

Lesson 3.3



Conduct and Discipline

Lesson at a Glance

Aim

To explain to UN peacekeeping personnel the standards of conduct the UN requires.

Relevance

As peacekeeping personnel, you must act as a **role model** and an **ambassador of the UN** and your country. Everything you do must uphold highest standards of behaviour and integrity.

Peacekeeping personnel **must not be part of sexual violence or exploitation**. Under no circumstances can peacekeeping personnel commit sexual violence or exploit women, children or local people. Peacekeeping personnel must not violate human rights or international humanitarian law.

This lesson explains how the UN defines misconduct and details the serious consequences.

Learning Outcomes

Learners will:

- List the three key principles governing the conduct of UN peacekeeping personnel
- Describe the categories of misconduct
- Explain consequences of misconduct for victims, peacekeeping personnel, and the mission
- List key entities that address conduct and discipline issues

Lesson Map

Recommended Lesson Duration: 45 minutes total

1-2 minutes per slide

Use short option learning activity

The Lesson	Pages 3-23
Starting the Lesson	Intro Slides
Learning Activity 3.3.1: Film: <i>Perceptions of UN Peacekeeping Personnel</i>	
Conduct	Slides 1-4
Misconduct	Slides 5-9
Learning Activity 3.3.2: Consequences of Misconduct	
Consequences of Misconduct	Slides 10-12
Reporting Misconduct	Slides 13-15
Learning Activity 3.3.3: Promoting Good Conduct	
What Individual Peacekeeping Personnel Can Do	Slides 16-17
Summary	Pages 24-25
Learning Evaluation	Pages 26-28
OPTIONAL: Additional Learning Activities	See Resource
Learning Activity 3.3.4: Perceptions of UN Peacekeeping Personnel	
Learning Activity 3.3.5: Categories of Misconduct	

The Lesson



Starting the Lesson

Introduce the following (using the Introductory Slides):

- Lesson Topic
- Relevance
- Learning Outcomes
- Lesson Overview

Learning Activity**3.3.1***Film: Perceptions of UN Peacekeeping Personnel***METHOD**

Film, group discussion

PURPOSE

To consider how the conduct of individual peacekeeping personnel affects the UN and mission

TIME

15 minutes

- Film: 3:10 minutes
- Group work: 5-7 minutes

INSTRUCTIONS

- Watch the long version of *UN Peacekeeping Is*
- Consider the media coverage of UN personnel
- How do the positive and negative images of personnel affect the image of the UN?

<https://youtu.be/egjBqs3o6XY>

RESOURCES

- Learning Activity instructions
- Examples of media coverage
- Photos

Learning Activity **3.3.1**

Film: Perceptions of UN Peacekeeping Personnel

Instructions:

- Watch the long version of *UN Peacekeeping Is*
- Consider the media coverage of UN personnel
- How do the positive and negative images of personnel affect the image of the UN?


Time: 15 minutes

- Film: 3:10 minutes
- Group work: 5-7 minutes

<https://youtu.be/egjBqs3o6XY>


Learning Activity 3.3.1

Image 1




Conduct

Slide 1



1. Conduct

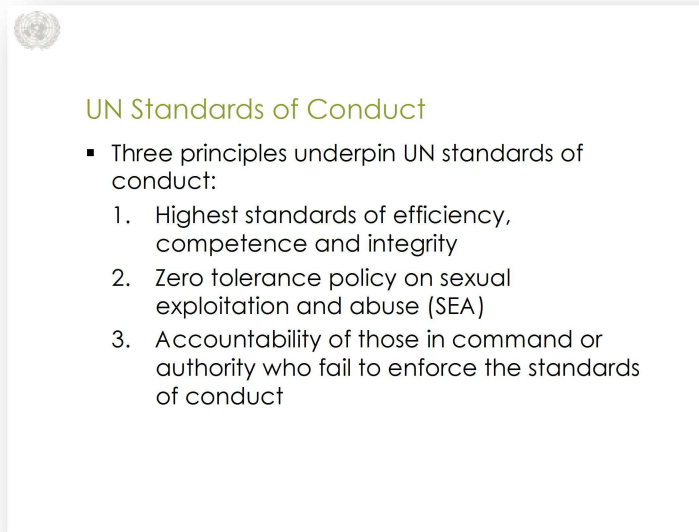
- Your conduct represents the UN



Key Message: Standards of conduct are important.

This is because you are an ambassador of the UN. Your conduct should be guided by the UN Core Values: Integrity, Professionalism and Respect for Diversity.

Slide 2



Key Message: Three principles underpin UN standards of conduct:

1. Highest standards of efficiency, competence and integrity
2. Zero tolerance policy on sexual exploitation and abuse (SEA)
3. Accountability of those in command or authority who fail to enforce standards of conduct

The UN standards of conduct are principles for all peacekeeping personnel.

The source documents for the UN standards of conduct are different for civilians and uniformed personnel.

SEA is serious misconduct in the UN.



Inform participants that sexual exploitation and abuse will be covered in Lesson 3.4.

Slide 3



Code of Conduct for Peacekeeping Personnel

- UN Charter – highest standards of integrity and conduct
- International Human Rights Law, International Humanitarian Law – fundamental basis for standards
- Public and private life – pursue ideals of the UN

Key Message: There is a Code of Conduct for Peacekeepers.




Make handouts of the Code of Conduct for Peacekeepers (see below at the end of these materials). Distribute as assigned reading before the lesson, ideally the day before. Discuss it section by section. What do people think of it? Any surprises? Are all points clear? How do they feel about living by this code?

Main points covered in the Code of Conduct:

- The UN Charter requires that all personnel must maintain the highest standards of integrity and conduct
- All personnel will comply with the Guidelines on International Humanitarian Law for Forces Undertaking UN Peacekeeping Operations and the applicable portions of the Universal Declaration of Human Rights as the fundamental basis of our standards
- All personnel must be prepared to accept special constraints in their public and private lives in order to do the work and to pursue the ideals of the UN

Slide 4



Immunities & Privileges

- To enable you to perform functions
- May be waived by Secretary-General when in the interests of the UN
- Does not mean that those who violate standards of conduct will get away with it

Key Message: UN privileges and immunities do not mean peacekeeping personnel can get away with violating standards of conduct.

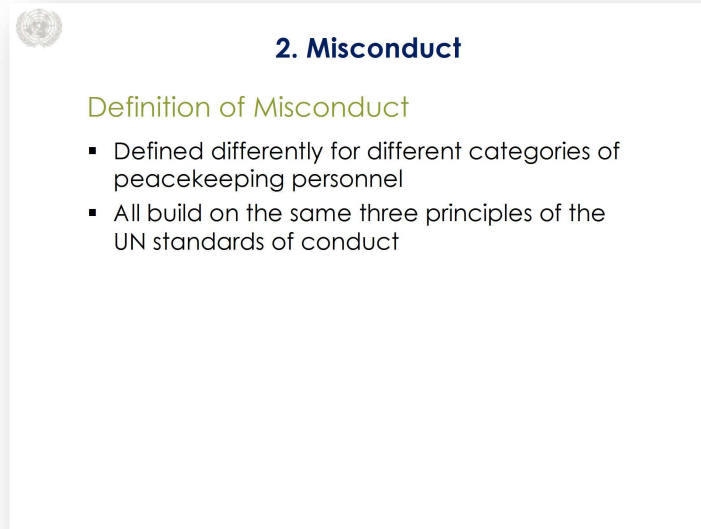
The UN expects all peacekeeping personnel to maintain the highest UN standards of conduct. No exceptions.

Immunities and privileges exist to enable civilian and police personnel as well as military observers to perform their functions. National contingent personnel have privileges and immunities to enable them to do their work through the Status of Force Agreement (SOFA). The UN holds ALL peacekeeping personnel accountable for the highest standards of conduct.

The Secretary-General has lifted immunities and privileges in interests of the UN. Sometimes immunity can prevent justice. In such cases, the Secretary-General has a duty to waive immunity of any official or expert without prejudice to the interests of the UN. For example, **individuals accused of crimes have been prosecuted under their country's laws.**

Misconduct

Slide 5



2. Misconduct

Definition of Misconduct

- Defined differently for different categories of peacekeeping personnel
- All build on the same three principles of the UN standards of conduct

Key Message: The UN defines “misconduct” differently for different categories of peacekeeping personnel.

All build on three principles which underpin the UN standards of conduct:


1. Highest standards of efficiency, competence and integrity
2. Zero tolerance policy on sexual exploitation and abuse
3. Accountability of authorities who fail to enforce standards of conduct

The United Nations Staff Rules Rule 310.1 (ST/SGB/2008/3) define misconduct. The principles apply to all peacekeeping personnel.



Present the slide that is most appropriate to participants.

Slide 6



Definition of Misconduct

For Civilian Personnel


Failure by a staff member to:

- Comply with his/her obligations under UN Charter, Staff Regulations and Rules and relevant Administrative issuances
- Observe Standards of Conduct expected of an international civil servant

Reference: Staff Rule 310.1
Principles are also binding on other civilians in peacekeeping operations

Key Message: This is the definition of “misconduct” for civilians.

Slide 7



Definition of Misconduct


For Members of National Contingent and Military Staff Officers

- Misconduct means any act or omission that is a violation of UN standards of conduct, mission-specific rules and regulations or the obligations towards national and local laws and regulations in accordance with the status-of-forces agreement where the impact is outside the national contingent.
- Serious Misconduct is misconduct, including criminal acts, that results in, or is likely to result in serious loss, damage or injury to an individual or to a mission. Sexual exploitation and abuse constitute serious misconduct.

Reference: We are the UN Peacekeeping Personnel (lists specific instances)

Key Message: This is the definition of “misconduct” for uniformed personnel – specifically members of national contingents and Military Staff Officers.

Slide 8



Definition of Misconduct

For UN Police and Military Observers

- Minor Misconduct: any act, omission or negligence that is a violation of mission standard operating procedures (SOPs), directives or any other applicable rules, regulations or administrative instructions, but which does not result in or is not likely to result in major damage or injury to an individual or the mission.
- Serious Misconduct: any act, omission or negligence, including criminal acts, that is a violation of mission SOPs, directives or any other applicable rules, regulations or administrative instructions, that results in or is likely to result in serious damage or injury to an individual or to the mission.

Reference: Directives for Disciplinary Matters involving Civilian Police Officers and Military Observers (lists specific instances)

Key Message: This is the definition of “misconduct” for uniformed personnel – specifically UN Police and Military Observers.

Slide 9



Categories of Misconduct

Category I: Serious Misconduct includes:

- Sexual exploitation and abuse (SEA)
- Criminal activities, e.g. offences against the person, offences against property, including fraud

Category II: Misconduct includes:

- Simple theft and fraud
- Sexual or other work-related harassment
- Traffic-related incidents, e.g. speeding

Key Message: For administration and investigation, there are two main categories of misconduct: Category I (serious misconduct) and Category II (misconduct).

Category I – Serious Misconduct

Category I or serious misconduct offences are high risk, complex matters and serious criminal cases. They include:

- All SEA (e.g. rape), criminal activity (e.g. offences against the person and offences against property, including fraud)

Independent, professionally trained and experienced investigators best handle inquiries into Category I matters. For military contingents, their national authorities are responsible for handling investigations.

Category I cases include:

- Serious or complex fraud
- SEA
- Other serious criminal act or activity
- Conflict of interest
- Gross mismanagement
- Waste of substantial resources
- All cases involving risk of loss of life to staff or to others, including witnesses
- Substantial violation of UN regulations, rules or administrative issuances

Category II – Misconduct

Category II or misconduct offences are lower risk cases. These include:

- Minor theft and traffic offences (e.g. speeding)
- Sexual and other work related harassment

Discrimination, harassment (including sexual harassment) and abuse of authority are category II misconduct. The classification does not reflect the extreme distress such misconduct causes to victims.

Mission structures usually handle inquiries into Category II matters. Specific guidelines detail how to deal with discrimination, harassment - including sexual harassment - and abuse of authority.

The Office of Internal Oversight Services (OIOS) classifies cases of lower risk as Category II.

Category II cases include:

- Traffic related inquiries
- Simple thefts
- Contract disputes

- Office management disputes
- Basic misuse of equipment or staff
- Basic mismanagement issues
- Infractions of regulations, rules or administrative issuances
- Simple entitlement fraud

Learning Activity**3.3.2****Consequences of Misconduct****METHOD**

Brainstorm

PURPOSE

To understand the wide-reaching consequences of misconduct by an individual

TIME

Short option: 5 minutes

- Brainstorming: 3 minutes
- Discussion: 2 minutes

Longer option: 10 minutes

- Brainstorming: 5 minutes
- Discussion: 5 minutes

INSTRUCTIONS

- Consider the negative media coverage
- What are the consequences for victims?
- What are the consequences for the mission?
- What are the consequences for personnel?

RESOURCES

- Learning Activity instructions
- Examples of media coverage (same as Learning Activity 3.3.1)
- Photos (same as Learning Activity 3.3.1)

Learning Activity 3.3.2

Consequences of Misconduct

Instructions:


- Consider the negative media coverage
- What are the consequences for victims?
- What are the consequences for the mission?
- What are the consequences for personnel?

Time: 5 minutes

- Brainstorming: 3 minutes
- Discussion: 2 minutes

Learning Activity 3.3.1


Image 1



A photograph showing three UN peacekeepers in blue helmets and camouflage uniforms. They are standing in a line and saluting with their right hands raised to their foreheads. The background is slightly blurred, suggesting an outdoor setting.


Consequences of Misconduct

Slide 10

 **3. Consequences of Misconduct**

For the Victim

- Violates victim's human rights
- Can involve physical injury, financial loss, property damage or loss
- Psychological and emotional effects
- May affect family and local community



Key Message: Misconduct has serious consequences. It violates rights of victims and causes distress.

It may result in other consequences that are equally negative. It can involve:

- Physical injury
- Financial loss
- Property damage or loss
- Psychological and emotional effects

Misconduct does not only affect the victim, but also family members. Where the victim is a citizen of the host country, local communities are affected also.

Slide 11



Key Message: Misconduct affects the reputation of the UN and the country contributing peacekeeping personnel. Reputation is affected in the international arena as well as in the host country.

Misconduct is contrary to UN principles and calls into doubt the duty of care of peacekeeping personnel.

Acts of misconduct seriously damage the image and credibility of a mission. They can negatively affect the mission's ability to implement its mandate. SEA and criminal acts are the worst.

Misconduct may also put the security of peacekeeping personnel at risk. SEA, for example, could result in violent retaliation against perpetrators, a contingent or even the mission.

Slide 12



Key Message: Misconduct results in disciplinary and criminal action against peacekeeping personnel.

Disciplinary action follows when an investigation confirms misconduct. The UN takes this action against civilian staff, for example, summary dismissal. For uniformed personnel, Members States are responsible for taking disciplinary and/or criminal action. The UN can only take limited action against uniformed personnel (e.g. repatriation and barring from future service).

Consequences are also determined by the privileges and immunities peacekeeping personnel enjoy. Uniformed personnel remain liable to disciplinary action and even **criminal proceedings** for violations of their national code of conduct, which amounts to criminal acts.

When peacekeeping personnel are alleged to have committed a crime, such as rape, the UN will do a preliminary assessment before referring the matter to the appropriate Member State for criminal investigation. This is because UN investigations are administrative in nature.


Examples of disciplinary action include written censure, demotion or a fine. *Peacekeeping personnel may face financial liability in cases of theft or misappropriation.*

Information on consequences of misconduct are in the:

- Revised draft model *Memorandum of Understanding between the UN and Troop Contributing Countries*
- *General Assembly Resolution on Criminal accountability of United Nations officials and experts on mission (A/RES/62/63)*

Reporting Misconduct


Slide 13



4. Reporting Misconduct

Key Entities

- Conduct and Discipline Unit (CDU)
- Office of the Internal Oversight Services (OIOS)
- Ethics Office
- UN Ombudsman



Key Message: Key entities to address conduct and discipline issues include the:

- Conduct and Discipline Unit
- OIOS
- Ethics Office
- UN Ombudsman

When allegations of misconduct are made they should either be brought to the attention of the:

- Conduct and Discipline Teams (CDTs) in mission, or
- Directly to OIOS

The mission's CDT is the primary body which receives reports of alleged misconduct. The CDT also supports mechanisms for dealing with misconduct.

Others who receive reports of alleged misconduct are:

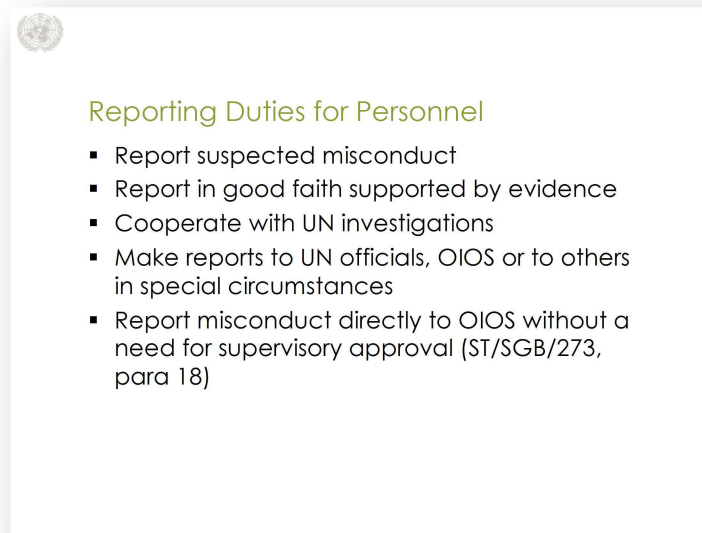
- Head of Mission (HoM)
- Head of the Military Component (HoMC) or Head of Police Component (HoPC)
- OIOS
- Ethics Office
- UN Ombudsman

Uniformed personnel report misconduct through their chain of command, whereas civilian staff members can report directly to the CDT and other reporting bodies.

Investigation is carried out by:

- OIOS for Category I serious misconduct
- A responsible and designated official for Category II misconduct

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Key Message: All UN personnel have a duty to report misconduct, cooperate in investigations and provide information in good faith.

This duty includes:

- Reporting any breach of UN rules and regulations
- Cooperating with authorized audits and investigations

Staff members who report alleged misconduct in good faith have the right to protection from retaliation.

The UN treats allegations made by staff members in bad faith and spreading unsubstantiated rumours as acts of misconduct.

In-mission and induction briefings will cover mission-specific misconduct reporting mechanisms.

Slide 15



The slide features a small circular logo in the top-left corner. The main content is titled "Protection from Retaliation" in green text. Below the title is a bulleted list with two items: "Retaliation: direct or indirect detrimental action recommended, threatened or taken against a person who reports misconduct" and "Retaliation can be reported".

Key Message: Retaliation is direct or indirect detrimental action – recommended, threatened or taken – against a person who reports misconduct.

Retaliation for reporting misconduct or cooperating with an investigation is prohibited.

As per OIOS mandate (ST/SGB/273, para 18 (f)), no action may be taken against staff who make reports or cooperate with OIOS. Disciplinary action shall be initiated if retaliatory action is taken or as a reprisal.

Retaliation can be reported.

Learning Activity**3.3.3****Promoting Good Conduct****METHOD**

Group work

PURPOSE

To engage participants in a creative exercise presenting basic information about the UN standards of conduct

TIME

10 minutes

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

INSTRUCTIONS

- Consider your conduct as UN personnel
- What do you need to remember?
- Design a poster to put up in the mission as a reminder

RESOURCES

- Learning Activity instructions

The thumbnail shows a document titled "Learning Activity" with the sub-title "Promoting Good Conduct" and the reference number "3.3.3". It contains the following text:

Instructions:


- Consider your conduct as UN personnel
- What do you need to remember?
- Design a poster to put up in the mission as a reminder

Time: 10 minutes

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

What Individual Peacekeeping Personnel Can Do


Slide 16



5. What Individual Peacekeeping Personnel Can Do

Individual Responsibility

- You are an ambassador of the UN
- Follow UN Charter, IHRL, IHL, UN specific rules, regulations and guidance
- You have a duty to report misconduct, cooperate in investigations, provide information in good faith



Key Message: It is an individual responsibility to be fully familiar with the specific rules, regulations and guidance provided by the UN to guide conduct. All UN personnel also have a duty to report misconduct, cooperate in investigations and provide information in good faith.


The UN expects all peacekeeping personnel to maintain the highest UN standards of conduct, regardless of level. This means supporting the leadership by always showing commitment for the UN's unique values and standards.

Misconduct by one peacekeeping personnel, or in one mission, has wide impact. It tarnishes all peacekeeping personnel and missions. It undermines UN credibility and legitimacy and the UN's image among local, national and international partners.




This part of the session outlines the duty of leadership to be accountable and responsible for maintaining the highest standard of conduct and preventing, monitoring and responding to misconduct. It relates to the third key principle underpinning UN standards of conduct: accountability of those in command who fail to enforce the standards of conduct.

Slide 17



Leadership and Accountability

- Maintain standards of conduct
- Prevent, monitor and respond to misconduct
- Ensure misconduct prevention training
- Conduct periodic misconduct risk assessments
- Report all misconduct to CDU or OIOS



Key Message: The UN expects those in command to a) maintain standards of conduct and b) prevent, monitor and respond to misconduct.

Normally when misconduct takes place it raises issues of poor leadership and command and control.

Accountability and overall responsibilities on addressing misconduct direct leadership to:

- Set and implement prevention, enforcement and remedial policies
- Ensure training in misconduct prevention
- Conduct periodic misconduct risk assessments
- Address potential and actual violence
- Report all misconduct to the CDT or OIOS

Managers and commanders can do much to show real leadership on preventing and responding to misconduct.

Summary

Three key principles of conduct: high standards, zero tolerance of SEA, and leadership accountability

- Highest standards of efficiency, competence and integrity
- Zero tolerance policy on SEA
- Accountability of those in command or authority who fail to enforce the standards of conduct

Categories of misconduct: category 1 serious misconduct and category 2 misconduct offences

- **Category I**, or serious misconduct offences, are high risk, complex matters and serious criminal cases. They include:
 - All sexual exploitation and abuse (SEA) (e.g. rape), criminal activity (e.g. offences against the person, and offences against property, including fraud)
- **Category II**, or misconduct offences, are lower risk cases. These include:
 - Minor theft and traffic offences (e.g. speeding)
 - Sexual and other work related harassment

There are serious consequences of misconduct for the victim, peacekeeping personnel and the mission

- There are serious consequences to all involved when it comes to misconduct. It violates the victim's human rights.
- The main consequences for **peacekeeping personnel are**:
 - Disciplinary action
 - Repatriation/barring from future service
 - Summary dismissal
 - Criminal proceedings
 - Financial liability
- Consequences of misconduct for the peacekeeping mission
 - Misconduct contrary to UN principles
 - Violates integrity and impartiality
 - Reduces credibility and image of UN
 - Threatens security
 - Undermines rule of law and fosters crime

(Cont.)

(Summary cont.)

Key entities for conduct and discipline are:

- Conduct and Discipline Team/Unit (CDT)
- Office of the Internal Oversight Services (OIOS)
- Ethics Office
- UN Ombudsman

Evaluation

Notes 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). The types of learning evaluation questions are:

- 1) Narrative
- 2) 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 3.3	
Questions	Answers
Narrative <i>Note: Frame narrative evaluations as questions, requests or directions</i>	
1. What three principles underpin UN standards of conduct?	1. highest standards of efficiency, competence and integrity 2. zero tolerance policy on sexual exploitation and abuse 3. accountability of authorities for enforcing standards of conduct – and failing to do so
2. Define and give examples of minor and serious misconduct for UN police and military observers.	Difference is degree of damage and injury to a person or UN. Minor misconduct: Category 2 <ul style="list-style-type: none"> ▪ any act, omission, negligence that violates standard operating procedures (SOPs), directives, applicable rules, regulations, administrative instructions ▪ DOES NOT RESULT, or is not likely to result, in major damage or injury to person or mission ▪ EXAMPLES: simple theft and fraud,

	<p>sexual and other work-related harassment, traffic-related incidents e.g. speeding; contract disputes, office management disputes, basic misuse of equipment or staff, basic mismanagement issues, infractions of rules, regulations, administrative directives, simple entitlement fraud</p> <ul style="list-style-type: none"> ▪ minor offenses <p>Major misconduct: Category 1</p> <ul style="list-style-type: none"> ▪ any act, omission, negligence including criminal acts that violate SOPs, directives, applicable rules, regulations, administrative instructions, ▪ RESULTS IN or is likely to result in serious damage, injury to a person or the mission ▪ EXAMPLES: sexual exploitation and abuse (SEA), serious or complex fraud, conflict of interest, gross mismanagement, waste of substantial resources, all cases involve risk or loss of life, substantial violation of UN regulations, rules, administrative directives ▪ criminal offences – offences against the person, e.g. rape; offences against property e.g. fraud ▪ serious, high-risk, complex
<p>3. Detail the consequences of misconduct when proven. Include for victims, the community, mission, peacekeeping personnel, and national colleagues.</p>	<p>Victims:</p> <ul style="list-style-type: none"> ▪ violates rights ▪ causes distress ▪ can affect lives long term <p>Community:</p> <ul style="list-style-type: none"> ▪ loss of faith, trust and confidence in the mission ▪ resentment, anger <p>Mission:</p> <ul style="list-style-type: none"> ▪ reduced legitimacy ▪ compromised safety and security ▪ reduced scope to conduct mandated work ▪ violates human rights ▪ misconduct against UN principles

	<ul style="list-style-type: none"> ▪ undermines rule of law and fosters crime <p>Peacekeeping personnel:</p> <ul style="list-style-type: none"> ▪ disciplinary action ▪ repatriation/barring from future service ▪ summary dismissal ▪ criminal proceedings ▪ financial liability ▪ shame <p>National colleagues:</p> <ul style="list-style-type: none"> ▪ shame and embarrassment ▪ collective guilt ▪ stereotyping and bias by other peacekeepers and local people
<p>4. Name the four key entities in the UN that address conduct and discipline issues.</p>	<ol style="list-style-type: none"> 1. Conduct and Discipline unit in mission 2. Office of the Internal Oversight Services, OIOS 3. Ethics Office 4. UN Ombudsman
True-False	
<p>1. Your conduct in your private life is your business – UN standards of conduct only apply when you are on-the-job.</p>	<p>False. Peacekeeping personnel and all UN staff are responsible for upholding standards of conduct in personal, private, public and professional life.</p> <p>Being deployed as peacekeeping personnel is different from normal work. There is no “time off” from high standards of conduct.</p>

Commonly Asked Questions and Key Words

Key Words or phrases for this lesson:

Key Word or Phrase	Definition
UN standards of conduct	<p>The UN standards of conduct are principles for all peacekeeping personnel. Three principles underpin UN standards of conduct:</p> <ol style="list-style-type: none"> 1. Highest standards of efficiency, competence and integrity; 2. Zero tolerance policy on sexual exploitation and abuse; 3. Accountability of those in command or authority who fail to enforce standards of conduct.
Category I – Serious Misconduct	<p>Category I or serious misconduct offences are high risk, complex matters and serious criminal cases. They include:</p> <ul style="list-style-type: none"> ▪ All sexual exploitation and abuse (SEA) – for example, rape criminal activity – for example, offences against the person and ▪ Offences against property, including fraud <p>Category I cases include:</p> <ul style="list-style-type: none"> ▪ Serious or complex fraud ▪ Sexual exploitation and abuse (SEA) ▪ Other serious criminal act or activity ▪ Conflict of interest ▪ Gross mismanagement ▪ Waste of substantial resources ▪ All cases involving risk of loss of life to staff or to others, including witnesses ▪ Substantial violation of United Nations regulations, rules or administrative issuances
Category II – Misconduct	<p>Category II or misconduct offences are lower risk cases. These include:</p> <ul style="list-style-type: none"> ▪ Minor theft and traffic offences – for example, speeding) ▪ Sexual and other work related harassment <p>Category II cases include:</p> <ul style="list-style-type: none"> ▪ Traffic related inquiries ▪ Simple thefts ▪ Contract disputes

	<ul style="list-style-type: none"> ▪ Office management disputes ▪ Basic misuse of equipment or staff ▪ Basic mismanagement issues ▪ Infractions of regulations, rules or administrative issuances ▪ Simple entitlement fraud
Retaliation	<p>Retaliation is direct or indirect detrimental action – recommended, threatened or taken – against a person who reports misconduct.</p> <p>Retaliation for reporting misconduct or cooperating with an investigation is prohibited.</p>

Commonly asked questions from participants:

Possible Questions	Possible Responses
How is misconduct linked to the domestic jurisdiction of the host country and the home country of the staff member?	The presence of UN personnel in the host country gives that country the jurisdiction over UN personnel, other than members of national contingents, for misconduct that amounts to breaches of the law in that host country, subject to lifting of the UN privileges and immunities. For members of national contingents, they remain subjected to the laws of their own country. UN personnel, other than members of national contingents, could also be prosecuted for breaches to the national laws of their own country even if those breaches are committed outside of their own country.
Where can I find the 10 Rules/Code of Personal Conduct for Blue Helmets “We are United Nations Peacekeepers”?	<p>The annex of the Revised Model MOU between the United Nations and Troop Contributing Countries (A/61/19/REV.1(SUPP)) contains the 10 Rules/Code of Personal Conduct for Blue Helmets “We are the United Nations Peacekeepers” from the UN General Assembly Report of the Special Committee on Peacekeeping Operations and its Working Group on the 2007 Resumed Session (A/61/19 Part III).</p> <p>Please see: http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N08/372/78/PDF/N0837278.pdf?OpenElement</p> <p>The 10 Rules/Code of Personal Conduct for Blue Helmets “We are United Nations Peacekeepers” 1998 are also attached as a handout below.</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](#)
(articles 100 and 101 (3) – and with regard to the meaning of terms such as integrity, efficiency and competence)
- [United Nations Peacekeeping Operations Principles and Guidelines, also known as the Capstone Doctrine, 2008](#)
- [International Bill of Human Rights](#)
- [Convention on the Privileges and Immunities of the United Nations, 1946](#)
- [Security Council Resolution 2272 \(2016\) on sexual exploitation and abuse by United Nations peacekeepers \(S/RES/2272\)](#)
- [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\(SUPP\)\)](#)
(Annex contains 10 Rules/Code of Personal Conduct for Blue Helmets “We are the United Nations Peacekeepers” from the UN General Assembly Report of the Special Committee on Peacekeeping Operations and its Working Group on the 2007 Resumed Session (A/61/19 Part III). Guidance on disciplinary matters is also in the revised model Memorandum of Understanding, (A/61/19 part III).).
- [Ten Rules/Code of Personal Conduct for Blue Helmets “We are United Nations Peacekeepers” 1998 \(also see below as ‘Handout’\)](#)
- [Model Status of Forces Agreement for United Nations Peacekeeping Operations \(A/45/594\)](#)
- [UN Staff Regulations \(ST/SGB/2012/1\)](#)
- [UN Staff Regulations and Rules \(ST/SGB/2011/1\)](#)
- [Status, basic rights and duties \(ST/SGB/2002/13\)](#)
- [Standards of Conduct for the International Civil Service \(A/67/30 Annex IV\)](#)
- [Revised Disciplinary Measures and Procedures \(ST/AI/371\)](#)
- [Reporting of suspected misconduct \(ST/IC/2005/19\)](#)
- [United Nations Financial Regulations and Rules \(ST/SGB/2003/7/Amend.1\)](#)
- [Secretary General's Bulletin on “Special measures for protection from sexual exploitation and sexual abuse” \(ST/SGB/2003/13\) 9 October 2003](#)
- [Secretary General's Bulletin on “Protection against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations” \(ST/SGB/2005/21\) 19 December 2005](#)
- [Secretary General's Bulletin on “Status basic rights and duties of United National staff members” \(ST/SGB/2002/13\) 1 November 2002](#)
- [Secretary General's Bulletin on “Status, basic rights and duties of officials other than Secretariat and experts on mission” \(ST/SGB/2002/9\) 18 June 2002](#)

- [Secretary General's Bulletin on "Observance by United Nations forces of International Humanitarian law" \(ST/SGB/1999/13\)](#)
- [Secretary General's Bulletin on "Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority" \(ST/SGB/2008/5\)](#)
- [Secretary General's Bulletin on "Use of Information and Communication Technology Resources and Data" \(ST/SGB/2004/15\) 29 November 2004](#)
- [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 \(DPKO/MD/03/00993\)](#)
- [General Assembly Resolution on Criminal accountability of United Nations officials and experts on mission \(A/RES/62/63\)](#)
- [Recommendations of the Special Committee on Peacekeeping Operations \(A/59/19/Rev.1\) adopted by the General Assembly \(RES/59/300\)](#)
- [UN Policy on Human Rights in United Nations Peace Operations and Political Missions, 2011](#)
- [UN Policy on Human Rights Screening of UN Personnel, 2012](#)
- [DPKO-DFS Policy on Training for all United Nations Peacekeeping Personnel, 2010](#)
- [DPKO-DFS Policy on Operational Readiness Assurance and Performance Improvement, 2016](#)
- [DPKO-DFS Guidelines on Operational Readiness Preparation for Troop Contributing Countries in Peacekeeping Missions, 2017](#)
- [DPKO-DFS Standard Operating Procedure for the Assessment of Operational Capability of Formed Police Units for Service in UN Peacekeeping Operations and Special Political Missions, 2017](#)
- [DPKO-DFS Policy on Accountability for Conduct and Discipline in Field Missions, 2015](#)
- [UN Anti-Fraud and Anti-Corruption Framework, 2016](#)

Civilians:

- [Regulations on Status, Basic Rights and Duties of Officials other than Secretariat Officials and Experts on Mission \(ST/SGB/2002/9\)](#)

Members of Military Contingents and Military Staff Officers:

- [Secretary General's Bulletin on "Observance by United Nations forces of International Humanitarian law" \(ST/SGB/1999/13\)](#)
- [Subsequent amendments to the Model MOU between the United Nations and Troop Contributing Countries \(A/61/19/REV.1\(SUPP\)\)](#)

UNPOL, FPU and MILOBS:

- [Regulations on Status, Basic Rights and Duties of Officials other than Secretariat Officials and Experts on Mission \(ST/SGB/2002/9\)](#)
- [Model Memorandum of Understanding between the United Nations and Police Contributing Countries for the deployment of Formed Police Units](#)

Procedural and Other Matters:

- [Practices of the SG in disciplinary matters \(ST/IC/2010/26\)](#)
- [Practices of the SG in disciplinary matters \(ST/IC/2011/20\)](#)
- [Practices of the SG in disciplinary matters \(ST/IC/2012/19\)](#)
- [Secretary-General Report on Practices in disciplinary matters \(A/67/171\)](#)
- [Definitions of categories of misconduct \(ST/IC/1996/29\)](#)
- [OIOS Investigation Manual, 2015](#)
- [Uniformed Guidelines for Investigations \(A/58/708\)](#)

Additional Resources

UN Information

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

DPKO website on Conduct and Discipline:
<http://www.un.org/en/peacekeeping/issues/cdu/>

DPKO-DFS website for Conduct and Discipline Unit (CDU):
<https://conduct.unmissions.org/who-is-involved>

UN Factsheet on Sexual Exploitation and Abuse:
<http://www.un.org/en/peacekeeping/documents/2015factsheet.pdf>

UN Protection from Sexual Exploitation and Abuse (PSEA) Task Force:
<http://www.pseataaskforce.org>

[Code of Personal Conduct for Blue Helmets:](#)
http://www.un.org/en/peacekeeping/documents/ten_in.pdf

Sexual Exploitation and Abuse 'No Excuse' pocket card:
<http://dag.un.org/handle/11176/400598>

UN Glossary on Sexual Exploitation and Abuse:
<https://hr.un.org/sites/hr.un.org/files/UN%20Glossary%20on%20SEA.pdf>

Factsheet on Peacekeeping Initiatives Addressing Sexual Exploitation and Abuse:
<http://www.un.org/en/peacekeeping/documents/CD-Fact-Sheet-March-2017.pdf>

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>

[UN Peacekeeping Is \(Long Version\) \(3:10 minutes\)](#)

[To Serve With Pride \(24:24\)](#)

Additional Training Resources

UN peacekeeping training materials can be found on the Peacekeeping Resource Hub: <http://research.un.org/en/peacekeeping-community/Training>

UN mandatory training 'Prevention of Sexual Exploitation and Abuse by UN Personnel' and 'Prevention of Workplace Harassment, Sexual Harassment, and Abuse of Authority in the Workplace' can be accessed on Inspira:

<http://inspira.un.org>

UN mandatory training 'Prevention of Sexual Exploitation and Abuse by UN Personnel' can also be accessed on the United Nations System Staff College (UNSSC) website:

<http://portals.unssc.org/course/view.php?id=74>

The Conduct and Discipline Unit (CDU) at headquarters and in the mission provide additional information or support on issues covered in the lesson.

For additional information or support, please contact the Member States Support Team of the Integrated Training Service (ITS) in New York.

For additional information or support on human rights aspects of this lesson, instructors can contact the Methodology, Education and Training Unit of the Office of the High Commissioner of Human Rights (OHCHR) in Geneva at Metu@ohchr.org

The PSEA Task Force provides tools for 'Training and Awareness for Personnel':
<http://www.pseataaskforce.org/en/tools>

3.3 Handout: The Code of Conduct for Peacekeepers

WE ARE UNITED NATIONS PEACEKEEPING PERSONNEL

The United Nations Organization embodies the aspirations of all the people of the world for peace. In this context the **United Nations Charter requires that all personnel must maintain the highest standards of integrity and conduct.**

We will comply with the Guidelines on International Humanitarian Law for Forces Undertaking United Nations Peacekeeping Operations and the applicable portions of the Universal Declaration of Human Rights as the fundamental basis of our standards.

We, as peace-keepers, represent the United Nations and are present in the country to help it recover from the trauma of a conflict. As a result we must consciously **be prepared to accept special constraints in our public and private lives in order to do the work and to pursue the ideals of the United Nations Organization.**

We will be accorded certain privileges and immunities arranged through agreements negotiated between the United Nations and the host country solely for the purpose of discharging our peacekeeping duties. Expectations of the world community and the local population will be high and our actions, behaviour and speech will be closely monitored.

We will always:

- Conduct ourselves in a professional and disciplined manner, at all times;
- Dedicate ourselves to achieving the goals of the United Nations;
- Understand the mandate and mission and comply with their provisions;
- Respect the environment of the host country;
- Respect local customs and practices through awareness and respect for the culture, religion, traditions and gender issues;
- Treat the inhabitants of the host country with respect, courtesy and consideration;
- Act with impartiality, integrity and tact;
- Support and aid the infirm, sick and weak;
- Obey our United Nations superiors/supervisors and respect the chain of command;
- Respect all other peacekeeping members of the mission regardless of status, rank, ethnic or national origin, race, gender, or creed;
- Support and encourage proper conduct among our fellow peacekeeping personnel;
- Report all acts involving sexual exploitation and abuse;
- Maintain proper dress and personal deportment at all times;
- Properly account for all money and property assigned to us as members of the mission; and
- Care for all United Nations equipment placed in our charge.

We will never:

- Bring discredit upon the United Nations, or our nations through improper personal conduct, failure to perform our duties or abuse of our positions as peacekeeping personnel;
- Take any action that might jeopardize the mission;
- Abuse alcohol, use or traffic in drugs;
- Make unauthorized communications to external agencies, including unauthorized press statements;
- Improperly disclose or use information gained through our employment;
- Use unnecessary violence or threaten anyone in custody;
- Commit any act that could result in physical, sexual or psychological harm or suffering to members of the local population, especially women and children;
- Commit any act involving sexual exploitation and abuse, sexual activity with children under 18, or exchange of money, employment, goods or services for sex;
- Become involved in sexual liaisons which could affect our impartiality, or the well-being of others;
- Be abusive or uncivil to any member of the public;
- Willfully damage or misuse any United Nations property or equipment;
- Use a vehicle improperly or without authorization;
- Collect unauthorized souvenirs;
- Participate in any illegal activities, corrupt or improper practices; or
- Attempt to use our positions for personal advantage, to make false claims or accept benefits to which we are not entitled.

We realize that the consequences of failure to act within these guidelines may:

- Erode confidence and trust in the United Nations;
- Jeopardize the achievement of the mission;
- Jeopardize our status and security as peacekeeping personnel; and
- Result in administrative, disciplinary or criminal action.