

# Lesson 1.6



## How Peacekeeping Operations Work

### Lesson at a Glance

#### Aim

To explain authority, structures and the components in UN peacekeeping missions.

#### Relevance

All peacekeeping personnel must understand the way a UN peacekeeping mission works so that they can **work together well**. Working well with others in the mission is key to implementing the mandate.

UN peacekeeping missions are **unique in nature**. They are not the same as military or other organizations. They can be **complex**.

**Distinct management systems and command and control structures** direct and guide the work of peacekeeping personnel, and help the different parts of the mission to work together well as one.

This lesson explains key parts of a UN peacekeeping mission structure. Knowing “how things work” is the responsibility of each peacekeeping personnel. You must know who is in authority, and follow management systems and command and control structures.

#### Learning Outcomes

Learners will:

- Explain “operational authority” as it applies to UN peacekeeping
- List four main positions of authority in a UN peacekeeping mission
- Describe the support and substantive components and how they relate to mandate beneficiaries
- Describe the work of integrated and joint structures in UN peacekeeping operations

## Lesson Map

**Recommended Lesson Duration: 45 minutes total**

1-2 minutes per slide

Use short option learning activity

<b>The Lesson</b>	Pages 3-28
Starting the Lesson	Intro Slides
<b>Learning Activity 1.6.1: Importance of Authority</b>	
Authority, Command and Control	Slides 1-2
Overview of a Generic UN Peacekeeping Mission Structure	Slides 3-4
Main Positions of Authority	Slides 5-10
Management Structures	Slide 11
<b>Learning Activity 1.6.2: Command and Control</b>	
Substantive Components	Slide 12
Support Component	Slide 13
Joint and Integrated Structures	Slides 14-17
<b>Learning Activity 1.6.3: Absorbing the Acronyms</b>	
Summary	Pages 29-30
<b>Learning Evaluation</b>	Pages 31-34
<b>OPTIONAL: Additional Learning Activities</b>	See Resource
<b>Learning Activity 1.6.4: Leading Peacekeeping Missions</b>	

## The Lesson



### Starting the Lesson

Introduce the following (using the Introductory Slides):

- Lesson Topic
- Relevance
- Learning Outcomes
- Lesson Overview

Lesson 1.6 is full of acronyms. *Prepare participants by alerting them.* Consider either a mix-and-match exercise on acronyms or a call-and-response group exercise near the end of the lesson. The purpose is to reinforce learning and help evaluate absorption of new content, including "UN language" as a continuing theme.

## Learning Activity

1.6.1

### Importance of Authority

#### METHOD

Brainstorm, discussion

#### PURPOSE

To identify the need for clear lines of authority in UN peacekeeping missions

#### TIME

5 minutes


- Brainstorming: 3 minutes
- Discussion: 2 minutes

#### INSTRUCTIONS

- What does it mean to have "authority"?
- Give examples in everyday life and work
- List the challenges as a result of no clear lines of authority

#### RESOURCES

- Learning Activity instructions
- Photos

 **Learning Activity** 1.6.1

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Importance of Authority

**Instructions:**

- What does it mean to have "authority"?
- Give examples in everyday life and at work
- List the challenges as a result of no clear lines of authority

**Time:** 5 minutes

- Brainstorming: 3 minutes
- Discussion: 2 minutes



 **Learning Activity 1.6.1**

Image 1



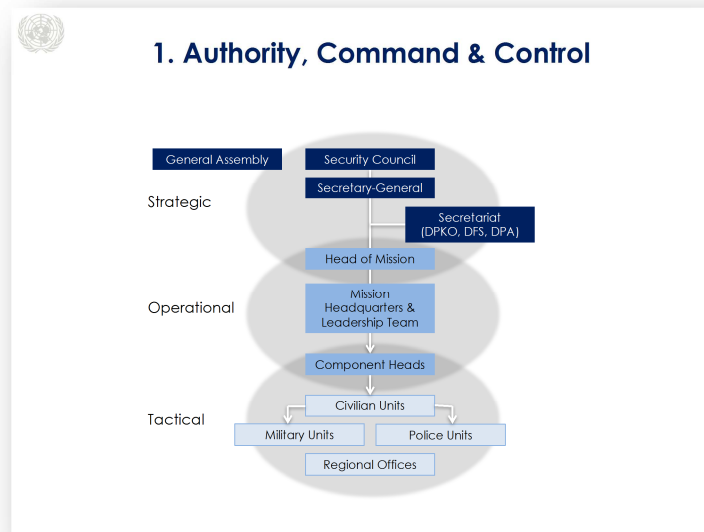
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## Authority, Command and Control



The diagram on the slide is a useful focus for presenting this content because it shows a) links between points already covered and new information and b) levels of authority.

### Slide 1



**Key Message:** The three levels of authority in UN peacekeeping operations are strategic, operational and tactical. These reflect authority, command and control.

**The strategic level has the highest authority.** It involves authority and responsibilities of the Security Council, Secretary-General and Secretariat. The strategic level includes the Head of Mission.

**The operational level is mainly mission level. It overlaps with strategic and tactical levels.**

Slide 2



### UN Operational Authority

- UN “**operational authority**” over ALL personnel in UN peacekeeping operations (UNPKOs) – including military and police
- Member States not permitted to adjust or influence any tactical plans, decisions or operations



**Key Message:** The UN has “operational authority” over ALL military, police and civilians in UN peacekeeping – including ALL tactical plans, decisions and operations.



Take time with the group to read the original definition of “operational authority”. It uses more formal language. Original language is important because every word counts in understanding the intended meaning.

The UN has “operational authority” over everyone in a UN peacekeeping operation. This includes all military and police.

For military and police personnel participating in UN peacekeeping operations, “operational authority” is:

*“The authority transferred by Member States to the United Nations to use the operational capabilities of their national military contingents, units, Formed Police Units and/or military and police personnel to undertake mandated missions and tasks. Operational authority over such forces is vested in the Secretary-General, under the authority of the Security Council”.*

“Operational authority” as used here is a broad term. Military forces may use the same term in different ways. For the UN it means:

- **Member States still hold national responsibilities for their military and police, such as pay, allowances and promotions.**
- **Governments or national military and police authorities of Member States must not change or influence tactical plans, decisions or operations. This prevents**

**confusion.** Tactical plans, decisions and operations are supervised by the UN Heads of the Military and Police Components in the mission area. Member States raise tactical operational matters with DPKO at Headquarters in New York.

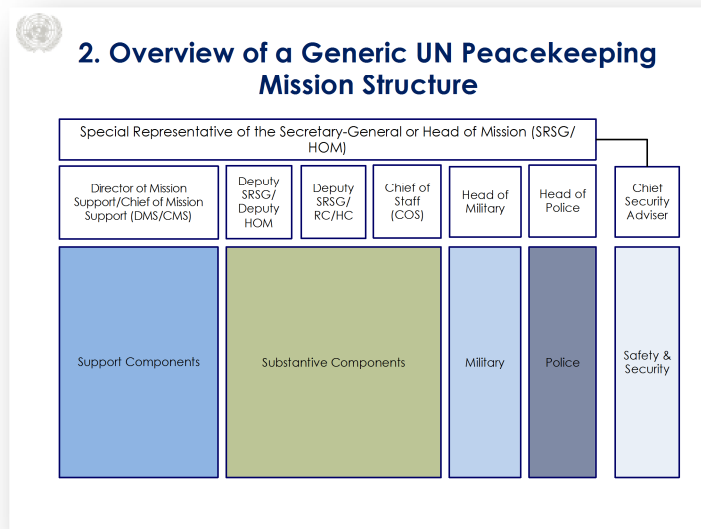
- **National rules and regulations govern conduct and discipline** of military and police units in peacekeeping operations. **UN rules and regulations also apply.**

Disciplinary matters remain a national responsibility. The UN may take administrative steps for misconduct. These include repatriation of military contingent members and staff officers. Guidance is in the revised model Memorandum of Understanding (A/61/19 part III).

The UN may also take disciplinary action for military or police "Experts on Mission". Guidance is the *UN Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers*.

## Overview of a Generic UN Peacekeeping Mission Structure

### Slide 3



**Key Message:** No standard structure exists of a UN peacekeeping operation.

"Components" are parts.

A typical UN peacekeeping mission structure includes:

- Main positions of authority
- Substantive components
- Support components
- Integrated or joint structures

Main positions of authority include the Head of Mission and heads of the military, civilian and police personnel.

Support components provide logistics and administrative support to substantive components.

Substantive components implement mandated tasks. These tasks benefit national partners and local people. The name given to those receiving mission services is “mandate beneficiaries”.

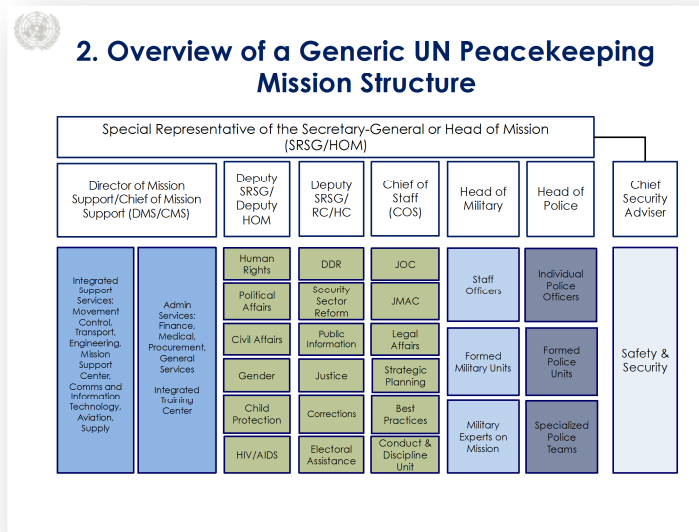
**Mandate beneficiaries are people or groups the peacekeeping mission assists, as directed by the mandate.**



*The word “mandate” was used first as a noun. A mandate authorizes a peacekeeping mission in a Security Council resolution. As the word slips into the language used to cover other content in the CPTM, remind learners of its original meaning and use.*



Slide 4



**Key Message:** Each mission has a different structure. Mission structures suit the mandates authorized by the Security Council. These differ because mandates respond to particular conflicts.

All missions have support and substantive components. The two work together for mandate beneficiaries.

A variety of units and offices may be in both support and substantive components. The diagram gives an example. Not all missions have all units. Different units will exist in a mission because of the mandate.

**Example:**

Landmines were not a problem in Timor-Leste. The peacekeeping operation, the UN Integrated Mission in Timor-Leste (UNMIT), had no demining mandate and no Mine Action unit. Most multidimensional missions have a Mine Action unit. UNMIT was mandated to give the Government electoral support so it had an Electoral Affairs unit.

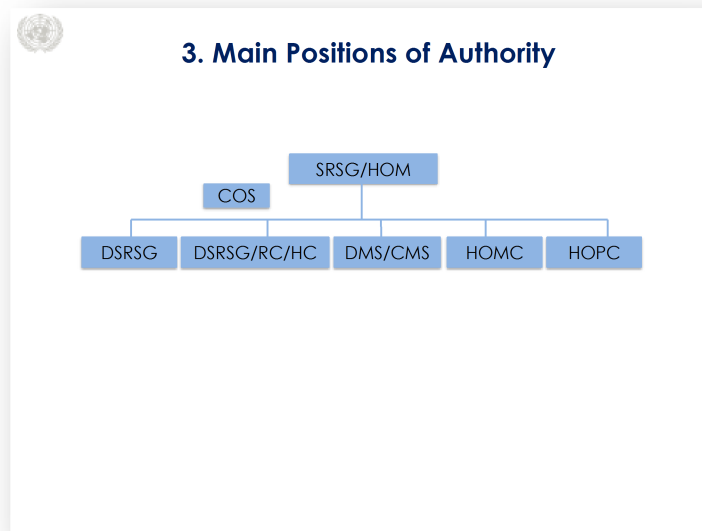
## Main Positions of Authority



From this point, Lesson 1.6 mainly covers individual authority roles and functions. Pause coverage and review learning before moving on.

Depending on the particular group of learners who form your audience also make a decision on the level of detail to which you want to discuss the following material.


### Slide 5



**Key Message:** These are the main positions of authority in UN peacekeeping missions. They include:

- Special Representative of the Secretary-General/ Head of Mission (SRSG/HOM)
- Deputy SRSG
- Chief of Staff (COS)
- Director/Chief of Mission Support (DMS/CMS)
- Head of Military Component (HOMC)
- Head of Police Component (HOPC)

Slide 6



Special Representative of the Secretary-General/Head of Mission (SRSG/HOM)

- Exercises “operational authority” over ALL personnel in UNPKO
- Responsible for strategic vision and guidance

**Key Message:** The Secretary-General appoints the Head of Mission (HOM). The HOM has “operational authority” over the whole peacekeeping mission.

“Operational authority” involves **ultimate authority at field level to direct all mission components**. The HOM directs how the capabilities of mission components are used to carry out the mandate. This authority has been given to the HOM by the Secretary-General and USGs DPKO and DFS.

In multidimensional peacekeeping missions, the HOM is always civilian. He or she is named Special Representative of the Secretary-General (SRSG). **The SRSG is the highest UN official in the country of deployment.**

The HOM in traditional peacekeeping missions is often a senior military officer, but not always. He or she has dual responsibilities as HOM and ‘Head of the Military Component’ (HOMC).

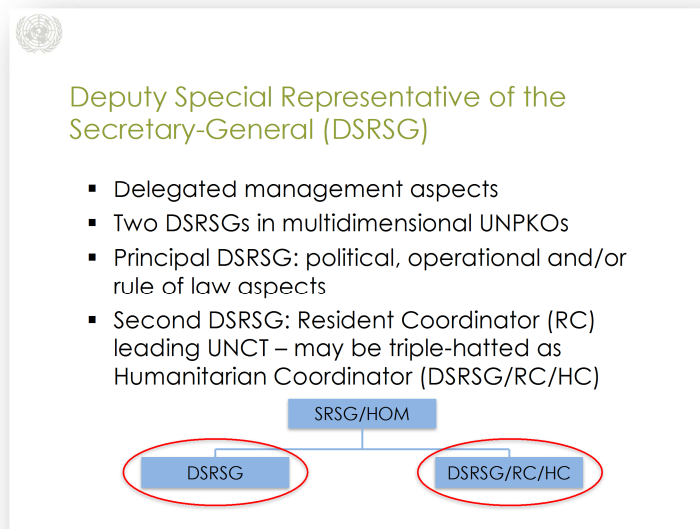
**Examples:**

- HOM in UNMOGIP (Chief Military Observer), UNTSO (Chief of Staff), UNDOF and UNIFIL ('Force Commanders') have all been senior military officers who also serve as 'Heads of the Military Component' (HOMC).
- HOM in MINURSO, a traditional mission, is a civilian SRSG. The HOM is assisted by a HOMC, known as the 'Force Commander'.

As a direct representative of the Secretary-General, **the SRSG/HOM has two main areas of responsibility:**

- **The peacekeeping mission** – provides strategic vision, guidance, management and has authority over all **mission components**
- **Political dialogue and “good offices”** – to keep the peace process alive, lessen tensions, manage potential relapse to violent conflict

**Slide 7**



**Key Message:** SRSGs usually have Deputies to manage the scope and breadth of responsibility. Deputy Special Representatives of the Secretary-General (DSRSGs) are civilians.

**Most multidimensional peacekeeping missions have two DSRSGs.**

- One Deputy is often termed the **Principal DSRSG**, responsible for **political, operational and rule of law aspects of the mission**. The Principal DSRSG is the second in command and becomes Officer-in-Charge (OIC) of the mission when the HOM/SRSG travels. HOM/SRSG delegates **management of mission operations to this DSRSG**.
- The second DSRSG often serves as **Resident Coordinator (RC)**. The RC **leads the UN Country Team (UNCT)**. In that role, the RC represents and coordinates UN development work of the UN agencies, funds and programmes. The RC is the main point of contact for UNCT with heads of state and government.

Some integrated mission contexts may have a humanitarian emergency. **The second DSRSG may also be appointed UN Humanitarian Coordinator (DSRSG/RC/HC)**. A DSRSG serving as RC and HC is “triple-hatted”.

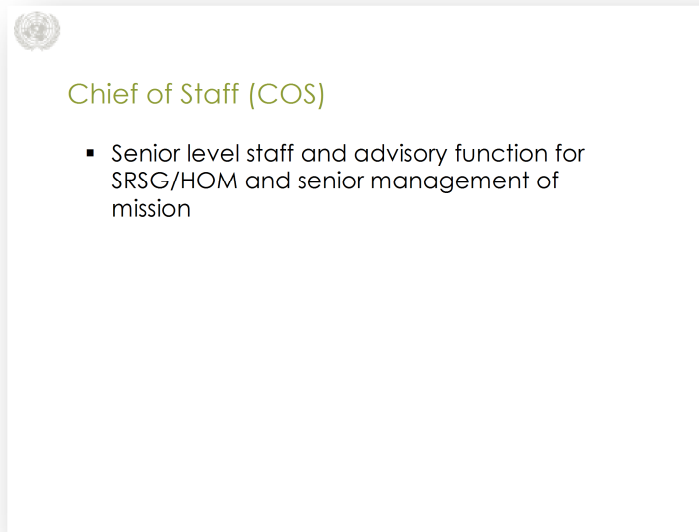
**The HC heads the Humanitarian Country Team (HCT)**. The HCT has representatives from:

- UNCT
- International and local non-governmental organizations (NGOs)
- International Red Cross and Red Crescent Movement – which includes the [International Committee of the Red Cross \(ICRC\)](#)
- International financial institutions (IFIs) – for example, World Bank and International Monetary Fund (IMF)

The HC coordinates emergency and humanitarian response and operations.

The DSRSG/RC/HC is OIC when the two other senior leaders are away from a mission (SRSG and Principal DSRSG).

Slide 8



**Key Message:** Most peacekeeping operations have senior support in the role of Chief of Staff (COS). The COS is civilian. The COS performs a senior level staff and advisory function for the HOM and mission senior management.

The COS works closely with the SRSG/HOM. The COS has the responsibility for:

- Effective and integrated management of all the mission's activities
- Implementation of the SRSG/HOM's strategic vision and guidance across all mission components
- Coordination of the mission's policy and planning activities among the various components of the mission
- Basic managerial tasks **on behalf** of the SRSG/HOM

Heads of Military and Police Components (HOMC and HOPC) may have internal COS with similar responsibilities.

Slide 9



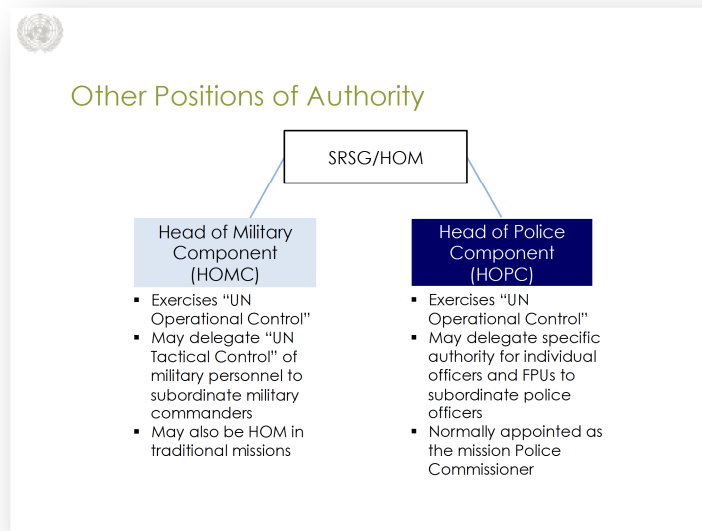
**Key Message:** The SRSG/HOM and DSRSGs are active in the substantive work of peacekeeping. The Director or Chief of Mission Support (DMS/CMS) is responsible for the support work. DMS/CMS makes sure logistical and administrative support is provided to the mission. The DMS/CMS is a civilian.

The DMS/CMS is the **most senior UN official in the mission authorized to spend UN funds from mission budget**. The function is critical in all peacekeeping missions.

Two civilian subordinate officials may support the DMS/CMS. These are 1) Chief Administrative Services (CAS) and 2) Chief Integrated Support Services (CISS).

The titles of DMS/CMS have replaced terms in previous use, such as Director of Administration (DOA) or Chief Administrative Officer (CAO).

Slide 10



**Key Message:** The SRSG/HOM has operational authority over the mission. However, the UN recognizes the need to maintain integrity of military and police chains of command. The SRSG/HOM only exercises authority over military and police personnel through the Heads of the Military and Police Components.

**Head of the Military Component (HOMC):**

- Reports to the HOM.
- Has 'UN Operational Control' over all military personnel and units assigned to the mission. This covers formed military units or contingents, military experts on mission and staff officers. This delegated authority lets the HOMC deploy and direct forces for specific tasks. Specific tasks involve those limited by time, function and location.
- May also delegate military personnel and units under 'UN Tactical Control' of a subordinate military commander. This allows local direction of personnel, assisting tactical missions and tasks.
- Is the principal adviser to the HOM on military issues.

**Head of the Police Component (HOPC):**

- Reports to the HOM.
- HOPC has 'UN Operational Control' over all UN Police (UNPOL) in a peacekeeping operation. This covers UN Individual Police Officers (IPOs),



Specialised Police Teams (SPTs), Formed Police Units (FPUs) – and when deployed to the mission, members of the Standing Police Capacity (SPC).

- May assign separate tasks within the mission area to individual officers FPU. The HOPC may delegate this authority to subordinate police officers for specific purposes.
- Is the principal adviser to the HOM on police issues.

### **Reporting Links to UN Headquarters – HOM and HOPC**

- The HOMC and HOPC each have a technical reporting link to UN Headquarters. HOMC reports to the UN Military Adviser and HOPC to the UN Police Adviser.
- This reporting link ensures technical aspects of military and police field operations follow UN policies and standards.

The reporting link also helps UN Headquarters in its official contact with Member States about military and police peacekeeping work.

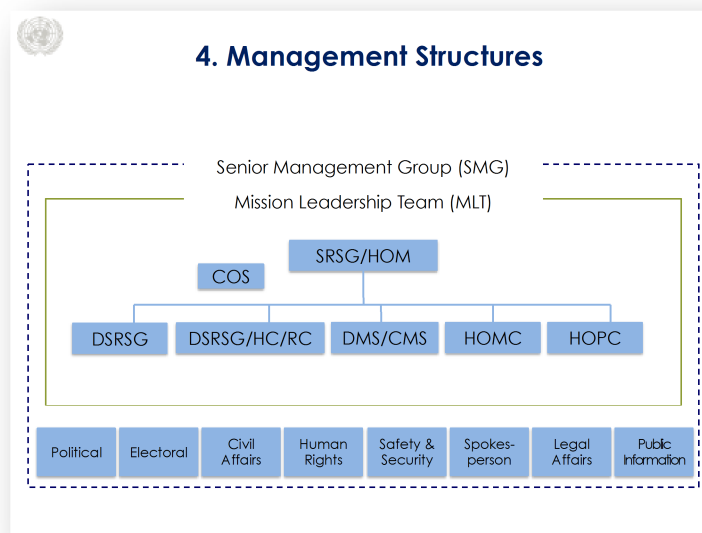
## Management Structures



The following content explains how management draws these together so a mission works as one.

Depending on the particular group of learners who form your audience, make a decision on the level of detail to which you want to discuss the following material.

### Slide 11



**Key Message:** Different management structures exist to help the SRSG/HOM manage mission work. Two key management structures are the “Mission Leadership Team” and “Senior Management Group”.

The source for these terms is the 2008 Policy on Authority, Command and Control. These structures exist at mission headquarters level. In larger missions, regional management structures may also coordinate the work of different parts of the peacekeeping operation in that region.

### Mission Leadership Team

- The Mission Leadership Team (MLT) is the mission’s **executive decision-making forum. It brings together senior decision-makers from components of a peacekeeping operation.** The MLT supports integrated decision-making among components. In “integrated missions” – with a “triple-hatted” DSRSG serving as RC and HC for the UNCT – the MLT also supports integrated planning and decision-making with the UNCT.

- The MLT **sets and shares the strategic vision** for achieving the mandate.
- The MLT membership is:
  - HOM
  - HOMC
  - HOPC
  - DSRSGs – at least one to represent civilian components, and in integrated missions, the UNCT
  - COS
  - DMS/CMS

### Senior Management Group

- Most peacekeeping operations have a Senior Management Group (SMG). The SMG is **a wider forum for management, planning and coordination**.
- The SMG in multidimensional missions usually **includes members of the MLT and the various heads of civilian components**, such as political affairs, human rights and public information. An SMG in a traditional peacekeeping operation is smaller because it has fewer civilian components.

## Learning Activity

1.6.2

### Command and Control

#### METHOD

Scenarios, questions

#### PURPOSE

To apply understanding of command and control to UN peacekeeping

#### TIME

10 minutes

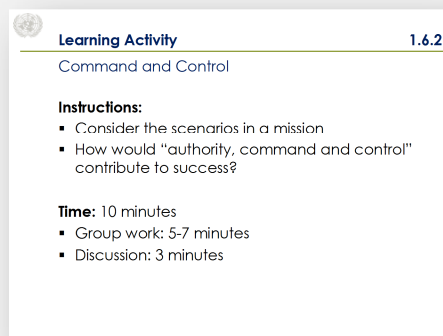
- Group work: 5-7 minutes
- Discussion: 3 minutes

#### INSTRUCTIONS

- Consider the scenarios in a mission
- How would “authority, command and control” contribute to success?

#### RESOURCES

- Learning Activity instructions
- Responses to discussion questions
- Scenarios with photos



**Learning Activity** 1.6.2

Command and Control

**Instructions:**

- Consider the scenarios in a mission
- How would “authority, command and control” contribute to success?

**Time:** 10 minutes

- Group work: 5-7 minutes
- Discussion: 3 minutes



**Learning Activity 1.6.2**

**Scenario 1**

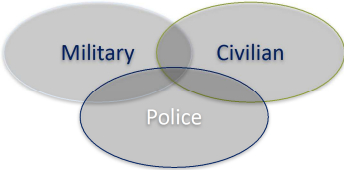
You are the Head of the Police Component (HOPC). You have just deployed to a new mission. The police component is made up of police personnel from different police contributing countries.



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## Substantive Components

### Slide 12



**5. Substantive Components**

- Substantive work of UNPKO involves "essential" tasks outlined in mandate
- Tasks carried out by UN military, police, civilian personnel or "components"

The diagram consists of three overlapping ovals. The top-left oval is labeled 'Military', the top-right oval is labeled 'Civilian', and the bottom oval is labeled 'Police'. All three ovals overlap in a central area.

**Key Message:** UN military, police and civilian components are substantive components in UN peacekeeping operations. They implement mandated tasks.

"Substantive" has different meanings. For UN peacekeeping, "substantive" refers to "essential work". Essential work is carried out by UN military, police and civilian components. Essential work refers to the tasks set by the mission mandate.

Substantive components directly assist local and national partners. **By working together on mandated tasks, military, police and civilians help strengthen the foundation for sustainable peace.**

Components and units need to work together on different tasks to support the same mandate. This challenges all peacekeeping operations.



*Inform learners that more details on military, police and civilian components will be addressed in Lesson 1.7.*

## Support Component

### Slide 13



The slide features a small UN emblem in the top left corner. The title "6. Support Components" is centered at the top. Below the title are two bullet points: "Necessary logistics and administrative support to the mission" and "Combines military and civilian services". Underneath the text is a 4x4 grid of 16 icons representing various support functions such as transport, communication, medical, and administrative services.

### 6. Support Components

- Necessary logistics and administrative support to the mission
- Combines military and civilian services



**Key Message:** The support component is responsible for necessary mission logistics and administrative support.

This combines civilian and military services. The UN contracts civilian services. It secures military support capabilities through “lease” arrangements with contributing Member States.

Logistics and administrative support for UN operations is complex. Other logistical support models may be simpler. The complexity addresses different requirements. The needs vary for military contingents, civilian staff, police and military observers. For example, contingents deploy with varying levels of self-sufficiency.

A successful peacekeeping operation needs:

- Good logistics planning
- Strong communication
- Adequate resourcing
- Close integration of uniformed and civilian support

## Joint and Integrated Structures

### Slide 14



#### 7. Joint & Integrated Structures

- Integrated Support Services (ISS)
- Mission Support Centre (MSC)
- Joint Operations Centre (JOC)
- Joint Mission Analysis Centre (JMAC)
- Integrated Mission Training Centre (IMTC)

**Key Message:** Joint and integrated structures ensure good coordination and use of resources.

They exist for support work and substantive work.

For support work, all missions have Integrated Support Services (ISS) and a Mission Support Centre (MSC).

For substantive work, missions have a Joint Operations Centre (JOC) and a Joint Mission Analysis Centre (JMAC).

All missions have Integrated Support Services (ISS) and a Joint Operations Centre (JOC).

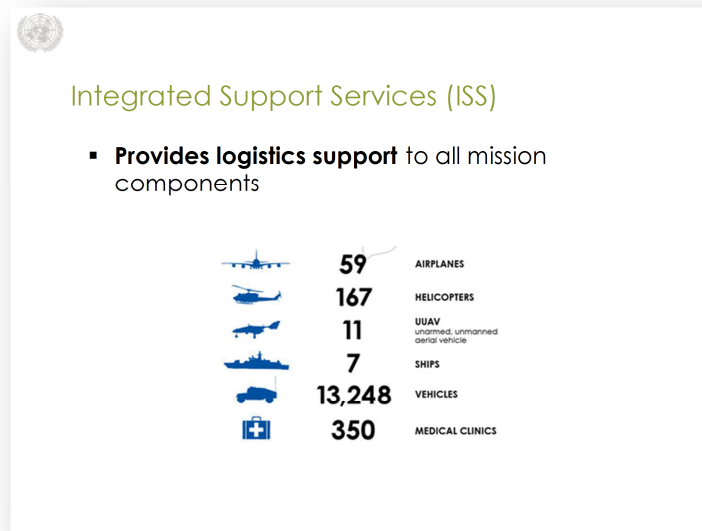
The Integrated Mission Training Centre (IMTC) is responsible for providing training services to the mission's peacekeeping personnel (civilian, police and military) and the UNCT, where applicable.

Joint centres are all headed by civilians. They bring together civilian, military and police specialists. The purpose is to ensure effective coordination of resources, information and action across missions.



*More information on IMTCs and continuous learning will be addressed in Lesson 3.1.*

Slide 15



**Key Message:** ISS gives logistics support to all mission components, including those in regions or sectors.

ISS controls all logistical resources in a mission. This includes UN-owned, commercially contracted and military logistics or enabling units. Examples are construction and maintenance engineering, medical, movement control, supply and transport.


The ISS Chief has “tasking authority” over the ISS. This authority applies to all ISS resources and personnel, including uniformed personnel.

**ISS DOES COVER:** enabling units, transportation and movement units, such as military transport helicopters.

**ISS DOES NOT COVER:** combat units, such as combat aviation units or combat/field engineers. The HOMC has authority to task these.









Slide 16



### Mission Support Centre (MSC)

- **Provides** all mission components, other UN and non-UN entities with **a single point of coordination** for logistics support in the mission area


	<b>59</b>	AIRPLANES
	<b>167</b>	HELICOPTERS
	<b>11</b>	UAV <small>unarmed, unmanned aerial vehicle</small>
	<b>7</b>	SHIPS
	<b>13,248</b>	VEHICLES
	<b>350</b>	MEDICAL CLINICS

**Key Message:** The Mission Support Centre (MSC) is a single point of coordination for all logistics support in a mission area. A single point of coordination is necessary for all mission components and other UN and non-UN entities involved in logistics support.

**The MSC was previously known as the Joint Logistics Operation Centre (JLOC).**

Some UN peacekeeping units use military logistics units. When such “enabling units” are used, the MSC is part of the ISS.

Slide 17



Joint Operations Centre (JOC) &  
Joint Mission Analysis Centre (JMAC)

- Both support **integration of information**
- JOC: **consolidates** information from across the mission and UNCT
- JMAC: **analyses** and anticipates threats, risks and patterns of incidents based on information

**Key Message:** To implement its mandate, a peacekeeping mission needs to have good understanding of events, trends and patterns of incidents. The Joint Operations Centre (JOC) and the Joint Mission Analysis Centre (JMAC) integrate information from different sources into clear reports.

Everyone in a peacekeeping mission has a role in gathering information and feeding it into the mission's structures for reporting, analysis and response.

**The JOC and the JMAC are integrated structures. They have civilian, military and police personnel.** The work of the JOC and JMAC support each other but they have distinct roles in managing information and reports. The shared role is to:

- Gather information from mission, UNCT and other sources
- Manage and respond to this information
- Support crisis management responses

These two distinct services complement each another. The JOC has central importance because JMAC success builds on JOC success. **Wherever possible, JOCs and JMACs co-locate.**

All multidimensional integrated missions have JOCs and JMACs. Both enjoy close links to and the support of mission leadership.

### Joint Operations Centre (JOC)

- The JOC is the mission's information hub.
- The JOC **consolidates information about developments**. Information comes from components across the mission and the UNCT.
- The JOC **consolidates information daily. Information is used to a) update mission leadership, b) update the mission and c) report to UN Headquarters**.
- The JOC keeps the HOM up-to-date on the operational situation. Information covers all parts of a mission area. The JOC produces regular and timely integrated reports on all mission operations.
- The JOC has a separate and distinct intelligence role and an operations coordination and crisis management role.
- During times of crisis, some JOCs facilitate coordinated responses among mission components. During a crisis event, the JOC becomes the HOM's crisis management centre.
- "Operational coordination" by the JOC involves close collaboration with the MSC.
- A civilian usually heads the JOC.

### Joint Mission Analysis Centre (JMAC)

- The JMAC **analyzes and anticipates threats, risks and patterns of incidents to inform medium- and long-term decision-making by mission leadership**.
- The JMAC contextualizes information. Its contribution is deeper understanding to inform decision-making by senior leadership.
- The JMAC assists the HOM to produce medium- and long-term analysis using information from different sources. Focus is on threats to mandate implementation.
- JMACs do more than **threat analysis**. JMACs also provide mission leadership with **opportunity analysis**.
- In a crisis, the JMAC has a role to:
  - Anticipate potential and emerging crises
  - Identify possible outcomes and implications
- The JMAC contributes to a mission's early warning efforts through **predictive analysis**.

## Learning Activity

1.6.3

### Absorbing the Acronyms

#### METHOD

Time for a creative break – *rhyme it, rap it, sing it, tap it*

#### PURPOSE

To find engaging ways to help the participant group absorb and remember the names and acronyms of main positions of authority, structures and functions in UN peacekeeping

#### TIME

Short option: 10 minutes

- Group work: 5-7 minutes
- Discussion 3 minutes

Longer option: 30-45 minutes

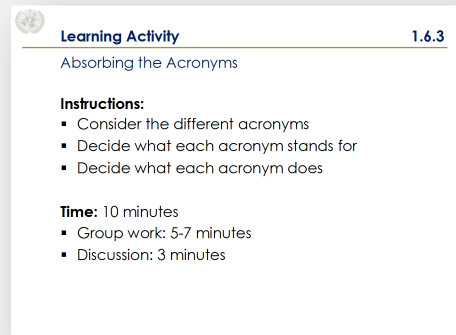
- Introduce and prepare for the activity, distribute tasks: 5 minutes
- Group work in small groups: 10-20 minutes
- Small groups presenting in plenary (adjust time for groups depending on number): 10-20 minutes

#### INSTRUCTIONS

- Consider the different acronyms
- Decide what each acronym stands for
- Decide what each acronym does

#### RESOURCES

- Learning Activity instructions
- Learning Activity steps for participants
- Activity material



The thumbnail shows a document titled "Learning Activity" with the sub-title "Absorbing the Acronyms" and the reference "1.6.3". It contains the following text:

**Instructions:**

- Consider the different acronyms
- Decide what each acronym stands for
- Decide what each acronym does

**Time:** 10 minutes

- Group work: 5-7 minutes
- Discussion: 3 minutes

## Summary

### **The UN has “operational authority” over ALL military, police and civilians in UN peacekeeping – including ALL tactical plans, decisions and operations**

- The UN has “operational authority” over everyone in a UN peacekeeping operation. This includes all military and police.
- For military and police, “operational authority” in UN peacekeeping means:
  - Member States still hold national responsibilities for their military and police, such as pay, allowances and promotions.
  - Tactical plans, decisions and operations are supervised by the UN Heads of the Military and Police Components in the mission area.
  - National and UN rules and regulations govern conduct and discipline of military and police units in peacekeeping operations.

### **The main positions of authority in a UN peacekeeping mission: HOM/SRSG, DSRSG, COS, DMS/CMS, HOMC and HOPC**

- The main positions of authority in a UN peacekeeping operation may include:
  - Head of Mission/Special Representative of the Secretary-General (HOM/SRSG)
  - Deputy SRSG
  - Chief of Staff (COS)
  - Director/Chief of Mission Support (DMS/CMS)
  - Head of Military Component
  - Head of Police Component

### **The support and substantive components work together to implement the mandate, to the benefit of host country and its people**

- Support components provide logistics and administrative support to substantive components.
- UN military, police and civilian components are substantive components in UN peacekeeping operations. They implement mandated tasks.
- Mandated tasks benefit national partners and local people.
- The name given to those receiving mission services is “mandate beneficiaries”. Mandate beneficiaries are people or groups the peacekeeping mission assists, as directed by the mandate.

**(Cont.)**

**(Summary cont.)**

**Integrated and joint structures such as ISS, MSC, JOC, JMAC ensure good coordination and use of resources**

- Joint and integrated structures ensure good coordination and use of resources. They exist for support work and substantive work.
- For support work, all missions have Integrated Support Services (ISS) and a Mission Support Centre (MSC).
- For substantive work, missions have a Joint Operations Centre (JOC) and a Joint Mission Analysis Centre (JMAC).
- ISS gives logistics support to all mission components, including those in regions or sectors.
- MSC is a single point of **coordination** for all logistics support in a mission area.
- The Joint Operations Centre (JOC) and the Joint Mission Analysis Centre (JMAC) integrate information from different sources into clear reports.
- The JOC consolidates information about developments.
- The JMAC analyzes and anticipates threats, risks and patterns of incidents. It is critical to successful implementation of a peace process or peace agreement, which the mission supports.

## 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) Narrative
- 2) Fill in the blank / sentence completion
- 3) True-False
- 4) Multiple-choice

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 1.6	
Questions	Answers
<b>Narrative</b> <i>Note: Frame narrative evaluations as questions, requests or directions.</i>	
1. How does the UN define “operational authority”?	<p><i>“the authority transferred by Member States to the United Nations to use the operational capabilities of their national military contingents, units, Formed Police Units and/or military and police personnel to undertake mandated missions and tasks. Operational authority for such forces is vested in the Secretary-General under the authority of the Security Council.”</i></p> <p>The UN has “operational authority” over <u>everyone</u> in a UN peacekeeping operation. This includes all military and police.</p> <p>For military and police, “operational authority” in UN peacekeeping means:</p> <ul style="list-style-type: none"> <li>▪ Member States still hold national</li> </ul>

	<p>responsibilities for their military and police, such as pay, allowances and promotions.</p> <ul style="list-style-type: none"> <li>▪ Tactical plans, decisions and operations are supervised by the UN Heads of the Military and Police Components in the mission area.</li> <li>▪ National and UN rules and regulations govern conduct and discipline of military and police units in peacekeeping operations.</li> </ul>
2. Name six main positions of authority in UN peacekeeping operations.	<ul style="list-style-type: none"> <li>▪ Head of Mission/Special Representative of the Secretary-General (HOM/SRSG)</li> <li>▪ Deputy SRSG / Resident Coordinator (DSRSG/RC)</li> <li>▪ Chief of Staff (CoS)</li> <li>▪ Director/Chief of Mission Support (DMS/CMS)</li> <li>▪ Head of Military Component (HOMC)</li> <li>▪ Head of Police Component (HOPC)</li> </ul>
3. Joint and integrated structures exist for support and substantive components. Name two for each.	<p>Support</p> <p style="padding-left: 40px;">Integrated Support Services (ISS) Mission Support Centre (MSC)</p> <p>Substantive</p> <p style="padding-left: 40px;">Joint Operations Centre (JOC) Joint Mission Analysis Centre (JMAC)</p>
4. What structure in a mission analyzes and anticipates threats, risks and patterns of incidents?	The Joint Mission Analysis Centre (JMAC)
5. What structure in a mission consolidates information about developments?	The Joint Operations Centre (JOC)
<b>Fill-in-the-blanks</b>	
6. Substantive components of a peacekeeping mission implement tasks which assist _____.	Mandate beneficiaries, those who receive mission services according to the mandate. These include national partners and local people and institutions.
7. In the mission, the _____ exercises "operational authority" over all civilian, military and police personnel	Head of Mission/Special Representative of the Secretary-General (HOM/SRSG).



<p>in a peacekeeping operation. "Operational authority" involves ultimate authority at field level to direct all mission components.</p>	<p>The Secretary-General delegates this operational authority to the HOM/SRSG.</p>
<p><b>True-False</b></p>	
<p>8. Troop and police contributing countries (Member States) can adjust tactical plans and decisions.</p>	<p><b>False.</b> Member States are not permitted to adjust plans, decisions or operations. The UN's "operational authority" includes authority over all military and police personnel in UN peacekeeping operations.</p>
<p>9. The support component is responsible for administration, communication, and the resources for substantive component.</p>	<p><b>True.</b> The support component provides logistics, communication, and administration for substantive components. Substantive components directly assist local, national people and institutions.</p> <p>Both the support and substantive components combine civilian and military services.</p>
<p>10. Joint and integrated structures bring together civilian, military and police specialists to ensure effective coordination and good use of resources.</p>	<p><b>True.</b> Joint and integrated structures ensure good coordination and use of resources. They exist for support and substantive work. They combine civilian and military services. They are all headed by civilians.</p>
<p><b>Multiple Choice</b> <i>Note: Check one for each.</i></p>	
<p>11. Member States: (check one that applies)</p> <p>____(a) can adjust tactical plans of a peacekeeping operation;</p> <p>____(b) do strategic level financial management for a mission</p> <p>____(c) retain national responsibility for pay, allowances, promotions</p> <p>____(d) work directly with the DPKO and DFS Under-Secretaries General</p> <p>____(e) none</p> <p>____(f) all</p>	<p>(c) <b>Retain national responsibility for pay, allowances and promotions.</b> This applies to military and police personnel deployed to a UN peacekeeping operations, not to civilians.</p>
<p>12. Integrated Support Services (ISS): (check all that apply)</p> <p>____ (a) supports logistics</p>	<p><b>TRUE:</b></p> <p>(a) supports logistics</p> <p>(b) covers regions or sectors</p>

<p>____ (b) covers regions or sectors ____ (c) covers combat aviation units ____ (d) is headed by military personnel.</p>	<p><b>NOT TRUE:</b> (c) – ISS does not cover combat aviation units, or any other combat units, (d) – civilians head ISS and other integrated management structures.</p>
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## Commonly Asked Questions and Key Words

Key Words or phrases for this lesson:

Key Word or Phrase	Definition
<p><b>Operational Authority</b></p>	<p>For military and police personnel participating in UN peacekeeping operations, "operational authority" is: <i>"the authority transferred by Member States to the United Nations to use the operational capabilities of their national military contingents, units, Formed Police Units and/or military and police personnel to undertake mandated missions and tasks. Operational authority over such forces is vested in the Secretary-General, under the authority of the Security Council"</i>.</p> <p>'Operational Authority' as used here is a broad term. Military forces may use the same term in different ways. For the UN it means:</p> <ul style="list-style-type: none"> <li>- <b>Member States still hold national responsibilities for their military and police, such as pay, allowances and promotions.</b></li> <li>- <b>Governments or national military and police authorities of Member States must not change or influence tactical plans, decisions or operations. This prevents confusion.</b> Tactical plans, decisions and operations are supervised by the UN Heads of the Military and Police Components in the mission area. Member States raise tactical operational matters with DPKO at Headquarters in New York.</li> <li>- National rules and regulations govern conduct and discipline of military and police units in peacekeeping operations. <b>UN rules and regulations also apply.</b></li> </ul> <p>Disciplinary matters remain a national responsibility. The United Nations may take administrative steps for misconduct. These include repatriation of military contingent members and staff officers. Guidance is in the revised model Memorandum of Understanding, (A/61/19 part III).</p> <p>The UN may also take disciplinary action for military or</p>

	police “Experts on Mission”. Guidance is the <i>UN Directives for Disciplinary Matters Involving Civilian Police Officers and Military Observers</i> .
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Commonly asked questions from participants:

Possible Questions	Possible Responses
How does the United Nations decide on the structure of a peacekeeping mission?	There is no standard structure or organogram for a United Nations peacekeeping operation. The structure of each peacekeeping operation is developed based on the Security Council mandate. Generally, the Technical Assessment Mission (TAM) sent to the country, which prepares the Secretary General's report to the Security Council advising on whether a peacekeeping operation should be deployed will also make recommendations on the structure of the mission.
Why are the Heads of Military Components called different names, Such as Force Commander (FC), Chief Military Observer (CMO) and Chief Military Liaison Officer (CMLO)?	The title assigned to a Head of the Military Component in a peacekeeping mission is intended to reflect the functional role intended when the mission was started. The role may change over time but the title may stay unchanged (e.g. 'Force Commander' of MINURSO where there is no longer any armed units).
Can a UN civilian staff member direct or give orders directly to a UN military or police person?	Yes, but only if that military or police person is being directly supervised by the civilian staff member (e.g. are members of a Joint Centre) and the direction can only be related to routine tasks and not tactical operations.
Do national rules and regulations governing the conduct and discipline of military and police still apply when serving in a UN peacekeeping mission?	Yes. Military and police personnel are also required to comply with UN rules and regulations governing the conduct and discipline of peacekeepers.
When UN military or UN Police are mandated to work directly with local Government security forces, does the UN exercise operational authority over the local security forces?	No. The United Nations only exercises operational authority over those troops or police which have been provided to participate directly in a UN peacekeeping operation. In rare cases where the United Nations has executive policing authority, may the UN Police possibly exercise operational or tasking authority over host country police officers. If this is the case, the level of authority and the limits to UN authority will be specified in a separate agreement with the local Government.

<p>How are military and police personnel working in joint or integrated structures selected?</p>	<p>Military and Police specialists serving in the JMAC, JOC, and JLOC are selected through a competitive process supervised by the Department of Peacekeeping Operations (DPKO) and Department of Field Support (DFS) in UN Headquarters in New York.</p>
<p>Can staff officers also be deployed outside the mission headquarters?</p>	<p>In a few larger missions with significant regional or sector offices, staff officers may also be deployed to the regions. Generally, staff officers work in the mission headquarters.</p>
<p>Is it true that only people in the JOC and JMAC work with information and reports?</p>	<p>This is false. The JOCs and JMACs depend on a reliable flow of relevant information. JOC and JMAC need many sources of information from those in the best position to know what is happening. All personnel – military, civilian and police – need to contribute timely and relevant reports to the information stream to JOCs and JMACs. Everyone in a peacekeeping mission has a role in gathering information and feeding it into the mission's structures for reporting, analysis and response. Peacekeeping personnel gather information at the tactical level and report. Coherence in reporting helps establish a clear and accurate picture of events/incidents in a mission area.</p> <p>Peacekeeping personnel are encouraged to be creative in gathering and sharing information, especially to enable a rapid response to a crisis. For example, report of an urgent incident with a picture first – being mindful of potential sensitivities and risk.</p> <p>Information not critical in a crisis situation may have value for wider context-setting and planning. During low/downtime (non-peak, non-crisis) times in a mission, personnel should invest time in updating information.</p>
<p>What four main types of reports are important for a peacekeeping mission?</p>	<ul style="list-style-type: none"> <li>• Code cables</li> <li>• Alerts/flash reports</li> <li>• Technical reports</li> <li>• Internal sitreps (situation reports)</li> </ul> <p>The latter three are especially relevant to mission personnel – alerts/flash reports, technical reports and internal sitreps. Code cables are a main means of communicating between a mission and HQ.</p>
<p>What are senior officers and managers mainly responsible for in a crisis situation? How do they work with JOCs/JMACs?</p>	<p>Senior officers and managers are mainly responsible for decision-making in a crisis situation. Reporting is a responsibility for all. Emphasis for senior management in crisis management is on decision-making, not reporting. Senior managers also need to be willing to contribute to integrated processes, ensure components provide regular inputs to JOCs/JMACs, and be willing to nominate prized personnel</p>

	<p>to serve as effective Liaison officers, strong representatives of a component.</p>
<p>Why are JOC and JMAC important integrated structures? Are informal networks also important to information management in peacekeeping?</p>	<p>Military, police and civilian components tend to report only up their chain of command, especially military and police. Unwillingness to share or release information has to be challenged. The JOCs and JMACs gather and manage information for the benefit of the whole mission. They need as comprehensive a picture as possible, from all available sources. All components need to share relevant information – emphasis on “relevant”.</p> <p>Having information networks through which to gather and cross-check information adds value. Personnel should establish, maintain and use informal networks as a “force multiplier” in gathering information.</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](#)
- Review peacekeeping mission mandates (See 'Additional Resources')
- [Model Memorandum of Understanding \(MOU\) between the United Nations and Troop Contributing Countries \(A/C.5/60/26\)](#)
- [Subsequent amendments to the Model MOU between the United Nations and Troop Contributing Countries \(A/61/19/REV.1\(SUPP\)\)](#)  
(Guidance on disciplinary matters is in the revised model Memorandum of Understanding, (A/61/19 part III))
- [Directives for Disciplinary Matters involving Civilian Police Officers and Military Observers \(DPKO/MD/03/00994\)](#)
- [Directives for Disciplinary Matters involving Military Members of National Contingents \(DPKO/MD/03/00993\)](#)
- [DPKO-DFS Policy on Authority, Command and Control in UN Peacekeeping Operations, 2008](#)  
(Particularly for courses involving contingent commanders and/or staff officers, instructors may wish to add additional information on the tasking of mission assets. This information is contained in pages 15 and 16 of the DPKO-DFS Policy on Authority, Command and Control in UN Peacekeeping Operations)
- [DPKO-DFS Mission Start Up Field Guide for Mission Managers of UN Peacekeeping Operations, 2010](#)
- [DPKO-DFS Policy on Joint Operations Centres \(JOC\), 2014](#)
- [DPKO-DFS Guidelines on JOC, 2014](#)
- [DPKO-DFS Policy on Joint Mission Analysis Centres \(JMAC\), 2015](#)
- [DPKO-DFS Guidelines on JMAC, 2015](#)

## Additional Resources

### UN Information

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

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> )

To verify the continued accuracy of the information on the missions and senior management posts, search for the specific mission and find the names and titles, and often pictures of the Mission Leadership.

### 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>