confidential an Security Council resolution with a mission's mandate.	<p><b>False.</b> Security Council resolutions with mandates are public documents. The UN expects peacekeepers to memorize the mandate so they can share and explain it to local people.</p>
4. A strategic assessment brings together UN political, security, development and human rights parts to analyse the conflict situation. .	<p><b>True.</b> Three main purposes of the strategic assessment are:</p> <ol style="list-style-type: none"> <li>1. develop a shared understanding of a conflict or post-conflict situation</li> <li>2. develop role of stakeholders and core peace consolidation</li> </ol>

	<p>priorities</p> <ol style="list-style-type: none"> <li>3. define the best framework for UN engagement.</li> </ol> <p>The Strategic Assessment is followed by a Technical assessment mission (TAM) to the country or territory recommended for a peacekeeping operation. Both the Strategic Assessment and the TAM involves representatives from different parts of the UN system.</p> <p>Follow-up question: Why does the UN bring together representatives of all these parts? Because armed conflicts are increasingly complex, and call on all parts of the UN's work.</p>
<p>5. A Security Council mandate details instructions for managing a UN peacekeeping operation.</p>	<p><b>False.</b> A Security Council mandate gives high-level strategic direction.. It does not give details or specific instructions to guide how a mission implements the mandate. The “operational framework” contains key planning documents which guide how a mission implements a Security Council mandate.</p>
<p>6. The Operational Framework is one document.</p>	<p><b>False.</b> At least six key planning documents are part of an operational framework:</p> <ol style="list-style-type: none"> <li>1. Integrated Strategic Framework (ISF)</li> <li>2. Mission Concept</li> <li>3. Concept of Operations (CONOPs)</li> <li>4. Rules of Engagement (RoE)</li> <li>5. Directive on the Use of Force (DUF)</li> <li>6. Mission's Results-Based Budget (RBB)</li> </ol>
<p>7. The Integrated Strategic Framework (ISF) is a strategic plan for the peacekeeping operation only.</p>	<p><b>False.</b> The ISF is a strategic plan for the peacekeeping operation and other UN actors in the host country.</p> <p>The principle of integration maximizes the individual and collective impact of the UN actors in conflict and post-conflict situations. “Integrated Assessment and Planning” ensures one</p>

	common UN vision and strategy.
8. The Mission Concept contains the vision, strategy, and detailed guidance for all components.	<b>True.</b> The Mission Concept contains the vision and focus of the mission, and gives a roadmap for organizing mission work. The Mission Concept informs “component-level” planning – for military, civilian and police components.
9. The Mission Concept only applies to multi-dimensional peacekeeping operations.	<b>False.</b> Mission Concepts are important in both traditional and multidimensional peacekeeping missions. Traditional peacekeeping operations do not operate in integrated settings, so do not use an Integrated Strategic Framework (ISF) to plan – they rely on a Mission Concept for planning.
10. Police and military components in a peacekeeping mission have their own CONOPs.	<b>True.</b> The military and police components have their own CONOPs: 1) “Military Strategic Concept of Operations”, and 2) “Police Concept of Operations”.
11. Use of force is guided by the Rules of Engagement (ROE) and Directive on the Use of Force (DUF).	<b>True.</b> In addition, the mission's Concept of Operations (CONOPs) also applies. So do the UN Charter, and international law. ROE is for the military, and the DUF is for armed police. .  <i>This question tests absorption of acronyms as well as knowledge of key documents. Instructors may want to rephrase using complete names for ROE and DUF.</i>
12. The Results-Based Budget (RBB) is the process by which a peacekeeping operation gets funds from UN General Assembly to carry out tasks in a Security Council mandate.	<b>True.</b> The peacekeeping operation requests funds for activities, personnel, equipment, supplies and facilities. The budget process is annual. No funds are available for needs not covered in the RBB.  UN Member States contribute personnel, equipment and funds to peacekeeping operations.
13. Every mandate for UN peacekeeping is adapted to a particular conflict and existing	<b>True.</b> UN peacekeeping operations are deployed to support implementation of a cease-fire or peace agreement.

peace agreement.	There must be “peace to keep”.
<p><b>Narrative</b></p> <p><i>Note: Frame narrative evaluations as questions, requests or directions. You can use these in class, as a group or individually, or send them as homework. They are valuable for self-study and assessment, as are the other evaluation questions.</i></p>	
<p>1. Why peacekeepers must know the mandate of their peacekeeping operation?</p>	<p>1. Peacekeeping personnel are deployed to carry out or “implement” the tasks set in the mandate.</p> <p>2. UN peacekeeping personnel must explain why the peacekeeping operation is in a country and what it does.</p>
<p>2. Describe the steps the Security Council follows when deciding on deployment of a peacekeeping mission – in order.</p>	<ul style="list-style-type: none"> <li>• The request comes to the Security Council, to debate a situation that threatens international peace and security. It may come from the Secretary-General (S-G) or Security Council members</li> <li>• Security Council assesses risk – may ask S-G to start conflict prevention or peacemaking, or monitor activities of regional actors. Security Council asks the S-G to give informed advice – in other words, prepare a report</li> <li>• There is consultation and analysis with key partners for the report:             <ul style="list-style-type: none"> <li>- DPKO and DFS consult with relevant UN and non-UN partners</li> </ul> <p>one common UN vision is set through integrated assessment and planning (strategic assessment, technical assessment mission)</p> </li> <li>• S-G reports to the Security Council: S-G considers conclusions from assessment, consent and other factors. If recommending a peacekeeping operation, the S-G will recommend mission mandate, function and tasks.</li> <li>• Security-Council discusses,</li> </ul>

	<p>decides on S-G's report and recommendations.</p> <ul style="list-style-type: none"> <li>• Security Council passes a resolution with its decision and, if yes, a mission mandate.</li> </ul>
<p>3. Who are the key partners the UN (DPKO, DFS) consult with in a strategic assessment?</p>	<ol style="list-style-type: none"> <li>1. host government, national authorities</li> <li>2. civil society, local representatives</li> <li>3. regional, sub-regional organizations</li> <li>4. international financial institutions (IFIs) such as the World Bank, International Monetary Fund</li> <li>5. key members states (potential troop and police contributing countries, donor countries)</li> </ol>
<p>4. What are two main purposes of a TAM?</p>	<p>TAM means technical assessment mission. Two main purposes are:</p> <ol style="list-style-type: none"> <li>1. gather information about circumstances on the ground and analyze it from key perspectives - security, political, humanitarian, human rights, military, development;</li> <li>2. consider and weigh implications of a possible UN peacekeeping operation</li> </ol> <p>Results of a TAM are included in the Secretary-General's report to the Security Council.</p>
<p>5. What is an Integrated Strategic Framework (ISF)? Give detail on purpose and contents.</p>	<ul style="list-style-type: none"> <li>• a strategic plan for the peacekeeping mission and the UN Country Team</li> <li>• an agreed framework of priorities for peace consolidation – agreed UN vision</li> <li>• applies to peacekeeping operation and all other UN entities in a country (hence the name “integrated”)</li> <li>• considers the combined mandates and resources of the mission and the UNCT</li> <li>• outlines agreed results, responsibilities and timelines</li> <li>• connects to national strategies and plans</li> </ul>

	<ul style="list-style-type: none"> <li>• connects to other UN plans, i.e.             <ul style="list-style-type: none"> <li>- UN Development Assistance Framework (UNDAF);</li> <li>- UN Common Humanitarian Action Plan (CHAP);</li> </ul> </li> <li>• usually begins with the Mission Strategic Planning Unit</li> <li>• is usually finalized by the mission's senior management group, with UN HQ in NY</li> </ul>
6. What relationship exists between the Mission Concept and the Concept of Operations (CONOPS)?	<p>The three follow a planning cascade.</p> <ul style="list-style-type: none"> <li>• The Mission Concept is developed from the mandate;</li> <li>• The CONOPS is prepared from the Mission Concept.</li> </ul>
7. What are reasons for the UN to revise the Mission Concept?	<p>Any change in conditions may require development or revision of a Mission Concept. For example:</p> <ul style="list-style-type: none"> <li>• change in mission mandate</li> <li>• reconfiguration of the mission or UN presence</li> <li>• key milestones in the mission's lifecycle (such as completion of DDR programmes, or a successful election)</li> </ul> <p>A revised the Mission Concept results in changes in these other, linked planning documents.</p>
8. What is the main purpose of a CONOPS?	<p>The Concept of Operations(CONOPS) outlines 1) key security objectives,2) requirements and 3) tasks for military and police components.</p> <p>The CONOPS links the mission mandate to key objectives:</p> <ul style="list-style-type: none"> <li>• strategic intent</li> <li>• organization and deployment (including timelines)</li> <li>• security/force protection</li> <li>• rules of engagement (ROE) and the directive on the use of force (DUF)</li> <li>• administration and logistics</li> <li>• command and control</li> </ul>
9. What mission-specific documents guide use of force in a UN peacekeeping operation?	<ol style="list-style-type: none"> <li>1. Rules of Engagement (ROE) for military</li> <li>2. Directive on Use of Force (DUF)</li> </ol>

	<p>for police, where Formed Police Units (FPUs) are authorized to carry arms.</p> <p><i>Reinforce the point that the UN Charter and international law apply as well as mission-specific guidance.</i></p>
<p>10. What's the difference between ROE and DUF?</p>	<p>An ROE:</p> <ul style="list-style-type: none"> <li>• outlines authority of armed UN military personnel to use force</li> <li>• says where force may <u>not</u> be used</li> <li>• applies to all armed military and units in a mission</li> </ul> <p>A DUF:</p> <ul style="list-style-type: none"> <li>• indicates whether UN police are armed;</li> <li>• states when UN police have legal authority to use force</li> <li>• applies to all armed police and units (such as Formed Police Units) in mission</li> </ul> <p>Both ROE and DUF:</p> <ul style="list-style-type: none"> <li>• detail use of force</li> <li>• are internal UN documents</li> <li>• are mission-specific documents</li> <li>• are legally binding</li> <li>• provide practical guidance to commanders</li> <li>• detail how and when to use force – constraints, latitude, right of self-defence</li> <li>• clarify different levels of force for different circumstances</li> <li>• comply with international law</li> </ul>
<p>11. Who in a peacekeeping mission needs to know ROE and DUF?</p>	<p>Every armed peacekeeping personnel. Mission leadership is responsible for ensuring people know it well. UN Military and Police commanders are responsible for all personnel under their command knowing the ROE or DUF. Armed peacekeeping personnel have a particular responsibility to be fully familiar with the applicable guidance, as well as international law.</p>
<p>12. What are regular reports from the</p>	<p>Daily, weekly, monthly and summary</p>

<p>Secretariat (Under-Secretary General of DPKO) and Secretary-General to the Security Council used for?</p>	<p>reports help the SC:</p> <ul style="list-style-type: none"> <li>• stay current, as the field situation changes</li> <li>• be alert to changes in circumstances that may require changes in mandate</li> <li>• monitor compliance with the mandate</li> <li>• evaluate progress on the mandate</li> <li>• decide when an operation has completed its mandate</li> <li>• decide when an operation should withdraw</li> </ul>
<p>13. When has a peacekeeping mission successfully completed its mandate?</p>	<p>“Benchmarks” or “indicators for success” define when a peacekeeping operation has successfully completed its mandate.</p> <ul style="list-style-type: none"> <li>• No standard “checklist” exists of benchmarks or indicators for success. Appropriate benchmarks are adapted to each situation. The choice depends on the underlying causes of conflict and dynamics. Benchmarks may change, as a situation evolves. The UN uses benchmarks specific to each mission. The UN uses the information in Secretary-General’s reports and Security Council resolutions to try and set benchmarks for individual peacekeeping operations. Example for traditional missions: when states or parties agree to a peaceful resolution</li> <li>• Examples for multi-dimensional missions:             <ul style="list-style-type: none"> <li>- absence of violence conflict</li> <li>- absence of large-scale abuses of human rights</li> <li>- respect for rights of women and minorities</li> <li>- ability of national forces and police to provide security and maintain public order, with</li> </ul> </li> </ul>

	<p>civilian oversight and respect for human rights</p> <ul style="list-style-type: none"><li>- legitimate, functioning political institutions, e.g. legislature</li><li>- free and fair elections</li><li>- women and men having equal rights to vote and seek political office</li></ul>
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**More Ways to Evaluate Learning**

1. Ask table groups more complex questions. Get participants to pool their ideas on answers before sharing them with the full group. Encourage participants to help each other.
2. Adapt the above to “yes-no” questions.

## Commonly Asked Questions and Key Words

Key Words or phrases for this lesson:

Key Word or Phrase	Definition
<b>Establishment</b>	<b>Establish</b> means to set up.
<b>Operationalization</b>	<b>Operationalize</b> means to put into action.
<b>Operational frameworks</b>	<b>“Operational frameworks”</b> are clear, detailed plans, outlining the responsibilities of peacekeeping personnel.

Commonly asked questions from participants:

Possible Questions	Possible Responses
What is the timeline for when multidimensional peacekeeping operations replaced traditional peacekeeping operations?	The decision by the UN Security Council to deploy a traditional or multidimensional peacekeeping operation relates to the nature of the conflict rather than any timeline. Multidimensional peacekeeping operations have not replaced traditional peacekeeping operations as such, rather since the end of the Cold War internal armed conflicts constitute the vast majority of today's wars and therefore the deployment of multidimensional peacekeeping operations. For example the UN Security Council reacted to the war between Ethiopia and Eritrea by deploying a traditional peacekeeping operation (UNMEE) in 2000, long after the end of the Cold War.
Do contingent commanders and/or sector commanders receive a copy of the military CONOPS, or do they draft their own CONOPS for their area of responsibility?	The CONOPS applies only to the Head of the Military Component (HOMC). The HOMC uses the CONOPS to draft his/her Operational Order (or Plan) which applies to contingent and sector commanders, who are then required to draft their own plans for their area of responsibility based on the HOMC's Operations Order (or Plan).
Do military and police always have separate CONOPS?	Yes. Although both the police and military CONOPS are drafted at DPKO Headquarters in NY, they are separate documents handed over to the Head of the Police Component (HOPC) and Head of the Military Component (HOMC) respectively.
Why is the use of force by military and police governed by two	Military and police use force for different purposes in peacekeeping operations. The military uses force to deter or remove a security threat from armed forces or groups, while

different legal documents?	the police use force to arrest civilians and address criminal behaviour. The use of force by military and police are therefore also governed by different sources of law (the military is governed by humanitarian law and the police by human rights and domestic criminal law).
Who drafts the Rules of Engagement and/or Directive on the Use of Force?	The RoE are drafted by the Office of Military Affairs and the Directive on the Use of Force is drafted by Police Division in DPKO in New York, and approved by the UN's Office of Legal Affairs.
Where is it clarified whether UN Police are armed or not?	This is specified in the Directive on the Use of Force specific to the particular mission and its mandate.
What are “key milestones in the mission's life cycle”?	<p>“Key milestones in the mission's life cycle” include the phases of mission start-up, mandate implementation, and transition (handover, withdrawal and liquidation).</p> <ul style="list-style-type: none"> <li>• Mission start-up: During startup, the mission strives to reach an initial operating capability (IOC), and eventually a full operating capability (FOC) so that mandate implementation can begin in all areas of deployment.</li> <li>• Mandate Implementation: During the implementation phase, efforts are focused on carrying out the tasks set out in the Security Council mandate and achieving the objectives set out in the mission plan.</li> </ul> <p>Transition (handover, withdrawal and liquidation): The process of handover, withdrawal and liquidation begins following a decision by the Security Council. It involves the departure of mission personnel following the hand-over of all remaining tasks to partners, and the final disposal of mission assets and infrastructure in accordance with United Nations rules.</p>

## 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)
- Review peacekeeping mission mandates
- United Nations Integrated Assessment and Planning Policy (IAP) Endorsed by the Secretary General in 2013
- DPKO/DFS Mission Start Up Field Guide for Mission Managers of United Nations Peacekeeping Operations, 2010
- *DPKO Guidelines for the Development of Rules of Engagement (RoE) for United Nations Peacekeeping Operations, 2000*
- Secretary-General's reports of 8 August 2007 (paragraphs 66 and 67 of S/2007/479) and of 19 March 2008 (Annex I of S/2008/183) for [UNMIL](#) benchmarks:  
[http://www.un.org/en/ga/search/view\\_doc.asp?symbol=S/2007/479](http://www.un.org/en/ga/search/view_doc.asp?symbol=S/2007/479);  
[http://www.un.org/en/ga/search/view\\_doc.asp?symbol=S/2008/183](http://www.un.org/en/ga/search/view_doc.asp?symbol=S/2008/183)
- Report of the Secretary-General of 5 September 2002 (S/2002/987) for UNAMSIL benchmarks:  
[http://www.un.org/en/ga/search/view\\_doc.asp?symbol=S/2002/987](http://www.un.org/en/ga/search/view_doc.asp?symbol=S/2002/987)
- All Secretary-General's reports  
<http://www.un.org/en/sc/documents/sgreports>

## Additional Resources

### UN Information

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

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 using the following links: <http://www.un.org/en/peacekeeping/operations/current.shtml>;  
<http://www.un.org/en/peacekeeping/operations/past.shtml> )

## **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 Training Resources**

UN Peacekeeping Operations: An Introduction  
<http://portals.unssc.org/course/index.php?categoryid=4>

For further technical advice on training on RoE or DUF, they may contact DPKO's Integrated Training Service (ITS) at: [peacekeepingtraining@un.org](mailto:peacekeepingtraining@un.org)