

# Lesson 1.3



## Principles of United Nations Peacekeeping

### Lesson at a Glance

#### Aim

To introduce the Basic Principles and success factors of UN peacekeeping, and explain how to put them into practice.

#### Relevance

The Basic Principles of UN peacekeeping **guide** UN peacekeeping personnel. They provide you with a navigational aid – a compass – to help you do your work.

The Basic Principles and other factors are keys to successful UN peacekeeping. They are linked to one another, and strengthen each other. Everyone involved in UN peacekeeping – in the field and at Headquarters – must **know, understand and apply** them.

This lesson explains what is meant by each principle and success factor, and how to apply them to your work. The Basic Principles and success factors are outlined in the Principles and Guidelines on UN Peacekeeping Operations (also known as the Capstone Doctrine), which is the doctrine for UN peacekeeping.

#### Learning Outcomes

Learners will:

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

## Lesson Map

**Recommended Lesson Duration: 45 minutes total**

1-2 minutes per slide

Use short option learning activity

<b>The Lesson</b>	Pages 3-25
Starting the Lesson	Intro Slides
<b>Learning Activity 1.3.1: Film: <i>UN Peacekeeping Is</i></b>	
Basic Principles	Slide 1
<b>Learning Activity 1.3.2: Defining the Basic Principles</b>	
Consent	Slides 2-3
Impartiality	Slides 4-5
Non-Use of Force Except in Self-Defence and Defence of the Mandate	Slides 6-7
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Legitimacy	Slides 9-10
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Summary	Pages 26-27
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<b>OPTIONAL: Additional Learning Activities</b>	See Resource
<b>Learning Activity 1.3.4: Basic Principles and Success Factors (1)</b>	
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<b>Learning Activity 1.3.6: Concepts and Definitions</b>	

## The Lesson



### Starting the Lesson

Introduce the following (using the Introductory Slides):

- Lesson Topic
- Relevance
- Learning Outcomes
- Lesson Overview

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

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

## Learning Activity

1.3.1

Film: *UN Peacekeeping Is*

### METHOD

Film, group discussion

### PURPOSE

To highlight the difference between peacekeeping and war

### TIME

10 minutes

- Film: 2:18 minutes
- Discussion: 5-7 minutes

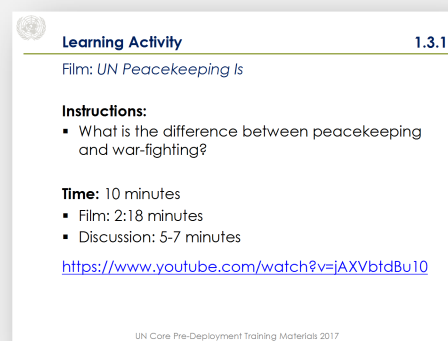
### INSTRUCTIONS

- What is the difference between peacekeeping and war-fighting?

<https://www.youtube.com/watch?v=jAXVbtdBu10>

### RESOURCES


- Learning Activity instructions



The thumbnail shows a page titled "Learning Activity" with the sub-header "1.3.1" and "Film: UN Peacekeeping Is". It contains the same instructions and time breakdown as the main text on the left, including the YouTube link and the footer "UN Core Pre-Deployment Training Materials 2017".

## Basic Principles

### Slide 1



#### 1. The Basic Principles of UN Peacekeeping

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

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

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

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

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

## Learning Activity

1.3.2

### Defining the Basic Principles

#### METHOD

Brainstorm, small groups

#### PURPOSE

To understand the importance of the Basic Principles

#### TIME

10 minutes

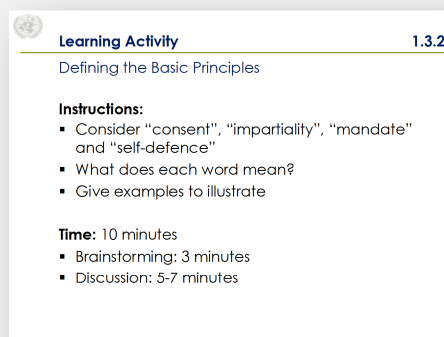
- Brainstorm: 3 minutes
- Discussion: 5-7 minutes

#### INSTRUCTIONS

- Consider “consent”, “impartiality”, “mandate” and “self-defence”
- What does each word mean?
- Give examples to illustrate

#### RESOURCES

- Learning Activity instructions



The thumbnail shows a document titled "Learning Activity" with the subtitle "Defining the Basic Principles" and the reference code "1.3.2". It contains the following text:

**Instructions:**

- Consider “consent”, “impartiality”, “mandate” and “self-defence”
- What does each word mean?
- Give examples to illustrate

**Time:** 10 minutes

- Brainstorming: 3 minutes
- Discussion: 5-7 minutes

**Slide 2**



**Basic Principle #1: Consent**

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



**Key Message: Consent** means permission for something to happen or agreement to do something. All UN peacekeeping operations deploy with consent of main parties to a conflict.

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

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

**Consent ensures a mission has the political and physical freedom of action and support needed to carry out mandated tasks – in other words, tasks in the mandate.**

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

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

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

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

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

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

#### **Example – Withdrawal of Consent**

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

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

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

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



Slide 3



### Consent: What Peacekeeping Personnel Can Do

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



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

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

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

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

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

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

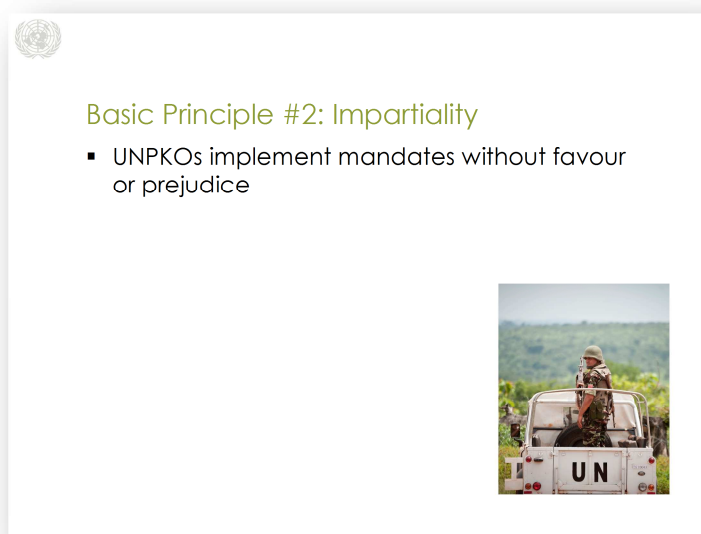
What are peacekeeping personnel to do with observations of change in consent and support? Keeping their eyes open is a first step. Peacekeeping personnel must also **assess and report on the changing interests and motivation of parties, their supporters and community members.**


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



*Remind learners about the definition of "impartiality".*


#### Slide 4

A presentation slide with a white background. In the top left corner is the United Nations logo. The title 'Basic Principle #2: Impartiality' is written in green. Below the title is a bulleted list with one item: 'UNPKOs implement mandates without favour or prejudice'. In the bottom right corner is a photograph of a UN peacekeeper in a white vehicle with 'UN' on the back, driving through a green, hilly landscape.



Basic Principle #2: Impartiality

- UNPKOs implement mandates without favour or prejudice



**Key Message: Impartiality** means not taking sides. UN peacekeeping operations mandates are implemented with no favour or prejudice to any parties to the conflict.

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



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

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

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

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

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

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

**For the humanitarian actors**, such as the International Movement of the Red Cross and Red Crescent (which includes the International Committee of the Red Cross – or ICRC), **impartiality** means being guided solely by needs, providing humanitarian assistance without discrimination. No discrimination is made on the basis of nationality, race, gender, class or religious or political beliefs. **Neutrality** for humanitarian actors means to take no sides in hostilities, or engage in controversies of a political, racial, religious or ideological nature.

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



*Inform learners that further details on the humanitarian principles (humanity, neutrality, impartiality and independence) will be dealt with in a subsequent lesson, Lesson 2.1.*

Slide 5



### Impartiality: What Peacekeeping Personnel Can Do

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




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

This means the mission has to:

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


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

Slide 6



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

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




**Key Message:** “Force” refers to the use of “arms” or “weapons” by armed personnel (military, and where applicable, police). Use of force only in self-defence has evolved to include the use of force in order to defend the mandate.

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

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


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

Slide 7



### Non-Use of Force: What Peacekeeping Personnel Can Do

- Exercise restraint
- Precise, proportional and appropriate use
- Early de-escalation of violence, non-violent means of persuasion
- Rules of Engagement (ROE) or Directive on Use of Force (DUF)



**Key Message:** The peacekeeping operation must:

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

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

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

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

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

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

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

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

These two documents clarify:

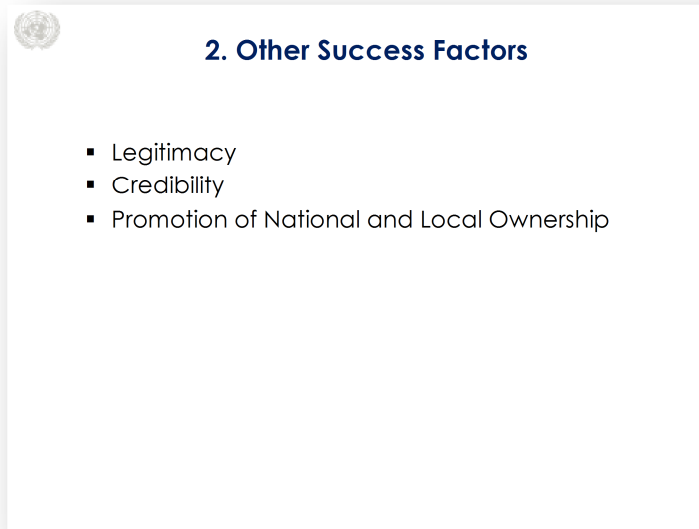
- Different levels of force for different circumstances
- How each level of force is to be used
- The required authorizations



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

## Other Success Factors

### Slide 8



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

- Legitimacy
- Credibility
- Promotion of National and Local Ownership



## Learning Activity

1.3.3

### Importance of Other Success Factors

#### METHOD

Case study, questions

#### PURPOSE

To apply and deepen understanding of the success factors for UN peacekeeping

#### TIME

5 minutes

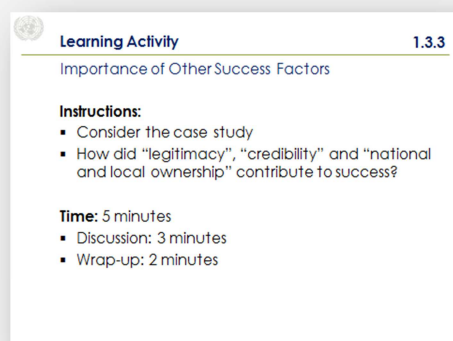
- Discussion: 3 minutes
- Wrap-up: 2 minutes

#### INSTRUCTIONS

- Consider the case study
- How did “legitimacy”, “credibility” and “national and local ownership” contribute to success?

#### RESOURCES

- Learning Activity instructions
- Responses to discussion questions
- Case study



The thumbnail shows a page titled "Learning Activity" with the sub-heading "Importance of Other Success Factors" and the identifier "1.3.3". It contains the same instructions and time breakdown as the main text on the page.

**Learning Activity** 1.3.3  
Importance of Other Success Factors

**Instructions:**

- Consider the case study
- How did “legitimacy”, “credibility” and “national and local ownership” contribute to success?

**Time:** 5 minutes

- Discussion: 3 minutes
- Wrap-up: 2 minutes

Slide 9



Success Factor #1: Legitimacy

- UNPKOs have international legitimacy
- Quality and conduct of personnel affect perceived legitimacy



**Key Message:** To be **legitimate** means to be lawful, permitted or valid. A UN peacekeeping operation has international legitimacy because:

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

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

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

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

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

Slide 10



### Legitimacy: What Peacekeeping Personnel Can Do

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



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

High standards include professionalism, competence and integrity.

Specific examples of behaviour or conduct contributing to the perceived legitimacy of a peacekeeping operation include:

- High standards in implementing the mandate
- How the peacekeeping operation uses force
- Zero tolerance for any kind of sexual exploitation and abuse, and other forms of serious misconduct
- The discipline imposed on personnel
- The respect shown to local customs, cultural artefacts, institutions, laws, and the environment, and
- The decency with which local people are treated


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



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


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

## Slide 11



Success Factor #2: Credibility

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

A photograph showing a UN peacekeeper in a light blue uniform and a blue beret interacting with a man in a blue cap and a woman in a market setting. The peacekeeper is looking towards the man, who is looking towards the woman. The woman is sitting on a stool and appears to be handling some items on a table. The background shows other people and market stalls.

**Key Message:** To be **credible** means to be believable, worthy of confidence and trust. The credibility of a UN peacekeeping operation depends on the belief that the mission can achieve its mandate. Credibility is affected by how capable and effective the mission is at managing and meeting the expectations of the international and local communities.

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

To **achieve and maintain its credibility**, the mission requires:

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

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


Credibility, once lost, is hard to regain. A mission with low credibility becomes marginalized (or “insignificant”) and ineffective. Consent may erode. Legitimacy may be seen as weak or frayed. Critics, opponents and spoilers may exploit points of weakness.

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




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

Slide 12



Credibility: What Peacekeeping Personnel Can Do

- Implement mandate
- Remain confident, capable, unified
- Manage expectations




**Key Message:** The mission and all personnel must work to implement the mandate, and must always maintain a confident, capable and unified posture. The mission must be able to manage the expectations of the local population.

Mission mandates may be influenced by politics in the Security Council. Deployment of personnel or equipment can take longer than expected. This increases **the importance of all peacekeeping personnel working together**, supporting each other's work.


**“Managing expectations” means that every peacekeeping personnel must be careful to avoid making false promises to local communities.** Good intentions can backfire. A perceived failure to meet expectations, even unrealistic ones, may lead to dissatisfaction or active opposition.

Slide 13



Success Factor #3: Promotion of National & Local Ownership

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



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

A UN peacekeeping mission cannot want stability and peace more than local people and national partners. Building sustainable peace cannot be solely an outside activity with international actors as primary actors.

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

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

**Promoting national and local ownership involves:**

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

National and local ownership must be representative of all members of the society. This requires reaching out to all parts of a country and community, not just engaging with those in power or who have guns. Engaging people in marginal or vulnerable groups may require a targeted effort. Examples include women as a group of people who are typically excluded in a society, as well as children, a particular ethnic or religious group, the elderly and people with disabilities.

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

#### Slide 14



Promotion of National & Local Ownership:  
What Peacekeeping Personnel Can Do

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



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

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

All peacekeeping personnel must **be sensitive to local needs and perspectives**. A real understanding of the hopes of the entire local population involves recognizing all



opinions and views, as well as a strong understanding of the political and wider socio-economic context.

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

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

Peacekeeping personnel can also consider the following actions:

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

## Summary

### **The basic principles of UN peacekeeping are consent, impartiality and non-use of force except in self-defence and defence of the mandate**

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

### **The key success factors of UN peacekeeping are legitimacy, credibility, and promotion of national and local ownership**

- Other key factors for the success of UN peacekeeping operations include: legitimacy, credibility and the promotion of national and local ownership.

### **Act and behave to the highest standards to support the “legitimacy” of UN peacekeeping**

- To be **legitimate** means to be lawful, permitted or valid. A UN peacekeeping operation has international legitimacy because it is based on the UN Charter and international law, and is popularly accepted by Member States.
- The quality and conduct of military, police and civilian peacekeeping personnel can directly affect perceived **legitimacy**.
- The UN expects all peacekeeping personnel to act and behave to the highest standards.

(Cont.)

**(Summary cont.)**

**Implement the mandate and manage expectations to support the “credibility” of UN peacekeeping**

- To be **credible** means to be believable and worthy of confidence and trust. The credibility of a UN peacekeeping operation depends on the belief that the mission can achieve its mandate.
- **Credibility** is affected by how capable and effective the mission is at managing and meeting the expectations of the international and local communities.
- The mission and all personnel must work to implement the mandate, and must always maintain a confident, capable and unified posture. The mission must also be able to manage the expectations of the local population.

**Promote “national and local ownership” for UN peacekeeping success: inclusive processes, different perspectives and national capacity to lead**

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

## Evaluation

**Note on Use:** An example of learning evaluation questions for this lesson may be found below.

There are different types of learning evaluation questions for the instructor to choose from (See Options). Types of learning evaluation questions are:

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

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

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

Evaluation Questions for Lesson 1.3	
Questions	Answers
<b>Sentence Completion</b>	
1. Non-use of force, except in (a)_____ and (b)_____.	(a)Self-defence (b) Defence of the mandate
2. All UN peacekeeping operations deploy with _____ of the main parties to a conflict.	Consent
3. Impartiality for UN peacekeeping operations means that mandates are implemented with _____ to any parties to the conflict.	No favour or prejudice
4. The _____ authorizes use of force in UN peacekeeping.	Security Council
5. Legitimacy, credibility and promotion of national and local ownership are _____ for peacekeeping.	Success factors (or factors that influence success).  Distinguish these from three core principles: consent, impartiality, non-use of force except in self-defense or

	<p>defense of the mandate.</p> <p>Participants may fill-in-the-blank with “essential”, or “critical”, also valid although not as accurate in relation to lesson content.</p>
<p>6. Credibility is affected by how capable and effective the mission is at managing and meeting the _____ of the international and local communities.</p>	<p>Managing and meeting the <b>expectations</b></p>
<p><b>Narrative</b></p> <p><i>Note: Frame narrative evaluations as questions, requests or directions.</i></p>	
<p>7. What are the three basic principles of UN peacekeeping which have remained the same since 1945?</p>	<ol style="list-style-type: none"> <li>1. Consent</li> <li>2. Impartiality</li> <li>3. Non-use of force, except in self-defense or defense of the mandate</li> </ol>
<p>8. The quality and conduct of personnel can directly affect the perceived legitimacy of a peacekeeping operation. Give specific examples of behaviour or conduct contributing to the perceived legitimacy of a peacekeeping operation.</p>	<p>Specific examples of behaviour or conduct contributing to the perceived legitimacy of a peacekeeping operation include:</p> <ol style="list-style-type: none"> <li>1. high standards in implementing the mandate</li> <li>2. how the peacekeeping operation uses force,</li> <li>3. zero tolerance for any kind of sexual exploitation and abuse, and other forms of serious misconduct</li> <li>4. the discipline imposed on personnel,</li> <li>5. the respect shown to local customs, cultural artefacts, institutions, laws, and the environment, and</li> <li>6. the decency with which local people are treated.</li> </ol>

True-False	
9. Part of the UN's effort to promote national and local ownership includes reinforcing existing and building national and local capacity.	<b>True.</b> The mission must allow national and local capacity to lead critical processes and state functions, such as military and police functions for security and public order. National and local capacity is what will carry on beyond the end of a peacekeeping mission and ensure lasting peace and development. Local people will take over the work when the operation withdraws.

## Commonly Asked Questions and Key Words

Key Words or phrases for this lesson:

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

Commonly asked questions from participants:

Possible Questions	Possible Responses
<p>What is humanitarian work?</p>	<p><b>Humanitarian work or “assistance”</b> is generally accepted to mean the aid and action designed to save lives, alleviate suffering and maintain and protect human dignity. Humanitarian assistance includes basic supplies of drinking water and food, shelter and medical care.</p>
<p>What is the International Red Cross and Red Crescent Movement?</p>	<p>The <b>International Red Cross and Red Crescent Movement</b> is a large global network of humanitarians. One goal is to reduce or “alleviate” human suffering. This is particularly important during armed conflict and other emergencies. The “Movement” is made up of the following components:</p> <ol style="list-style-type: none"> <li>1. the International Committee of the Red Cross (ICRC)</li> <li>2. the National Red Cross or Red Crescent Societies, and</li> <li>3. the International Federation of Red Cross and Red Crescent Societies</li> </ol>
<p>How do armed peacekeepers know whether they can use force?</p>	<p>The Rules of Engagement (for military) and Directive on the Use of Force (for police) will indicate where and when force can justifiably be used, and the graduated levels of force that are appropriate for different situations.</p>
<p>What is the difference between impartiality and neutrality?</p>	<p>Impartiality, as a principle of UN peacekeeping, means that the peacekeeping operation deals with all parties to a conflict in an unbiased and evenhanded manner, and its actions are focused on implementing its mandate fairly. Humanitarian actors also use the terms impartiality and neutrality, however their meaning is somewhat different. For the International Red Cross and Red Crescent Movement, in particular, impartiality means being guided solely by needs, making no discrimination on the basis of nationality, race, gender, class or religious or political beliefs, while neutrality means to take no sides in hostilities or engage, any time, in controversies of a political, racial, religious or ideological nature.</p>
<p>What is the difference between the humanitarian principle of impartiality and the principle of neutrality? Is that different than the basic principle of impartiality in</p>	<p>The humanitarian principle of neutrality means that humanitarian assistance is provided to those persons in need without considering whether the political views of that group, their political leaders or government are considered to be “right” or “wrong” in any way. The humanitarian principle of impartiality means that humanitarian assistance should be equally accessible to all who need it, regardless of their ethnic origin, gender, nationality, political opinion,</p>



<p>peacekeeping?</p>	<p>race or religion. The peacekeeping principle of impartiality is slightly different because it aims to keep the peace process moving forward by ensuring that the UN does not show bias or prejudice to any one party. However, where parties or spoilers may be blocking the peace process, the peacekeeping principle of impartiality allows the UN to respond through diplomatic or other action. The UN thereby takes a stand as to what actions are considered to be legitimate in moving the peace process forward.</p>
<p>How long have the Basic Principles and Guidelines on UN Peacekeeping Operations been applicable?</p>	<p>They have been applicable since the beginning of peacekeeping operations, however, the recent publication confirmed their validity and added refinements.</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, 1945](#)
- [United Nations Peacekeeping Operations Principles and Guidelines, also known as the Capstone Doctrine, 2008](#)
- [DPKO-DFS Guidelines on Use of Force by Military Components in UN Peacekeeping Operations, 2017](#)

## Additional Resources

### UN Information

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

Current peacekeeping operations:

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

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

Past peacekeeping operations:

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

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

Original Security Council Resolutions on peacekeeping mission mandates:

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

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

### UN Documents

UN documents can be found on: <http://www.un.org/en/documents/index.html> (Search by document symbol, e.g. A/63/100)

### DPKO and DFS Guidance

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

Instructors are encouraged to check for the latest guidance.

### **UN Films**

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

### **Additional Information**

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

### **Additional Training Resources**

UN Peacekeeping Operations: An Introduction  
<http://portals.unssc.org/course/index.php?categoryid=24>

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

# Module 1: An Overview of United Nations Peacekeeping Operations

## Lesson 1.3



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## Principles of United Nations Peacekeeping



# Relevance

The Basic Principles:

- Guides UN peacekeeping
- Must be known, understood, applied



# Learning Outcomes

Learners will:

- List the basic principles and key success factors
- Explain “legitimacy” and “credibility”
- Describe how peacekeeping personnel support legitimacy and credibility
- Explain “national and local ownership” and why it is essential to success



# Lesson Overview

## 1. The Basic Principles

- Consent
- Impartiality
- Non-Use of Force Except in Self-Defence & Defence of the Mandate

## 2. Other Success Factors

- Legitimacy
- Credibility
- Promotion of National & Local Ownership



## Learning Activity

1.3.1

Film: *UN Peacekeeping Is*

### Instructions:

- What is the difference between peacekeeping and war-fighting?

**Time:** 10 minutes

- Film: 2:18 minutes
- Discussion: 5-7 minutes

<https://www.youtube.com/watch?v=jAXVbt dBu10>





# 1. The Basic Principles of UN Peacekeeping

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



## Defining the Basic Principles

### **Instructions:**

- Consider “consent”, “impartiality”, “mandate” and “self-defence”
- What does each word mean?
- Give examples to illustrate

### **Time:** 10 minutes

- Brainstorming: 3 minutes
- Discussion: 5-7 minutes



## Basic Principle #1: Consent

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





# Consent: What Peacekeeping Personnel Can Do

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





## Basic Principle #2: Impartiality

- UNPKOs implement mandates without favour or prejudice





## Impartiality: What Peacekeeping Personnel Can Do

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





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

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





# Non-Use of Force: What Peacekeeping Personnel Can Do

- Exercise restraint
- Precise, proportional and appropriate use
- Early de-escalation of violence, non-violent means of persuasion
- Rules of Engagement (ROE) or Directive on Use of Force (DUF)







## 2. Other Success Factors

- Legitimacy
- Credibility
- Promotion of National and Local Ownership



## Learning Activity

1.3.3

### Importance of Other Success Factors

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#### **Instructions:**

- Consider the case study
- How did “legitimacy”, “credibility” and “national and local ownership” contribute to success?

#### **Time:** 5 minutes

- Discussion: 3 minutes
- Wrap-up: 2 minutes



## Success Factor #1: Legitimacy

- UNPKOs have international legitimacy
- Quality and conduct of personnel affect perceived legitimacy





## Legitimacy: What Peacekeeping Personnel Can Do

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





## Success Factor #2: Credibility

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





# Credibility: What Peacekeeping Personnel Can Do

- Implement mandate
- Remain confident, capable, unified
- Manage expectations





## Success Factor #3: Promotion of National & Local Ownership

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





## Promotion of National & Local Ownership: What Peacekeeping Personnel Can Do

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







# Summary of Key Messages

- Basic principles – consent, impartiality, non-use of force except in self-defence and defence of the mandate
- Key success factors – legitimacy, credibility, promotion of national and local ownership
- “Legitimacy” – behaviour of highest standards
- “Credibility” – implement mandate, manage expectations
- “National and local ownership” – promote



# Questions



# **Learning Activity**

# **Learning Evaluation**

## Learning Activities

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

Number	Name	Methods	Time
1.3.1	Film: <i>UN Peacekeeping Is</i>	Film, group discussion	10 minutes
1.3.2	Defining the Basic Principles	Brainstorm, small groups	10 minutes
1.3.3	Importance of Other Success Factors	Case study, questions	5 minutes
1.3.4	Basic Principles and Success Factors (1)	True/False statements	25-30 minutes
1.3.5	Basic Principles and Success Factors (2)	Facilitated by large group discussion, prompted by key questions	25-30 minutes
1.3.6	Concepts and Definitions	Mix and match – match key words to definitions	30 minutes

## Learning Activity

1.3.1

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Film: *UN Peacekeeping Is*

### METHOD

Film, group discussion

### PURPOSE

To highlight the difference between peacekeeping and war

### TIME

10 minutes

- Film: 2:18 minutes
- Discussion: 5-7 minutes

### INSTRUCTIONS

- What is the difference between peacekeeping and war-fighting?

<https://www.youtube.com/watch?v=jAXVbtdBu10>

### RESOURCES

- Learning Activity instructions

*Note on Use: Films are excellent visual supports. The content of this film applies to several lessons, particularly in Module 1. Consider using both films, on different days to introduce different lessons, or one to introduce content and one as part of a recap or summary. They help prepare peacekeeping personnel, showing them what to expect. Other related short films are also available on YouTube.*

### Preparation

- Source: YouTube site: <https://www.youtube.com/watch?v=jAXVbtdBu10>
- Access the film and watch it. Decide what questions you want to ask and total time available for this learning activity.
- Check connectivity and the technology needed to show the film. Make sure you have what you need before the session. Check seating, sightlines and sound.

### Instructions

1. Introduce the film.
2. Show the film.
3. Ask this general question: What is the difference between peacekeeping and war-fighting?
4. Prompt more responses with specific questions such as:
  - a) What is the difference between an environment during violent conflict and in peace?
  - b) Is the role of the military the same during violent conflict as it is in peace time?
  - c) How is the role of police affected during and after violent conflict?
  - d) How is the role of government and civil servants affected during and after violent conflict?
  - e) Will UN peacekeeping personnel (military, police, civilians) play the same roles in the mission as they do at home during peace-time?
5. Summarise the discussion. Emphasise the following:
  - a) Differences between violent conflict and peace mean that UN peacekeeping personnel need to adapt their professional roles and experiences as military, police and civilian professionals.
  - b) All UN personnel play a third-party role to the conflict – and the three Basic Principles reflect this.
6. Close. Use the activity to introduce the content on the Basic Principles in Lesson 1.3.

## Learning Activity

1.3.2

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### Defining the Basic Principles

#### METHOD

Brainstorm, small groups

#### PURPOSE

To understand the importance of the Basic Principles

#### TIME

10 minutes

- Brainstorm: 3 minutes
- Discussion: 5-7 minutes

#### INSTRUCTIONS

- Consider “consent”, “impartiality”, “mandate” and “self-defence”
- What does each word mean?
- Give examples to illustrate

#### RESOURCES

- Learning Activity instructions

### Preparation

- Decide on the small groups. The activity is short, so table groups are good because they are formed and in place.
- Prepare flip chart sheets for the brainstorming.
- Prepare key points on “consent”, “impartiality”, “mandate” and “self-defence”. Also prepare key points on the importance of each of the three Basic Principles. Use the content from Lesson 1.3.
- Prepare to deliver the correct responses to the discussion questions using the slides from Lesson 1.3.

### Instructions

1. Introduce the activity.
2. Ask participants to brainstorm answers to the following questions:
  - a) What does “consent” mean?
  - b) What does “impartiality” mean?
  - c) What does “mandate” mean?
  - d) What does “self-defence” mean?
3. Transfer the responses to the flip-chart. Make sure participants give examples to illustrate. Begin the brainstorming yourself. Introduce key points on the three Basic Principles.
4. Ask participants to reflect on the Basic Principles and the results of the brainstorming. Ask specific questions for each principle on what would happen if it did not exist. Emphasise the difference between war-fighting and peacekeeping.
5. Use the results of the brainstorming to introduce more detailed content on the Basic Principles in Lesson 1.3.



## Learning Activity

1.3.3

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### Importance of Other Success Factors

#### METHOD

Case study, questions

#### PURPOSE

To apply and deepen understanding of the success factors for UN peacekeeping

#### TIME

5 minutes

- Discussion: 3 minutes
- Wrap-up: 2 minutes

#### INSTRUCTIONS

- Consider the case study
- How did “legitimacy”, “credibility” and “national and local ownership” contribute to success?

#### RESOURCES

- Learning Activity instructions
- Responses to discussion questions
- Case study

### Preparation

- Prepare enough copies of the case study as handouts for the participants.
- Read the Responses to the discussion question for the case study.
- Prepare a flip-chart sheet or board for the brainstorming. Write the question: How did “legitimacy”, “credibility” and “national and local ownership” contribute to success?
- Prepare a separate flip-chart with dictionary definitions of key words:
  - **Legitimate:** to be lawful, permitted or valid
  - **Credible:** to be believable, worthy of confidence and trust
  - **National and local ownership:** refers to inclusive and consultative processes based on the perspectives, priorities and vision of the local stakeholders in the host country
- Prepare key points on “legitimacy”, “credibility” and “national and local ownership” using the content from Lesson 1.3.
- Decide on the groups. The activity is short, so it is best delivered to the group as a whole.

### Instructions

1. Introduce the activity.
2. Distribute the case study.
3. Ask participants to identify how “legitimacy”, “credibility” and “national and local ownership” played a role in the case study. Refer them to the posted question on the flip-chart sheet.
4. Read the case study aloud to the whole group.
5. Get participants to discuss. Record responses to the discussion question on the flip-chart. Get several responses from the group before summarizing.
6. Expand on the discussion using points prepared. Provide the correct responses to the discussion question using the real facts of the case study, below.
7. Close the exercise. Recap on definitions of legitimacy”, “credibility” and “national and local ownership.” Use the results of the brainstorming to introduce more detailed content on the Success Factors in Lesson 1.3.

### 1.3.3 Responses to Discussion Question: Importance of Other Success Factors

Consider the case study. How did “legitimacy”, “credibility” and “national ownership” contribute to success?

#### Case Study

In its first year, the United Nations Stabilization Mission in Haiti (MINUSTAH) had limited cooperation from the local population in the capital. The community was afraid of criminal gangs who dominated neighbourhoods. The gangs were “spoilers” in the peace process.

In 2005, the military component of MINUSTAH re-established security in the Bel Air neighbourhood. Work began on civil activities and Quick Impact Projects (QIPs). UN military peacekeepers began cleaning up mountains of garbage from the streets, used by gangs as barricades. The garbage was a symbol of the gangs’ hostile presence, urban poverty, and a source of disease.

The military cleaned up the streets after eliminating the threat of gangs in Bel Air. The people then felt they could trust the peacekeepers and began to help them with clean-up.

#### Responses

- This illustrates a practical way the mission gained the consent and support of the local population to their presence. The mission made a positive difference in the lives of the local people, and proved that it was credible. Consent helped prevent spoilers from returning to the neighbourhood.
- By engaging the local population, the mission was also able to promote local ownership of the activities in the neighbourhood at the same time.
- The mission treated the local population with decency, which contributed to how the mission was perceived and ultimately its legitimacy. Local ownership also reinforced the perceived legitimacy of the mission.

#### Definitions

- To be “**legitimate**” means to be lawful, permitted or valid. The quality and conduct of military, police and civilians can directly affect perceived legitimacy.
- To be “**credible**” means to be believable, worthy of confidence and trust. The credibility of a UN peacekeeping operation depends on the belief that the mission can achieve its mandate. Credibility is affected by how capable and effective the mission is at managing and meeting the expectations of the international and local communities.
- “**National and local ownership**” refers to inclusive and consultative processes based on the perspectives, priorities and vision of the local stakeholders in the host country. It is grounded in the belief that building sustainable peace requires active engagement of local actors at all levels.

### 1.3.3 Case Study: Importance of Other Success Factors

Consider the case study. How did “legitimacy”, “credibility” and “national ownership” contribute to success?

#### Case Study

In its first year, the United Nations Stabilization Mission in Haiti (MINUSTAH) had limited cooperation from the local population in the capital. The community was afraid of criminal gangs who dominated neighbourhoods. The gangs were “spoilers” in the peace process.

In 2005, the military component of MINUSTAH re-established security in the Bel Air neighbourhood. Work began on civil activities and Quick Impact Projects (QIPs). UN military peacekeepers began cleaning up mountains of garbage from the streets, used by gangs as barricades. The garbage was a symbol of the gangs' hostile presence, urban poverty, and a source of disease.

The military cleaned up the streets after eliminating the threat of gangs in Bel Air. The people then felt they could trust the peacekeepers and began to help them with clean-up.

## Learning Activity

1.3.4

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### Basic Principles and Success Factors (1)

#### METHOD

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

#### PURPOSE

To reinforce learning of UN peacekeeping principles and success factors

#### TIME

25 – 30 minutes

- Introduction: 3 minutes
- Activity: 15 minutes
- Debrief: 10 minutes

#### INSTRUCTIONS

- Consider the statements about the Basic Principles and success factors
- Are they true or false?

#### RESOURCES

- Learning Activity instructions

### Preparation

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

### Instructions

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

### Variations

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

- **Variation 1:** Read each statement to the group. Ask people if it is true or false. Encourage people to call out an answer – true or false? When most agree, confirm and move on. If people disagree, use that opening to clarify the point and move on.
- **Variation 2:** Read the statements to the group. Ask participants to raise hands if they think the statement is true. Follow same steps as for variation 1.
- **Variation 3** (Stations with post-it notes). Prepare the flip-chart sheets and stations as explained above. Have them ready before the session. Put small post-it notes on each table. Give participants enough post-it notes to put one on each of the statements. Explain the activity: move from sheet to sheet and put post-it notes on the ones people believe are TRUE. Move people along. Use the number of post-it notes as the basis of debriefing. Debrief the exercise by moving with the

group from station to station, inviting people to give reasons for believing each statement is true or false, and confirming which are true.

## Learning Activity

1.3.5

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### Basic Principles and Success Factors (2)

#### METHOD

Facilitated large group discussion, prompted by key questions

#### PURPOSE

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

#### TIME

25 – 30 minutes

#### INSTRUCTIONS

- What is the relationship between basic principles and key factors?
- How is “impartiality” different from “neutrality”?

#### RESOURCES

- Learning Activity instructions



*Note on use: You may want to combine 1.3.4 and 1.3.5 into one learning activity with two parts.*

### **Preparation**

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

#### **Examples of questions**

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

### **Instructions**

1. Introduce the activity. The three principles and three success factors are a set that reinforce each other. They are not separate. Undermining one factor undermines them all. Strengthening one factor strengthens the others. The discussion purpose is to emphasize these inter-connections and the strong relationship between the principles and factors as well as review them.
2. Pose the questions. Draw answers from different participants. When the group is in agreement, move on. Watch for body language and facial expressions for signs that some participants may be struggling with the content. Check with them at the next break.
3. Summarize, possibly with a call back. Ask the group what the three principles are: get the whole group to respond loudly, in unison. Repeat until all participate. Do the same with success factors. Alternatively, recap them verbally, using a flip-chart or a Powerpoint slide.

## Learning Activity

1.3.6

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### Concepts and definitions

#### METHOD

Mix and match – match key words to definitions

#### PURPOSE

To review concepts presented in Lesson 1.3

#### TIME

30 minutes

- Introduction and instructions: 5 minutes
- Work in small groups: 10 minutes
- Discussion and questions in large group: 10 minutes
- Summarize and close: 5 minutes

#### INSTRUCTIONS

- Match concepts with definitions

#### RESOURCES

- Learning Activity instructions
- Activity material

### Preparation

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

### Instructions

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

**1.3.6 Learning Activity Material: Concepts and definitions**

<p><b>Consent</b></p>	<p>All UN peacekeeping operations should be deployed with _____ of the main parties. Security Council action taken without the _____ of the parties is typically a peace enforcement mission, not a peacekeeping mission.</p>
<p><b>Impartiality</b></p>	<p>UN peacekeeping operations must implement mandates without favour or prejudice toward any parties to the conflict. _____ is crucial to maintaining consent and cooperation of main parties.</p>
<p><b>Non-use of force except in self-defense &amp; defense of mandate</b></p>	<p>_____ is particularly important where there is a 'robust mandate'. It is a fundamental principle for all peacekeeping personnel to keep in mind.</p>

<p><b>Legitimacy</b></p>	<p>A UN peacekeeping operation has international _____ because it is based on the UN Charter and international law, and popularly accepted by Member States.</p> <p>The quality and conduct of military, police and civilians can directly affect perceived _____.</p>
<p><b>Credibility</b></p>	<p>The _____ of a UN peacekeeping operation depends on the belief that the mission can achieve its mandate. _____ is affected by how capable and effective the mission is at managing and meeting the expectations of the international and local communities.</p>
<p><b>Impartiality – for humanitarian workers</b></p>	<p>_____ means being guided solely by needs, making no discrimination on the basis of nationality, race, gender, class, religious or political beliefs.</p>

**National and local  
ownership**

Promoting \_\_\_\_\_ involves:

1. including local and national perspectives on needs and best solutions;
2. nurturing national capacity to re-emerge quickly from conflict, to lead critical political and development processes.

## Evaluation

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

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

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

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

Other suggestions for evaluating learning follow the table.

Evaluation Questions for Lesson 1.3	
Questions	Answers
<b>Sentence Completion</b>	
1. Non-use of force, except in (a) _____ and (b) _____.	(a) Self-defense (b) Defense of the mandate
2. All UN peacekeeping operations deploy with _____ of the main parties to a conflict.	Consent
3. Impartiality for UN peacekeeping operations means that mandates are implemented with _____ to any parties to the conflict.	No favour or prejudice
4. The _____ authorizes use of force in UN peacekeeping.	Security Council
5. The _____ quality and (a) _____ of military, police and civilian peacekeeping personnel can directly affect perceived legitimacy. The UN expects all peacekeepers to act and behave to the (b) _____.	(a) Conduct (b) Highest standards
6. Legitimacy, credibility and promotion of national and local ownership are _____ for peacekeeping.	Success factors (or factors that influence success).  Distinguish these from three core principles: consent, impartiality, non-use

	of force except in self-defense or defense of the mandate. Participants may fill-in-the-blank with “essential”, or “critical”, also valid although not as accurate in relation to lesson content.
7. All peacekeeping personnel must make every effort to promote _____.	National and local ownership
8. The credibility of a UN peacekeeping operation depends on the belief that the mission can achieve its _____.	Mandate
9. Credibility is affected by how capable and effective the mission is at managing and meeting the _____ of the international and local communities.	Managing and meeting the <b>expectations</b>
10. A UN peacekeeping operation has international _____ because it is based on the UN Charter and international law, and popularly accepted by Member States.	Legitimacy
11. National and local ownership is grounded in the belief that building sustainable peace requires active engagement of _____ at all levels.	Local actors
<b>Narrative</b>	
<i>Note: Frame narrative evaluations as questions, requests or directions.</i>	
1. What are the three basic principles of UN peacekeeping which have remained the same since 1945?	<ol style="list-style-type: none"> <li>1. Consent</li> <li>2. Impartiality</li> <li>3. Non-use of force, except in self-defense or defense of the mandate</li> </ol>
2. Why is consent critical for peacekeeping missions?	<ul style="list-style-type: none"> <li>• Consent ensures a mission has political and physical freedom of action and support needed to carry out mandated tasks.</li> <li>• Without consent, a UN peacekeeping operation risks becoming a party to the conflict.</li> <li>• Security Council action without the consent of the parties is typically a peace enforcement mission, not a peacekeeping mission.</li> </ul>



<p>3. What does impartiality mean in UN peacekeeping?</p>	<ul style="list-style-type: none"> <li>• Impartiality means not taking sides. UN peacekeepers implement mandates with no favor or prejudice to any parties to the conflict.</li> <li>• Impartiality means even-handed and unbiased contact with all parties to a conflict by a UN peacekeeping operation.</li> </ul>
<p>4. What affects the credibility of the mission?</p>	<ul style="list-style-type: none"> <li>• Credibility is affected by how capable and effective the mission is at managing and meeting the expectations of the international and local communities.</li> <li>• The mission and all personnel must work to implement the mandate, and must always maintain a confident, capable and unified posture. The mission must also be able to manage the expectations of the local population.</li> </ul>
<p>5. The quality and conduct of personnel can directly affect the perceived legitimacy of a peacekeeping operation. Give specific examples of behaviour or conduct contributing to the perceived legitimacy of a peacekeeping operation.</p>	<p>Specific examples of behaviour or conduct contributing to the perceived legitimacy of a peacekeeping operation include:</p> <ol style="list-style-type: none"> <li>1. high standards in implementing the mandate</li> <li>2. how the peacekeeping operation uses force,</li> <li>3. zero tolerance for any kind of sexual exploitation and abuse, and other forms of serious misconduct</li> <li>4. the discipline imposed on personnel,</li> <li>5. the respect shown to local customs, cultural artefacts, institutions, laws, and the environment, and</li> <li>6. the decency with which local people are treated.</li> </ol>
<p>6. What does "managing expectations" mean, in a peacekeeping operation?</p>	<p>"Managing expectations" means each peacekeeping personnel must be careful to avoid making false promises to local communities. People expect a lot from a peacekeeping mission. A perceived failure to meet expectations may lead to dissatisfaction or active opposition.</p>
<p>7. Why is promoting national and local</p>	<p>Promoting national and local ownership</p>

<p>ownership so essential to peacekeeping success?</p>	<p>is essential to peacekeeping success because:</p> <ul style="list-style-type: none"> <li>▪ It reinforces the perceived legitimacy of an operation;</li> <li>▪ It is critical to successful implementation of a peace process or peace agreement, which the mission mandate supports.</li> <li>▪ It helps ensure the sustainability of peacebuilding after the mission has withdrawn. In other words, that there is a lasting or sustainable peace.</li> </ul>
<p>8. Explain where international legitimacy comes from for UN peacekeeping operations.</p>	<p>A UN peacekeeping operation has international legitimacy because it is based on the UN Charter and international law, and is popularly accepted by Member States.</p>
<p>9. What actions can peacekeeping personnel take to promote national and local ownership? Name at least three that you see as high priorities.</p>	<ul style="list-style-type: none"> <li>▪ Be aware of and respect national sovereignty.</li> <li>▪ Be aware of and respect national capacity.</li> <li>▪ Work to support and build national capacity.</li> <li>▪ Build trust and cooperation with local and national actors.</li> <li>▪ Be sensitive to local needs and perspectives.</li> <li>▪ Talk to people in all parts of society, including marginal groups.</li> <li>▪ Be in touch with a wide range of contacts – local officials; NGOs; groups of students, women, youth, elderly; the private sector. Make sure no group is or feels left out.</li> <li>▪ Steadily build knowledge of local history, culture and values.</li> <li>▪ Get feedback – informally, and through client surveys.</li> <li>▪ Keep communication lines open.</li> </ul>
<p><b>True-False</b></p>	
<p>1. The three basic principles of UN peacekeeping only apply to peacekeeping operations in the field.</p>	<p><b>False.</b> The basic principles apply to everyone involved in UN peacekeeping – in the field and at headquarters.</p>
<p>2. The three basic principles of UN peacekeeping only apply to military personnel.</p>	<p><b>False.</b> The basic principles apply to all peacekeeping personnel, and to all aspects of UN peacekeeping.</p>

<p>3. Impartiality means equal treatment of parties to a conflict, at all times.</p>	<p><b>False.</b> Impartiality is not equal treatment of all parties at all times. This would be appeasement. In some cases, local parties are obvious aggressors and/or victims. Their actions may contradict agreements and Charter principles, as well as mission standards.</p>
<p>4. The aim of use of force in peacekeeping is military defeat.</p>	<p><b>False.</b> The aim of use of force is to influence and deter spoilers working against a peace process or trying to harm civilians, UN staff or property. The aim is not military defeat.</p> <p>Minimum use of force is to be applied to achieve the desired tactical result, still sustaining consent for the mission and its mandate.</p>
<p>5. How peacekeeping personnel (military, police, civilians) act can influence a peacekeeping mission's perceived legitimacy.</p>	<p><b>True.</b> The perceived legitimacy of UN peacekeeping is affected by the quality and conduct of its personnel - police, military and civilians. The UN expects all peacekeeping personnel to act and behave to the highest standards.</p>
<p>6. Partnership between a peacekeeping operation and national and local actors is not a priority until near the end of a mission's life.</p>	<p><b>False.</b> Partnerships with national and local actors are a priority. Developing these partnerships is critical from the beginning of a peacekeeping operation. Promoting national and local ownership is a high priority, and involves consulting with local people and counterparts on needs and best solutions, as well as nurturing and developing national capacity through all actions. This helps a country re-emerge quickly from conflict.</p> <p>Due regard must be given to impartiality, wide representation, inclusion and equality. Engaging people in marginalized or vulnerable groups may require a targeted effort. Examples include women as a group of people who are typically excluded in a society, as well as children, a particular ethnic or religious group, elderly and people with disabilities.</p>

<p>7. Part of the UN's effort to promote national and local ownership includes reinforcing existing and building national and local capacity.</p>	<p><b>True.</b> The mission must allow national and local capacity to lead critical processes and state functions, such as military and police functions for security and public order. National and local capacity is what will carry on beyond the end of a peacekeeping mission and ensure lasting peace and development. Local people will take over the work when the operation withdraws.</p>
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### More ways to evaluate learning

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