



e-Guide to the  
United Nations Departments of  
Peacekeeping Operations and Field Support

# A Resource for New Staff at Headquarters



January, 2015

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Integrated Training Service - Policy Evaluation and Training Division,  
United Nations Departments of Peacekeeping and Field Support

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## INTRODUCTION TO THE E-GUIDE

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### Welcome to DPKO-DFS

Welcome to the Department of Peacekeeping Operations (DPKO) and the Department of Field Support (DFS). You have joined a wonderful team of individuals who play a key role in supporting peacekeeping efforts around the world.

As a new staff member, it can be both exciting and daunting to be part of such a large organization with so many offices in New York and across the world. This e-Guide has been developed in recognition of the steep learning curve that new personnel experience. It outlines the different departments, offices and teams, their functions and the greater system of which you are now a part. It also provides information on substantive issues in peacekeeping, where to find information and resources in the UN system and how to develop and manage your career with the UN.

We hope your tenure with DFKO-DFS in New York is satisfying, interesting and enjoyable and that this e-Guide will assist in orienting you to all the resources that are available.

### Purpose of the e-Guide

The overall objectives of the DPKO-DFS e-Guide are to:

- provide basic information about peacekeeping and the work and role of DPKO and DFS in order to equip new staff members with knowledge on issues of importance to both departments, and
- facilitate new staff members' transition and induction into the DPKO-DFS Headquarters work environment, thereby enhancing their familiarity with the context and accelerating their abilities to adapt to the organizational culture and contribute to work processes.

The information contained in the e-Guide will be relevant to all levels of new staff at UN Headquarters.

### Alignment with other learning opportunities

The material included in this e-Guide serves as a foundation and complement to the following recommended courses:

- UNSSC Induction Course: <http://www.unssc.org/W2UN/>
- OHRM Orientation Course – Overview of UN Secretariat and Headquarters, conducted six times a year, aims to welcome the newest colleagues to the UN. For more information, contact: [newstafforientation@un.org](mailto:newstafforientation@un.org)
- UN Peacekeeping Operations: an Introduction, available in Inspira under “My Learning”

For more information on learning opportunities at the UN, please see [Module 5](#).

## INTRODUCTION TO THE E-GUIDE

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## Contents of the e-Guide

The contents of the e-Guide are organized in the following modules, with page headers and footers corresponding to the colours shown below.

- |                 |   |
|-----------------|---|
| <b>Module 1</b> | <ul style="list-style-type: none"> <li>▪ Introduces DPKO and DFS</li> <li>▪ The main offices, units and teams within each of the Departments</li> <li>▪ The UN offices that are shared by the two Departments</li> </ul>  |
| <b>Module 2</b> | <ul style="list-style-type: none"> <li>▪ Legal framework and principles of UN peacekeeping</li> <li>▪ Types of peacekeeping missions</li> <li>▪ Trends and reforms in peacekeeping</li> <li>▪ Planning processes in peacekeeping operations</li> <li>▪ Peacekeeping mission structures and components</li> <li>▪ Cross-cutting substantive issues in peacekeeping</li> <li>▪ Related peace and security activities</li> </ul> |
| <b>Module 3</b> | <ul style="list-style-type: none"> <li>▪ Main bodies involved in peacekeeping</li> <li>▪ UN committees associated with peacekeeping</li> <li>▪ DPKO-DFS collaboration with the UN Secretariat</li> <li>▪ Agencies, funds and programmes associated with peacekeeping</li> <li>▪ Inter-agency working groups and task forces</li> </ul>  |
| <b>Module 4</b> | <ul style="list-style-type: none"> <li>▪ Knowledge sharing and management concepts and resources</li> <li>▪ Information management</li> <li>▪ Research</li> <li>▪ Information classification and sensitivity</li> <li>▪ Communications</li> <li>▪ Peacekeeping training architecture and learning resources</li> </ul>  |
| <b>Module 5</b> | <ul style="list-style-type: none"> <li>▪ Offices involved in human resource management</li> <li>▪ Staff entitlements</li> <li>▪ Career development</li> <li>▪ Relocation, rotation and mobility</li> <li>▪ Health and well-being</li> <li>▪ Travel and security</li> </ul>  |
|                 | <ul style="list-style-type: none"> <li>▪ List of Acronyms</li> </ul>  |
|                 | <ul style="list-style-type: none"> <li>▪ Collection of Useful Websites</li> </ul>   |
|                 | <ul style="list-style-type: none"> <li>▪ Index</li> </ul>   |
|                 | <ul style="list-style-type: none"> <li>▪ References</li> </ul>  |

## Navigating the e-Guide

The e-Guide includes several ways to navigate to topics of interest:

1. The Table of Contents have hyper-linked page numbers. If you are viewing this document digitally, you can go directly to each topic by clicking on the topic.
2. The “Search” function is also available if you are viewing the e-Guide digitally.
3. There is also an Index near the back of the document which provides the page numbers of all the listed topics.
4. Throughout the document there is hyperlinked text which you can click on to get to other parts of the document or to resources via inter and intranets links. These hyperlinks are indicated by underlined text.

Additionally, the following symbols are used throughout the e-Guide to represent internal references and external resources:



Additional references on the inter or intranet



Additional material, either within the document or in another document



Email address of contact for further information



Phone number of contact for further information

## Relevance Reflections

In various places in the document, there are sections with the title *Why is this important to you?* The text following the question provides thoughts on how the information might be relevant and, in some cases, poses points to ponder.

## Self-Assessments

Each module of this e-Guide has an online self-assessment of somewhere between 10-20 questions. These assessments provide the reader with an opportunity to test their memory of the material and on where to find information in the e-Guide. The assessments also alert the DPKO-DFS Integrated Training Service of successful completion of each module.

## Accuracy and currency of the material

Please note that the information contained in this document is as accurate and current as possible. You may want to consult the appropriate sections of the intranet and/or internet to confirm in case of updates.

## Sourcing and Acknowledgements

Much of the information in this document is directly referenced or adapted from UN documents (Security Council resolutions, etc.), DPKO-DFS training materials and internal/external websites. A great many UN staff members also contributed information and feedback towards the development of this e-Guide. Special thanks go to the Training Focal Points of DPKO and DFS.

## Input and Feedback

It is anticipated that the e-Guide will be updated on a yearly basis to accommodate changes in services, standards and legal frameworks. For suggestions on content updates or corrections, please email [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org) with “Induction e-Guide Feedback” in the subject header.

# MODULE 1



## Introduction to DPKO and DFS

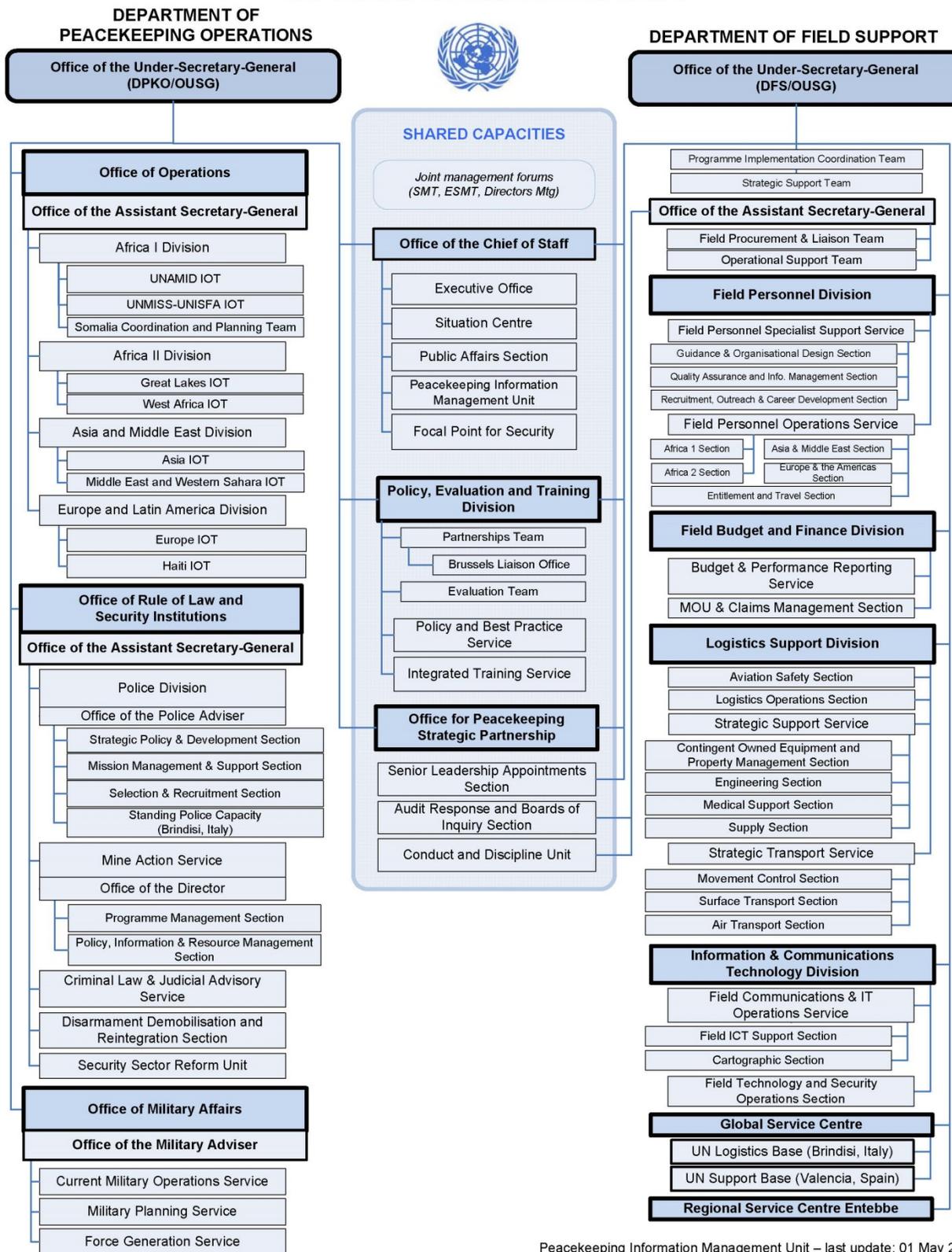
Module 1 provides an overall introduction to DPKO-DFS, with a particular focus on Headquarters offices. Specific topics include introductions to:

- The Departments of Peacekeeping (DPKO) and the Field Support (DFS)
- The main offices, units and teams within each of the Departments
- The UN offices that are shared by the two Departments

The organizational chart on the following page illustrates the DPKO-DFS offices and areas of shared capacity and responsibility which will be discussed in this module.

[1]

## UNITED NATIONS PEACEKEEPING GROUP: CAPACITIES TO ENSURE INTEGRATION



Peacekeeping Information Management Unit – last update: 01 May 2014

The Department of Peacekeeping Operations (DPKO) and the Department of Field Support (DFS) work together in establishing and managing the United Nations peacekeeping operations that are currently functioning around the world. The Departments also provide technical and subject matter advice and direct administrative and logistics support to special political missions.

## 1.1 INTRODUCTION TO DPKO

Formally established as a department of the UN Secretariat in 1992, DPKO provides strategic direction, management, and guidance to UN peacekeeping operations around the world. In accordance with the Secretary-General’s Bulletin on the Organization of the Department of Peacekeeping Operations (2010), DPKO directs, manages and provides political and policy guidance and strategic direction to all operations under its responsibility. This comprises all traditional and multidimensional peacekeeping operations with military and/or police components and which may include elements of peacemaking and peacebuilding. It also comprises certain special political missions as determined by the Secretary-General. DPKO maintains contact with the Security Council, troop and financial contributors, and parties to the conflict in the implementation of Security Council mandates. The Department works to integrate the efforts of UN, governmental and non-governmental entities in the context of peacekeeping operations. DPKO also provides guidance and support on military, police, security sector reform, disarmament, demobilization and reintegration, mine action and other relevant issues to UN special political missions.<sup>i</sup>

### 1.1.1 The Under-Secretary-General, Department of Peacekeeping



Mr. Herve Ladsous has been Head of the Department of Peacekeeping Operations since October 2011. Serving as the Under-Secretary-General (USG) Peacekeeping Operations, Mr. Ladsous is responsible for advising the Secretary-General on all matters related to the planning, establishment, direction, management and conduct of United Nations peacekeeping operations and special political missions under the responsibility of the Department. On behalf of the Secretary-General, he briefs the Security Council and, on the basis of Security Council mandates, the USG directs, manages and provides political and policy guidance and strategic direction to Department-led operations, which may include elements of peacemaking and peacebuilding. He



[3]

also directs policy development and approves guidance materials related to the planning and conduct of operations based on Security Council mandates and lessons learned.

The USG is responsible for ensuring the effective integration of integrated operations led by the Department, including serving as Chair of the Integrated Steering Group. He promotes and maintains strategic partnerships with United Nations and non-United Nations peacekeeping partners; provides direction to senior management in the Department to ensure the efficient functioning of the Department; and provides direction to the Under-Secretary-General for Field Support on all matters falling within the purview of the Department of Peacekeeping Operations.<sup>ii</sup>



To read more about Mr. Ladsous, go to:  
<http://www.un.org/en/peacekeeping/about/dpko/chief.shtml>



To see a short video clip of Mr. Herve Ladsous speaking about the challenges and successes of peacekeeping in 2013, go to Module 2, page 50 for the link (or click on [here](#) to go to the video in YouTube)

### 1.1.2 Main Offices of DPKO

There are three main offices in DPKO: the Office of Operations, the Office of the Rule of Law and Security Institutions and the Office of Military Affairs. The Policy Evaluation and Training Division is sometimes mentioned as a fourth office, however, it is a shared resource with the Department of Field Support and will be discussed in the section on Shared Capacities later in this module.

The diagramme on the previous page shows the three main offices and the services and units within them. Each of these will be discussed in the following pages.

#### Office of Operations

The Office of Operations (OO) is headed by the Assistant Secretary-General (ASG) for Peacekeeping Operations, who serves as a Deputy to the Under-Secretary-General. Within the Office of Operations is the Office of the Assistant Secretary-General and four regional Divisions, as outlined below.

#### The Assistant Secretary-General-DPKO and the Office of the Assistant Secretary-General

The Assistant Secretary-General-DPKO (ASG-DPKO), currently Mr. Edmond Mulet, is responsible for advising the Under-Secretary-General on political, cross-cutting strategic, mission-specific and integrated operational issues and briefing the Security Council and other intergovernmental bodies as required. The ASG also ensures the development and effective implementation of overarching integrated strategies for Department-led operations and the provision of political direction and integrated operational support to those operations. Additionally, the ASG contributes to the generation of political, financial and material support among Member States, regional organizations, non-governmental organizations, think tanks, academia and the media for planned and deployed operations and for peacekeeping in general.

[4]

The Office of the Assistant Secretary-General assists and advises the ASG in carrying out his or her duties. The Office also provides advice and implementation support on key policies, including the integrated assessment and planning process; ensuring that related technical guidance and training capacity are provided; and on strengthening the strategic peacekeeping partnership with and support to the African Union and its regional economic communities/ regional mechanisms. Quality assurance of the Office of Operations services and products is also a responsibility and includes proper integration or coordination and compliance with deadlines.

### Office of Operations Divisions

There are four Divisions in the Office of Operations: the Africa Division I (AD I), the Africa Division II (AD II), the Asia and Middle East Division (AMED) and the Europe and Latin America Division (ELAD). These Divisions are composed of integrated operational teams. Each of the regional Divisions is headed by a Director, who is accountable to the Assistant Secretary-General. Drawing on the expertise of other DPKO-DFS areas, as well as other UN system partners (e.g. DPA, OCHA and UNDP as appropriate), the main functions of the regional Divisions include:

- Developing overarching integrated strategies and providing strategic direction on cross-cutting, mission-specific and political issues, as well as day-to-day operational support, including guidance on policy and operational issues
- Coordination with other DPKO-DFS offices, as well as other departments, agencies, funds, programmes and regional entities
- Devising, promoting agreement on and implementing integrated solutions to the political and operational challenges of Department-led operations and supporting them vis-à-vis the parties to the conflict and other interested parties, and conveying relevant concerns to Member States and other relevant partners, and vice versa
- Leading the integrated planning process for new Department-led operations and coordinating transitions, as well as consolidation and exit strategies in existing operations
- Fulfilling the reporting obligations of the Secretary-General to the Security Council for Department-led operations

### Integrated Operational Teams

Integrated Operational Teams (IOTs) are cross-functional teams at the Headquarters level that perform a range of core tasks related to the integrated operational, including political, guidance and support to one or more peacekeeping operations or special political missions under the direction of DPKO. The creation of the IOTs serves to address the requirement for more effective and efficient service delivery to peacekeeping constituencies, against the backdrop of a widening range of tasks and increasing complexity of peacekeeping operations. The integration of Headquarters guidance and support to field operations mirrors the increasingly integrated nature of complex missions. The IOT structure was institutionalized as part of the wider reform of DPKO and the establishment of DFS. The structure and assignment of IOTs are managed flexibly so as to optimize the utilization of available resources in meeting operational requirements.

IOTs form an integral part of the Office of Operations (OO) in the Department of Peacekeeping Operations (DPKO). They consist of political affairs, military, police/Rule of Law and Security Institutions (ROLSI), support (logistics) and administrative (personnel/budget) officers who are all co-located in nearby offices. OMA, OROLSI and DFS all contribute staff to the IOTs. Military and police officers are seconded by Member States to OMA and PD/OROLSI and are subsequently assigned to an IOT. Support and administrative officers with the requisite UN field and Headquarters experience and expertise have been recruited directly from field operations, other departments or DFS. Political Affairs Officers - who originally staffed OO before the restructuring - have all been absorbed within the IOTs. The composition of an IOT varies depending on the size, complexity and life cycle of a peacekeeping operation.

IOTs are being supplemented with expertise available within other DPKO offices in areas not currently represented on the IOT on a residential basis. Justice, corrections, disarmament, demobilization and reintegration, security sector reform, mine action (including explosive hazard management), civil affairs, gender, child protection, HIV/AIDS, partnerships, etc., are some examples in line with the specific needs emanating from the mandate of the mission(s) under their purview.

The IOTs are overseen by OO regional Division Directors who advise on the political and strategic direction of field missions covered by their respective regional Division. Team Leaders, who take strategic advice and direction from the Regional Directors, are responsible for the day-to-day management and supervision of the team and the delivery of day-to-day integrated and coherent support and guidance to the field mission(s) under his/her purview. Military and police officers on the IOTs operate within the delegated authority of the Military Adviser and Police Advisor, respectively.

### Office of Rule of Law and Security Institutions

The Office of Rule of Law and Security Institutions (OROLSI) was created in 2007 in response to the [2000 Brahimi Report](#) recommendation to take a more integrated approach to the rule of law. OROLSI provides a holistic approach in (re)establishing systems of justice and reinforcing security, disarmament, demobilization and the reintegration of ex-combatants. In addition, the Office helps deal with mine fields and unexploded ordinance that remain following armed conflict.<sup>iii</sup>

OROLSI at UN Headquarters brings together the Criminal Law and Judicial Advisory Service, the Police Division, the Disarmament, Demobilization, and Reintegration Section, the Security Sector Reform Unit, and the United Nations Mine Action Service. Each of these components is discussed below.

[6]

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The following videos outline the work of the Office of the Rule of Law and Security Institutions:



<http://www.youtube.com/watch?v=6oisXL4yJu8&list=PL49CE20981558F582>  
(1:08 minutes)



[http://www.youtube.com/watch?v=LSWR\\_WXDMhU&list=PL49CE20981558F582](http://www.youtube.com/watch?v=LSWR_WXDMhU&list=PL49CE20981558F582)  
(6:48 minutes)

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For more information on OROLSI go to:

<http://www.un.org/en/peacekeeping/issues/ruleoflaw/>



OROLSI within POINT: <http://point.un.org/SitePages/orolsi.aspx>

### **Office of the Assistant Secretary-General for OROLSI**

OROLSI is headed by an Assistant Secretary-General (ASG), currently Mr. Dmitry Titov, who is responsible to the DPKO Under Secretary-General. The ASG is responsible for directing and managing all aspects of the areas within the overall responsibility of the Office of Rule of Law and Security Institutions. This includes developing an integrated, coherent departmental and UN system-wide approach to strengthening the rule of law and sustainable security sector institutions and ensuring systematic collaboration with all relevant UN and non-UN actors, including regional organizations, bilateral donors, non-governmental organizations and academia. The Office of the ASG also oversees the development and implementation of cross-cutting information and communications strategies, as well as coordinating the production of reports to the relevant legislative bodies on the rule of law and security institutions.

All organizational units within the Office of Rule of Law and Security Institutions are headed by a Chief or Director, who is accountable to the ASG for Rule of Law and Security Institutions. Each component is responsible for developing and implementing

information and communications strategies and providing reports in their respective areas to relevant legislative bodies and other actors.<sup>iv</sup>

### **Criminal Law and Judicial Advisory Service**

The strengthening of justice and corrections institutions plays a key role in the restoration and consolidation of peace. It facilitates the maintenance of law and order and fosters the peaceful resolution of disputes, while preventing impunity for crimes committed during and after a conflict.<sup>v</sup>

The provision of rule of law assistance is based on United Nations standards that reflect applicable international human rights law, international humanitarian law, international criminal law and international refugee law. It is always based on national ownership and the needs and priorities identified by national authorities and is consistent with the culture and legal traditions of the host country.<sup>vi</sup>

In 2003, the Criminal Law and Judicial Advisory Service (CLJAS) was created within DPKO to promote rule of law work, addressing both judicial and penal systems in UN peace operations. In 2007, CLJAS became a part of DPKO's Office of Rule of Law and Security Institutions. The Service is structured into the Justice Team, the Corrections Team and the Policy Cell. CLJAS works closely in coordination with other components of the Office of Rule of Law and Security Institutions, integrated operational teams, the Department of Political Affairs and other entities in the United Nations Secretariat, as well as United Nations agencies, funds and programmes. In 2010, the General Assembly established the Justice and Corrections Standing Capacity. It consists of a small number of experts who can be sent on short notice wherever needed, in compliment to the Standing Police Capacity.

CLJAS serves as the lead entity for strengthening legal and judicial institutions in peacekeeping contexts, as well as the global lead in the area of corrections. In collaboration with partners, it plans programmes within DPKO-led operations for strengthening of legal, judicial and prison systems, conducts periodic reviews and provides input on strategic planning for specific operations and missions. The Service also provides operational support to justice, corrections and rule of law components in such areas as programme implementation, budgeting, reporting, building institutional partnerships and staffing. CLJAS develops, updates, and distributes guidance, procedures, and lessons learned/best practices and training materials. It also facilitates sharing of these materials through the electronic Rule of Law Community of Practice, an Internet-based forum linking Headquarters and field staff to facilitate knowledge exchange.<sup>vii</sup>



For more information on the Criminal Law and Judicial Advisory Service, go to: <http://www.un.org/en/peacekeeping/issues/ruleoflaw/> or in the POINT: <http://point.un.org/SitePages/cljas.aspx>



The 2014 OROLSI/CLJAS Update on Justice and Corrections is available at: <http://www.un.org/en/peacekeeping/publications/cljas/DPKO-Justice-Corrections-Update-2014.pdf>

## Police Division

United Nations Police are an important tool used by the Organization to help promote peace and security. When the UN first started deploying police officers to peace operations in the 1960s, the mandate of police components was limited to monitoring, observing and reporting. Since the 1990s, the role of the UN Police has expanded to advisory, mentoring and training functions in order to serve as a corrective mechanism and strengthen capacities of domestic police and other law enforcement agencies.<sup>viii</sup>

There has been a Civilian Police Unit within DPKO since 1993. In 2000, the Police Division was established and, in 2007, as part of restructuring to increase integration and coordination, the Division became part of the DPKO Office of Rule of Law and Security Institutions. The Police Division is headed by a Police Adviser, who is accountable to the Assistant Secretary-General for Rule of Law and Security Institutions. The Division includes the Office of the Police Adviser, the Strategic Policy and Development Section, the Selection and Recruitment Section, the Mission Management and Support Section and the Standing Police Capacity.

The main areas of focus for the Division are policy and guidance development, strategic planning, selection and rotation of UN Police Personnel, technical advice to the police components of missions, and operational support to missions through the Standing Police Capacity. Currently the Police Division is running a number of projects aimed to increase the number of female police officers in field missions and to improve UNPOL's response to sexual and gender-based violence (SGBV). In September 2012, the Police Division became a part of the Global Focal Point for Police, Justice and Corrections Areas in the Rule of Law in Post-conflict and other Crisis Situations, together with other OROLSI and UNDP counterparts.

The Standing Police Capacity (SPC) is a rapidly deployable arm of the Police Division. The current SPC is 40 staff members whose areas of expertise includes a broad area of leadership and specialized knowledge expertise. The members of the SPC are normally the first UN Police Officers deployed to a new peacekeeping operation. They provide start-up capacity for the police components of new UN peacekeeping operations, including the strategic direction and organization to ensure the immediate and longer term effectiveness, efficiency and professionalism of the components. The SPC is currently based at the United Nations Global Service Centre in Brindisi, Italy.<sup>ix</sup>



For more information on the Police Division and UN Policing, go to:  
<http://www.un.org/en/peacekeeping/sites/police/index.shtml>



For specifics on UN Police work in the field:  
<http://www.un.org/en/peacekeeping/sites/police/work.shtml>



Additional information on the UN Police in a mission context can be found in Unit 2, page 64.

### Disarmament, Demobilization and Reintegration Section

The Disarmament, Demobilization and Reintegration (DDR) process is intended to contribute to security and stability in post-conflict environments so that recovery and development can begin. The DDR of ex-combatants is a complex process, with political, military, security, humanitarian and socio-economic dimensions. It aims to deal with the post-conflict security problem that arises when ex-combatants are left without livelihoods or support networks, other than their former comrades, during the vital transition period from conflict to peace and development. Through a process of removing weapons from the hands of combatants, taking the combatants out of military structures and helping them to integrate socially and economically into society, DDR seeks to support male and female ex-combatants and men, boys, women and girls associated with armed forces and groups, so that they can become active participants in the peace process.<sup>x</sup>

The DPKO DDR Section plans and supports DDR programmes in countries where there is a UN peacekeeping operation or a Special Political Mission with a DDR mandate. It works in coordination with other OROLSI components, integrated operations teams, the Department of Political Affairs and other UN agencies, funds and programmes. The DDR Section also monitors, evaluates, captures and disseminates lessons learned and best practices, develops policy and guidance (in conjunction with the Inter Agency Working Group on DDR) and provides operational guidance and support to the technical units in the field.<sup>xi xii</sup>



For more information on DDR and the IAWG, go to: <http://unddr.org/>

### Security Sector Reform Unit

Making people feel safe and secure in post-conflict contexts and re-building confidence between the State and its people is vital for sustainable peace and development. Security Sector Reform (SSR) is defined by the UN as “a process of assessment, review and implementation as well as monitoring and evaluation led by national authorities that has as its goal the enhancement of effective and accountable security for the State and its peoples without discrimination and with full respect for human rights and the rule of law”.<sup>xiii</sup> The security sector is generally acknowledged to include the structures, institutions and personnel responsible for the management, provision and oversight of security in a country. These might include defence, law enforcement, corrections, intelligence services and institutions responsible for border management, customs and civil emergencies, as well as elements of the judicial sector responsible for cases of alleged criminal conduct and misuse of force, management and oversight bodies, and informal or traditional security providers.<sup>xiv</sup>

Traditionally, international support to national SSR efforts has focused on operational level institutional reforms, in particular within police services and defence forces. Indeed, the vast bulk of the international community’s assistance to defence sector reform has been on ‘train and equip’ initiatives. However, over the past decade, the transformative value of assistance at the ‘sector-wide’ level of SSR has become evident. It aims to enhance security sector governance and, thereby, to produce systemic change in foundations common to all security sector components.

[10]

Working in coordination with partners in the UN Secretariat and other UN agencies, funds and programmes, the core functions of the SSR Unit are serving as the focal point and technical resource capacity for UN systems, national and international partners and providing support to the rapidly expanding range of field missions involved in assisting national SSR efforts. Responsibilities also include developing UN guidance, standards and practices, maintaining a roster of SSR experts and delivering SSR training to United Nations personnel, external partners and national actors. In consultation with Member States, the SSR Unit also identifies lessons learned on security sector reform and makes available a repository of SSR materials.<sup>xv</sup> Finally, the SSR Unit provides the secretariat for the UN Inter-agency SSR Task Force, which is co-chaired by DPKO and United Nations Development Programme (UNDP). This system-wide Task Force seeks to facilitate a comprehensive and coherent “One-UN” approach to SSR, with the goal of enhancing the United Nations capacity to deliver more efficient and effective support to national and regional SSR efforts.

A recent development in this area is the unanimous adoption of the first stand-alone Security Council Resolution on SSR, SCR 2151 (2014), reaffirming the importance of SSR in stabilizing countries recovering from conflict and resolving to prioritize reform aspects in both peacekeeping and special political mission mandates. The Resolution underscores the centrality of national ownership, recognizing that SSR needs to be in support of, and informed by, broader national political processes. In this regard, it underlines the importance of strengthening support to sector-wide initiatives that aim to enhance the governance and overall performance of the security sector. Regarding the role of the United Nations, the resolution notes that the Organization is particularly well-positioned to support and coordinate sector-wide reforms and has experience as well as comparative advantages in this area. It also requests the Secretary-General to strengthen the Organization's comprehensive approach to SSR, to encourage the Secretary-General's Special Representatives and Envoys to fully take into account the strategic value of SSR in their work, including through their good office functions, and, to develop guidance and assist relevant senior UN management to understand how to deliver mandated SSR tasks.<sup>xvi</sup>



For more information on SSR, go to: <http://unssr.unlb.org/>



An in-depth look at achievements and lessons learned in SSR can be found in the 2012 UN SSR Perspective document:  
[http://www.un.org/en/peacekeeping/publications/ssr/ssr\\_perspective\\_2012.pdf](http://www.un.org/en/peacekeeping/publications/ssr/ssr_perspective_2012.pdf)

In the video below, Brigadier (rtd.) Kellie Conteh shares his experience and knowledge about Security Sector Reform in this short video

“Securing States and Societies through Security Sector Reform”



<http://www.youtube.com/watch?v=l2nGi8w6SaM&feature=youtu.be>  
(3:54 minutes)

Closely linked with SSR is Defence Sector Reform (DSR). The [2011 DPKO-DFS Defence Sector Reform \(DSR\) Policy](#) notes that the defence sector is considered to be an important subset of the security sector.



To see a video on Defence Sector Reform in the UN, providing guidance to UN personnel engaged in supporting national defence sector reform, go to:

<http://www.youtube.com/watch?v=abZbXA4vMVM> (16 :09 minutes. Includes French subtitles)

### United Nations Mine Action Service

The United Nations role in mine action (UNMAS) is rooted in the UN Charter and further defined under UN resolutions, which consider “Mine action to be an important component of United Nations humanitarian and development activities”.<sup>xvii</sup> UNMAS is the lead United Nations entity on explosive hazards and the focal point for the coordination of “mine action” in the UN system.<sup>xviii</sup>

Mine action refers to activities which aim to reduce the social, economic and environmental impact of mines and explosive remnants of war (ERW) including cluster munitions. Mine action comprises five complementary groups of activities: mine-risk education (MRE) for civilians and UN staff, humanitarian demining (i.e. mine and ERW survey, mapping, marking and clearance), victim assistance (including rehabilitation and reintegration to those who have been injured by mines), weapons and ammunition stockpile management and destruction and advocacy against the use of Anti-Personnel Mines in accordance with international agreements.<sup>xix</sup>

UNMAS was established under GA resolution [A/RES/53/26](#) (1998) to support the UN's vision of "a world free of the threat of landmines and unexploded ordnance, where individuals and communities live in a safe environment conducive to development, and where mine survivors are fully integrated into their societies".<sup>xx</sup> Fourteen UN entities work together to implement the United Nations vision of a world free from the threat of

mines and explosive remnants of war including cluster munitions. UNMAS collaborates with UN departments, agencies, programmes and funds to ensure an effective, proactive and coordinated response.<sup>xxi</sup> UNMAS leads the Inter-Agency Coordination Group on Mine Action, the Mine Action Area of Responsibility under the Global Protection Cluster and contributes to the Inter-Agency Support Group on the Convention on the Rights of Persons with Disabilities and the Coordinating Action on Small Arms mechanism. UNMAS also coordinates meetings of standing committees and the Steering Committee on Mine Action, as well as administering the Voluntary Trust Fund for the Assistance in Mine Action. Additionally, the Service coordinates UN advocacy in support of treaties and other international legal instruments related to landmines and explosive remnants of war, including cluster munitions, and in support of the rights of people affected by these devices.

UNMAS operates in the most challenging environments in the world. It provides advisory and technical support to United Nations peacekeeping operations and special political missions, and rapid response to humanitarian emergencies. Working with governments and other actors to provide timely and effective responses, UNMAS leads, coordinates and carries out clearance, risk education, victim assistance and stockpile destruction activities and provides expert guidance and training to national authorities of affected countries.

As first responders, UNMAS explosive hazards experts stand by to provide lifesaving rapid response to deploy at short notice to emergencies. This paves the way for humanitarian assistance, the deployment of peacekeepers and safe, secure communities.

UNMAS provides direct support and assistance to 17 programmes in Afghanistan, Colombia, Cote d'Ivoire, Democratic Republic of Congo, Lebanon, Liberia, Libya, Mali, State of Palestine, Somalia, Sudan, Abyei, Darfur, South Sudan, Syrian Arab Republic, Western Sahara, and the Central African Republic.<sup>xxii xxiii</sup> The UN Mine Action Service is comprised of the Office of the Director, Planning and Programme Management, Policy coordination and Public Affairs and Finance, Budget and Reporting Sections.



For more information on the UN Mine Action Service, go to: <http://www.unmas.org>

### Office of Military Affairs

Another of the three main offices of DPKO, the Office of Military Affairs (OMA) provides military advice and plans and supports the deployment of military capabilities within peacekeeping operations. It is also responsible for enhancing the performance, efficiency and effectiveness of military components in United Nations Peacekeeping missions.<sup>xxiv</sup> The Office of Military Affairs (OMA) is comprised of the Office of the Military Adviser, the Current Military Operations Service, the Military Planning Service and the Force Generation Service. Each of these services is headed by a Chief who is accountable to the Military Adviser.

### Office of the Military Advisor

The Military Adviser, a serving Lieutenant General at the level of Assistant Secretary-General, leads the Office of Military Affairs and is accountable to the Under-Secretary-

General. The current Military Advisor (also known as the MILAD) is Lieutenant General Maqsood Ahmed. The MILAD is responsible for providing military advice to the Under-Secretary-General for Peacekeeping Operations and, when requested, through him or her to the Under-Secretaries-General for Political Affairs and Field Support, the Secretary-General and the Security Council. The Military Advisor also provides advice and support to heads of offices and divisions within the Department of Peacekeeping Operations, the Department of Field Support, operations with military components led by the Department of Peacekeeping Operations and missions with military advisory functions led by the Department of Political Affairs.<sup>xxv xxvi</sup>



For more information on the current Military Advisor, go to:  
[http://www.un.org/en/peacekeeping/about/dpko/oma\\_adviser.shtml](http://www.un.org/en/peacekeeping/about/dpko/oma_adviser.shtml)

### Current Military Operations Service

The Current Military Operations Service (CMOS) is comprised of three geographically based teams. The core functions of the CMOS include providing advice to the heads of the military components of Department-led operations in coordination with the integrated operational teams on technical aspects of military operations, such as contingency planning, force rotations and operational reporting. The Service also provides military information and analysis related to current events and situations relevant to United Nations peacekeeping and coordinates visits, briefings and debriefings of various officials to peacekeeping operations. In coordination with the Conduct and Discipline Unit in the Department of Field support, the CMOS coordinates OMA's responses to disciplinary issues involving DPKO operations and DPA led missions.<sup>xxvii</sup>



For more information on the Office of Current Military Operations Service, go to:  
<http://point.un.org/SitePages/oma.aspx>

### Military Planning Service

The Military Planning Service (MPS) is comprised of three geographically based planning teams, a long-term planning team and specialist aviation and maritime operational planners. The core functions of the MPS include providing military strategic planning advice to the Military Advisor, developing and monitoring military plans, specifying force or operational requirements, producing military guidance documents and providing technical advice and guidance. The Military Planning Service works in coordination with DPKO-DFS, the Department of Political Affairs, the Office of Legal Affairs and the Integrated Training Service within the Policy, Evaluation and Training Division and other agencies as appropriate.



For more information on the Office of Military Planning Service, go to:  
<http://point.un.org/SitePages/mps.aspx>

### Force Generation Service

The Force Generation Service (FGS) is comprised of a force generation team, a standby arrangements team and a military personnel team. The FGS serves as the principal military contact with troop-contributing countries. In close liaison with Member States,

integrated operational teams and other appropriate entities in the DPKO-DFS and the Department of Political Affairs, FSG conducts the force generation process, including the generation and rotation of all military contingents and individuals and supporting the selection process for senior United Nations military appointments. In collaboration with DFS, the Service develops guidelines on force requirements and participates in negotiations and memorandums of understanding (MOUs) regarding troop deployment, force adjustments and contingent-owned equipment. It also maintains military deployment records of service and performance, deployment statistics, country profiles and data on agreements with Member States related to standby arrangements and rapid deployment levels. The Service coordinates reconnaissance visits to peacekeeping operations for troop-contributing countries as well as leading pre-deployment visits to troop-contributing countries to verify the preparedness of Member States to meet the conditions of UN peacekeeping operations, MOUs and contingent-owned equipment agreements.



For more information on the Force Generation Service, go to:  
<http://point.un.org/SitePages/fsg.aspx>

## 1.2 INTRODUCTION TO DFS

UN field operations require complex support systems in challenging operating environments. In accordance with the Secretary-General’s Bulletin on the Organization of the Department of Field Support (2010), the Department of Field Support (DFS) provides support to peacekeeping and special political missions in coordination with Member States and contracted services providers. DFS delivers support in the areas of finance, human resources, general administration, information and communications technology and logistics. Logistical services include supplying fuel, water, accommodation, food, offices and equipment for military observers, staff officers, UN Police and civilian staff, as well as transportation and medical facilities for the entire mission. Varying arrangements are made with troop and police contributing countries for the provision of vehicles, large equipment, catering, engineering and other support services for each mission.<sup>xxviii</sup>

DFS currently provides logistics, administrative and information and communications technology support for 15 peacekeeping missions and 1 field-based special political mission. These field missions represent a total civilian, police and military deployment of more than 118,800 personnel. In peacekeeping missions, the constant rate of troop and police rotations entails supporting twice the number of deployed uniformed personnel on an annual basis.<sup>xxix</sup>



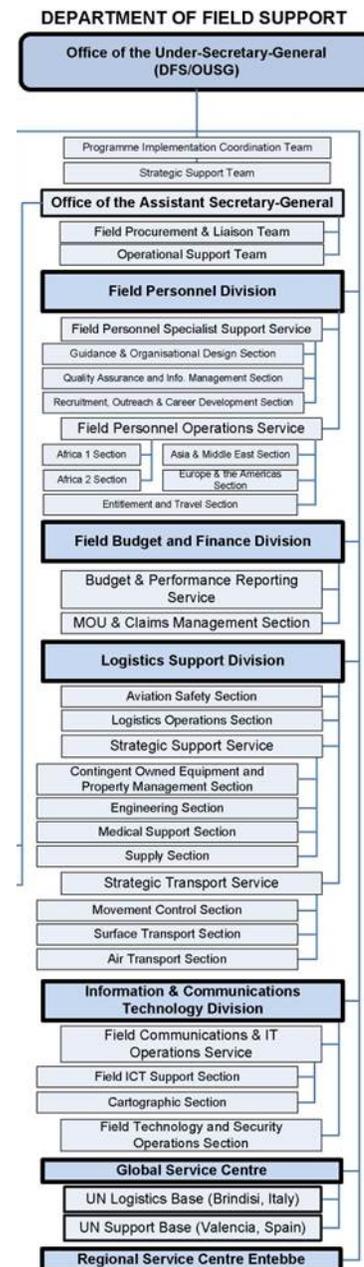
For more information on DFS, go to: <http://www.un.org/en/peacekeeping/about/dfs/>

### The Global Field Support Strategy

Recognizing that the effectiveness of peacekeeping activities depends a great deal on a broad range of logistics that safely and efficiently support peacekeepers, a comprehensive strategy was developed to transform service delivery in the field.

The Global Field Support Strategy (GFSS) is a comprehensive, five year (2010-2015) change management initiative that aims to improve the quality, speed and efficiency of the support that the Department of Field Support provides to field missions and personnel serving on the ground. The strategy focuses on four main areas: finance, human resources, the supply chain and service centres.<sup>xxx</sup>

The GFSS initiative is intended to facilitate timelier mission start-up, improved provision of physical support to field missions, and increased accountability and transparency in



the efficient use of the resources entrusted to the UN by Member States. The GFSS is based on partnership within the UN, with troop- and police-contributing countries, and the major providers of funds for peacekeeping operations. The principles that inform the Strategy include broad consultation with Member States, optimizing service delivery within existing resources and budgets, increased transparency and accountability, and a strong call for the engagement of civilian, military and police mission components in developing and implementing the GFSS.<sup>xxxix</sup>



Information on implementation support for the GFSS can be found in this e-Guide in the section on the [Programme Implementation Coordination Team](#).

### 1.2.1 Under-Secretary-General, Department of Field Support



Since June of 2012, Ms. Ameerah Haq has served as the Under-Secretary-General of the Department of Field Support (USG–DFS). The core strategic functions of the Under-Secretary-General include directing all support for UN field operations (peacekeeping operations and special political missions), including the provision of strategic direction on the delivery of support components in the areas of human resources, finance, procurement, conduct, logistics, communications and information technology. The USG leads the development of organizational support strategies, policies and procedures to meet field requirements and ensures the recruitment and retention of high-quality civilian personnel for field operations.

The USG is also responsible for liaising and conducting negotiations with Member States and other organizations on contributions to field operations and related administrative and logistical support. Operational responsibilities include ensuring effective management, implementation and monitoring of integrated support for field operations, overseeing the delivery of operational, administrative and logistics support to ensure the safety and security of staff in field operations and overseeing the development and maintenance of strategic support partnerships, including with regional organizations and entities within the UN system.



To read more about Ms. Haq, go to:  
<http://www.un.org/en/peacekeeping/about/dfs/chief.shtml>

To see a short video clip of Ms. Haq speaking about the major challenges of 2013 and the priorities for field support in 2014, go to Module 2, page 50 or click [here](#).

### Assistant Secretary-General and the Office of the Assistant Secretary-General

The current Assistant Secretary-General (ASG) is Mr. Anthony Banbury. The ASG is accountable to the USG-DFS and is responsible for developing cross-cutting field support policies and strategies and overseeing their implementation at Headquarters and in field operations. His core functions also include delivering day-to-day operational field support in the areas of personnel, finance, budget, conduct and discipline, logistics, information and communications technology, field-focused risk management, quality assurance, audit and Board of Inquiry issues, procurement and leadership of enterprise-wide projects and initiatives.

The Office of the ASG-DFS comprises the front office of the ASG, the Field Procurement and Liaison Team, the Conduct and Discipline Unit, and the Audit and Board of Inquiry Team (the latter two of which are discussed in the [Shared Capacities](#) section). In addition to assisting and advising the ASG-DFS in carrying out his duties, the core functions of the Office of the ASG includes advising on the provision of field operational support, communicating on behalf of the ASG as required, and coordinating administrative and logistics mechanisms to support field operations in their implementation of the policy on recreation and welfare.

### 1.2.2 Main Offices of DFS

As of May, 2014, there are three strategic level offices within the Department of Field Support reporting directly to the Office of the USG DFS: (1) the Strategic Support Team, (2) the Programme Implementation Coordination Team for the Global Support Strategy and, (3) the Office for Peacekeeping Strategic Partnership.

There are also eight sections who report to the Office of the Assistant Secretary-General. These include the Operational Support Team, the Field Procurement and Liaison Team, the Field Personnel Division, the Logistics Support Division, the Information and Communications Technology Division, the Global Service Centre and the Regional Service Centre Entebbe.

#### **Programme Implementation Coordination Team**

The Global Field Support Strategy provides for a change management implementation system that allows senior leadership to be systematically exposed to achievements, issues and failures and decide on corrective actions in a timely manner. The Programme Implementation Coordination Team plans, manages and coordinates the programme of work associated with the strategy. The Team supports the related accountability and management frameworks to enable comprehensive and detailed reporting to Member States on a regular basis and coordinates efforts among DFS divisions at Headquarters, the Global Service Centre, the Regional Service Centre and field missions.

The Team also coordinates efforts among various departments and offices, including DPKO, the Department of Political Affairs, the Department of Safety and Security and the Office of Human Resources Management, the Office of Programme Planning, Budget and Accounts and the Office of Central Support Services of the Department of Management. It is responsible for planning, monitoring and reporting on the implementation of the strategy and recommending corrective action to the USG DFS and the Strategy Steering Committee as required for successful implementation. The Team Leader provides senior management with the oversight and coordination necessary for the timely and comprehensive implementation of the strategy over its five-year implementation horizon, ensuring that related activities are contributing to the attainment of the strategic objectives.<sup>xxxii</sup>



For more information, please contact the GFSS Implementation Coordination Team at: [gfss-dfs@un.org](mailto:gfss-dfs@un.org)

### Strategic Support Team

The Strategic Support Team reports directly to the USG-DFS and supports the strategic development and management oversight of the Department of Field Support. Its principal function is to ensure that the leadership of DFS benefits from a two-way interaction with DFS staff, mission-level leadership, DPKO, the Departments of Political Affairs and Management, other United Nations entities and Member States. The Team ensures that strategic decisions taken by the USG DFS are systematically based on department-wide information-gathering and analysis and that DFS activities and efforts benefit from clear strategic guidance, robust management oversight and senior-level decision-making led by the Office of the Under-Secretary-General. The Team is also responsible for ensuring that accountability is strengthened throughout DFS and within UN peacekeeping missions with a view to the efficient use of resources and consistency with Member State guidance.<sup>xxxiii</sup>

### Global Services Centre

As part of the Global Field Support Strategy restructuring, the UN Logistics Base (formerly UNLB) in Brindisi, Italy, has been re-profiled as the Global Service Centre (GSC) for the field. In addition to its pre-existing tasks as the logistics base for UN peacekeeping (including the provision of logistics and information and communications technology support, and maintaining the strategic deployment stocks reserve), the new GSC also supports centres of expertise for service delivery to the field in administrative support, field central review body secretariat services, budgeting and financial management.

The United Nations Support Base at Valencia, Spain, serves as a communications hub for peace operations as well as a secondary active site for disaster recovery.



For more information on the Global Service Centre, go to:  
<http://point.un.org/SitePages/gsc.aspx>



The Civilian Pre-Deployment Training at the GSC is further discussed in Module 4, on page 143.

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A video outlining the logistics services of the Global Service Centre



<http://www.youtube.com/watch?v=QvnsQ9cbE2M> (6:42 minutes)

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### Regional Service Centre - Entebbe

Also as part of the UN Global Field Support Strategy concept, the Regional Service Centre - Entebbe (RSCE) in Uganda, was established in 2006 as a regional hub for common use by missions in the region. Its purpose is to enhance the efficiency and responsiveness of logistical support operations and reduce the deployment footprint of regional missions. Since its inception, the RSCE has worked closely with the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) and benefits from the support and infrastructure provided by the MONUSCO Entebbe Support Base (ESB). The Regional Training and Conference Centre in Entebbe serves as a training hub for DFS and DPKO Field missions in the region, hosting a wide variety of courses, conferences and meetings.<sup>xxxiv</sup>

### Field Procurement and Liaison Team

The Field Procurement and Liaison Team (FPL) is responsible for managing and monitoring delegations of procurement authority by the Under-Secretary-General for Field Support to field mission staff. The Team develops procedures related to field contract management and integrated logistics support planning, including acquisition planning. The Team is also responsible for advising the Assistant Secretary-General for Field Support on field procurement issues and supporting the Under-Secretary-General for Field Support and the Department of Management in the development and implementation of field procurement policies and procedures.<sup>xxxv</sup>

### Operational Support Team

The Operational Support Team (OST) has responsibility for enhancing the ability of the Department to deliver higher-quality service to field missions at a lower cost, consistent with the global field support strategy. For this purpose, the Team provides support to the Assistant Secretary-General in strengthening the capacity of the Office to provide more integrated support to peacekeeping missions. It also ensures that the priorities and immediate exigencies of mission start-up, sustainment and drawdown are understood at the division level in order to provide an overall coherent response. The Director of the Operational Support Team delivers operational guidance and support across all of the functional areas of DFS.<sup>xxxvi</sup>

### Field Personnel Division

Headed by the Field Personnel Division (FPD) Director, the Division is responsible for designing, recruiting, developing, managing, and retaining a highly-qualified civilian staff for service in UN field operations. The Division exercises overall leadership and responsibility for the conduct of human resources management and is also the primary human resources policy advisor to DPKO and the Department of Political Affairs senior leadership in Headquarters and in the field.

The Field Personnel Division is comprised of the Field Personnel Operations Service and the Entitlements and Travel Section (which includes the Office of the Deputy Director and four Integrated Regional Human Resources Management Sections) and the Field Personnel Specialist Support Service (which includes the Office of the Deputy Director/Chief of Service, Guidance and Organizational Design Section, the Quality Assurance and Information Management Section and the Recruitment, Outreach and Career Development Section).<sup>xxxvii</sup>

[20]



For more information on the FPD, go to: <http://point.un.org/SitePages/fpd.aspx>

### Field Budget and Finance Division

The Field Budget and Finance Division (FBFD) is responsible for efficient budgeting processes and providing guidance to field operations and Headquarters on the formulation of budget proposals, performance reports and other budgetary documents. Guidance also encompasses budgetary policies, procedures, processes, systems, practices, rules and regulations and results-based budgeting.

The Division participates in discussions with advisory and legislative bodies and supports the implementation of their recommendations. Working in consultation with the Office of Military Affairs, the Police Division, Mine Action Service and the Logistics Support Division of DPKO, the FBFD manages the financial aspects of contingent-owned equipment and death and disability claims for contingents in field operations. The Division also liaises with Members States on related memoranda of understandings, policies and procedures.

The Division is comprised of the Office of the Director, the Budget and Performance Reporting Service and the Memorandum of Understanding and Claims Management Section.<sup>xxxviii</sup>

### Logistics Support Division

The Logistics Support Division (LSD) is the Division tasked with providing logistics support to peacekeeping operations. Organized into four main areas (the Strategic Support Service, the Strategic Transport Service, the Aviation Safety Section and the Logistics Operations Section), the Division provides an extensive range of logistical support services including responsibilities for supplies, rations, engineering, contingent owned equipment and property management, cartographic and medical support. The LSD also manages logistics capabilities in terms of safe ground, sea and air transport for movement of military and civilian personnel and cargo, and the timely provision of vehicles and spare parts. Additionally, the LSD is responsible for overall planning and coordination of logistical support including contract management, acquisition and liquidation processes and monitoring logistics related policies and procedures.<sup>xxxix xl</sup>



For more information on the Logistics Support Division, go to: <https://www.lsd.unlb.org/home.aspx>

### Information and Communications Technology Division

The Information and Communications Technology Division (ICTD) is responsible for the planning, implementation, management and maintenance of information and computer applications throughout UN peacekeeping and political missions. The Division is comprised of the Field Communications and Information Technologies Operations Service and the Field Technology and Security Section. Working in coordination, the ICTD services establish the architecture and standards for information and communications technologies (ICTs), plan and implement major infrastructures, improvements and transitions, provide ICT project management support and review and approve budgets and strategic directions for ICTs in field operations. The Division

provides ICT operational, logistic, administrative and training support to field operations and manages the Secretariat’s global telecommunications infrastructure that underpins field operations and supports UN bases in Brindisi and Valencia. The Division also coordinates planning for field-based disaster recovery and business continuity and assesses and implements measures to address and prevent information security threats, compromises and loss of ICT resources and data. In accordance with the ICT governance framework, the Division ensures the coherent and coordinated global usage of information systems across DPKO-DFS and the Department of Political Affairs.



For more information on the Information and Communications Technology Division, go to: <http://point.un.org/SitePages/ictd.aspx>

### 1.3 SHARED CAPACITIES AND RESPONSIBILITIES

The following offices are shared resources providing services to the Department of Peacekeeping Operations and the Department of Field Support.

#### 1.3.1 Office of Chief of Staff

The Office of the Chief of Staff (O/COS) is headed by the Chief of Staff, who is accountable to both the Under-Secretaries-General for Peacekeeping Operations and Field Support. Working in coordination with executive bodies and committees, the O/COS is responsible for ensuring DPKO and DFS work in an integrated manner. Core functions of the O/COS include coordinating, monitoring and overseeing the internal management of DPKO, as well as developing, advising on, and promoting policies and guidelines on management issues on behalf of and as directed by the DPKO-DFS USGs. The Office provides policy and strategic advice to the DPKO-DFS USGs on safety and security matters related to DPKO-led operations and coordinates daily interaction with the Department of Safety and Security.

The O/COS leads development of the programme management plan and results-based-budgeting frameworks for DPKO, as well as the related monitoring, evaluation and reporting activities. The Office also leads or oversees the development and implementation of the reform and change management and process improvement plans of DPKO-DFS. It also oversees the implementation of the performance management framework for heads of DPKO-led operations and coordinates the formulation of their Senior Managers’ compacts and performance assessments.

The Office manages and archives the substantive business records of the Offices of DPKO-DFS USGs and ASGs and coordinates the processing of incoming and outgoing documents in DPKO and DFS, including internal and external correspondence addressed to the Under-Secretaries-General.



## Executive Office

The Executive Office (EO) is headed by the Executive Officer who is accountable to the Chief of Staff. The Office is responsible for assisting department heads and programme managers in carrying out their financial, personnel and general administrative responsibilities as delegated by the Under-Secretary-General for Management. Support might include providing support with budgets, financial performance reports, recruitment, performance appraisal, promotions, entitlements and liaising with the Office of Human Resources, the Office of Programme Planning, Budget and Accounts and the Office of Central Support Services.

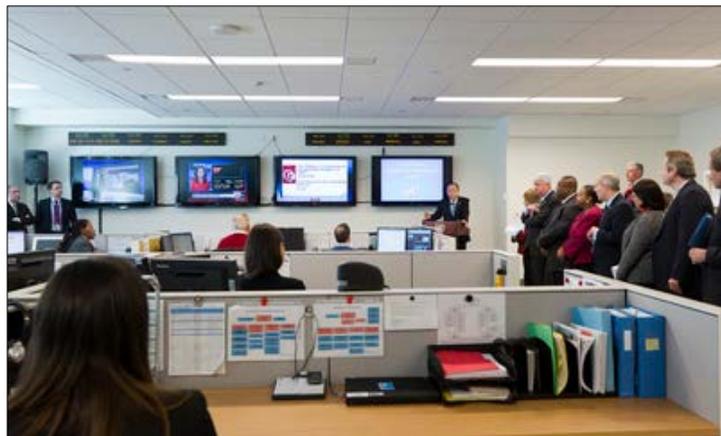


The EO function related to human resources are discussed in more detail in [Module 5](#).

## UN Operations and Crisis Centre/Peacekeeping Situation Centre

The Peacekeeping Situation Centre (SitCen) was established in 1993 and serves as an information hub for DPKO and DFS. The SitCen became part of the United Nations Operations and Crisis Centre (UNOCC) in January 2013. Under the Secretary-General's authority, the UNOCC is responsible for providing UN senior management with a common global picture, acting as a single point of contact for the management of crisis in the field and continuous executive communications support. Within UNOCC, the SitCen provides situational awareness and analysis through the monitoring of developments in operations led by DPKO and/or supported by DFS, as well as in other areas of interest. It provides daily written updates to senior Secretariat staff, conducts research and prepares specialized information products on incidents and trends that might affect current and potential operations, and coordinates the development of policy guidance and standard operating procedures concerning reporting, crisis response and crisis management for DPKO-led operations. SitCen also facilitates Headquarters crisis response for DPKO-led operations, ensuring an integrated operational approach at Headquarters and in the field.

The Centre provides policy guidance and support to [Joint Operations Centres \(JOC\)](#) and [Joint Mission Analysis Centres \(JMAC\)](#). It also maintains and develops external relations with situation and operations centres of other UN entities and regional organizations.



*Secretary-General Ban Ki-moon (at lectern, centre right) delivers remarks, inaugurating the United Nations Operations and Crisis Centre (UNOCC, located in the UN Secretariat Building), and thanking the stakeholder UN departments responsible for the Centre's development.*  
(Photo Credit: Rick Bajornas)

### Public Affairs Section

The Public Affairs Section (PAS) is responsible for managing media relations, publicity and external relations, including the development and implementation of communications plans and campaigns and representational activities. The section also manages corporate messaging and internal communications and provides support to the public information components of DPKO-led operations in cooperation with the Department of Public Information and DFS.<sup>xii</sup>

PAS liaises with the integrated operational teams and other areas of DPKO and DFS, as well as the Department of Public Information, in providing technical advice and broader operational support to public information components in field missions, including on planning, policy, training and evaluation issues. The Section maintains the UN Peacekeeping website in conjunction with DPI, the Mission websites in collaboration with the Peacekeeping Information Management Unit, and runs UN Peacekeeping social media channels.



For more information on the Public Affairs Section, go to:

<http://point.un.org/SitePages/pas.aspx>

### Peacekeeping Information Management Unit

The Peacekeeping Information Management Unit (PK IMU) is responsible for generating information management strategy and policy and for leading cross-cutting initiatives in support of peacekeeping strategy. The unit also provides technical assistance on information management policy, practice, and operational planning to DPKO, DFS and field missions. The coordination of stakeholder interests in high-impact, crosscutting information management initiatives is led in the PK IMU to ensure access to timely information in peacekeeping. PK IMU supports the alignment of information management priorities with peacekeeping priorities, including support to the Chief of Staff in budgetary processes through the DPKO/DFS Information Management Committee.

The core functions of the PK IMU include implementing the DPKO-DFS Information Management Strategy, establishing information management governance and the DPKO-DFS Information Management Committee, ensuring information management activities are aligned with departmental and mission mandate objectives, and establishing priorities for information management initiatives for peacekeeping operations.

The Unit is responsible for the POINT Intranet platform, the DPKO/DFS Strategic Management System (SMS), and several global information initiatives, some of which are discussed in [Module 4](#). The Peacekeeping Records Centre (PKRC) is a team within the PK IMU and is responsible for streamlining and strengthening records management in peacekeeping.<sup>xiii</sup>



For more information on the Peacekeeping Information Management Unit, go to:

<http://point.un.org/SitePages/pkimu.aspx>

For more information on the PK IMU Information Management Initiatives, go to:

<http://point.un.org/SitePages/pkimuinitiatives.aspx>

For more information on the Peacekeeping Records Centre, go to:  
<http://point.un.org/SitePages/pkrc.aspx>

### **Focal Point for Security**

The Focal Point for Security (FPS) is a small section under the Chief of Staff. It is headed by the FPS him/herself, and supported by two programme officers and a team assistant. While the section does not manage the day to day security matters in missions (as this function is performed by the Peace Operations Support Section (POSS) at the Department of Safety and Security (DSS) the FPS is in daily contact with POSS on all matters relating to security of field missions, and offers strategic or policy support to POSS where required. The FPS attends most crisis meetings convened to manage crisis in the field in the role of security adviser to the USG DPKO and USG DFS through the Chief of Staff.

The FPS provides DPKO and DFS with security advice, policy guidance and support, serves on the Inter Agency Security Management Network (IASMN) and supports and liaises with Occupational Group Manager and safety occupational groups as required. He or she also supports Field Occupational Safety Risk Management (FOSRM) and the Organizational Resilience Management System through assistance with policy development, field visits and training. The FPS also provides support for integration of Programme Criticality, policy development on crisis management and security advice to the IOTs, as well as serving as a member of the Secretariat Crisis Operations Group (COG).

### **1.3.2 Policy Evaluation and Training Division**

Established in 2007, the Policy Evaluation and Training Division (DPET) provides overall leadership and strategic direction and, through its Services, develops and disseminates policy and guidance, conducts thematic and programme evaluations, and develops, coordinates and delivers standardized training. DPET's work in developing policy and capacity supports is facilitated by strategic partnerships and cooperation with UN and external partners, including Member States. DPET includes the Partnerships Team, the Evaluation Team, the Policy and Best Practices Service and the Integrated Training Service. Each of these services is discussed below.

#### **Partnerships Team**

UN peacekeeping is increasingly reliant on effective partnership arrangements in order to meet its mandated objectives. DPET maintains a Partnerships Team that provides a common platform of support to both DPKO and DFS for strategic partnerships. While all parts of DPKO and DFS work with a differentiated set of partners based on the country or tasks at hand, DPET Partnerships supports global partnership arrangements and dialogue mechanisms with critical partners (one exception is partnership with the African Union, which is managed by the Office of Operations). The Partnerships Team also supports policy work in areas that are closely linked to partnership efforts, including peacebuilding and integration. The following tables show the main partnerships supported through the Team.

### Main Partnerships supported through Partnerships Team

Main External Multilateral Partners	Main UN Partners
European Union	DPA
NATO	UNDP
CSTO	DOCO
LAS	PBSO
ASEAN	OCHA
World Bank/IMF	UNICEF
ICRC	OHCHR
International organizations and NGOs	UNHCR
	WFP

### Evaluation Team

As noted in DPKO-DFS Headquarters Self-Evaluation Policy (2013), the Departments have a responsibility to assess the performance and results of DPKO and DFS and their respective sub-programmes. Evaluations provide the Departments with objective evidence on their achievements and on the effects of their efforts and resources. Evaluation results also can serve the purpose of strengthening requests to Member States for resources, provide managers and staff with opportunities to review processes and implementation and to identify lessons to be learned to improve practices and management.

The Evaluation Team provides substantive and administrative support to DPKO-DFS in the planning, conduct and follow-up of evaluations. Evaluations may be undertaken either directly by the Evaluation Unit or by the programme/sub-programme with support from the Evaluation Unit. As resources are limited, a DPKO-DFS Evaluation Advisory Board advises senior managers on the resources available and supports a jointly developed annual evaluation plan that address both Departments' needs and recommends which evaluations should be led by the programme(s) and which should be led by the Evaluation Unit.

The Evaluation Unit's placement within the Policy, Evaluation and Training Division ensures that it is separate from day-to-day operational management responsibilities and that evaluation findings are incorporated into the policy development, best practices and training activities that contribute to the institutional strengthening of DPKO and DFS.

### Policy and Best Practices Service

The Policy and Best Practices Service (PBPS) provides support to both DPKO and DFS in the field and at Headquarters. The function of PBPS is to help improve the efficiency and effectiveness of peacekeeping operations through the exchange of good practices between missions, the development of guidance material that reflects lessons learned and thematic policy support in selected areas (Gender, HIV/AIDS, Civil Affairs, Protection of Civilians and Child Protection). PBPS also coordinates the network of Best Practices Officers in the field and the Knowledge Sharing Toolbox.

With regards to guidance development, PBPS acts as the secretariat for the Expanded Senior Management Team (E-SMT), as well as DPKO's policy review body. As such, it coordinates the drafting of policy guidelines and procedures on cross-cutting aspects of peacekeeping operations (such as mission integration and risk management), or in specialized areas (such as strategic partnerships with regional organizations or HIV prevention among peacekeeping staff). PBPS also supports electronic platforms such as Communities of Practice, the Peace Operations Intranet, and the DPKO website.<sup>xliii</sup> These knowledge sharing tools will be discussed further in [Module 4](#).

The Policy and Best Practices Service is comprised of teams focused on Policy Planning, Knowledge Management and Guidance, Protection of Civilians, Gender Advisory, HIV/AIDS, Child Protection, Civil Affairs and Integrated Training Services. Each of these teams is discussed on the following pages.

### Policy Planning Team

The Policy Planning Team (PPS) is tasked with developing, coordinating and implementing a range of policy portfolios in support of ongoing peacekeeping reform activities, along with identification and development of new policy initiatives in response to the ongoing evolution of the global peacekeeping environment. Building on the key findings of the Report of the Panel on United Nations Peace Operations of 2000 and on the direction set by the [Capstone Doctrine](#) of 2008, PBPS has focused on further defining the central issues facing peacekeeping today and on scoping approaches to addressing them. In this regard, the Policy Planning Team, in cooperation with offices across DPKO and DFS, supports oversight of the current reform streams outlined within the [New Partnership Agenda: Charting a New Horizon for UN Peacekeeping](#), released in 2009, and the additional outputs identified in the [Progress Report No.1](#) of 2010. The Team's oversight responsibilities include preparation of relevant briefings and reports on implementation, as well as coordination of Departmental outreach efforts on reform issues.

With respect to implementation of reform priorities, the Policy Planning Team serves as the Departmental focal point and coordinator for efforts to develop and implement a comprehensive capability-driven approach with the aim of improving overall performance in the field. In reference to forward-looking policy planning, the Policy Planning Team, in partnership with other elements of DPET and the wider UN family, provides conceptual and policy advice on a wide range of peacekeeping issues, including but not limited to the peacekeeping-peacebuilding nexus, command and control, strategic force generation, and human rights screening. It also serves as the Departmental liaison with peacekeeping experts from within civil society and academic circles and supports ongoing policy dialogue on cross-cutting peacekeeping issues with both UN system and external partners. In addition to its policy analysis and articulation function, the Policy Planning Team provides the Secretariat support to the Special Committee on Peacekeeping Operations and also supports the OUSGs of DPKO and DFS in the development of strategic messaging and communication materials on the UN peacekeeping agenda and in engagement with key partners within Member States, regional organizations, civil society and the broader UN.



For more information on the Policy and Planning Team at Headquarters, go to <http://point.un.org/SitePages/policyplanningteam.aspx>

### Knowledge Management and Guidance Team

The Knowledge Management and Guidance Team facilitates the exchange of good practices between missions and supports the development and dissemination of DPKO-DFS official guidance materials for UN peacekeeping operations. It develops standard tools to capture good practices and lessons to identify major trends, raise attention, and foster the policy planning agenda. Greater detail about specific knowledge management and sharing tools can be found in [Module 4](#).

The Team also assists DPKO-DFS colleagues in drafting and approval of guidance materials, identifies needs for guidance to be developed, takes the lead in drafting guidance on cross cutting issues (e.g. Protection of Civilians) and provides support to DPKO-DFS to the Extended Senior Management Team on guidance issues. The Peacekeeping Policy and Practice Database, which is managed by the team, forms the repository for all DPKO-DFS promulgated guidance and good practices products.



For more information on the PBPS Knowledge Management and Guidance Team go to: <http://point.un.org/SitePages/knowledgesharing.aspx>

### Protection of Civilians Coordination Team

In response to the increasing number of civilians who have become the victims of armed conflict, the Security Council has mandated a number of peacekeeping operations with the protection of civilians (POC) from physical violence. There are currently 9 peacekeeping operations with Protection of Civilians (POC) mandates. Over 94% of overall peacekeeping personnel serve in missions with POC as a core mandated task. Mandate implementation remains challenging, however, with widespread threats to civilians, and 75% of member states requesting further training guidance on POC. <sup>xliv</sup>

To assist missions in planning for POC implementation and responding to crises where civilian lives are at risk, DPET established a POC Coordination Team in 2012 (an evolution of the POC work that was being done by the PBPS Guidance Team). Responding to the clear need for awareness and training, the POC Team has since developed a variety of guidance and training materials as well as providing substantive direction, including on the development of POC training materials for military, police and civilian audiences, including mission-specific scenarios.

The Team works closely with the IOTs in the Office of Operations, the Office of Military Affairs, and other parts of DPKO and DFS. It provides policy advice and backstopping to missions with POC mandates and takes an active role in mission planning in contexts where threats to civilians have been identified. It is also a main interlocutor for DPKO with OCHA, OHCHR, UNHCR and other UN agencies, as well as the Contact Group on the Responsibility to Protect, where issues of the protection of civilians are concerned. The POC Coordination Team is a standing respondent at the Security Council's Informal Expert Group on POC.



For more information on the POC Coordination Team, go to:  
<http://www.un.org/en/peacekeeping/issues/civilian.shtml>

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The following video provides an overview of the  
 “Mandate to Protect Civilians in peacekeeping operations”.



<http://www.youtube.com/watch?v=bRmasLzbpU> (43:12 minutes)

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### Women Peace and Security Team

The Women Peace and Security (WPS) mandate is derived from seven Security Council resolutions on Women Peace and Security which acknowledge that i) women have an important role to play in the prevention and resolution of conflicts and in peace-building and that promoting gender equality in post conflict-environments is a pre-condition for sustainable peace; and ii) that sexual violence, when used or commissioned as a tactic of war to deliberately target civilians or as a part of a widespread or systematic attack against civilian populations, can significantly exacerbate situations of armed conflict and may impede the restoration of international peace and security, and that effective steps are to be taken to prevent and respond to such acts of sexual violence, and in particular the protection of women and girls.

Since the adoption of SCR 1325, Gender Advisers have been systematically deployed to all multidimensional peacekeeping operations to support the integration of gender into all peacekeeping functions in line with the women peace and security agenda. In order to support the work of the Gender Advisers, a Unit was established at Headquarters in 2003. Since its inception the Unit has developed policy and guidance on women peace and security, including guidelines for the police and military, as well as mine action and elections. Today the Unit is composed of two pillars: i) Gender Equality; and ii) Conflict-related Sexual Violence.

Pillar (i) Gender Equality: To guarantee that gender is effectively mainstreamed throughout DPKO/DFS, Gender Focal Points are nominated from each unit/office at Headquarters and in the field, to participate in DPKO/DFS Gender Task Force. The Task Force is responsible for the implementation of the DPKO/DFS Gender Strategy which seeks to 1) strengthen capacity of all peacekeeping personnel to advance gender equality, 2) Strengthen DPKO/DFS management and accountability systems for achieving gender equality, and 3) increase DPKO/DFS efforts to mobilize and engage effectively with its partners to achieve gender equality.

Pillar (ii) Conflict-related Sexual Violence: Since the adoption of resolution 1820 (2008), the Unit is specifically supporting the implementation of the conflict-related sexual violence (CRSV) mandate by DPKO/DFS and relevant peacekeeping operations. In particular, the Unit strengthens the capacity of peacekeeping personnel (military, police and civilian) to operationalize the CRSV mandate, and mainstreams CRSV concerns through the work of relevant components; supports the implementation of mandated arrangements to prevent and respond to CRSV; and engages with political partners, such as the SRSG on Sexual Violence in Conflict, and operational partners through the UN Action against Sexual Violence in Conflict network, and regional security organizations.



For more information on the Women Peace and Security Team go to:  
<http://point.un.org/SitePages/genderadvisoryteam.aspx>



For more information on field based work on women, peace and security, see Module 2, page 76.

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#### Video on Women in Peacekeeping



<http://www.youtube.com/watch?v=w21nCiG3ZSs&list=PL49CE20981558F582>

(2:47 minutes)

A videoed conversation between DPKO-DFS Senior Leaders on “Does Gender Matter?”  
 Filmed at the Gender Strategy Launch in September, 2014



<http://webtv.un.org/watch/does-gender-matter-a-conversation-between-senior-leaders-dpkodfs-gender-strategy-launch/3778387733001>

### HIV/AIDS Advisory Team

Conflict and post conflict environments are high-risk areas for the spread of HIV. Resolutions of both the United Nations Security Council and General Assembly acknowledge the devastating impact that HIV has on all sectors of society and stresses that ‘the HIV/AIDS pandemic, if unchecked, may pose a risk to stability and security’. These resolutions outline the Department for Peacekeeping Operations obligations to provide awareness and prevention programmes for all peacekeeping personnel in order to reduce the risk of peacekeepers contracting and/or spreading HIV. The DPKO/DFS Policy Directive in the Role and Functions of HIV/AIDS Units in the United Nations Peacekeeping Operations defines the functions and role of HIV/AIDS Units in peacekeeping operations, outlines the framework within which the units operate and provides the rationale for integrating HIV/AIDS in peacekeeping operations.

The upsurge in peacekeeping operations has necessitated a focus on technical and operational support. DPKOs key strategic priorities also include developing guidelines for the provision of voluntary confidential counselling and testing facilities and for setting up mission programmes, developing systems to collect baseline data in collaboration with the Centres for Disease Control, and reviewing of DPKO's HIV testing policy.<sup>xiv</sup>



For more information on the HIV/AIDS Advisory Team go to:  
<http://point.un.org/SitePages/hiv.aspx>

### Child Protection Team

Since 2008, the Department of Peacekeeping Operations has had a Headquarters-based Child Protection Team serving as the main focal point at Headquarters on all issues related to the protection of children in DPKO. The 2009 DPKO/DFS Child Protection Policy secured the commitment of the highest level in DPKO to mainstream child protection in all policies, strategies, trainings and briefing programmes. The policy makes everybody in DPKO and DFS responsible to consider the concerns of children in their work.

More recently, DPKO-DFS issued a Policy on the Prohibition of Child Labour in UN Peacekeeping operations and is currently developing training on child protection for all categories of peacekeeping personnel.

The Child Protection Team coordinates with DPKO field-based Child Protection Advisors in support of their responsibilities to mainstream child protection as an integral part of peacekeeping operations, including in peace processes and in the planning, strategies and the activities of all the DPKO mission components.<sup>xvi</sup>



The Child Protection Team is available to assist with guidance and providing advice. Please contact the Child Protection Focal Point directly or write to [dpkochildprotection@un.org](mailto:dpkochildprotection@un.org).

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This video discusses “Child Protection and Peacekeeping”.



<http://www.youtube.com/watch?v=4RE06NTgZgo> (12:22 minutes)



For more information about the work of Child Protection Advisors in the field, go to <http://www.un.org/en/peacekeeping/issues/children/>

For more information on the Child Protection Team at Headquarters, go to: <http://point.un.org/SitePages/childprotection.aspx>



The issue of child protection and armed conflict is discussed further in Module 2, on page 79.

### Civil Affairs Team

Usually deployed at the local level, Civil Affairs components in United Nations peacekeeping operations facilitate the implementation of peacekeeping mandates sub-nationally and work to strengthen social and civic conditions necessary for peace. Civil Affairs Officers are often the primary interface between the mission and local interlocutors performing a variety of essential tasks. While tasks vary significantly depending on the mandate of the mission and needs on the ground, the [DPKO/DFS Policy Directive on Civil Affairs \(April 2008\)](#) sets out three core roles that are performed, depending on the mandate and the situation on the ground: 1) cross-mission representation, monitoring and facilitation at the local level; 2) conflict management, confidence-building and supporting the development of political space; and 3) support to the restoration and extension of state authority.

The Civil Affairs Team at Headquarters focuses on policy development, guidance and training, and lessons learned and knowledge sharing. The team also partners with other UN agencies, regional organizations and NGOs and liaises with Member States. Civil Affairs is one of the largest civilian components in UN peacekeeping and the Headquarters team provides ongoing support to mission-based teams, including in recruitment processes.<sup>xlvii</sup>



For more information on the Civil Affairs Team at Headquarters, go to <http://point.un.org/SitePages/civilaffairs.aspx>



For more information on the restoration of civil authority in peacekeeping contexts, see Module 2, page 75.

## Integrated Training Service

Given the dynamic and continuously evolving nature of peacekeeping and the unique challenges that peacekeepers face on a daily basis, there is a need to ensure that personnel are adequately equipped with the knowledge, skills, and attitudes required to perform their duties. Peacekeeping training is a strategic investment that enables UN military, police and civilian staff to effectively implement increasingly multifaceted mandates.<sup>xlviii</sup>

As outlined in the [DPKO-DFS Policy for Training for all United Nations Peacekeeping Personnel](#) (2010), the Integrated Training Service (ITS) is responsible for the direction and coordination of peacekeeping training. It provides strategic direction, advice and technical support for all DPKO-DFS training initiatives and undertakes partnerships and joint training initiatives with governmental and non-governmental peacekeeping training institutes. ITS addresses pre-deployment, induction and in-mission training requirements for civilians, military and police peacekeeping personnel, as well as capacity development of Headquarters-based staff in coordination with partners such as UNITAR, the UN System Staff College and the Office of Human Resources Management. ITS also supports strengthened capacity in cross-cutting themes (such as gender and child protection) by integrating them into core training materials and assisting in the development of thematic training.

Working in collaboration with Member States, peacekeeping training institutions (PKTIs) and substantive experts, ITS develops training materials, such as the [Core Pre-Deployment Training Materials](#) (CPTMs), as well as [Specialized Training Materials](#) (STMs). ITS provides troop- and police-contributing countries with training standards and materials, as well technical advice, review of training courses and opportunities for knowledge exchange and networking. ITS also organizes and provides on-site assistance to Member States and PKTIs through Mobile Training Support Teams and conducts Training Recognition exercises on peacekeeping training delivered by external training institutions.

ITS delivers and continuously updates the Senior Leadership Programme (SLP) and Senior Mission Leaders (SML) course, as well as the Senior Mission Administration and Resources (SMART) programme. These courses address training needs of those who are responsible for mission management from the highest levels (SRSG, DSRSG, Force Commander or Head of Military Component, Police Commissioner) to Directors and senior managers of substantive and support components. An ITS team also delivers the Civilian Pre-Deployment Training at the Global Service Centre in Brindisi, Italy.

ITS works closely with Integrated Mission Training Centres (IMTCs) by maintaining a direct reporting line and providing training advice, materials and assistance. IMTCs are required to develop comprehensive mission training plans in order to ensure that priorities, budget provisions and training initiatives are aligned at Headquarters and in the field.

For more information on DPKO-DFS training, see [Module 4](#) and for UN system staff career development opportunities, see [Module 5](#).

### 1.3.3 Joint Management Forums at Headquarters<sup>xlix</sup>

The following forums are in place to ensure cohesion, sharing of information and decision-making.

#### Senior Management Team

The Senior Management Team Meeting (SMT) serves as a forum for discussion and decision-making on strategic issues. The membership of the SMT meetings is comprised of USGs and ASGs from DPKO and DFS. Due to the special nature of the police functions, the Police Advisor also attends the meetings.

#### Expanded Senior Management Team

The Expanded Senior Management Team (E-SMT) is a forum for discussion and approval of cross-cutting policies. Directors (D-2s) and above attend the meeting, along with DPKO and DFS Special Assistants, the Chiefs of SitCen and CITS and the Chief of the Policy and Best Practices Service.

#### Directors Meeting

The Directors Meeting provides a forum for information exchange, in addition to immediate problem-solving and decision-making on operational issues. The meeting is attended by senior managers from both DPKO and DFS, the Chiefs of SitCen and CITS and the DPKO and DFS Special Assistants.

### 1.3.4 Integrated Task Forces

At Headquarters, Integrated Task Forces (ITF; formerly IMTF or Integrated Mission Task Force for DPKO-led task forces) are the main forum for joint assessments, planning, coordination, sharing of information and analysis, consultations and decision-making support. Integrated Task Forces consider all issues that have strategic significance or programmatic impact in integrated settings, including entity-specific planning and reporting processes that may have implications for other entities. ITFs are used to resolve policy differences between UN entities, ensure information-sharing between missions and UN Country Teams, and consult thematic entities as needed. Integrated Task Forces are established and chaired by lead departments on behalf of the UN system and include representatives of all relevant UN entities, including DPKO, DPA, DFS, the Peacebuilding Support Office, the Office of the High Commissioner for Human Rights and the Department for Safety and Security as well as the UN Development Group and the UN Executive Committee on Humanitarian Affairs. Field presences should also be represented. Task forces meet at the Director or Principal level as needed or as required by the present policy.<sup>1</sup>

The role of the ITFs varies in intensity during the life-cycle of the mission (i.e., mission-start-up, implementation, and draw-down or withdrawal). The key planning roles and products are articulated in the [Integrated Assessment and Planning Handbook](#).



For more information on the Integrated Task Force and other aspects of integrated planning, go to:

<http://www.undg.org/content/post-crisis-transition/coordination-structures/integration>

### Office for Peacekeeping Strategic Partnership

Working closely with troop and police-contributing countries and senior leadership, both in the field and at Headquarters, the Office for Peacekeeping Strategic Partnership contributes to strengthening the peacekeeping partnership. The Office assists in identifying gaps that have an impact on the delivery of mandates by United Nations peacekeeping missions and makes recommendations on systemic issues relating to United Nations peacekeeping operations. It also makes recommendations to ensure the safety, security and welfare of field uniformed personnel, including the provision of adequate support services. The Office also supports the incorporation of lessons learned and best practices from peacekeeping missions into peacekeeping operations.<sup>li</sup>

### Senior Leadership Appointment Section

The core functions of the Senior Leadership Appointments Section (SLAS) include identifying and monitoring leadership requirements in the field in order to improve senior management recruitment and succession planning, with special attention to geographic representation and to increasing the representation of qualified female candidates. In order to meet field-based senior-level leadership requirements, SLAS maintains a centralized database of potential Under-Secretary-General and Assistant Secretary-General levels candidates. It develops outreach strategies and creates new partnerships, and regularly briefs senior leaders on their role and responsibilities and supports the profiling of mission-specific requirements, including the development of specific Terms of Reference. On the policy side, SLAS, in collaboration with its main partners, works on leadership related matters including performance management, accountability and substantive support to newly appointed leaders.



For more information on SLAS, go to: <http://point.un.org/SitePages/slas.aspx>

### Audit Response and Boards of Inquiry Section

The Audit Response and Boards of Inquiry Section (AR&BOI) is responsible for coordinating, developing and preparing responses to audit reports of the UN oversight bodies, coordinating and strengthening interaction between line managers and oversight bodies, and developing and circulating guidelines to DPKO and DFS, as well as field operations, to ensure compliance with audit recommendations. AR&BOI also provides guidance to field missions to facilitate inquiries into accidents and incidents resulting in the loss of life and serious injuries of mission members, or third party individuals, when mission members are involved and major loss of UN funds or damage to assets and equipment occurred.

The Audit Response Unit (ARU) follows up on the status of implementation of oversight recommendations and guides field operations on measures to address internal control weaknesses and prevent repeated audit findings. The Board of Inquiry (BOI) is convened by the Heads of Mission or USGs DPKO-DFS to look into serious occurrences.



For more information on the Audit Response and Boards of Inquiry Section, please go to: <http://point.un.org/SitePages/aru.aspx>

## Conduct and Discipline Unit

The Conduct and Discipline Unit (CDU) was formally established in the Department of Field Support in 2007 following the initial formation of a Conduct and Discipline Team in the Department of Peacekeeping Operations in 2005. It was launched as part of a package of reforms in United Nations peacekeeping designed to strengthen accountability and uphold the highest standards of conduct.

The CDU provides overall direction for conduct and discipline issues and maintains global oversight on the state of conduct and discipline for all categories of UN personnel in field operations. Specific functions include developing strategies and leading the development of conduct and discipline policies, procedures and guidelines and the identification of best practices to facilitate compliance with conduct and discipline standards, and the development of monitoring tools and mechanisms. The CDU implements a three-pronged comprehensive strategy (prevention, enforcement and remedial action) to address sexual exploitation and abuse as well as working in consultation with the Integrated Training Service on developing training programmes related to misconduct, sexual exploitation and abuse. It is also responsible for making recommendations for actions on disciplinary cases.

The CDU reports to intergovernmental and expert bodies, including the General Assembly, the Fourth and Fifth Committees, the Advisory Committee on Administrative and Budgetary Questions and other policymaking organs on conduct and discipline issues related to all categories of United Nations personnel in field operations.



To learn more about the Conduct and Discipline Unit, go to:

<http://point.un.org/SitePages/cdu.aspx>

For more information on the on standards of conduct, strategies, etc., go to:

<http://cdu.unlb.org/>

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### *Why is it important for you to know about these offices, sections and teams?*



In your role at Headquarters, you will likely be involved in processes and initiatives that involve collaboration across many of the offices, sections and teams in DPKO-DFS. Having a foundational knowledge of their core functions will assist in knowing who to contact and where to go for information.

Attending Town Hall sessions, Brown Bag Learning Lunches and other meetings will also support your knowledge of the various offices and the people in them.

How else might you familiarize yourself with the offices and colleagues you will be working with?

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**Module Completion:** Congratulations on completing Module 1 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).

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# MODULE 2



## Overview of United Nations Peacekeeping

The focus of this module is on UN peacekeeping and the context of peacekeeping missions. Specifically, this module covers the following topics:

- Legal framework and principles of UN peacekeeping
- Types of peacekeeping missions
- Trends and reforms in peacekeeping
- Planning processes in peacekeeping operations
- Peacekeeping mission structures and components
- Cross-cutting substantive issues in peacekeeping
- Related peace and security activities

Please note that a few segments of this module may be familiar to those who have taken the “*UN Peacekeeping Operations: an Introduction*” programme. These are included here for the benefit of those who did not take that programme and also to serve as a refresher and easily accessible reference for those who did.

“Peace is Hard” is a short video introducing UN peacekeeping



<http://www.youtube.com/watch?v=C-2rv8s8Zmg> (1:00 minute)

## 2.1 INTRODUCTION TO PEACEKEEPING

The term peacekeeping refers to activities that are designed to preserve the peace and support implementation of peace agreements. United Nations peacekeeping draws together the legal and political authority of the Security Council, the personnel and financial contributions of Member States, the support of host countries and the accumulated experience of the Secretariat in managing peacekeeping operations in the field.<sup>iii</sup> These factors are what give UN Peacekeeping its legitimacy, sustainability and global reach and contribute to its crucial role in international security.

In its earliest days, peacekeeping was primarily military in nature and limited to monitoring cease-fire agreements and stabilizing situations on the ground while political efforts were being made to resolve conflicts. In the past, the conflicts were typically between states and tended to focus on border disputes or territorial disagreements. Today, peacekeepers operate in increasingly complex situations in which conflicts may be internal, involve many parties and include civilians as deliberate targets. In the more than sixty years of its existence, UN Peacekeeping has had to evolve significantly, adapting and innovating to meet these challenges in order to stay relevant as a tool of international crisis response. Peacekeeping continues to be a work in progress, incorporating comprehensive, multidimensional approaches that, in addition to security, often include humanitarian, political, environmental and socio-economic objectives.



Later in this module we will explore some of the trends and reforms in peacekeeping as well as the different kinds of peacekeeping missions that have evolved.

The following legal and analytical foundations and fundamental principles are the basis for all peacekeeping operations.

### 2.1.1 Legal Foundation for Peacekeeping Operations

Under the UN Charter, the Security Council holds primary responsibility for the maintenance of international peace and security. Although peacekeeping is not explicitly mentioned in the Charter, the legal basis for peacekeeping can be found in Chapters VI, VII and VIII. Chapter VI relates to the ‘Pacific Settlement of Disputes’, and is associated with traditional peacekeeping operations, while the more forceful actions are mandated under Chapter VII. Chapter VII provides the framework within which the Security Council may take enforcement action. It

allows the Council to "determine the existence of any threat to the peace, breach of the peace, or act of aggression" and to make recommendations or to resort to non-military and military action to "maintain or restore international peace and security".<sup>liii</sup>

The Security Council determines when and where a UN peacekeeping operation should be deployed, deciding on a case by case basis. Prior to Security Council authorization of a peacekeeping mission, the Secretariat usually conducts a Strategic Assessment of the situation in the country or territory where the UN Peacekeeping operation is being considered. Based on the findings and recommendations of the Strategic Assessment, the UN Secretary-General will issue a report to the Security Council. This report presents options for the establishment of the peacekeeping operation. If the UN Security Council determines that deploying a UN Peacekeeping operation is the most appropriate step to take, it will formally authorize it by adopting a resolution. (Such decisions require at least nine out of 15 votes in favour and are subject to a veto by any of the Council's five permanent members.) The resolution sets out the operation's mandate and size, and details the tasks it will be responsible for performing. The budget and resources are then subject to General Assembly approval.



For more information on the initiation of peacekeeping operations, go to page 53 in this module, as well as the Core Pre-Deployment Training Material, Unit 2, Part 1.

### 2.1.2 Mandated Mission Tasks

While each UN peacekeeping operation is unique, there are many similarities in the types of mandated tasks assigned by the Security Council. Depending on their mandate, peacekeeping operations may be required to:

- Prevent the outbreak of conflict or the spill-over of conflict across borders
- Stabilize conflict situations after a ceasefire to create an environment for the parties to reach a lasting peace agreement
- Assist in implementing comprehensive peace agreements
- Lead states or territories through a transition to stable government, based on democratic principles, good governance and economic development

Depending on the circumstances and specific challenges identified in the Strategic Assessment, UN peacekeepers are often mandated to play a key role in activities which are essentially part of peacebuilding:

- Disarmament, demobilization and reintegration of ex-combatants (DDR)
- Mine action and improvised explosive device threat mitigation
- Weapons and ammunition management
- Security sector reform and other rule of law-related activities, such as support to justice and corrections institutions
- Protection and promotion of human rights
- Electoral assistance
- Support for the restoration and extension of State authority
- Promotion of social and economic recovery and development

All peacekeeping operations are expected to uphold human rights standards, ensure that they do not adversely affect human rights through their operations, and advance human rights through the implementation of their mandates. Depending on the context, Security Council mandates may also reflect a number of cross-cutting substantive issues (e.g., women, peace and security, children and armed conflict, protection of civilians in armed conflict and HIV/AIDS). These issues have associated tasks and responsibilities that are also assigned to UN peacekeeping operations. For more information on cross-cutting substantive issues, please go to page 72 in this module.

### 2.1.3 Fundamental Principles of Peacekeeping

There are three basic principles that have developed over time and continue to serve as the foundation for UN peacekeeping operations. These principles are inter-related and mutually reinforcing:

1. Consent
2. Impartiality
3. Non-use of force except in self-defence and defence of the mandate

These principles provide a compass for peacekeeping personnel, both in the field and at United Nations Headquarters. It is important that the meaning and practice of these principles are understood by everyone who is involved in United Nations peacekeeping operations so they can be applied in all aspects of peacekeeping planning and conduct.

#### Consent

All UN peacekeeping operations should be deployed with the consent of the main parties. Consent ensures that the mission has the political and physical freedom of action needed to carry out its mandated tasks. Consent for a peacekeeping mission is provided to the Security Council during the planning phase by the leading representatives or negotiators representing the main parties to the conflict.

Without consent, a United Nations peacekeeping operation risks becoming a party to the conflict. It can be drawn into peace enforcement and away from the key role of keeping the peace. A complete withdrawal of consent to the peacekeeping mission by one or more of the main parties challenges the reason for the operation. Withdrawal of consent will likely change the international community's strategy and may mean that the Security Council withdraws the peacekeeping operation.

Consent can be uncertain or unreliable in some contexts. A lack of trust between parties to the conflict may cause one or more of the parties to block certain aspects of the peacekeeping mission's mandate. In addition, weak command and control systems within parties to the conflict may mean that there are differences of opinion between central and local levels of command. There may also be "spoilers", not under the control of any of the main parties to the conflict, who have an interest in spoiling the peace process.

Consent is encouraged, at all levels, by building confidence among the parties and enhancing their stake in and ownership of the peace process.<sup>liv</sup>

## Impartiality

UN peacekeeping operations must implement their mandate without favour or prejudice to any of the parties to the conflict. Impartiality is crucial to maintaining the consent and cooperation of the main parties. A peacekeeping operation is similar to a good referee who is impartial, but will penalize infractions. The operation should not condone actions by the parties that violate the undertakings of the peace process or the international norms and principles that a United Nations peacekeeping operation upholds. Impartiality for UN peacekeeping operations means adherence to the principles of the UN Charter and to the objectives of the mission mandate. Impartiality, as a principle of UN peacekeeping, means that the peacekeeping operation deals with all parties to a conflict in an unbiased and even-handed manner, and its actions are focused on implementing its mandate fairly.

This kind of impartiality is not the same as neutrality. It is also not the same as equal treatment of all parties in all cases for all time, which can amount to a policy of appeasement. In some cases, local parties are made up of obvious aggressors and/or victims, and a peacekeeping operation may not only be operationally justified in using force, but also morally compelled to do so.

Humanitarian actors also use the terms impartiality and neutrality, however, their meaning is somewhat different. For the International Red Cross and Red Crescent Movement, in particular, impartiality means being guided solely by needs, making no discrimination on the basis of nationality, race, gender, class or religious or political beliefs, while neutrality means to take no sides in hostilities or engage, at any time, in controversies of a political, racial, religious or ideological nature.<sup>lv</sup>

## Non-use of force except in self-defence and defence of mandate

The initial principle that UN peacekeeping operations should only use force in self-defence has evolved to include the use of force in order to defend the mandate. This means that even though UN peacekeeping operations are not a peace enforcement tool, they may use force when authorized by the Security Council and in cases of self-defence and/or defence of the mandate. Self-defence is generally understood to be in defence of United Nations personnel and property.

In situations where there may be militias, criminal gangs and other spoilers who actively seek to undermine the peace process or pose a threat to the civilian population, the Security Council tends to provide the mission with a “robust” mandate. A *robust* mandate authorizes the peacekeeping operation to “use all necessary means” to deter forceful attempts to disrupt the political process. It is also intended to protect civilians under imminent threat of physical attack or assist the national authorities in maintaining law and order.

Even when the Security Council has specified a robust mandate, a United Nations peacekeeping operation should only use force as a measure of last resort, when all other methods of persuasion have failed.

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### Why is this important to you?

**Consent:** In the implementation of its mandate, the United Nations Peacekeeping Operation's role is to move the peace process forward while maintaining consent of all the parties to the conflict. It is the job of all personnel in a peacekeeping mission (civilian, military and police components equally) to have a thorough understanding of the history, customs and culture in the mission area and to continuously analyze the peacekeeping environment. Peacekeeping personnel must have the capacity to watch, assess and report on the evolving interests and motivation of the parties and be ready to prevent any loss of consent at the local or central level.

 In your role at Headquarters, you may be in a position to support your colleagues in the field in the overall goal of maintaining consent. Perhaps this is through supporting knowledge exchange, reporting or assisting in planning processes. What other ideas or thoughts come to mind in this regard?

**Impartiality:** If the peacekeeping process is being undermined and the mission decides to take action, the mission must make sure that the rationale for action is well established. In order to maintain the principle of impartiality, it is important that the peacekeeping operation is perceived as a fair, open and transparent actor. The reasons for action and the appropriate response must be clearly communicated to all. This will help to lessen any potential backlash against the peacekeeping operation.

 In your role at Headquarters, how might you contribute to supporting a peacekeeping missions' stance and perception of impartiality?

**Non-use of force except in self-defence & defence of mandate:** Peacekeeping personnel at Headquarters who are directly involved in supporting peacekeeping missions, should be familiar with the relevant mission-specific documents outlining the use of force (Rules of Engagement and Directive on the Use of Force). Political implications, mission capability, public perceptions, humanitarian impact, force protection, safety and security of personnel and the effect on national and local consent for the mission are all factors to be taken into account when deciding on the application of the use of force.

 In your role at Headquarters, are there ways that you might be responsible for information or communications related to this principle?

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### Definitions:

The **Rules of Engagement (ROE)** outline the authority of armed UN military personnel to use force in implementing the mandate. They also clearly state when force may not be used by armed UN military personnel. The Rules of Engagement apply to all armed military personnel and units in the mission and they are tailored to the particular mandate of that mission. They are legally binding documents, internal to the United Nations.

The **Directive on the Use of Force (DUF)** applies to all armed police personnel and units in the mission. It indicates whether UN Police are armed and when they have the legal authority to use force in implementing their mandate. Each Directive on the Use of Force applies to a particular mission and it is specific to that particular mandate.

- UN Peacekeeping Core Pre-Deployment Training Materials (2009)

### 2.1.4 Additional Success Factors

In addition to the three principles of peacekeeping, there are also several other factors that contribute to the success and effectiveness of a peacekeeping operation. These include the *credibility* and *legitimacy* of the mission and the promotion of *national and local ownership*.

**Credibility:** Effective, well-resourced and rapidly deployed missions contribute to their credibility, along with the mission’s ability to manage and meet expectations. With so many actors and influences, it sometimes takes longer than expected to deploy personnel and equipment. Collaboration across components and a unified posture becomes all the more important in such cases in order to maintain confidence and credibility.

**Legitimacy:** Peacekeeping operations tend to start with legitimacy because of the international recognition of the UN and the fact that the mandate is established by the Security Council and directed by the Secretary-General. Once the mission is in place, its ongoing perceived legitimacy is directly related to the quality and conduct of its military, police and civilian personnel. Their actions must be in keeping with the mission’s mandate and their behaviour must meet the highest standards of professionalism, competence and integrity.

**National and local ownership:** National and local ownership is critical to the successful implementation of a peace process. Effective approaches to national and local ownership not only reinforce the perceived legitimacy of the operation and support mandate implementation, they also help to ensure the sustainability of national capacity once the peacekeeping operation has been withdrawn. The activities of multidimensional peacekeeping operations must be informed by the need to support and, where necessary, build national capacity. UN peacekeeping operations may be obliged, in the short-term, to take on important state-like functions, such as the provision of security and the maintenance of public order. However, these functions should be conducted in a consultative manner with the aim to restore, as soon as possible, the ability of national actors and institutions to assume their responsibilities and to exercise their full authority, with due respect for internationally accepted norms and standards.<sup>lvi</sup>

The 2013 Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal notes that the “success of UN transitions hinges on national ownership, leadership and political will in the host country, which should be secured through high-level political engagement, as well as support from a broad and representative range of national stakeholders. The existence and development of relevant national capacities is critical to ensure an effective and sustainable handover of mission responsibilities to national partners.”<sup>lvii</sup>

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#### Why is this important to you?



In your role at Headquarters, are there ways to promote the credibility and legitimacy of peacekeeping operations you are involved in and support efforts that contribute to national and local ownership?

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### 2.1.5 Types of Peacekeeping Missions

As noted earlier, peacekeeping has had to evolve significantly and now encompasses several models that are employed in different contexts. Overall, there has been a trend away from the traditional military approach to a more complex, multidimensional model that involves military, civilian and police personnel. The following section introduces the three different kinds of UN peacekeeping mandates (traditional, multidimensional and transitional) as well as special political missions. It also briefly discusses the contexts each of these operations is used in.

#### Traditional Peacekeeping

Traditional peacekeeping was the original form of UN peacekeeping and was first deployed during the Cold War. It was and is still deployed as an interim measure to help manage conflict and create safer conditions for those working on peacemaking activities. The tasks outlined in a traditional mission mandate, as set out by the Security Council, are essentially military in character and are often headed by military personnel. The tasks may involve observation, monitoring and reporting, supervision of ceasefire, support to verification mechanisms, creation of buffer zones and other confidence-building measures.

Traditional peacekeeping operations do not normally play a direct role in political efforts to resolve the conflict nor do they engage in governance or capacity building activities. Other actors such as diplomats or other representatives of individual States, regional organizations or special United Nations envoys may be working on longer term political solutions, which will allow the peacekeeping operation to withdraw. Some traditional peacekeeping operations are deployed for decades before a lasting political settlement is reached between the parties. Below are some examples of longstanding, traditional UN peacekeeping operations.

- [United Nations Military Observer Group in India and Pakistan \(UNMOGIP\)](#)
- [United Nations Peacekeeping Force in Cyprus \(UNFICYP\)](#)
- [United Nations Mission for the Referendum in Western Sahara \(MINURSO\)](#)
- [United Nations Disengagement Observer Force \(UNDOF\) on the Golan Heights, Syria](#)

#### Multidimensional Peacekeeping

Today, the majority of wars are internal armed conflicts, many of which are driven as much by economic gain as by ideology and past grievances.<sup>lviii</sup> In these contexts, multidimensional peacekeeping operations have become the most common form of UN peacekeeping operation. These operations are typically deployed in the dangerous aftermath of a violent internal conflict, once there is a peace agreement or political process in place, even a fragile one. The operation works to create a secure and stable environment while working with national authorities and actors to make sure the peace agreement or political process is implemented.

Multidimensional missions are deployed as part of a broader international effort to help countries emerging from conflict make the transition to a sustainable peace. These operations are generally more involved in peacemaking activities than traditional missions,

working in collaboration with other UN and non-UN actors to support and promote dialogue and reconciliation between different groups to ensure peace agreements hold.

Multidimensional peacekeeping operations employ a mix of military, police and civilian capabilities to support the implementation of a comprehensive peace agreement. They support the establishment of legitimate and effective institutions of governance and rule of law. They also support the State's ability to provide security, with full respect for human rights.

The multidimensional peacekeeping operation also provides a framework for ensuring that the United Nations and other international actors work in coordination at the country-level. This can be difficult in practice because there are so many UN and other international actors, therefore, it is critical for peacekeeping personnel to be aware of what those other actors do and how they can work cooperatively. Examples of multidimensional UN peacekeeping missions are:

- [United Nations Organization Stabilization Mission in the DR Congo \(MONUSCO\)](#)
- [United Nations Stabilization Mission in Haiti \(MINUSTAH\)](#)
- The hybrid [United Nations/African Union peacekeeping mission in Darfur \(UNAMID\)](#)
- [United Nations Mission in the Republic of South Sudan \(UNMISS\)](#)
- [United Nations Operation in Cote d'Ivoire \(UNOCI\)](#)
- [United Nations Mission in Liberia \(UNMIL\)](#)
- [United Nations Multidimensional Integrated Stabilization Mission in Mali \(MINUSMA\)](#)

### Transitional Authority

In rare circumstances, the Security Council has also authorized multidimensional United Nations peacekeeping operations to temporarily take responsibility for the legislative and administrative functions of the State. This measure is taken in order to resolve sovereignty questions, such as the transfer of authority from one sovereign entity to another, or until sovereignty questions are fully resolved (as in the case of transitional administrations), or to help the State to establish administrative structures that may not have existed previously. Examples of authorized transitional authorities include:

- [United Nations Transitional Authority in Cambodia \(UNTAC\)](#) from March 1992 to September 1993
- [United Nations Transitional Authority in Eastern Slavonia, Baranja and Western Sirmium \(UNTAES\)](#) from January 1996 to January 1998
- [United Nations Transitional Authority in East Timor \(UNTAET\)](#) from October 1999 to May 2002
- [UN Interim Administration Mission in Kosovo \(UNMIK\)](#) established in June 1999

### Special Political Missions (SPMs)

In addition to the three types of UN peacekeeping operations mentioned above, the United Nations may also deploy a "Special Political Mission" (SPM), led by the Department of Political Affairs (DPA). The term "Special Political Mission" covers political field missions, Special Envoys, and Expert Panels to monitor Security Council sanctions. The major difference between a peacekeeping operation and an SPM is that an SPM has very few or no uniformed personnel.

Political missions are part of a continuum of UN peace operations working in different stages of the conflict cycle. There is a large variety in the mandate, size and duration of SPMs. The mandates of political missions have changed over time, becoming broader and more complex. In general, they tend to be involved in conflict prevention, peacemaking or peacebuilding. They may be deployed at the same time as peacekeeping operations or before or after the deployment of a peacekeeping operation, depending on the context. In some instances, following the signing of peace agreements, political missions overseen by DPA during the stage of peace negotiations have been replaced by peacekeeping missions. In other instances, UN peacekeeping operations have given way to special political missions overseeing longer term peace-building activities (e.g. in Sierra Leone).<sup>lix</sup>

DPKO components support DPA-led missions with substantive backstopping. For example, DPKO OROLSI provides expertise in security sector reform, disarmament, demobilization and reintegration, police, justice, corrections and mine action and DPKO Gender Advisors support DPA Gender Focal Points with mainstreaming guidance and training. DFS supports DPA missions in the areas of finance, logistics, Information, communication and technology, human resources and general administration, similarly to how it supports DPKO-led missions.

The following are examples of Special Political Missions:

- United Nations Support Mission in Libya (UNSMIL)
- United Nations Assistance Mission Somalia (UNSOM)
- United Nations Assistance Mission for Iraq (UNAMI)
- United Nations Regional Office for Central Africa (UNOCA)
- United Nations Mission in Afghanistan (UNAMA) UNAMA is the only SPM currently directed and supported by DPKO.



For the latest information on currently deployed UN political and peacebuilding missions, go to: [http://www.un.org/wcm/content/site/undpa/main/about/field\\_operations](http://www.un.org/wcm/content/site/undpa/main/about/field_operations)

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### *Why is this important to you?*



In your role at Headquarters, it is likely you will be called upon to support colleagues in different kinds of missions, including Special Political Missions. The different kinds of mandates and structures can have significant implications for kind of support you provide.

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## **2.1.6 The Role of Troop and Police Contributing Countries in United Nations Peacekeeping**

UN Peacekeeping personnel in the field and at Headquarters are comprised of military, police and civilians. While civilians are generally recruited to peacekeeping as individuals, police and military personnel participate as part of their country's contribution.

For every new United Nations peacekeeping operation, the Secretariat depends on contributions of military, police and other personnel from Member States, who are under no obligation to provide them. Sustained consultations with each troop and police contributing

country (TCC/PCC) and other contributing countries at all stages of the planning and decision-making process are therefore critical to the success of any UN peacekeeping operation.

Consultations with TCCs/PCCs take several forms and are held at all key stages in the life of a United Nations peacekeeping operation, including:

- a) the development of the concept of operations and the elaboration of the mandate of a new operation
- b) any change in the mandate, in particular the broadening or narrowing of the scope of the mission, the introduction of new or additional functions or components, or a change in the authorization to use force
- c) the renewal of the mandate
- d) significant or serious political, military or humanitarian developments
- e) a rapid deterioration of the security situation on the ground
- f) the termination, withdrawal or scaling down in size of the operation, including the transition from peacekeeping to post-conflict peacebuilding
- g) before and after Security Council missions to a specific peacekeeping operation<sup>lx</sup>

A Memorandum of Understanding (MOU) is developed for each TCC/PCC participating in a peacekeeping operation. The MOUs are negotiated and are binding, legal agreements outlining how the UN will reimburse the respective governments for the troops, formed police units, equipment, and self-sustainment services that they are providing to the peacekeeping operation. The MOU also details the obligations of the contributing government for ensuring the appropriate quality of the personnel and equipment. The MOU is signed by representatives of DFS and the contributing country's Permanent Mission to the UN. It remains in force until the end of the mandate of the Peacekeeping Operation, when the military/police leave the mission, or until both parties mutually agree that the MOU requires adjustment and renegotiation.<sup>lxi</sup>

There are currently over 97,000 uniformed personnel (police and military) coming from over 110 countries across the world.



To see a “Data Dashboard” of TCC/PCC countries and their contributions, including trends and stories of contribution, go to:

[http://www.un.org/en/peacekeeping/operations/global\\_contribution.shtml](http://www.un.org/en/peacekeeping/operations/global_contribution.shtml)



The functions of military and police personnel in the context of a peacekeeping mission are discussed further in the Module 2 section on Mission Components.

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### ***Why is this important to you?***

In your role at Headquarters, your office may be involved in providing information in support of consultations or arrangements with Troop and Police Contributing Countries, therefore, it is important to understand the kinds of processes and agreements that may be in place.

### 2.1.7 Current Peacekeeping Missions

Since 1948 there have been 69 peacekeeping operations. As of January 2015, there are 16 peacekeeping missions currently operating, as well as one special political mission led by DPKO (Afghanistan). The graphic below shows all 17 current DPKO-led missions. Clicking on a mission in the list on the right will take you to the mission’s official web site.



The latest information about existing peacekeeping missions can be found at: <http://www.un.org/en/peacekeeping/operations/current.shtml>



A detailed interactive timeline of UN Peacekeeping activities in 2013 can be accessed at: <http://www.un.org/en/peacekeeping/news/yir2013.shtml#timeline>





Reviews of previous years' timelines can be found at:  
<http://www.un.org/en/peacekeeping/news/yearinreview.shtml>

### 2.1.8 Trends

As mentioned earlier, the nature of armed conflict that the UN is engaged in has changed over the decades. Today, the conflicts are primarily internal in nature and are often related to issues of independence, ethnic and religious struggles, ownership of resources and economic inequalities. Conflicts often affect surrounding regions with influxes of refugees or the spread of armed groups, potentiating economic pressures and political tensions in neighbouring countries.

In a meeting with the Security Council in June of 2014, the Secretary-General outlined four current trends in peacekeeping. The first trend is that *“UN peacekeeping operations are increasingly mandated to operations in countries where there is no peace to keep”*. The Secretary-General noted that more than two-thirds of all military, police and civilian personnel that operate under the UN flag are deployed in the Central African Republic, Darfur, eastern Democratic Republic of the Congo (DRC), South Sudan, and Mali, where there are significant levels of violence. The second trend is UN blue helmets being authorized where there are no clearly identifiable parties to the conflict or viable peace process. Mr. Ban stated that *“when there is no clear path towards peace, crises will inevitably recur and peacekeeping operations are much more likely to struggle to meet their mandates”*. Mali is an example where no comprehensive agreement is in place and the situation is precarious. The third trend is that UN peacekeepers are increasingly operating in more complex environments with asymmetric and unconventional threats. *“Whether acting in self-defence or implementing our mandate to protect civilians, we need to ensure that UN peacekeeping operations are undertaken in full compliance with international human rights and humanitarian law obligations.”* The fourth trend articulated by the Secretary-General was the need for the international community to build on what he sees as *“the renewed commitment of the Security Council to respond to our changing world.”* Mr. Ban called for a broader discussion on how the UN should adapt to new demands and to examine the limitations of UN peacekeeping and ask whether it is always the right tool. Noting that it was 15 years since the Brahimi Report, the Secretary-General has asked the Secretariat to initiate another review to take stock of UN peacekeeping. Some of the areas that he suggested may warrant review included: mandates, political leverage, logistical support, training, accountability, rules of engagement, technological innovation, and clarity on caveats of troop and police contributing countries.<sup>lxii</sup>



A video of the Secretary-General's full speech is available at:  
<http://www.un.org/apps/news/story.asp?NewsID=48020#.U5nbDvldXjW>

The UN has re-emerged as the single most significant organizational actor in peacekeeping on a global scale, and its current deployments in Haiti and southern Lebanon continues to show that its role is not necessarily confined to Africa. However, the UN does not and cannot have a monopoly over peace operations, and continues to explore ways to coordinate operations with other institutions such as the African Union, the European Union, and the North Atlantic Treaty Alliance. Lately, the Security Council has authorized peacekeeping operations by regional organizations and 're-hatted' them to UN Peacekeeping Operations. One recent example of this is the transitioning of African Union troops to serve as UN peacekeepers in

the Central African Republic (MINUSCA) (taking place in September 2014). Another example is the UN sanctioned, African-led International Support Mission to Mali (AFISMA) that was deployed by the Economic Community of West African States (ECOWAS) and then transformed in 2013 into the DPKO-led UN Multidimensional Integrated Stabilization Mission in Mali (MINUSMA).

Another development in recent years is the increased importance of policing in peace operations being factored into the capacity-building and operational planning of the UN and other organizations. The creation of Formed Police Units (FPU) is of strategic importance in various peacekeeping missions. The significance of cultural awareness to good policing means that it is an area in which regional and sub-regional organizations have a significant role to play in enhanced liaison mechanisms and formal processes for initiating and implementing cooperation.

In the video below, the Head of UN Department of Peacekeeping Operations, Mr. Hervé Ladsous, describes both the greatest challenges and successes of 2013, and the priorities for peacekeeping in 2014.



<http://www.youtube.com/watch?v=WxibG9HQJ3k> (3 minutes)

In the following video, the Head of UN Department of Field Support, Ms. Ameerah Haq, describes the major challenges presented in 2013 and the priorities for field support in 2014.



<http://www.youtube.com/watch?v=DV1KCZgGvSY> (4:30 minutes)

### 2.1.9 Reforms

In recognition of the increasing complexity of peacekeeping environments and the associated shortcomings of the existing peacekeeping system, in 2000 the Secretary-General appointed a Panel on United Nations Peace Operations to conduct an assessment and make specific and realistic recommendations for change. The 2000 Report of the Panel on United Nations Peace Operations (the Brahimi Report), unofficially named after the Panel's Chair, Lakhdar Brahimi, noted that UN peacekeeping operations must be properly resourced and equipped and operate under clear, credible and achievable mandates. The report called for renewed political commitment from the Member States, significant institutional change and increased financial support. Initiatives responding to the Panel's recommendations included the 2004 High-level Panel on Threats, Challenges and Change document, the 2005 World Summit Outcome Report, the 2008 Capstone Doctrine.<sup>lxiii</sup> As part of the reform efforts, DPKO was restructured and the Department of Field Support was created in 2007.

Since the time of Brahimi Report, the demand and complexity of peacekeeping operations have continued to increase, while a global financial crisis has put intense pressure on the countries and partnerships that support peacekeeping operations. The New Horizon initiative was introduced in 2009 to address the limitations of past reforms in the face of the scale, scope and complexity of peacekeeping demands. Recommendations put forward in the 2009 New Horizon non-paper were based on a near decade of examination of peacekeeping, including on reform efforts and the evolving realities of peacekeeping contexts.<sup>lxiv</sup>

The overall goal of the New Horizon process is to strengthen consensus on the future direction of UN peacekeeping, bringing together different members of the peacekeeping partnership around a set of shared immediate, medium and long-term objectives. It is anticipated that the achievement of these objectives will bring greater clarity, predictability and capacity to the way in which UN peacekeeping missions operate.<sup>lxv</sup>

Since the initiation of the New Horizon process, progress reports have been released (in October 2010 and December 2011) summarizing achievements and activities and highlighting upcoming priorities.

The four priority areas (as shown on the following page) emerged as a result of in-depth discussions among Member States, the Secretariat and partners within and beyond the UN System. They are intended to bolster the effectiveness and efficiency of peacekeeping in the medium term.

New Horizon Four Priority Areas	
POLICY DEVELOPMENT	CAPABILITY DEVELOPMENT
Developing practical guidance on critical roles for United Nations peacekeeping <ul style="list-style-type: none"> <li>• Achieving policy consensus</li> <li>• Clarity of tasks and responsibilities:               <ul style="list-style-type: none"> <li>✓ Protection of Civilians</li> <li>✓ Peacekeeping-peacebuilding</li> <li>✓ robust approach/effective peacekeeping</li> </ul> </li> </ul>	Identifying, building, and sustaining the required capabilities to support peacekeeping <ul style="list-style-type: none"> <li>• Filling critical gaps sustainably</li> <li>• Stronger performance culture</li> <li>• Outreach to contributors and coordination of capability-building assistance</li> </ul>
GLOBAL FIELD SUPPORT STRATEGY	PLANNING AND OVERSIGHT
Improving service delivery to the field through the introduction of a new service delivery model <ul style="list-style-type: none"> <li>• Client orientation</li> <li>• Flexibility and faster deployment</li> <li>• Scale efficiencies</li> </ul>	Ensuring more effective arrangements for planning, accountable management and oversight of missions <ul style="list-style-type: none"> <li>• More inclusive planning</li> <li>• Improved information and reporting</li> <li>• Accountability frameworks</li> </ul>

New Horizon Initiative: Progress Report No. 2

The New Horizon agenda, based on the four priority areas outlined above, has been the focus of implementation activities and ongoing consultations. The agenda has resulted in the production of critical operational guidance and training programmes, standardization of tasks and capabilities, clearer identification of resourcing and capability requirements, improved field support and mission planning processes, and increased dialogue with key partners.<sup>lxvi</sup>

As noted earlier, in June 2014, the Secretary-General informed the Security Council that he instructed the Secretariat to initiate a review of peacekeeping operations to take stock of evolving expectations of UN peacekeeping and how the Organization can work toward a shared view of the way forward.



More information on the New Horizons initiative can be found at:  
<http://www.un.org/en/peacekeeping/operations/newhorizon.shtml>



Key documents include:

[A New Partnership Agenda: Charting A New Horizon for United Nations Peacekeeping \(2009\)](#)  
[The Peace Operations 2010 Reform Strategy](#)  
[The New Horizon Initiative: Progress Report No. 1 \(Oct. 2010\)](#)  
[The New Horizon Initiative: Progress Report No. 2 \(Dec. 2011\)](#)

## 2.2 AN OVERVIEW OF THE PEACEKEEPING MISSION CONTEXT

### 2.2.1 Brief Introduction to Mission Start-Up Processes and Mechanisms

When a peacekeeping mission is being considered, a number of processes are initiated to clarify the need, identify options and priorities, and make recommendations on specifics of the potential mission. The UN's commitment to an integrated approach is reflected in the following assessment and planning processes and mechanisms.

#### Integrated Assessment Plan

For multidimensional peacekeeping operations and field-based Special Political Missions, an Integrated Assessment Plan (IAP) is used to plan the mission in cooperation with the full UN system. In 2013, the [UN Integrated Assessment and Planning Policy \(IAPP\)](#) replaced the Integrated Mission Planning Process (IMPP) guidelines. The main difference between the policy and the guidelines is the scope – the IMPP guidelines were mission-centric, whereas the new policy focuses on designing UN-wide responses to conflict and post-conflict situations.

The Integrated Assessment Plan is intended to ensure that there is one strategic vision for the UN in that country and a cohesive and efficient deployment and operationalization of the mission. The IAP Policy provides minimum and mandatory steps and includes the following basic requirements:

Requirements	Mechanisms
<b>Joint Strategic Assessments:</b> The joint conduct of assessments to ensure a shared understanding of a conflict or post-conflict situation, role of stakeholders and core peace consolidation priorities, and to propose options for UN engagement on the basis of an assessment of risks and opportunities	Strategic Assessment and associated technical assessments (e.g. Technical Assessment Missions (TAMs))
<b>Guiding Documents and Processes:</b> The articulation of a common UN vision, priorities and respective responsibilities in support of peace consolidation, including the relationship, if any, to national plans and priorities	Directive to the Special Representative of the Secretary-General and Resident Coordinator/Humanitarian Coordinator  Integrated Strategic Framework or equivalent framework (e.g. UN Development Assistance Framework)  Mission Concept
<b>Joint Coordination Mechanisms:</b> Establishment and maintenance of integrated coordination mechanisms at Headquarters and in the field for joint analysis, planning, coordination, monitoring and decision-making on joint strategic and operational matters	Integrated Task Force and its equivalent on the ground
<b>Integrated Monitoring and Reporting:</b> The conduct of integrated monitoring and reporting (M&R) on the implementation of Integrated Strategic Frameworks	Monitoring and reporting mechanisms for Integrated Strategic Framework - may include other M&R frameworks

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The above requirements are elaborated in the following pages.

## Assessments

### Strategic Assessment

Early in the consideration of a peacekeeping operation, the Secretary-General generally calls for a Strategic Assessment. The Strategic Assessment is led by the Integrated Task Force and brings UN political, security, development, humanitarian and human rights entities together to develop a shared understanding of a conflict or post-conflict situation, the role of stakeholders and core peace consolidation priorities, and to propose options for UN engagement on the basis of assessed risks and opportunities. The process engages all relevant UN actors as well as consulting with Member States, including the potential host government and TCCs/PCCs. It also involves regional and other intergovernmental organizations, and other key external partners.<sup>lxix</sup>

The duration of a Strategic Assessment varies in order to ensure a full coverage of the substantive issues. It ranges from 2-3 months from inception to conclusion. If necessary, the Assessment may be accelerated to as little as a few weeks, depending on circumstances and requests from the Security Council.

The Assessment draws upon existing UN analyses and country strategies, such as Secretary General reports and Security Council resolutions, UN Development Assistance Frameworks (UNDAFs), Common Country Assessments (CCAs), Post-Conflict Needs Assessments, Integrated Strategic Frameworks (ISFs) and Peacebuilding reports. Assessments of a technical nature, such as technical assessment missions and sector assessments, are integrated if and when their scope and operational implications relate to multiple entities of the UN system.

Field visits are often part of the Strategic Assessment, however, if time is short or if the security situation does not permit a visit, special measures are taken to fully capture field-based assessments from all appropriate national, regional and international actors, ensuring country-based UN leadership is involved in establishing the UN priorities and strategic options.<sup>lxx</sup>



For a more detailed description of Strategic Assessments, including a full listing of key analyses references and resources, refer to the IAP Handbook.

### Integrated Technical Assessment

An integrated technical assessment is a Headquarters and field-based analytical exercise focusing on UN programmes and operations (staffing, budgets, funding, systems, etc.) for one entity and/or one sector. By nature, technical assessments will vary greatly in scope, duration, purpose, composition, etc. They include Technical Assessment Missions (TAMs), usually conducted by Secretariat entities in support of a field mission (peacekeeping or political), as well as sector-specific programming reviews carried out by individual agencies. Examples of the latter include a review or support mission for an agency's rule of law or child protection activities.<sup>lxxi</sup>



For a more detailed description of technical assessment, refer to the IAP Handbook.

## Guiding Documents and Processes

### Directive to the S/ERSG, RC and HC

*Note: As per the IAP policy, the term S/ERSG is used to refer to the head of a peacekeeping operation or Special Political Mission and therefore also applies to Special Coordinators.*

The Directive to the Special/Executive Representative of the Secretary-General, Resident Coordinator and Humanitarian Coordinator (S/ERSG, RC and HC) provides mission leadership with strategic direction and priorities, initial responsibilities, an outline of structural and coordination arrangements, and basic planning parameters. It includes guidance on the development of an Integrated Strategic Framework. The Directive signifies the transfer of responsibility for subsequent planning of the integrated presence to the S/ERSG and the senior leadership team of the integrated presence.

The Directive to the S/ERSG, RC and HC is issued and updated by the Secretary-General upon a recommendation of the Integrated Task Force at the principal level. Significant changes in the environment or mandate will require an update in the Directive, supported, as required, by an updated Strategic Assessment.<sup>lxxii</sup>

### Integrated Strategic Framework

An Integrated Strategic Framework (ISF) is both a document and a process. It is designed to ensure that the mission and the UN Country Team (UNCT) have a common understanding of the crisis and the critical peace consolidation needs. The ISF also ensures that the mission and the UNCT jointly define areas in which colocation is necessary to increase their impact and on what the modes of collaboration will be. The contents of the ISF document include:

- a) The main findings from integrated assessments of the conflict and challenges to peace consolidation, UN role and comparative advantages
- b) A clear definition and expression of peace consolidation priorities for the UN, including for national capacity development and institution-building
- c) An articulation of all programmatic, functions and/or operational areas requiring an integrated approach, with agreed form and depth of integration
- d) Agreed results, timelines, responsibilities and other relevant implementation arrangements, including coordination mechanisms
- e) A common monitoring and reporting framework including indicators or benchmarks of progress<sup>lxxiii</sup>

The ISF is intended to be a living document that supports the process of regular joint analysis of the situation, stocktaking and, if necessary, readjustment to the ways in which the mission and the UNCT can increase their impact on peace consolidation priorities. Potential context-specific obstacles are also addressed through the ISF, such as possible programmatic overlaps, inadequate sequencing of interventions, duplication of costs, and contradictory analysis or messaging. The ISF reflects the mission and UNCT's joint decisions on how to work together on these kinds of priorities.<sup>lxxiv</sup>

All countries with an integrated UN presence are mandated to fulfil the minimum requirements for an ISF. Other tools, such as a UN Development Assistance Framework may

meet the ISF minimum requirements. The ISF is led by the country-based Senior Leadership Team (SRSG, and DSRSG/RC/HCs).<sup>lxxv</sup>

### UN Development Assistance Framework

The UN Development Assistance Framework (UNDAF) is the development planning and programme framework of the UNCT in response to national development priorities. The UNDAF is the basis for each agency's country plans and workplan and must be signed by the host government and the agency's executive boards. It includes four steps: (1) a road map, (2) country analysis, (3) strategic planning, and (4) monitoring and evaluation. All steps are mandatory but UNCTs can undertake each in a flexible manner (i.e. no specific process prescribed for each step). It incorporates a range of modalities, including UNCT meetings, retreats, thematic working groups, and consultations with national government and civil society.

The UNDAF exists in all countries with a UN presence/programme and is normally revised every 5 years, with exceptions granted. Sometimes the UNDAF serves as the Integrated Strategic Framework or the Integrated Strategic Framework is developed as a complement to an UNDAF, in which case it is known as UNDAF +. The UNDAF is led by the UNCT and host government.<sup>lxxvi</sup>



To access UNDAF guidance materials, go to:  
[http://www.undg.org/content/programming\\_reference\\_guide\\_\(undaf\)/common\\_country\\_programming\\_processes\\_-\\_undaf/undaf\\_guidance\\_materials](http://www.undg.org/content/programming_reference_guide_(undaf)/common_country_programming_processes_-_undaf/undaf_guidance_materials)

### Mission Concept

Based on the Integrated Strategic Framework, the Mission Concept is a multi-year plan that covers the lifecycle of a UN field mission. It is a statement of intent and strategy on how a peacekeeping mission plans to implement its Security Council mandate, taking into account the mission's role within the broader UN system and international context. It is a tool for senior mission management to present the vision for mandate delivery, set priorities in order of importance and sequence, and direct mission components to align and synchronize their activities. It also informs resource allocation. The Mission Concept supports component-level planning and serves as a management tool. Its clarity on the mission's focus also helps manage the expectations of national and international constituencies.<sup>lxxvii</sup>

The Mission Concept is required in peacekeeping operations, but not in special political missions. Generally the Mission Concept is developed with mission leadership, however, if the Special Representative of the Secretary General for the mission is not yet in place during the early planning stages, the Mission Concept may be developed by Headquarters.<sup>lxxviii</sup>

## Coordination Mechanisms

### Integrated Task Force

As mentioned in Module 1, the Integrated Task Force (ITF) serves as the principal Headquarters mechanism for UN inter-departmental and interagency coordination of strategic guidance, planning support and information exchange. It supports and promotes joint and coordinated strategic policy and planning processes, coordinates Strategic Assessments, undertakes the various planning activities outlined in the IAP Policy and

coordinates technical assessment missions. The ISF also reviews planning and policy documents for decisions by the Secretary-General and heads of departments and agencies, provides support to the Peacebuilding Commission, monitors political, security, humanitarian, reconstruction/development and human rights developments in the field, and maintains a dialogue with field-based integrated structures and provides support to them as required.<sup>lxxix</sup>

### Integrated monitoring and reporting

From the start, Integrated Strategic Frameworks must include a monitoring and reporting mechanism, including measurable and meaningful benchmarks and risk indicators. Other existing monitoring and reporting frameworks may be used where relevant. The joint analytical and planning capacity tracks progress and reports to the senior UN leadership forum and, through this forum, to Headquarters on progress towards common objectives agreed to and articulated in the Directive to S/ERSG, RC and HC and Integrated Strategic Frameworks. When appropriate, it provides recommendations for changes in strategy or objectives based on this analysis. Progress against the UN priorities outlined in integrated plans must be reflected in the regular reports of the entities engaged in the implementation of these plans, as appropriate for the reporting format. This includes reports of the Secretary-General to the Security Council and UNDAF reporting mechanisms.<sup>lxxx</sup>

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#### *Why is this important to you?*

When a new multidimensional peacekeeping operation is being considered, or if there have been significant changes that affect an existing integrated presence, a Strategic Assessment is undertaken by an Integrated Task Force. The Assessment is often researched and coordinated by Headquarters staff.

-  In your role at Headquarters, it is possible that you or your office will be involved in supporting various aspects of the integrated assessment planning, such as the technical assessment and sector-specific assessments.
-  There may be requirements related to the development of the Integrated Strategic Framework.
-  Your office may be involved in analysis of the mission's monitoring and reporting products and subsequent reporting and, when necessary, strategy adjustments.

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The graphic on the following page illustrates some of the processes and products in initiating a peacekeeping operation. The UN integrated planning process and products are indicated in light blue.

### A Simplified Representation of the Planning Framework for Integrated Peacekeeping Operations



As noted, this is a simplified representation. A complete representation would also show additional products and mechanisms, such as mission component plans, documents related to UN Agencies, Funds and Programmes, Results-Based Budget, etc.



For a more detailed outline, please refer to the [IAP Handbook](#).

## Transitions

The Integrated Assessment Plan also provides a foundation for transitions in the mission's mandate, including drawdown or withdrawal. Early and integrated transition planning needs to be incorporated from the very outset of the deployment of a mission. All assessment and planning processes need to take into account the roles and capacities of UN and non-UN partners in broader peacebuilding and development efforts in view of the eventual transition. The use of benchmarks provides 'signposts' that help in measuring progress and increasing objectivity in decision-making related to the pace of mission drawdown and withdrawal.

The Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal, provides strategic guidance to UN Headquarters offices and field presences on how to plan and manage the transition of UN operations where a peacekeeping or Special Political Mission is deployed and the UN presence is preparing for, or involved in, a significant drawdown or withdrawal of the mission. To ensure sustainability of transition processes, transition planning needs to reflect national priorities, peacebuilding and/or development plans. Where separate transition planning instruments are introduced, alignment with existing UN planning tools, such as the ISF, UNDAF, Mission Concepts and the Results-based Budgets must be ensured. Equally, all component level planning must be informed by the integrated transition plans or other UN-wide or mission-wide plans and strategic decisions on the overall UN engagement in a country.<sup>lxxxi</sup>



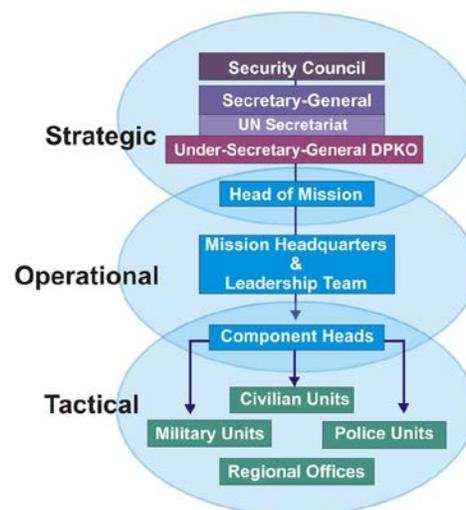
For detailed information on transition planning, please refer to the Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal:  
[http://www.peacekeepingresourcehub.unlb.org/pbps/Library/TransitionsPolicy\\_MissionWithdrawal\\_2013\\_Policy.pdf](http://www.peacekeepingresourcehub.unlb.org/pbps/Library/TransitionsPolicy_MissionWithdrawal_2013_Policy.pdf).

### 2.2.2 Mission Structure

Since the context of each United Nations peacekeeping operation is unique, there is no standard structure or organizational chart. As mentioned earlier, the structure of each peacekeeping operation is based on the Security Council mandate which in turn has been informed by a Strategic Assessment Mission.

#### Mission Leadership and Authority Structure

The Security Council authorizes the Secretary-General and the UN Secretariat to establish the mission and implement the mandate. The Secretary-General delegates primary responsibility for the strategic level of management and direction of all UN peacekeeping operations to the Under-Secretary-General (USG) of the Department of Peacekeeping Operations. In exercising this responsibility, the USG is supported by other UN Departments responsible for safety and security oversight, strategic level financial management, administrative support and logistics.



As part of this responsibility to establish, direct and manage peacekeeping operations, the United Nations has “Operational Authority” from the Member States over all military and police personnel participating in UN peacekeeping operations.<sup>lxxxii</sup> This means that while Member States retain responsibilities for their military and police in terms of pay, allowances and promotions, they do not have direct influence over tactical plans, decisions or operations supervised by Military or Police Components in the mission.

### Head of Mission - Special Representatives of the Secretary-General

The Head of a peacekeeping Mission (HoM) is appointed by the Secretary-General and exercises operational authority over all civilian, military and police personnel employed within the mission. He or she generally holds the title of Special Representatives of the Secretary-General (SRSB). The SRSB is the highest UN official in the country.

The Head of Mission and DPKO-DFS lead the planning for the political, military, operational and support aspects of the peacekeeping operation. The planning phase usually involves the establishment of a Headquarters-based joint working group or integrated task force, with participation of all relevant UN departments, funds and programmes.<sup>lxxxiii</sup><sup>lxxxiv</sup>

As Head of Mission, the SRSB is responsible for managing the mission and its results, conduct and discipline and morale, and the effective management of resources. The Secretary-General may also appoint the SRSB, who is normally the most senior United Nations official in the mission area, as the Designated Official (DO) for Security. The SRSB has security management responsibility and accountability for the protection of UN personnel as outlined in the UN-system wide Framework of Accountability for the United Nations Security Management System.

The SRSB provides direction and guidance to each component and ensures that activities are undertaken in an integrated manner. He or she initiates the development of a Mission Concept in close consultation with the senior management team of the mission. The SRSB also establishes the framework guiding the overall activities of the United Nations peacekeeping operation and those of the United Nations Country Team.

In a multidimensional peacekeeping operation, the HoM is always a civilian. In a traditional peacekeeping operation, the HoM is often, but not always, a senior military officer who performs the dual role of ‘Head of Mission’ and ‘Head of the Military Component’ (HOMC). In both cases the Head of Mission will normally also be appointed as the Designated Official.

### Deputy Special Representatives of the Secretary-General

Most multidimensional peacekeeping missions have two Deputy Special Representatives of the Secretary-General (DSRSBs). One is often termed the Principal DSRSB and might be in charge of the political, operational, and/or rule of law aspects of the mission. He or she is the second in command and becomes Officer in Charge (OIC) of the mission if the SRSB is travelling out of the mission area.

The second DSRSB often serves as Resident Coordinator (RC) and represents and coordinates the work of all the UN agencies, funds and programmes in the UNCT. She or he is the primary interlocutor for the UNCT with heads of state and government.

In integrated missions where there is a humanitarian emergency, this DSRSG may be triple-hatted to include the role of UN Humanitarian Coordinator (DSRSG/RC/HC). Should both the SRSR and Principal DSRSG be out of the mission area, the DSRSG/RC/HC becomes OIC of the mission.

For examples showing the different responsibilities of DSRSGs in two current missions, see pages 68 and 69.

### **Mission Chiefs**

UN peacekeeping operations also have a Chief of Staff (COS) who works closely with the HOM. The COS performs a senior level staff and advisory function for the HOM and the senior management of the mission. While the role will vary from mission to mission, the COS is generally responsible for the effective and integrated management of all the mission's activities in line with the strategic vision and guidance from the HOM. The Chief of Staff also coordinates mission policy and planning activities among the various components of the mission, including the Mission Concept or Integrated Strategic Framework (ISF) and the Results-Based Budgeting (RBB) framework.

The Head of the Military Component, and often the Head of Police Component, also have a military or police Chief of Staff to address similar issues within their own component.

The Director or Chief of Mission Support (DMS/CMS) is the most senior UN official within the mission that is authorized to expend UN funds associated with the mission's allocated budget. Therefore, this is a critical function in all peacekeeping missions. The DMS/CMS may also be supported by two civilian subordinate officials: a Chief Administrative Services (CAS) and a Chief Integrated Support Services (CISS).

### **Heads of Military and Police**

To maintain the integrity of the military and police chains of command, the Head of Mission can only exercise authority over military and police personnel through the respective heads of the military and police components. The Head of the Military Component (HOMC) reports to the HOM and exercises 'UN Operational Control' over all military personnel and units assigned to the mission. The Head of the Police Component (HOPC) reports to HOM, most often through a DSRSG, and exercises 'UN Operational Control' over all UN Police (UNPOL) in the peacekeeping operation, both individual Police Officers (IPOs) and Formed Police Units (FPU). The HOPC also supervises temporarily deployed personnel, for example from the Standing Police Capacity based in Brindisi, Italy.

The HOMC and HOPC are the principal advisers to the HOM on military and police issues and each maintain a technical reporting link to UN Headquarters - to the UN Military Adviser and UN Police Adviser, respectively. This reporting link ensures that the technical aspects of military and police field operations are conducted in accordance with overarching UN policies and standards. It also assists UN Headquarters in their responsibilities for all official interactions with Member States regarding the operational employment of military and police in the field.

In large peacekeeping missions with armed military units, the Head of the Military Component is a serving military officer usually appointed in the functional title of "Force

Commander”. Similarly, in large operations, the Head of the Police Component is a serving police officer usually appointed in the functional title of “Police Commissioner”.

### Management and Leadership Structures

Given the complexity and conditions of peacekeeping operations, it is necessary to have clear command and control structures to ensure that decisions are effectively transmitted from the HOM down to the relevant components. Strong management structures across the various components are also required to ensure the different components are using resources efficiently. Different structures exist in order to allow the HOM to manage the work of these different functions and ensure progress in implementing the Mandate Implementation Plan or Integrated Strategic Framework. These structures exist at the mission headquarters level. In larger missions there may also be regional management structures (e.g., MONUSCO has 15 or so field offices) to coordinate the work of different parts of the peacekeeping operation in that particular region.

In addition, most peacekeeping operations, particularly larger ones, will have a Senior Management Group, which is a wider management, planning and coordination forum. The top principals of the various components of the peacekeeping operation are brought together in a Mission Leadership Team (MLT), a senior level decision-making forum. The SMG tends to include the members of the MLT as well as the heads of various civilian components in the mission.

The Senior Leadership Forum includes the key in-country decision-makers such as the S/ERSG, DSRSG, DSRSG/RC/HC, Civilian Chief of Staff, Heads of Mission components and Heads of relevant UN agencies, funds and programmes. It ensures high-level coordination and decision-making on joint strategic and operational issues. The core functions of the forum are to develop joint vision and peace consolidation priorities, review progress and provide support to mission components on implementation of the Integrated Strategic Framework (ISF), conduct strategic reviews with the Integrated Task Force and other Headquarters-based bodies, facilitate interaction with non-UN actors related to peace consolidation priorities and delineate roles and responsibilities among UN actors – ensuring complementarities between the mission and UNCT. The Senior Leadership Forum also guides and reviews the work of thematic working groups, and promotes synergies and minimize overlaps through system-wide and thematic strategies or Standard Operating Procedures (SOPs; e.g., on protection of civilians, sexual and gender-based violence, security sector reform and early warning).<sup>lxxxv</sup>

### 2.2.3 Mission Components

Each person and component in a mission makes an important contribution in achieving the mandate and the mission plan. Across the mission and at Headquarters, it is critical that all peacekeeping personnel understand the contribution of other components and sections to the success of the mission, and the importance of collaboration across the mission. Understanding the importance of each other’s functions is particularly vital in multidimensional peacekeeping operations where there are complex mandates and difficult operating environments, and the work of each component affects and influences the tasks of other components.

## The Military Component

Military components play an instrumental role in UN peacekeeping. In traditional peacekeeping operations, the military component is generally made up of unarmed military observers or lightly armed contingents carrying out monitoring or observation tasks. The military component carries out the mandated tasks to monitor or supervise any military arrangements that parties to a conflict have agreed upon while the peace process continues.

Over time, the tasks of UN military components have become increasingly complex. The conflicts in which they intervene no longer involve only national armies, but may also now include irregular forces, guerrilla factions, and even armed criminal gangs. Consequently, the military capability under UN command has changed and is no longer the lightly armed intervention aimed at separating national armed forces that was typical during the first 40 years of UN peacekeeping. In multidimensional peacekeeping operations, the primary function of the military component is to create a secure and stable environment for other elements of the peace process to be implemented, for example, human rights monitoring, national reconciliation and distribution of humanitarian assistance. Depending on the mandate, there may also be tasks associated with monitoring of a ceasefire or certain boundaries. In such cases, the military component may carry out these tasks in collaboration with other components, such as civilian political affairs officers.

It is particularly important in multidimensional peacekeeping operations for the military component to work in close consultation with all mission components. This is because the success of those missions is measured by more than just the absence of conflict. The reestablishment and development of strong institutions and respect for the rule of law are also important conditions for success, and these cannot be achieved through the threat, or use, of military force alone. For those reasons, the military component must work with all other partners in this wider context to consolidate peace and security.

The three main categories of military personnel in a UN peacekeeping operation are:

Formed Military Units or Contingents	Military Experts on Mission	Staff Officers
<ul style="list-style-type: none"> <li>▪ Biggest number of military personnel</li> <li>▪ May be in the form of companies, battalions or brigades</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unarmed military</li> <li>▪ May be military observers, military liaison officers, military advisors or arms monitors</li> </ul>	<ul style="list-style-type: none"> <li>▪ Military officers deployed in individual capacity for specialized functions at mission force, Headquarters or joint mission structures</li> </ul>

All military personnel report to the Head of the Military Component (the Force Commander in large missions).

The military component of the mission works alongside the UN Police and civilian colleagues and maintains close cooperation with other military entities in the area. The following table outlines some key activities:

Component	Functions and activities
<b>Military</b>	<ul style="list-style-type: none"> <li>• Provision of a secure environment, through:               <ul style="list-style-type: none"> <li>○ Conducting patrols</li> <li>○ Establishing and operating checkpoints</li> <li>○ Securing major routes to facilitate mobility</li> </ul> </li> <li>• Assisting in-country military personnel with training and support</li> <li>• Securing key facilities (hospitals, power plants, police recruiting stations, etc.)</li> </ul> <p>Working with other components on:</p> <ul style="list-style-type: none"> <li>• Security Sector Reform (SSR) and Defence Sector Reform (DSR)</li> <li>• Disarmament, Demobilization and Reintegration (DDR)</li> <li>• Protection of Civilians</li> </ul>



For more information on the military in a peacekeeping operation and to see a map with information, links, photos and videos on country contributions and skills, go to: <http://www.un.org/en/peacekeeping/issues/military.shtml>

### The Police Component

United Nations Police (UNPOL) are deployed to multidimensional peacekeeping operations to play a critical role in establishing public safety, preventing crimes and restoring and facilitating the rule of law. In doing so, they work with the host country police and in close collaboration with civilian components such as human rights, judicial affairs, civil affairs and corrections. UN Police are also sometimes used in traditional missions to assist with observer functions, such as monitoring the buffer zone in Cyprus.

UN Police are police or other law enforcement personnel on active duty in their home countries who are temporarily seconded to a peacekeeping operation. The tour of duty of an UNPOL officer is usually for one year from the date of authorization of the deployment.

There are two categories of UN Police. First are the individual Police Officers (IPOs), both seconded and contracted, and second are Formed Police Units (FPUs). An FPU is a cohesive mobile police unit deployed from the same country. The FPUs generally consist of about 140 police officers whose primary role is to support the peacekeeping operation or the host country police in public order management.

All categories of UN Police report to the Head of the Police Component (HOPC). The Head of the Police Component (in most cases called ‘Police Commissioner’ in peacekeeping operations and ‘Senior Police Advisor’ in special political missions), is a serving senior police officer who exercises operational control and provides direction to all members of the police component of the mission. He or she is accountable and responsible to the HOM for the supervision and technical management of the police component with particular responsibility to ensure effective and efficient mandate implementation and strict compliance with UN policies and procedures. As noted earlier, HOPC is the principal adviser to the HOM on policing issues. He or she maintains a technical reporting link to the UN Police Adviser in the Department of Peacekeeping Operations at Headquarters.

The role of the Police Component differs across peacekeeping missions and so the Police Commissioner is chosen for the specific skills required for the mission's mandate. Examples of these skills include: national police capacity building, reform, restructuring and rebuilding of national police, mentoring and monitoring of national police, or exercising executive policing authority during a period of transition from international supervision to the installation of a new national government.

Individual Police Officers and Formed Police Units mentor and help train national police officers in all aspects of policing, including investigations, election security, operational support and public order management. Under special circumstances, in host countries with no functioning police, UN Police are called upon to assume full responsibility for policing and law enforcement activities, until the host state can take over policing tasks. UN Police Officers are also increasingly involved in enhancing national capacities to counter transnational organized crime and corruption. The Police Division has strengthened its strategic-level coordination with other stakeholders involved in the rule of law sector, including through the Global Focal Point for Police, Justice and Corrections Areas in the Rule of Law in Post-Conflict and other Crisis Situations (GFP). Furthermore, UN Member States established a Group of Friends of the UN Police and UN Police increasingly collaborates with regional organizations, such as the African Union.

While the specific roles of police components differ across missions, the UN Police may be involved in the following areas:

Component	Functions and activities
<b>Police</b>	<ul style="list-style-type: none"> <li>• Restoration of rule of law</li> <li>• Reform, restructuring and rebuilding of host country police services and other law enforcement agencies to develop a representative, responsive and accountable police service of the highest possible professional standards</li> <li>• Capacity-building (certification, training and mentoring) of host country police</li> <li>• Public order management and public safety challenges, through:               <ul style="list-style-type: none"> <li>○ Effective prevention, detection and investigation of crime</li> <li>○ Protection of life and property</li> <li>○ Static guard and close protection duties for dignitaries , UN personnel and assets</li> <li>○ Patrols and checkpoints</li> <li>○ Tactical support for high-risk operations</li> <li>○ Security for demonstrations, elections and camps</li> </ul> </li> <li>• Provision of interim law enforcement functions (when mandated and in the absence of an established national police framework)</li> </ul>



For more information on the police in peacekeeping operations and to see a deployment map with related information, go to:  
<http://www.un.org/en/peacekeeping/issues/police.shtml> and  
<http://www.un.org/en/peacekeeping/sites/police/>

### Civilian Components

Regardless of the type of peacekeeping operation, all missions incorporate both support and substantive personnel. The support components provide logistics and administrative services to the mission. The substantive components provide services to the local beneficiaries as defined in respective mission mandates, including in the following areas: Political, Justice / Rule of Law, Corrections, Human Rights, Civil Affairs, Electoral, Disarmament, Demobilization and Reintegration, Security Sector Reform, Child Protection, Gender, HIV/AIDS, etc.

The support and substantive components also collaborate on substantive activities. For example, the support component of the mission works with the Disarmament, Demobilization and Reintegration section on the disbursement of funds to support the reinsertion of ex-combatants as part of the demobilization process.

Civilian staff serving in peacekeeping operations include personnel drawn from within the UN system (including the United Nations Volunteers), loaned by Member States, or recruited internationally or locally to fill specific jobs. International civilian personnel with specialized areas of expertise are indispensable to the successful implementation of peacekeeping mandates. At the same time, the UN increasingly places priority on the development of local capacities.

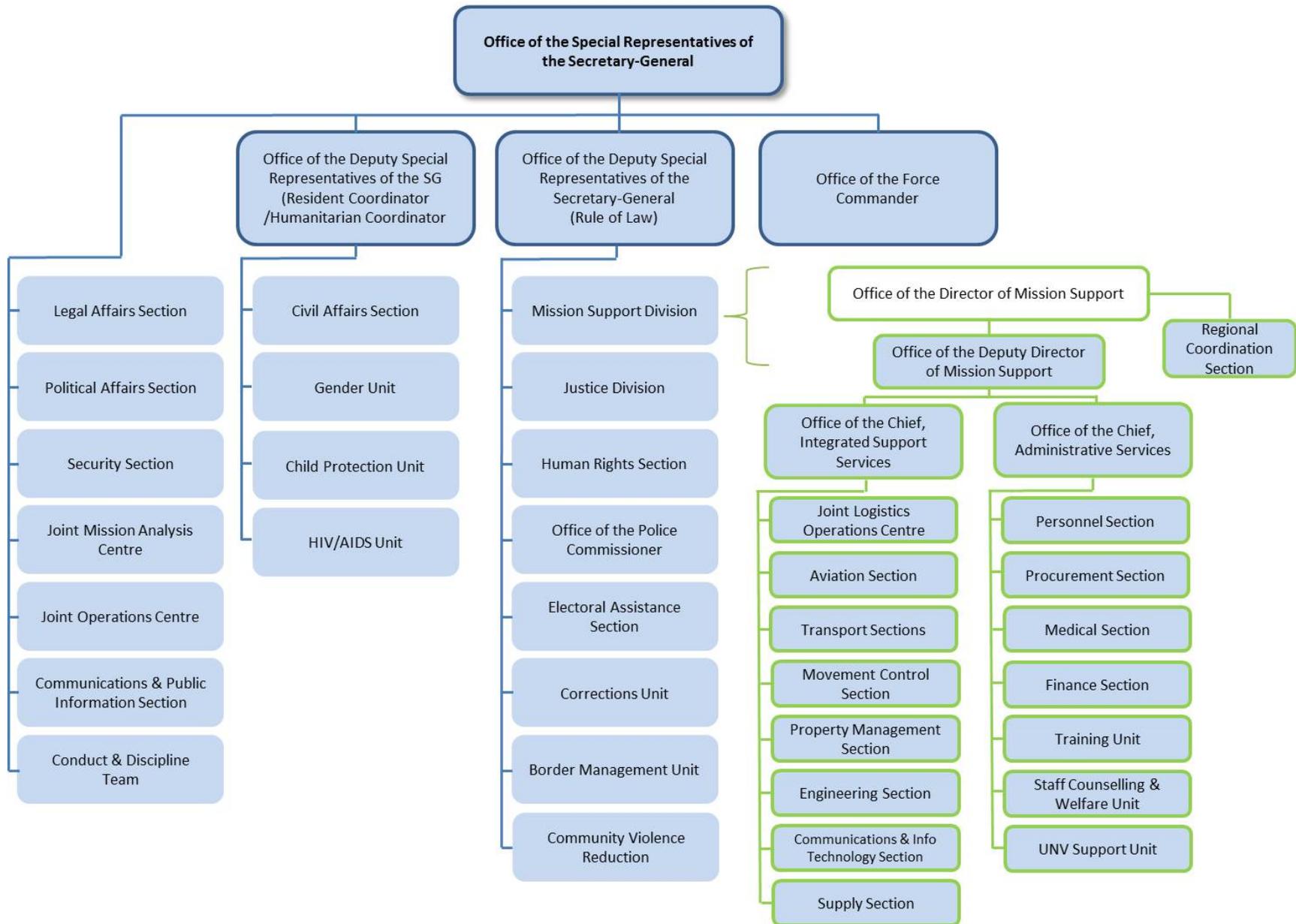
The following table provides an outline of the civilian functions that may be present in a multidimensional peacekeeping operation:

Component	Functions and activities*
<b>Civilian</b>  <i>Substantive</i>	<ul style="list-style-type: none"> <li>• Providing support for Disarmament, Demobilization, and Reintegration (DDR) with military, humanitarian, and development partners</li> <li>• Providing support for Security Sector Reform</li> <li>• Electoral assistance</li> <li>• Justice and corrections support</li> <li>• Mine action assistance</li> <li>• Public relations and communications</li> <li>• Building human rights and rule of law</li> <li>• Protection of civilians</li> <li>• Gender mainstreaming and ending of conflict related sexual violence</li> <li>• Protection of children</li> <li>• HIV/AIDS education and prevention</li> <li>• Capacity building of the host country government and civil society</li> <li>• Support to emergence of legitimate political institutions and participatory processes</li> </ul>
<b>Civilian</b>  <i>Mission Support</i>	<ul style="list-style-type: none"> <li>• Administrative services</li> <li>• Procurement</li> <li>• Ensuring health and safety of mission personnel</li> <li>• Communications</li> <li>• Financial support: preparation and execution of mission budget, paying staff and vendors</li> <li>• Logistical support to all components</li> <li>• Recruitment, training, and career development</li> <li>• Monitoring mission compliance with local laws and respect for UN privileges and immunities and status-of-forces or status-of-mission agreement</li> </ul>

\* **Please note this list is not exhaustive**

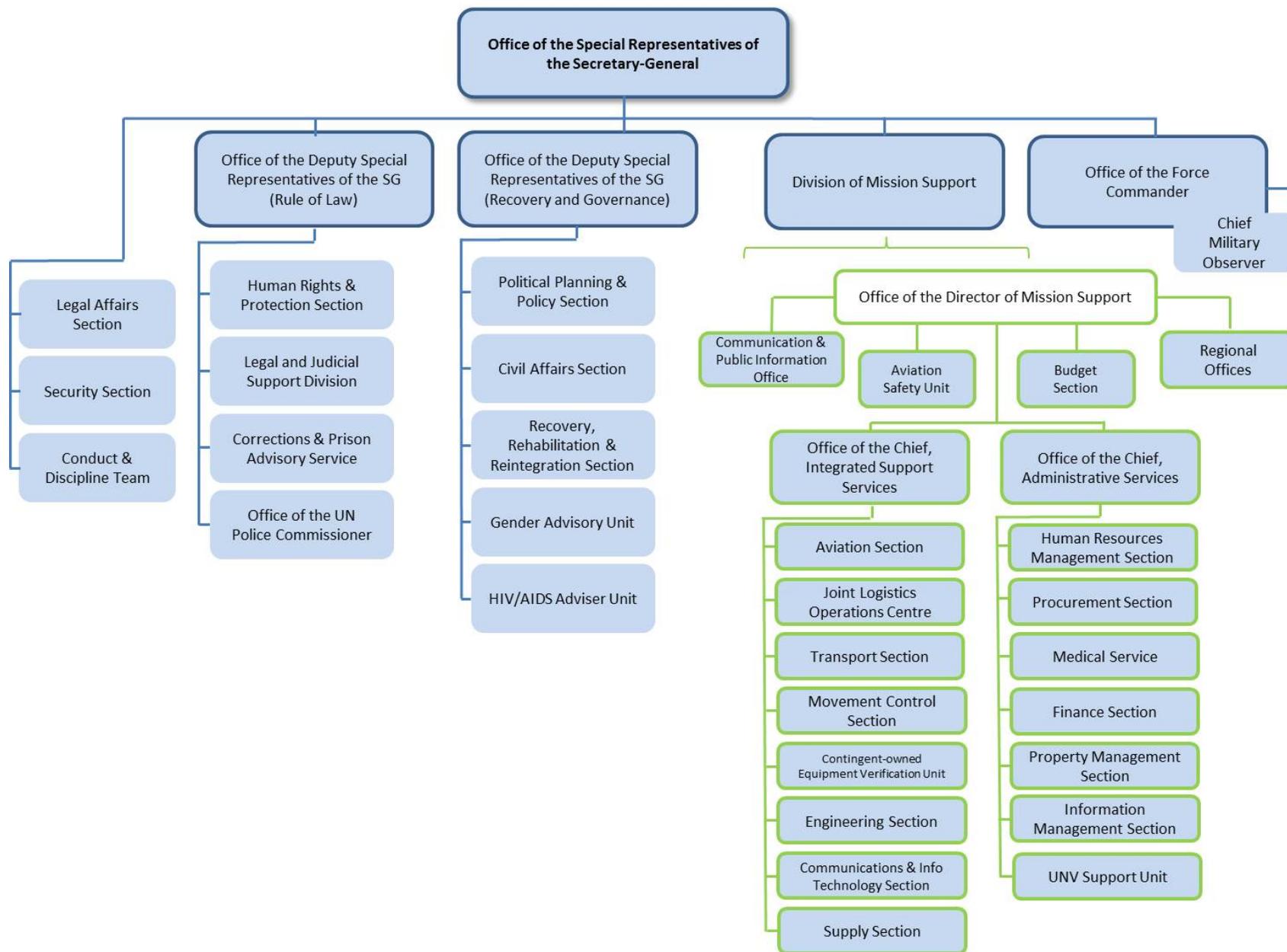
The following examples of organizational charts illustrate the variability of UN peacekeeping mission structures. Mission structures are based on a number of factors, including the mission mandate, the history of the mission's development, and comparative advantages with other partners.

## UNITED NATIONS STABILISATION MISSION IN HAITI (MINUSTAH)



Note: The mission structure is subject to change depending on its life cycle (start up, downsizing and exit phases) and changes in its mandate

## UNITED NATIONS MISSION IN LIBERIA (UNMIL)



Note: The mission structure is subject to change depending on its life cycle (start up, downsizing and exit phases) and changes in its mandate

We will not go into detail in this document on the roles of each of the support and substantive civilian components as many of these were introduced in Module 1. The cross-cutting substantive issues the components work on are discussed in this module starting on page 72.



For more information on individual components, refer to the POINT intranet: <http://point.un.org/SitePages/dpkodfsoffices.aspx>

#### 2.2.4 Conduct and Discipline in Peacekeeping Missions

Conduct and Discipline Teams (CDTs) in field missions act as principal advisers to Heads of Mission on conduct and discipline issues involving all categories of UN peacekeeping personnel. They address all forms of misconduct by personnel, including acts of sexual exploitation and abuse. The Head of Mission is responsible for awareness raising, training, and engaging with managers and commanders in order to have measures in place to prevent and respond to misconduct, and to uphold the highest standards of conduct and to implement the zero tolerance policy on sexual exploitation and abuse.

Conduct and discipline activities in the field are supported by the Headquarters. The Conduct and Discipline Unit is introduced in Module 1 on page 36.

#### 2.2.5 Security Management in Peacekeeping Missions

The goal of the UN Security Management System is to enable the conduct of UN peacekeeping activities while ensuring the safety and security of personnel and the security of UN premises and assets.

In peacekeeping missions, the Security Section is distinct from the substantive and support side of the mission, with the Chief, who is normally a United Nations security professional appointed as Chief Security Adviser/Officer, reporting directly to the HOM on all matters pertaining to security management. The SRSG, in his or her capacity as DO, is a key actor with security management responsibility in the UN Security Management System. In his or her capacity as the DO and accredited to the host government, the SRSG/DO is accountable to the Secretary-General, through the Under-Secretary-General for Safety and Security. She or he is responsible for the security and protection of UN personnel, including that of the UN funds, programmes and specialized agencies as well as their eligible dependants, and other individuals defined as “UN personnel” according to the UN-system wide policy on the Applicability of the UN Security Management System (Chapter III of UN Security Policy Manual).

The DO chairs the Security Management Team comprising the Chief Security Adviser or Officer, senior management members of the mission, and the heads of UN funds, programmes and specialized agencies present in the mission area and is responsible for ensuring that the goal of the UN Security Management System is met in the mission area. He or she is responsible for engaging with the host country to advocate full implementation of Host Country’s security responsibilities for the protection of the United Nations. The DO implements any arrangements decided by the Secretary-General in support of the Host Government’s measures for the safety and security of UN personnel, premises and assets, and maintain liaison with the Host Government on security matters.

In line with the aforementioned Framework of Accountability on security management, the Chief Security Adviser/Officer, serves as principal adviser to the DO and the Security Management Team (SMT) on all aspects of security management, crisis readiness and preparedness at their respective duty stations and in the execution of responsibilities with regard to the security of personnel employed by the organizations of the UN system and their eligible dependants, premises and assets.

The UN Department of Safety and Security (UNDSS) is the UN department that deals with the safety and security of the UN worldwide, and, except for the traditional peacekeeping operations of MINURSO, UNFICYP, UNIFIL, UNDOF, UNTSO, UNISFA and UNMOGIP, provides a Chief Security Adviser (CSA) and some additional DSS security personnel to missions. In the traditional missions, DFS provides a Chief Security Officer (CSO) and all other security personnel. Besides normal functions commonly associated with security management, the section may also have a security information analysis capability which works closely with other information analysis capabilities in the mission to ensure a comprehensive situational awareness for the Designated Official.

Reporting directly to the Secretary-General, the Department of Safety and Security oversees security globally through its Division of Regional Operations in which the Peace Operations Support Section backstops all missions with security support from the Headquarters. The Under-Secretary-General of the Department chairs the Inter-Agency Security Management Network (IASMN), a UN system wide body responsible for developing all security policy which is ultimately approved by the Chief Executives Board. This body of security policy applies to all elements of peacekeeping operations with the exception of the military contingents and the members of formed police units. Headquarters support to security in the field from within DPKO is handled by the Focal Point for Security, who is located within the office of the Chief of Staff DPKO-DFS. This person is the security policy adviser to the Under-Secretaries-General DPKO and DFS, and acts as the liaison with DSS. For more details on the roles and accountability of all actors in the UN Security Management System, at the strategic, operational I and technical levels, please refer to Security Policy Manual Chapter II Section B on the Framework of Accountability (which has been acknowledged by the General Assembly).

The protection of UN premises in the field can be achieved in a number of ways including the employment of guards under UN contract; relying on the military contingents and formed police units; establishing a UN Guard Unit with personnel provided by TCC or PCC (to date this has only been done in Special Political Missions); using private security companies as the last resort, or, a combination of these. The security section will still be responsible for the security of UN premises, irrespective of the source of guards.

All members of peacekeeping operations, with the exception of formed military or police units, undergo certain mandatory security training, and have to abide by all security policies, rules and operating procedures in the mission.

While UNDSS focusses on all aspects of security managements part of which involve safety issues (including fire, road and aviation safety), occupational safety is managed as a workplace programme through the office of the Director or Chief of Mission Support.

### 2.2.6 Joint or Integrated Mission Structures

All multidimensional missions have Integrated Support Services (ISS), a Joint Mission Analysis Centre (JMAC) and a Joint Operations Centre (JOC). All of these joint centres are headed by a civilian and bring together civilian, military and police specialists to ensure that information, action and resources are effectively used across all components of the mission.

ISS is responsible for providing logistics support to all mission components including in regions or sectors. They therefore control all logistical resources in the mission (including UN-owned, commercially contracted and military logistics or enabling units such as construction and maintenance engineering, medical, movements control, supply and transport assets etc.). This means that the Chief of ISS exercises “Tasking Authority” over all uniformed personnel and resources assigned to ISS. This includes enabling units, transportation and movement units, such as military transport helicopters, but it does not include combat units, such as combat aviation units or combat/field engineers, which are tasked by the Head of the Military Component.

In UN peacekeeping operations with military logistic units, known in UN peacekeeping as ‘enabling units’, a Joint Logistics Operation Centre (JLOC) is established as part of the ISS. The role of the JLOC is to provide all mission components and other UN and non-UN entities with a single point of coordination for all aspects of logistics support in the mission area.

The JOC is a jointly staffed information hub established at Mission Headquarters. It ensures mission-wide situational awareness through integrated reporting on current operations and day-to-day situation reporting. The JOC provides the Head of Mission and the Senior Management Team with a 24-hour information centre ensuring full situational awareness. During a crisis event, the JOC becomes the Head of Mission’s crisis management centre.<sup>lxxxvi</sup>

The JMAC supports integrated mission management, security and informed decision-making across all the components. It collects and synthesizes all-source information and produces medium and long-term integrated analysis. These integrated analysis products provides the Head of Mission and Senior Management Team with information needed to understand issues and trends as well as related implications and potential developments. The JMAC also provides assessments on cross-cutting information and threats that may affect the mission.<sup>lxxxvii</sup>



For more detailed information on this aspect of the mission structure, please refer to the Core Pre-Deployment Training Module, Unit 2, Part 2.

## 2.2.7 Substantive Key Issues Across Peacekeeping Operations

### Human Rights

The UN is firm in its conviction that strong, durable and equitable peace and security can only ever be attained if it is built on respect for human rights. As former Secretary-General Kofi Annan declared to the General Assembly at the 60th anniversary of the UN, “*We will not enjoy development without security, we will not enjoy security without development, and we will not enjoy either without respect for human rights*”. It is the UN position that development, security and human rights are mutually dependent on each other.

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#### Definitions:

**Human rights violation:** is a term which indicates that human rights have been violated by the action (or omission) of a State official or agent, such as a police officer, soldier, judge, local administrator, parliamentarian, while they have been acting in their official capacity (or have been perceived to be acting in their official capacity).

**Human rights abuse:** is a broader term which includes abuses of human rights committed by non-State actors, such as rebel groups, corporations etc.

For a discussion on what human rights are, go to:

<http://www.ohchr.org/en/issues/pages/whatarehumanrights.aspx>

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Since human rights violations are at the origin of many modern conflicts, addressing human rights issues is essential to finding solutions and facilitating the success of peace operations. The protection and promotion of human rights are therefore key elements of the full spectrum of peace and security activities (conflict prevention, peacemaking, peacekeeping, peace enforcement and peacebuilding). It is the UN position that peace processes must address the root causes of a conflict, and not just the consequences. Peace processes must address the plight of the most marginalized of groups in a society affected by conflict. Seeking justice and providing compensation or remedies can be important way to address the plight of communities and individuals affected by conflicts.

In 2005, the Secretary-General issued Decision 2005/24 on Human Rights in Integrated Missions, which spelled out the principles according to which human rights should be integrated in peacekeeping operations. In 2011, building on the 2005 Secretary-General Decision, DPKO, DPA, DFS and the Office for the High Commission on Human Rights (OHCHR) issued the Policy on Human Rights in United Nations Peace Operations and Political Missions which outlines the institutional relations between the four departments in the context of the integration of human rights in these operations. Additionally, it sets out the purpose, roles, and scope of activity of human rights components as well as human rights roles and responsibilities of senior mission leadership and other components of peace operations and political missions.

Human Rights integration is a critical enabler to implementation of the 2011 Secretary-General Due Diligence Policy on Support to non-UN Security Forces, which in peace mission settings requires strong cooperation between all mission components. Responsibilities

include assessing risks that recipient forces may commit grave violations; identifying mitigating measures; monitoring behaviour once support is provided; and interceding if grave violations are committed. Implementation of Due Diligence is fundamental to i) positively influence the behaviour of local armed forces which receive support, ii) enable them to take on their primary responsibility to protect their own population (mission exit strategy) iii) maintain the credibility of the UN and iii) protect UN military contingents from accusations that they work with human rights violators.

At Headquarters, DPKO, DPA, OHCHR and DFS work together to ensure the full integration of human rights in peace operations and political missions, including in assessment and planning in all mission phases; information sharing and consultation; guidance development; and promotion and support for the integration of human rights training in pre-deployment and other training programmes for appropriate target groups.

At the mission level, all peace operations and political missions' personnel have a responsibility to ensure that human rights are promoted, respected and protected through and within their operations in the field. It is the responsibility of the Head of Mission to uphold international human rights law in the implementation of peace operations and political missions' mandates. Traditional and non-multidimensional peace operations whose mandate does not include specific human rights provisions, or a human rights component, or are neither mandated nor resourced to implement human rights activities, are still expected to uphold human rights standards, ensure that they do not adversely affect human rights through their operations, and advance human rights through the implementation of their mandates.

The mission's Human Rights Component coordinates and discharges all core human rights functions as part of the mandate of a peace operation or political mission. These typically include, but are not limited to:

- i) monitoring of the human rights situation and investigations into serious human rights violations to prevent and address them;
- ii) assessment, analysis and evaluation of information to identify and understand the causes of human rights violations and problems, and guide the design of strategies to provide effective remedies and durable solutions;
- iii) internal and public reporting on human rights issues and activities;
- iv) advocacy and intervention actions to address human rights concerns;
- v) human rights advice, support for institutional reform and capacity building of State authorities and civil society actors;
- vi) advice and assistance to other components in integrating human rights in their tasks, for example on strategies for the protection of civilians, sexual and gender-based violence, cases of individuals seeking protection, and political and peace processes;
- vii) support to United Nations human rights mechanisms; and
- viii) coordination and integration of human rights in UNCT and HCT, to ensure that human rights considerations and approaches are properly integrated into broader planning frameworks.

On 11 December 2012, the Secretary-General endorsed the [Policy on Human Rights Screening of UN Personnel \(Decision No. 2012/18\)](#). The policy applies to all UN personnel in

the Secretariat – staff and non-staff, uniformed and civilian, including those in peace operations. It includes a section on principles, which includes that the UN should, as a principle, neither select nor deploy for service in the Secretariat any individual who has been involved in violations of international human rights or humanitarian law. The full policy can be found by clicking on the hyperlink in the text above.



For more information on human rights, go to:

<http://www.un.org/en/peacekeeping/issues/humanrights.shtml>

### Restoration of State Authority

The transition from war to sustainable peace is multifaceted and nonlinear. (Later in this module, starting on page 86, we will discuss the three overlapping phases of making peace, keeping peace and sustaining peace, with each phase requiring a mix of political, security, humanitarian and developmental activities.) The displacement and destruction associated with conflict has an adverse effect on civil society. However, the civil society - the network of informal and formal relationships, groups and organizations which bind a society together – often times survives and can be built on. Involving civil society in the peace process can contribute to psychosocial healing and provide the environment within which the levels of trust and sense of community necessary for durable peace are constructed. By allowing civil society to participate in the peace settlement, reconciliation becomes part of the peace-making process itself.

Civil Affairs components play a vital role in restoration of peace by working with civil society, namely through (a) supporting the restoration and extension of state authority, (b) confidence-building, conflict management, and (c) reconciliation cross-mission liaison, monitoring and facilitation at the local level. In doing so, they help to put into practice a broader concept of national ownership in which different elements of societies are able to shape national and international interventions.

Civil affairs colleagues work to have an impact at local levels in support of peace processes. For examples, colleagues in South Sudan, Darfur and Cote d'Ivoire continue their efforts in support of conflict management, early warning and community reconciliation activities, while in Liberia, Haiti and Afghanistan civil affairs components are called on to address the challenges posed by transition environments - working to strengthen and support the role of local authorities. Civil Affairs Officers in the eastern parts of the Democratic Republic of Congo are deeply engaged in support of mechanisms and strategies to address threats to civilian populations, in what remains an extremely challenging context.

The modern state has a core set of functions and responsibilities, including providing security to its people, managing public finances, establishing control over key national assets, administering justice, providing infrastructure, and investing in human capital. In the immediate aftermath of a conflict, fragile States need to restore their authority, re-establish the rule of law, rebuild justice and security systems while managing a process of disarmament, demobilization, and reintegration, and addressing the needs of internally displaced persons. Mandates to support the extension or restoration of state authority in post-conflict environments have increased over recent years, and tasks related to this area of work are also recognised as part of the core functions of a multidimensional UN peacekeeping operation.

Political Affairs components or the Office of the DSRG/RC/HC may also undertake a variety of tasks in support of the restoration or extension of state authority in addition to those undertaken by Civil Affairs components. Similarly, Police and Military components may provide support to security sector reform and capacity building or to institutions of the judiciary, and are often involved in providing the necessary enabling security environment.

An example of the role that civil affairs plays in building confidence between local players unfolded recently in Seguin National Park in Haiti, where parcels of land belonging to the park have been occupied since 1942 by a community of 600 farmers. Tensions between the authorities, in particular the national police and the farmers, escalated into violent clashes resulting in four deaths as police tried to evict the farmers. After the incident, Civil Affairs Officers were the only actors that had sufficient confidence and credibility to be able to reach out to the community entrenched in Seguin Park, with a view to mediating dialogue between the occupants and the local authorities. The negotiations that took place in the regional field office of MINUSTAH, focused not only on the outstanding problem of the relocation of the community from Seguin, but also on the opening of a formal investigation into the killing of the four farmers. The discussions helped to normalize relations between the community and the authorities, contributing to conditions that are more conducive to a final resolution of the problem.



For more information on restoration of state authority and the role of civil affairs, go to: [http://www.un.org/en/peacekeeping/documents/civilhandbook/Civil Affairs Handbook.pdf](http://www.un.org/en/peacekeeping/documents/civilhandbook/Civil%20Affairs%20Handbook.pdf)

### Women Peace & Security

The blueprint for gender equality in work the Peacekeeping Operations is firmly rooted in a series of resolutions on Women Peace and Security (WPS) (UNSCR 1325, 1820, 1888, 1889, 1960, 2106, 2122). The resolutions collectively address the importance of women's equal and full participation in all political mechanisms as well as recognizing their role in prevention and protection mechanisms, and provide a comprehensive framework to strengthen prevention and accountability as regards incidents of conflict-related sexual violence (CRSV).

The framework of WPS incorporates 2 pillars (Gender Equality and CRSV), each addressed within a separate but interconnected structure in DPKO-DFS. Gender Advisers support and promote women's gender equality through empowerment, whereas Women Protection Advisers support and advance the protection of women and girls from sexual violence.

Collectively the 2 pillars form the basis of the women, peace and security architecture in peacekeeping. They are interconnected and interoperable, each mutually re-enforcing and enabling. Without women's active participation in their own protection, they remain at a higher risk to sexual violence, therefore, the WPS agenda in peacekeeping builds on a partnership between Promotion and Participation, and Response to CRSV.

DPKO and DFS utilise a number of methods to ensure that gender equality is at the core of all peacekeeping work. One of the most important is the process of *gender mainstreaming*. Gender mainstreaming ensures that gender perspectives are integrated into all elements of policy development in all sections (Security Sector Reform, Disarmament, Demobilization and Reintegration, Police, Military, Protection of Civilians, Elections etc.) from initial planning through to evaluation.

To guarantee that gender is mainstreamed throughout peacekeeping operations, DPKO-DFS draws from its recently adopted DPKO-DFS Forward Looking Gender Strategy 2014-2018 and the [Policy on Gender Equality in Peacekeeping Operations](#) (2010).

In order to effectively address CRSV, dedicated personnel specifically recruited to address CRSV, namely Women's Protection Advisers are deployed into peacekeeping operations (as per resolution 1888) where CRSV is an issue. To ensure the mainstreaming of the mandate, and strengthen the mission's response to CRSV Women's Protection Advisers are to be deployed into the OSRSG, and the Gender and Human Rights components.

In addition, training and capacity building is developed and delivered on both gender issues and prevention of sexual violence, for pre-deployment and in-mission specialized training courses. Policies and guidelines are developed at headquarters for both gender issues and CRSV.

The role of the Gender Advisors in the field and at Headquarters is to: (a) provide technical guidance to mission senior leadership (military, police and civilian) in the specifics of how to integrate gender considerations into planning, policy development and programming, (b) contribute and implement capacity building mechanisms for all mission personnel and partners on gender equality, and (c) mainstream gender across all mission components and ensure that gender equality is integrated into all mission components.

Whilst preventing and responding to CRSV is a mission wide responsibility and is to be implemented by men and women alike, the role of the Women Protection Advisers is to (a) advise mission leadership on the integration of CRSV issues throughout planning processes; b) mainstream CRSV issues throughout security and defence sector reform, disarmament, demobilisation and reintegration processes, the rule of law, political, human rights, gender, child protection, and protection of civilians sectors; (c) establish monitoring, analysis and reporting arrangements on CRSV with UN partners; (d) engage in a dialogue with parties to the conflict for 'commitments' to prevent and respond to incidents of CRSV and monitor the implementation of these 'commitments'; (e) strengthen coordination on the CRSV mandate with the UN Country Team and partners; (f) and deliver training and capacity building on CRSV and the root causes of violence in mission contexts.

Please note that the Gender Equality pillar of the Women, Peace and Security framework is addressed in all peacekeeping operations through Gender Advisers and Focal Points. However, Women's Protection Advisers are only deployed to missions implementing the CRSV mandate, notably where CRSV is taking place in the operational environment.



For more information on women peace and security go to:  
<http://www.un.org/en/peacekeeping/issues/women/wps.shtml> and in POINT:  
<http://point.un.org/SitePages/genderadvisoryteam.aspx>

### Protection of Civilians in UN Peacekeeping

Following the failures of the United Nations to prevent mass atrocities in Bosnia and Rwanda in the mid-1990's, the Security Council began to mandate peacekeeping operations to protect civilians under imminent threat of physical violence. The authorization of UNAMSIL in 1999 began a practice in which the Security Council has routinely mandated UN

peacekeeping operations to protect civilians when deployed to areas where insecurity still exists. The protection of civilians (POC) is arguably the most important, and perhaps most challenging mandated task that peacekeepers are asked to implement. Preserving human life is at the very core of the Charter, and the UN's ability to protect civilians where peacekeepers are deployed is often the yardstick by which the world judges the effectiveness of the organization. With the new mission in the Central African Republic, there are now 10 missions with the POC mandate, with more than 95% of all peacekeeping personnel working in those missions.

Amongst international actors, peacekeeping missions have a unique ability, and authorization, to protect civilians from physical violence. Their impartial stance, political weight, multidimensional civilian capacities, and authorization to use force, provide them with a set of tools to protect civilians from physical violence that other actors do not possess. The most distinguishing feature of UN peacekeeping vis-à-vis other protection actors is the authorization provided by the Security Council to use force to protect civilians. While the use of force is a last resort, and should only be used when all other measures have failed to prevent civilians from being harmed by physical violence, peacekeepers can use their weapons to do so, irrespective of the source of the threat.

The challenges to implementing the POC mandate are legion. Threats to civilians are rarely concentrated in one geographical area, making it difficult, and oftentimes impossible, for the mission to reach all vulnerable civilians. Peacekeepers frequently find themselves in situations in which they are required to protect civilians from elements of the very host government that they are deployed in support of, thus posing a risk to the government's consent for the mission. Peacekeeping operations are generally not resourced to meet the expectations of the mandate; air mobility assets such as utility and attack helicopters required to convey troops to the site where civilians are being threatened, or to intervene in those attacks that are already underway, are perennially short in supply. And the willingness of troop contributing countries to put themselves in harm's way to protect civilians is not monolithic.

Protecting civilians is a whole-of-mission mandate, requiring joint analysis, planning, and operations. In multidimensional missions, this generally requires a strong coordination, planning and guidance development role that can be performed by Protection of Civilians Advisors. In South Sudan, for instance, the UNMISS POC Advisors developed plans for the eventuality that civilians sought refuge within mission bases. These plans enabled the mission to protect more than 70,000 internally displaced persons (IDPs) on its premises during the violence in December 2013. In MONUSCO, the POC Advisor has been instrumental in developing the procedures for joint operations with the Armed Forces of the Democratic Republic of Congo (FARDC) to ensure that civilians are not harmed in UN-supported military operations. In other missions, POC Advisors work with colleagues on in-mission training on POC, lead the development of mission-wide POC strategies, coordinate regular analyses of threats to civilians with humanitarians and military and police colleagues, and ensure that senior mission leadership has as current and comprehensive picture of the POC landscape in the mission area.

Further to the DPKO-DFS strategy, individual units, including the police and military, have been developing their own follow-up policies and guidance on their roles in the

implementation of protection of civilians mandates. These have additionally been supplemented by mission-specific approaches in line with their own POC mandates.



The 2008 Report “Protecting Civilians in the Context of Peacekeeping: Successes, Setbacks, and Remaining Challenges” is available at:  
<http://www.peacekeepingbestpractices.unlb.org/pbps/Pages/Public/viewdocument.aspx?id=2&docid=1014>



A record of Security Council meetings on POC, including associated resolutions, Presidential Statements, Secretary-General’s Reports, and press releases can be found at:  
[http://www.un.org/en/peacekeeping/documents/sc\\_poc\\_meetings.pdf](http://www.un.org/en/peacekeeping/documents/sc_poc_meetings.pdf)

### Children and Armed Conflict

Conflicts disproportionately affect children. Many are subject to abductions, sexual violence, military recruitment, killing, maiming, and numerous forms of exploitation which are part of what is called the six grave violations against children. In many conflict-ridden countries, peacekeeping missions are the largest actor on the ground and their contribution is vital to protecting children.

The Security Council has addressed this issue since 1999 and the protection of children in conflict has been included in the mandates of peacekeeping operations since 2001. In 2009 DPKO-DFS adopted the Policy on Mainstreaming the protection, rights and well-being of children affected by armed conflict within UN Peacekeeping Operations. The Policy clearly lays out that everyone in the mission has a role to play. For example:

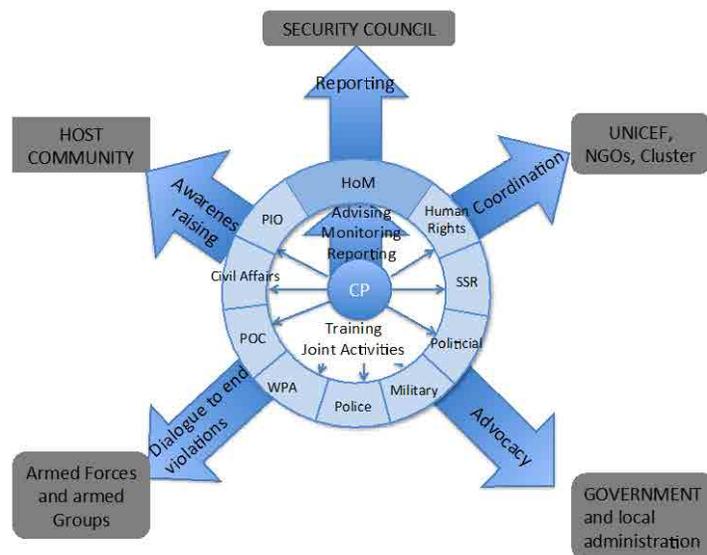
- The head of the peacekeeping operation works to ensure that child protection concerns are a priority in the peace process
- Peacekeeping military are crucial in providing protection signalling violations against children to the child protection staff, helping to identify and release children from armed groups
- UN Police work jointly with national police to ensure the rights of children in contact with the law
- Judicial Affairs Officers ensure that children’s rights are secured in national legislation

Although everybody in a peacekeeping operation, including military and the police, plays a role in protecting children, there are also special Child Protection Advisers who, in countries with the most severe impacts of conflict, help the mission channel their resources towards children. Child Protection Advisers are specialist staff sent to missions to help them fulfill the child protection mandate. Their work includes:

- Placing the concerns of children onto the peace and political agenda
- Ensuring that child protection becomes an integral part of the mission’s engagement. This is done through mainstreaming and advising the mission leadership.
- Monitoring and reporting the most serious violations against children

- Negotiating with armed forces and groups action plans to stop violations against children, such as the recruitment of children, sexual violence etc.
- Assist in the release of child soldiers
- Advocacy: the child protection adviser acts as an advocate, facilitator, and an adviser to the mission leadership on pertinent child protection issues
- Training newly-deployed peacekeepers on child protection, which complements the training on child protection every peacekeeper must receive prior to his or her deployment
- Liaising with UNICEF and other child protection actors for follow-up and response to individual cases

**The Work of Child Protection in the Mission**



It is important for UN personnel to understand that a child is defined as any person below the age of 18 and that child protection extends to prohibition of child labour in UN peacekeeping operations, as per the 2011 DPKO-DFS Policy.



For more information on the protection of children in armed conflict, go to: <http://www.un.org/en/peacekeeping/issues/children/> and <http://point.un.org/SitePages/childprotection.aspx>

To understand more about the role of Child Protection Advisers, go to: <http://www.un.org/en/peacekeeping/issues/children/cpa.shtml>

**Justice and Corrections**

Strong justice and corrections institutions, together with robust police and law enforcement agencies, are necessary to ensure a secure and stable environment by bringing perpetrators

of serious crimes to justice, encouraging the peaceful resolution of disputes and restoring trust and social cohesion based on equal rights.

The objective of justice and corrections components in the field is to support national authorities to rehabilitate and re-open courts and prisons, facilitate constitution-making processes, develop legislation, policies and procedures, provide training to police officers to develop national capacity, investigate and prosecute serious crimes and promote access to justice. Justice and correction officers also promote the independence, professionalism and accountability of justice and corrections institutions, improve prison security, reduce prison overcrowding, address arbitrary and prolonged detention and develop prison health, education and vocational activities.

Under the Global Focal Point arrangements, the justice and corrections components work closely together with police, to enhance the United Nations ability to deliver high-quality and coordinated assistance in the rule of law sector. Other partnerships include cooperation with the Team of Experts on Rule of Law/Sexual Violence in Conflict and United Nations Rule of Law Coordination Group. Member States established the Group of Friends of Corrections in 2010.



For more information on correction and justice, go to:  
<http://www.un.org/en/peacekeeping/issues/ruleoflaw/corrections.shtml> or  
<http://www.un.org/en/peacekeeping/issues/ruleoflaw/justice.shtml>

### Security Sector Reform

The objective of Security Sector Reform (SSR) programmes is to facilitate national security sector reform dialogues, develop national security and defence policies, strategies and plans, strengthen oversight, management and coordination capacities, articulate security sector legislation, mobilize resources for SSR-related projects, harmonize international support to SSR and monitor and evaluate programmes and results.

Security sector reform specialists primarily support initiatives at the sector-wide level of SSR, which extend beyond critical exercises like “right-sizing” the security services or “training and equipping” uniformed personnel. The aim of sector-wide initiatives is to strengthen the entire security sector architecture and framework by enhancing the oversight, governance and management of all security institutions.

A partnership exists between DPKO and UNDP, in the Inter-agency SSR Task Force (IASSRTF). In addition, the SSR Unit also maintains a Community of Practice for United Nations SSR practitioners. Between 2008 and 2011, the SSR Unit administered and managed the inter-agency capacity building programme entitled “Developing a System-wide United Nations Approach to Security Sector Reform.”



For more information go to: <http://www.un.org/en/peacekeeping/issues/security.shtml>

### Disarmament, Demobilization and Reintegration Programmes

The objective of the Disarmament, Demobilization and Reintegration (DDR) process is to contribute to security and stability in post-conflict environments so that recovery and development can begin. The DDR of ex-combatants is a complex process, with political,

military, security, humanitarian and socio-economic dimensions. It aims to deal with the post-conflict security problem that arises when ex-combatants are left without livelihoods or support networks, other than their former comrades, during the vital transition period from conflict to peace and development. Through a process of removing weapons from the hands of combatants, taking the combatants out of military structures and helping them to integrate socially and economically into society, DDR seeks to support male and female ex-combatants and men, boys, women and girls associated with armed forces and groups, so that they can become active participants in the peace process.

DDR Officers, who are civilian mission staff, work closely with the host country's DDR Commission, or similar entity, to carry out disarmament and demobilization. To bridge the gap between demobilization and reintegration, which is a longer-term process, reinsertion activities are often carried out by the mission. These reinsertion activities, which last up to a year, could take the form of a Community Violence Reduction (CVR) programme, or other, more individually-targeted assistance. While a DDR programme may, depending on the country context, direct ex-combatants into SSR initiatives, this is not the programme's principal aim. Rather, DDR focuses on channeling ex-combatants into civilian livelihoods.

The DDR Section, together with the UNDP, acts as Co-Chair of the 23-member Inter-Agency Working Group on DDR, which has been mandated to improve the Organization's performance in the area of DDR and in particular to contribute to an integrated approach. The DDR Section also worked closely with the African Union, the World Bank and other partners on joint initiatives.



For more information on DDR go to: <http://www.unddr.org>

### Mine Action

The objective of the United Nations Mine Action Service (UNMAS) is to address the challenges related to unsecured and poorly-managed stockpiles of weapons and ammunition, improvised explosive devices, dangerous storage depots, unexploded ordnance, landmines and cluster munitions. Mine action programmes support UN peacekeeping operations to deploy and build mine action and explosive ordnance disposal capacities in security forces, military and police. They support disarmament by destroying small arms or building safe and secure storage facilities.

Staff working on mine action coordinate and carry out clearance, risk education, victim assistance and stockpile destruction. They provide expert guidance and training to national authorities of affected countries and work closely with the United Nations Department of Safety and Security (DSS) to counter improvised explosive devices.

UNMAS works closely with regional bodies and has an office at the African Union Headquarters in Ethiopia. It cooperates regularly with the European Union, Organization of American States, NATO and continues to build new partnerships inside as well as outside of the UN system.



For more information on UNMAS, go to <http://www.un.org/en/peacekeeping/issues/mineaction.shtml>

## 2.2.8 Collaboration Beyond the Peacekeeping Mission

The success of the peacekeeping mission depends not only on the coordinated efforts of its peacekeeping personnel, but on effective working relationships with other actors working in the country. These actors fall within three broad categories: the United Nations Country Team, national partners and the regional and international partners.

### UN Country Teams

The United Nations Country Team (UNCT) is made up of all the United Nations agencies, funds and programmes who operate in that particular country. Among others, these might include, United Nations Development Programme (UNDP), United Nations Children’s Fund (UNICEF), United Nations Office of the High Commissioner for Human Rights (OHCHR - which is often represented by the Head of the Human Rights Component of the peacekeeping or special political mission), United Nations High Commission for Refugees (UNHCR), UN Women, World Food Programme (WFP), Food and Agricultural Organization (FAO), the International Monetary Fund (IMF), and the World Bank. (Please note this list is not exhaustive.)



The UNCT is a source of extensive knowledge about the host country and the conflict situation and can help in identifying and building relationships with national partnerships and ensuring that peacebuilding activities are carried into development phase. They can also be a significant source of financial resources and programming expertise.

In multidimensional peacekeeping operations, where the mandate has strong linkages with the objectives and programmes of UN agencies, the UN has adopted an integrated approach for all parts of the UN system that are active in that country. The DSRSG/RC/HC serves as the head of the UNCT.

The UN peacekeeping operation and the UNCT engage in joint planning and, depending on the context, they are likely to have joint projects in key areas. For example, traditionally a peacekeeping operation carries out the disarmament and demobilization components of DDR, while another UN agency, such as UNDP, implements the reintegration component.

The Secretary-General’s Decision 2012/13 of 11 September 2012 on rule of law arrangements appointed DPKO and UNDP as the Global Focal Point (GFP) for the Police, Justice and Corrections Areas in the Rule of Law in Post-conflict and other Crisis Situations. Under the GFP arrangement, DPKO and UNDP, working with other United Nations partners, “respond to country-level requests, channelled through UN entities on the ground, with timely and quality police, justice and corrections assistance in terms of global knowledge, people, and

advice on assessments, planning, funding and partnerships”. The GFP is an internal operational arrangement at Headquarters which focuses on creating more integrated ways of working among two key United Nations actors and the broader United Nations system to support the field. The initiative aims to improve the coherence and quality of the United Nations rule of law support to crisis and conflict affected areas, building on the comparative advantages of relevant entities involved in rule of law efforts.

Integration can present a number of challenges given partner agencies are governed by different mandates, decision-making structures, and funding arrangements. Peacekeeping missions are ultimately accountable to the Security Council, whereas other UN agencies are accountable to the host nation, donors and other UN governance structures outside of the Security Council. Furthermore, time frames for operations are different. Humanitarian actors tend to focus on the immediate term; peacekeepers operate on a political timetable, and development agencies look toward longer-term sustainability in their activities. The UNCT is also made up of purely civilian agencies and programmes, whereas peacekeeping operations are made up of military, police and civilian components.

While there will be differences in institutional cultures and management styles, it is important for everyone to keep in mind that all objectives and activities can and should ultimately contribute to the overall goal of improving the lives of the host population.

### National Partners

While coordination within the peacekeeping mission and integration with other UN agencies is necessary to the success of a mission, the host government is by far the most important non-UN actor with whom a peacekeeping mission collaborates. It has the most at stake. Interactions between the UN peacekeeping mission and the host government occurs on many levels from high-level political discussions between the SRSG and the President or Prime Minister, to the frequent interaction between mission support personnel and their national counterparts (e.g. to obtain and secure UN offices, or to facilitate logistics support to the mission components). In multidimensional peacekeeping operations, substantive personnel generally work with and through national governmental authorities to organize elections, reduce the risks of landmines and explosive remnants of war, improve weapons and ammunition management practices, or develop programs for the disarmament, demobilization, and reintegration of ex-combatants. This is in keeping with the UN peacekeeping principle of consent.

The UN mission’s interaction with the host population is not solely conducted through the national government. Direct and constant contact is often essential with political parties and even faction leaders. Regular dialogue is maintained with religious leaders, women and student associations, academics, professional organizations, and the many other parts of the national civil society, which are central to the rebuilding of their country. It is through these contacts that mission personnel can get to understand the society in which they are working, and support them to help ensure the sustainability of the peace. Dialogue with civil society groups and different political parties is an important element of maintaining impartiality and ensuring national ownership in order to solidify the peace process. In keeping with the UN peacekeeping principle of impartiality, partnerships with national actors should be inclusive with wide representation.

## Regional and International Partners

Partnerships with international and regional organizations have become increasingly common in UN Peacekeeping. Regional organizations may have comparative advantages such as knowledge of the region, proximity to conflict aiding in rapid and less costly deployment, and troops who are acclimatized to the environment and climate. In some situations, cultural considerations can also play a significant role in the welcome of peacekeepers. Regional organizations may also have a high investment in regional stability and an appreciation for historical, cultural, political and economic interests. Some recent examples of collaboration with regional organizations include the UN working with the African Union (AU) in Darfur and the Intergovernmental Authority on Development (IGAD) in South Sudan, working alongside the North Atlantic Treaty Organization (NATO) in Kosovo and Afghanistan, handing over policing operations to the European Union (EU) in Kosovo and succeeding Economic Community of West African States (ECOWAS) troops in Mali and the EU military operation in Chad.

The individual Member States that provide the UN mission with its mandate, troops, police, finances, and political support are likely to have embassies or missions in the country. Senior UN mission and agency staff allocate time and attention to the diplomatic community to retain their confidence and support. Furthermore, many of these countries are also providing technical and financial assistance directly to the national authorities. They are doing this either through their embassies or national development agencies, such as the British Department for International Development (DFID), Japan International Cooperation Agency (JICA), or the United States Agency for International Development (USAID). Close coordination is essential to prevent duplication of effort or misunderstandings.

International non-governmental organizations (NGOs) also form part of “civil society” and work with UN peacekeeping operations. OXFAM, Save the Children, Médecins Sans Frontières (MSF) and Concern are just some examples among many. At times, peacekeeping missions work directly with some of these groups as implementation partners for Quick Impact Projects (QIPs) or initiatives under Community Violence Reduction (CVR) programmes, which can take the form of small infrastructure rehabilitation projects or short-term employment activities.

## 2.3 OTHER PEACE AND SECURITY ACTIVITIES RELATED TO PEACEKEEPING

There are a range of peaceful and coercive measures which the Security Council can authorize in cases of conflict. Peacekeeping is only one of those activities, and is often linked to, or overlaps with conflict prevention, peacemaking, peace enforcement or peacebuilding.

Many multidimensional peacekeeping operations may overlap somewhat with peacemaking or peace enforcement, when they are used. Such peacekeeping operations also overlap significantly with peacebuilding. It is, therefore, important for peacekeeping personnel to understand how these activities are related. The following explanations show how conflict prevention, peacemaking, peace enforcement and peacebuilding activities support and connect to peacekeeping.

### 2.3.1 Conflict Prevention

Conflict prevention involves the use of diplomatic measures or other tools to prevent inter- or intra-state tensions from turning into violent conflict. Conflict prevention occurs before a conflict starts. It is generally a peaceful measure adapted to the particular source of the dispute or tension. Conflict prevention may include dialogue, mediation, enquiries into sources of disagreement or confidence-building measures. One common conflict prevention measure is the use of the UN Secretary-General's "good offices" to engage in dialogue with the different parties. The aim of this dialogue may be to decrease tension, mediate a disagreement or help resolve the dispute.

Depending on the situation, different conflict prevention measures may be taken by different parts of the UN and the international community, including regional organizations.

### 2.3.2 Peacemaking

Peacemaking involves measures to deal with existing conflicts. It usually involves diplomatic action aimed at bringing hostile parties to a negotiated agreement. This may include direct activities by the UN to assist in negotiating a peace agreement, or it may mean that the UN facilitates peacemaking by peace negotiators or other regional or international actors, for instance by providing neutral facilities for their negotiations or chairing sessions of the negotiations.

The Security Council may request the UN Secretary-General, or other peacemakers, such as regional organizations, to take action. At the same time, the Secretary-General, or regional organizations, also have the power to initiate peacemaking, such as the use of his/her "good offices" to assist in the resolution of the conflict. Peacemaking efforts may also be undertaken by unofficial and nongovernmental groups, or by a prominent personality working independently.

One of the first examples of a UN peacemaking initiative was the appointment of the Swedish diplomat Count Folke Bernadotte as the UN Mediator in Palestine in 1948 to use "his good offices to promote a peaceful adjustment of the future situation in Palestine" (General Assembly Resolution 186 of 14 May 1948).

### 2.3.3 Peace Enforcement

Peace enforcement involves the use of a range of coercive measures, such as sanctions or blockades. As a last resort, the use of military force may be authorized. Because they may involve the use of force, coercive measures are taken only with the authorization of the Security Council. Such actions are authorized to restore international peace and security in situations where the Security Council has determined there is a threat to the peace, a breach of the peace or an act of aggression. Generally, coercive measures are used when other measures (conflict prevention, peacemaking, peacekeeping) have been tried and failed or are not feasible.

The Security Council may authorize peace enforcement action without the consent of the parties to the conflict if it believes that the conflict represents a threat to international peace and security or for humanitarian and protection purposes. This may occur in situations where civilians are suffering and there is no peace agreement in place, nor is there any peacemaking process which appears to be moving forward. Peace enforcement is different than peacekeeping since there is no peace process in place or consent from the warring parties. However, Chapter VII of the UN Charter still provides the legal basis for such an operation or action.

The UN does not generally engage in peace enforcement itself. When it is appropriate, the Security Council may use regional organizations for peace enforcement action (under Chapter VIII of the Charter). Peace enforcement action by regional organizations must always be undertaken with the authorization of the Security Council and should not be initiated by regional organizations without the authority of the Security Council.

The UN may engage in “robust peacekeeping”. This is when a UN peacekeeping operation is deployed with the consent of the main parties to the conflict and with a strong mandate to use force if necessary to deter spoilers and make sure the peace agreement is properly implemented. Although the line between “robust” peacekeeping and peace enforcement may appear blurred at times, there are important differences between the two.

### 2.3.4 Peacebuilding

Peacebuilding involves a range of measures aimed at reducing the risk of lapsing or relapsing into conflict. The national capacity to manage conflict and build a foundation for sustainable peace and development are strengthened at all levels. For this reason, many multidimensional peacekeeping operations are also involved in peacebuilding when they are mandated to help national authorities rebuild a state.

Peacebuilding is a complex, long-term process of creating the necessary conditions for lasting peace. It works on the deep-rooted, structural causes of violent conflict in a comprehensive manner. Activities address core issues that affect the functioning of society and the State. It aims to improve the State’s ability to govern effectively. Examples of peacebuilding activities include security sector reform, assistance to rebuild justice systems, support for the creation of national human rights institutions and other activities aimed at strengthening state structures.

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### *Why is this important to you?*

- ☞ While your role may focus on peacekeeping related initiatives, it is critical to understand the interconnectedness of all the peace and security activities and how the processes and programmes you are involved in may support them.

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This concludes our introduction to the peacekeeping context. The film “In the cause of Peace: Honouring 60 years of UN Peacekeeping” (2009) illustrates the many changes, achievements and challenges inherent in UN peacekeeping since its inception.



<http://www.youtube.com/watch?v=rqYuRh78-4> (13:31 minutes)

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- 📖 **Module Completion:** Congratulations on completing Module 2 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).
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# MODULE 3



## The Larger Picture at United Nations Headquarters

Module 3 provides an overview of the main actors and offices involved in UN peacekeeping. The following topics are covered:

- Main bodies involved in peacekeeping
- UN committees associated with peacekeeping
- DPKO-DFS collaboration with other UN Secretariat Departments
- Agencies, funds and programmes associated with peacekeeping
- Inter-agency working groups and task forces

### 3.1 MAIN UNITED NATIONS BODIES INVOLVED IN PEACEKEEPING

The Members States of the United Nations are bound together by the principles of the UN Charter. Signed in 1945, the Charter is an international treaty that spells out the rights and duties of Member States as members of the world community. The Charter guides the work of the United Nations, including its peace and security activities.



For full text of the Charter go to: <https://www.un.org/en/documents/charter/>

The UN Charter established six principal organs of the United Nations: the General Assembly, the Security Council, the Economic and Social Council, the Trusteeship Council, the International Court of Justice, and the Secretariat. In addition to these bodies, the larger United Nations family encompasses many specialized agencies, programmes and funds. This section discusses the UN bodies and agencies that are involved in peacekeeping.

#### Definitions:

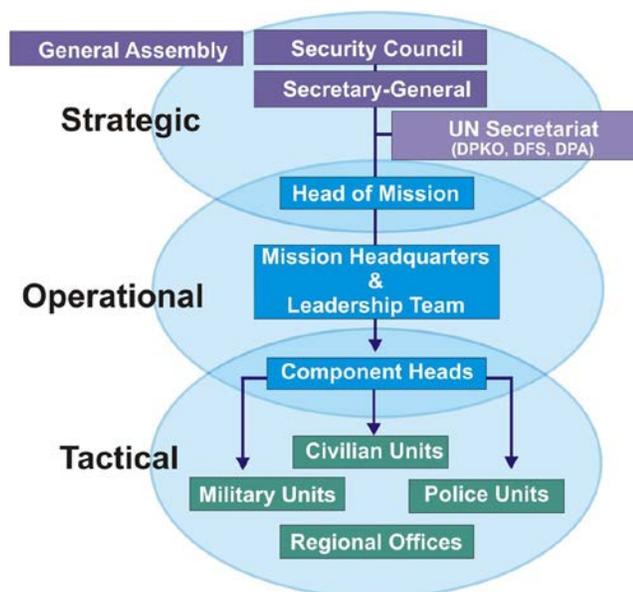
In the UN system and for the purposes of this e-Guide, the following definitions will be used for the words “strategic”, “operational” and “tactical”.

**Strategic:** The high level political decision-making and management of a UN peacekeeping operation at UN Headquarters.

**Operational:** The field-based management of a peacekeeping operation at the Mission Headquarters is considered to be the operational level.

**Tactical:** The management of military, police and civilian operations below the level of Mission Headquarters as well as the supervision of individual personnel is considered to be at the tactical level. This management is exercised at various levels by the subordinate commanders of the different components and the civilian managers at levels below the Mission Headquarters.

The following graphic illustrates the actors involved in the strategic, operational and tactical levels.



Adapted from UN Peacekeeping Operations Principles & Guidelines, pg. 67



For links to all of the UN organs, programmes, funds and other entities go to: <http://www.un.org/en/aboutun/structure/#GA>

For an organizational chart of the United Nations System go to: [http://www.un.org/en/aboutun/structure/org\\_chart.shtml](http://www.un.org/en/aboutun/structure/org_chart.shtml)

### 3.1.1 Security Council

As noted earlier, under the UN Charter, the Security Council (SC) is the UN body with primary strategic responsibility for maintaining international peace and security and the lead in determining if there is a



threat to peace or an act of aggression. It may investigate and recommend appropriate peaceful measures to resolve disputes and prevent them from escalating. In situations where the Security Council has determined that there is a threat to international peace and security, it may authorise more coercive measures. These measures may or may not involve the use of force. The legal basis for the Security Council's power to investigate and take appropriate measures is outlined in Chapters VI and VII of the UN Charter.

The Security Council, along with other principal organs, was established after World War II and has permanent residence at UN Headquarters in New York. It is made up of five permanent members (China, France, the Russian Federation, the United Kingdom and the United States) and 10 non-permanent members who are elected by the General Assembly. The non-permanent members have two-year terms. Each Security Council member has one vote. Nine out of 15 votes are required for decisions to pass. The five permanent members have veto power, which means that a resolution will not be approved if any of them votes against it. There must always be a representative of each of the members at UN Headquarters so that the Security Council can meet any time the need arises.



For more information on the Security Council, including the current non-permanent members, go to: <http://www.un.org/en/sc/>

### 3.1.2 Security Council Subsidiary Bodies and Working Groups

The Charter gives the Security Council the power to establish subsidiary bodies as required, including peacekeeping and political missions. Security Council entities and working groups that are relevant to peacekeeping efforts are discussed below.

#### Working Group on Peacekeeping Operations

The Security Council Working Group on Peacekeeping Operations serves the purpose of strengthening cooperation and consultation with Troop and Police Contributing Countries. The Working Group addresses both generic peacekeeping issues relevant to the responsibilities of the Security Council, and also technical aspects of individual peacekeeping operations, without prejudice to the competence of the [Special Committee on Peacekeeping Operations](#). The Working Group was established pursuant to a Security Council decision in 2001 and the commitment was reiterated in SCR 2086 (2013), which recognized the need for “triangular cooperation between the Security Council, the Troop- and Police-Contributing Countries and the Secretariat, in areas where military and police contingents undertake early peacebuilding tasks”. The resolutions encourage “active participation of all stakeholders in open and more frequent consultation processes with a view to improving the delivery of peacebuilding tasks in the field”. These processes complement the private and public meetings between the Security Council and Member States.<sup>lxxxviii</sup>



For more information, go to: <http://www.un.org/sc/committees/wgpk/>

#### Working Group on Children and Armed Conflict

The Working Group on Children and Armed Conflict (WG CAAC) was established in 2005 to address issues related to children in armed conflict situations. The WG CAAC has a mandate to review reports on violations against children affected by armed conflict, to review progress in the development and implementation of the national action plans on children and armed conflict, and to consider other relevant information presented to it.

The Working Group consists of all members of the Security Council and is assisted in its work by the [Office of Special Representative of the Secretary General on Children and Armed Conflict](#). DPKO and UNICEF also contribute information to the Working Group. In addition to an annual report, the Working Group produces ‘Conclusions of the Security Council Working Group on Children and Armed Conflict’ which includes recommendations to parties to conflict, Member States, the United Nations system, donors and other relevant actors.<sup>lxxxix</sup>



For more information on WG CAAC, go to:  
<http://www.un.org/sc/committees/WGCAAC/index.htm>

### Informal Working Group of the Security Council on Protection of Civilians in Armed Conflict

The Security Council's Informal Working Group on the Protection of Civilians in Armed Conflict was established in September 1999 to review further the recommendations contained in the 1999 report of the Secretary-General regarding measures that could be taken to ensure the protection of civilians and to consider appropriate steps.<sup>xc</sup> It now routinely meets ahead of mandate renewals for peacekeeping operations with protection of civilians mandates to ensure that mandate language is in sync with the protection of civilians situation on the ground. It also meets to discuss protection of civilians in armed conflict as it pertains to countries where peacekeeping operations are not deployed.

### Security Council Sanctions Committees and Panel of Experts

The UN Security Council Sanctions Committees are made up of the Security Council's fifteen current members with the responsibility to oversee sanctions enforcement and report back to the Council. Under Chapter VII of the Charter, the Security Council can take enforcement measures to maintain or restore international peace and security. Such measures range from economic and/or other sanctions not involving the use of armed force to international military action. The use of mandatory sanctions is intended to apply pressure on a State or entity to comply with the objectives set by the Security Council without resorting to the use of force. The universal character of the UN makes it an especially appropriate body to establish and monitor such measures.<sup>xcii</sup>

The Security Council established Panels of Experts (POE; also called Group of Experts or Monitoring Group) to assist the Security Council to implement its mandate to monitor, promote and facilitate the implementation of measures imposed in SC resolutions. The Panel of Experts acts under the direction of the Sanctions Committees. It is based in New York City and consists of eight members with specialized backgrounds in relevant fields, such as nuclear issues, weapons of mass destruction proliferation, finance, export control/nuclear items, missile technology, air transportation, maritime transportation and customs. The POE has a mandate to gather, examine and analyze information from States, relevant United Nations bodies and other interested parties regarding the implementation of the measures imposed in resolutions 1718 (2006), 1874 (2009), 2087 (2013) and 2094 (2013), in particular incidents of non-compliance. It also supports other Committee efforts, including outreach to Member States on issues regarding sanctions implementation, monitoring of sanctions implementation and analysis of trends and "best practices" regarding sanctions enforcement.<sup>xcii</sup>



For more information on the Security Council Sanctions Committees and Panel of Experts, go to: <http://www.un.org/sc/committees/> and

<http://www.un.org/sc/committees/1718/panelofexperts.shtml>

For more information on the subsidiary bodies of the Security Council, go to:

<http://www.securitycouncilreport.org/about-the-un-security-council.php>

To see a chart of all the subsidiary bodies, go to:

[http://www.securitycouncilreport.org/atf/cf/%7B65BFCF9B-6D27-4E9C-8CD3-CF6E4FF96FF9%7D/Subsidiary\\_Bodies\\_2013.pdf](http://www.securitycouncilreport.org/atf/cf/%7B65BFCF9B-6D27-4E9C-8CD3-CF6E4FF96FF9%7D/Subsidiary_Bodies_2013.pdf)

### 3.1.3 General Assembly

The General Assembly is the main deliberative and policymaking organ of the UN. It is made up of representatives of all 193 Member States of the United Nations. They discuss and make decisions on all international issues covered by the UN Charter. These range from development, humanitarian, social and human rights issues to financial issues, including the approval of budgets for UN peacekeeping missions.



Each Member State has one vote in the General Assembly. Decisions on significant issues, such as questions on peace and security, admission of new members and budgetary matters, require a two-thirds majority. Lesser matters require a simple majority. The General Assembly meets annually, a new session starting with high level meetings in September of each year. Emergency special sessions can also be convened within 24 hours if there is a lack of unanimity of the permanent members of Security Council on issues relating to international peace and security.



For more information on the General Assembly, go to: <http://www.un.org/en/ga/>

### 3.1.4 General Assembly Committees Associated with Peacekeeping

There are six Main Committees of the General Assembly. While all the committees play key roles in international peace and security, in this section we will focus on the two committees of particular relevance to peacekeeping, as well as their associated subcommittees.

#### Fourth Committee: Special Political and Decolonization

The Special Political and Decolonization Committee deals with a variety of subjects, including decolonization, Palestinian refugees and human rights, peacekeeping, mine action, outer space, public information, atomic radiation and the UN mandated University for Peace. It consists of membership from all the UN Member States.<sup>xciii</sup> The mandate of the Fourth Committee is determined by the General Assembly's agenda items that focus on 'special, political and decolonization' issues. Decolonization remains an important aspect of the Committee's mandate, given the sixteen territories that have not been granted self-determination.

In terms of peacekeeping, the Fourth Committee is tasked with the comprehensive review and oversight of the management of peacekeeping operations. This work is done primarily through the Special Committee on Peacekeeping Operations, however, the USGs of DPKO and DFS generally provide an annual speech to the Fourth Committee in which they explain their priorities for the coming year.



For more information on the Fourth Committee:  
<http://www.un.org/en/ga/fourth/index.shtml>

### Special Committee on Peacekeeping Operations (C-34)

The Special Committee was established by the General Assembly in 1965 to conduct a comprehensive review of all issues relating to peacekeeping. It provides updates and advice to the General Assembly on all peacekeeping operations, reporting through the Fourth Committee (Special Political and Decolonization). The Special Committee is currently made up of 147 Member States, most of which are past or current contributors to peacekeeping operations. The name “C-34” was coined in 1989 when there were 34 Member States participating. Although the numbers of Members have grown considerably, the Committee is still known as the C-34. In addition to the official Members, several Member States, intergovernmental organizations and entities, including the African Union, the European Community, the Organization of Islamic Cooperation, the International Committee of the Red Cross (ICRC) and the International Criminal Police Organization (Interpol), act as observers.

The C-34 meets annually in February and March. Before each session of the Committee, the Secretary General reports on progress through the “Report of the Secretary-General on the implementation of recommendations of the Special Committee on Peacekeeping Operations”. The session provides a forum for Member States with a stake in peacekeeping to review progress and key issues, discuss concerns and reforms, and formulate policy. The meetings include a general debate, and briefings and discussions with DPKO, DFS, relevant working groups and informal thematic groups. A substantive report is produced each year which includes recommendations to the Secretariat, Security Council, and Member States. This report provides important advice and direction to DPKO and DFS on Member States priorities, policy initiatives, and areas of particular interest or concern.

The C-34 works closely with other parts of the United Nations, particularly with DPKO, DFS and the Peacebuilding Commission. At the annual meeting, DPKO and DFS present a number of informal briefings on issues specifically requested by C-34 members in the previous year’s report. During its annual meeting, and in particular during the negotiations of the Special Committee’s report, individual DPKO-DFS offices are often invited to provide additional information to the Special Committee on particular issues or processes. The Division of Policy, Evaluation and Training acts as the C-34 focal point for the two Departments and coordinates the preparation of the annual Secretary-General’s progress report, organizes the informal briefings, and facilitates communication between the Special Committee and DPKO-DFS on substantive issues.



For more information the C-34, go to: <http://www.un.org/en/peacekeeping/ctte/CTTEE.htm>



Recent reports can be found at: [http://www.un.org/en/peacekeeping/ctte/spcmt\\_rep.htm](http://www.un.org/en/peacekeeping/ctte/spcmt_rep.htm)

### Fifth Committee: Administrative and Budgetary

The Fifth Committee is the General Assembly committee with responsibilities for administration and budgetary matters. Based on the reports of the Fifth Committee, the General Assembly considers and approves the budget of the Organization. The Assembly also

considers and approves financial and budgetary arrangements with specialized agencies and makes recommendations to the agencies concerned.

The Committee meets during the main part of the General Assembly session (September to December) and in a resumed session in March. The Committee holds a second resumed session in May to deal with administrative and budgetary aspects of UN peacekeeping missions. The Fifth Committee may also consider urgent matters relating to the financing of new peacekeeping missions authorized by the Security Council at any of its sessions.<sup>xciiv</sup>



For more information on the Fifth Committee, go to: <http://www.un.org/en/ga/fifth/>

### Advisory Committee on Administrative and Budgetary Questions

The Advisory Committee on Administrative and Budgetary Questions (ACABQ) is a subsidiary organ of the General Assembly, consisting of 16 members appointed on the recommendation of the Fifth Committee. Membership is based on broad geographical representation, personal qualifications and experience.

The programme of work of the ACABQ is determined by General Assembly and other legislative committees to which the Committee reports. Its functions include examining and reporting on budgets submitted by the Secretary-General to the General Assembly, advising on related administrative and budgetary matters, examining administrative budgets and proposals from specialized agencies, and reviewing auditors' reports and reporting to the GA on the accounts of the UN and the specialized agencies.<sup>xciiv</sup>



For more information on the ACABQ, go to: [www.un.org/ga/acabq](http://www.un.org/ga/acabq)

## 3.2 PEACEKEEPING FINANCING AND BUDGETS

In accordance with provisions in Article 17 of the UN Charter, financing UN peacekeeping operations is the collective responsibility of all of the UN Member States. The General Assembly apportions peacekeeping expenses based on a special scale of assessments under a complex formula that Member States themselves have established. This formula takes into account, among other things, the relative economic wealth of Member States.

Peacekeeping budgets are prepared based on the mandate from the Security Council. A start-up team is deployed as soon as feasible after the Security Council establishes mandate. A detailed budget is then prepared on the basis of findings of a strategic assessment and related technical assessment mission(s). Following the initial budget request, a peacekeeping mission budget is prepared on an annualized basis (1 July of first year to 30 June to the following year) and therefore covers one mandate period and beyond. Peacekeeping budgets follow the results-based budgeting approach (as defined below).

### Definition:

**Results-based budgeting (RBB)** is a budget process in which

- a) Budgets are formulated around a set of pre-defined objectives and expected accomplishments

- b) Expected accomplishments justify the resource requirements which are derived from and linked to outputs required to achieve such accomplishments
- c) Actual performance in achieving expected accomplishments is measured by indicators of achievement

xcvi

Unlike the regular budget, however, peacekeeping budgets do not include programmes and sub-programmes. Peacekeeping budgets include the resource requirements for military, police and civilian personnel costs, such as salaries and related costs, travel and subsistence of military and police personnel, rations and related operational costs, force-wide equipment and supplies, and transportation.

The Secretary-General submits budget proposals to the ACABQ. The ACABQ reviews the proposal and makes recommendations to the General Assembly's Fifth Committee for its review and approval. The Fifth Committee resumes its work annually for a period of four weeks in May to consider the administrative and budgetary aspects of the financing of peacekeeping operations, as well as the Support Account, which finances most of the work carried out by DPKO and DFS (see below). Ultimately, the budget is endorsed by the General Assembly as a whole. At the end of the financial cycle, each peacekeeping operation, as well as DPKO/DFS, prepares and submits a performance report which shows the actual use of resources. This report is also considered and approved by the General Assembly.

If a decision of the Security Council relating to the start-up phase or expansion phase of peacekeeping operations results in the need for expenditure, the Secretary-General is authorized, with the prior concurrence of the Advisory Committee on Administrative and Budgetary Questions, to enter into commitments up to 100 million dollars from the available balance of the Peacekeeping Reserve Fund.<sup>xcvii</sup> (The Peacekeeping Reserve Fund was established in 1992, at a level of \$150 million, as a cash flow mechanism to ensure the rapid response of the Organisation to the needs of peacekeeping operations.<sup>xcviii</sup>) For commitments of more than \$100 million, authority is requested from General Assembly.<sup>xcix</sup> The approved budget for UN Peacekeeping operations for the fiscal year 1 July 2013-30 June 2014 is approximately \$7.83 billion.<sup>c</sup>

The Support Account budget is a funding mechanism that provides for Headquarters' support and guidance to peacekeeping operations. It is based on temporary post and non-post requirements of active peacekeeping operations and depends on the number, scope and complexity of these operations. Under non-post requirements, the following objects of expenditures are considered: general temporary assistance, official travel, facilities and infrastructure, communications and other supplies, services and equipment. The support account is not limited to DPKO-DFS. For example, the Department of Management (DM) and the Office of Legal Affairs (OLA) also receive funding through the Support Account to cover costs associated with their support to peacekeeping missions.



Information on current peacekeeping budgets and Member States contributions can be found at: <http://www.un.org/en/peacekeeping/operations/financing.shtml>

### 3.3 DPKO-DFS COLLABORATION WITH OTHER SECRETARIAT DEPARTMENTS AT Headquarters

In June 2008, the Secretary-General issued a set of decisions that reaffirmed integration as the guiding principle to maximize the individual and collective impact of the UN's response in all conflict and post-conflict situations. This includes all operations where the UN has a Country Team and a multidimensional peacekeeping operation or a political field mission/office, regardless of whether these were 'structurally integrated'. The 2008 decisions resulted in the creation of the Integration Steering Group (ISG) which is chaired by the USG of DPKO and meets on a quarterly basis to provide senior leadership and oversight on key integration-related issues. It has considered a broad range of issues, including the impact of integration on humanitarian space, a review of joint programming between missions and UNCTs, and a broad range of support related issues (which are dealt with through a DFS chaired Support Working Group). In 2013, the ISG endorsed the new UN Policy on Integrated Assessment and Planning (IAP), which was subsequently approved by the Secretary-General on 9 April, 2013.

As previously noted, the IAP replaces the guidelines on the Integrated Mission Planning Process (IMPP) and, as the name change indicates, moves away from the mission-centric nature of the previous guidelines and focuses on a UN-wide strategic response in support of peace consolidation, consistent with the introduction of the requirement for Integrated Strategic Frameworks in the 2008 decisions. Compared to the IMPP, the scope of the IAP is broader, requiring the UN system to come together once a UN peacekeeping or political mission is under consideration to engage in joint assessment and to begin joint planning. The IAP emphasizes the importance of developing a shared analysis of the context through joint assessment, and it puts a stronger emphasis on links to other planning processes (including national ones) and the UN's strategic positioning vis-à-vis other actors.

The inter-agency Integration Working Group includes, inter alia, DPKO, DFS, DPA, OCHA, UNDP, UNICEF, UNHCR, PBSO and WFP and meets regularly to discuss issues related to integration.



The IAP is supported by the Integrated Assessment and Planning Handbook which provides guidance on methodologies, tools and approaches for implementation. There is also information on the IAP in this e-Guide, Module 2 on page 53.

#### 3.3.1 The Secretariat

The UN Secretariat is the administrative arm of the United Nations, serving the principal organs for the United Nations. The Secretariat is made up of a wide variety of departments and offices which deal with all aspects of the United Nations mandate. It is led by the Secretary-General and staffed by approximately 43,000 international civil servants in duty stations around the world.

Earlier in this e-Guide we discussed some of the offices which are part of the Secretariat directly focusing on peacekeeping (DPKO, DFS and their shared Offices). In this section we will explore some of the other offices within the Secretariat that have responsibilities related to peacekeeping.

## The Secretary-General



The Secretary-General (SG) is the head of the United Nations Secretariat and the Chief Administrative Officer of the Organization. The Secretary-General is appointed by the General Assembly on the recommendation of the Security Council. It is a five-year, renewable term, although no one has held the office for longer than two terms. The Secretary-General has the power to bring any situation that she or he thinks may threaten international peace and security to the attention of the Security Council. The Security Council still maintains the power to decide whether the situation is in fact a threat to international peace and security.

Mr. Ban Ki-moon, of the Republic of Korea, is the current Secretary-General, taking office in 2007 and being re-elected in 2011. He is the eighth Secretary-General of the United Nations.

The following brief video provides a glimpse into a day in the life of the Secretary-General during the 2010 meeting of the General Assembly.



<http://www.youtube.com/watch?v=dUR0gzFg2ss> (7:22 minutes)



For more information on the Secretary-General, go to: <http://www.un.org/sg/>

## Department of Political Affairs

Established in 1992, the Department of Political Affairs (DPA) plays a central role in United Nations efforts to prevent and resolve deadly conflict around the world. DPA monitors global political developments and advises the United Nations Secretary-General on the prevention and management of crises, including the use of his diplomatic "good offices" to help parties in conflict settle disputes peacefully. The Department provides support to numerous envoys of the Secretary-General engaged in peace talks or crisis diplomacy, while overseeing field-based United Nations peacebuilding support offices and "political missions" with mandates to help nations and regions resolve conflicts and tensions peacefully.<sup>ci</sup>

Political missions are part of a continuum of UN peace operations working in different stages of the conflict cycle. In some instances, following the signing of peace agreements, political missions overseen by the Department of Political Affairs during the stage of peace negotiations have been replaced by peacekeeping missions. In other instances, UN peacekeeping operations have given way to special political missions overseeing longer term peace-building activities.

Administrative and logistical support to DPA field missions is provided by DFS. DPKO also provides assistance to DPA-led field operations, most notably through the Office of Rule of Law and Security Institutions (OROLSI) which supports DPA presences in the fields of

disarmament, demobilization and reintegration, security sector reform, mine action, police, justice and corrections.

The Department of Political Affairs has other important functions that contribute directly to UN efforts to promote peace and prevent conflict, including providing support to the Security Council and its subsidiary bodies and coordinating all UN electoral assistance activities. In peacekeeping operations, DPA's Electoral Assistance Division works closely with DPKO and DFS in planning and managing electoral support aspects.

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The following film illustrates DPA's role in UN peacemaking efforts.



<http://www.youtube.com/watch?v=HiGCASwk4Ts#t=117> (10:07 minutes)

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For more information on DPA, go to: <http://www.un.org/wcm/content/site/undpa/main>

### Department of Public Information

The Department of Public Information (DPI) was established in 1946 by the General Assembly. As the public voice of the United Nations, DPI promotes global awareness and greater understanding of the work of the United Nations, using various communication tools including radio, television, print, the Internet, videoconferencing and other new information technologies. Its mission is to communicate the ideas and work of the UN to the world, to interact and partner with diverse audiences and to build support for peace, development and human rights.

DPI has three main divisions. The Strategic Communications Division formulates communications strategies on priority issues and launches global campaigns and manages the network of 63 United Nations information centres and offices around the world. The News and Media Division produces and publishes news and information on the UN's priorities and activities, builds partnerships with media organizations and other target audiences and supports the work of news organizations covering the work of the UN. The Outreach Division engages and educates communities worldwide to encourage support for the ideals and activities of the UN.<sup>cii</sup>

The Peace and Security Section promotes UN work on priority peace and security-related issues, including conflict prevention, peacemaking, peacekeeping, peacebuilding, disarmament and counter-terrorism. It designs and manages the implementation of global communications strategies on those issues, produces and disseminates public information

materials, and undertakes promotional and outreach activities. It also provides strategic communications support, backstopping and training to public information components of UN peacekeeping and special political missions and assists in the development of communications policies and standard operating procedures for public information components in UN field peace missions. In cooperation with the DPKO, the section hosts and develops the UN Peacekeeping website and publishes the annual “UN Peace Operations: Year in Review” magazine, which provides a review of current UN peacekeeping operations, and special political and peacebuilding missions throughout the world. In all its activities, the section works closely with the relevant substantive offices and departments in the UN Secretariat and communications partners in UN field peace missions. It participates in the work of various Integrated Task Forces and working groups set up in the Secretariat to address specific peace and security-related issues.<sup>ciii</sup>

The following brief video describes the work of the Department of Public Information.



<http://unic.un.org/aroundworld/unics/en/whoWeAre/aboutDPI/> (8:54 minutes)



For more information on DPI, go to: <http://www.un.org/en/hq/dpi/index.shtml>

Some examples of information sites supported by DPI:

- United Nations Website: <http://www.un.org/>
- United Nations News Centre: <http://www.un.org/News/>
- United Nations Radio: <http://www.unmultimedia.org/radio/english/>
- United Nations Publications: <https://unp.un.org/>

### Department of Safety and Security and the Peace Operations Support Section

Since its establishment in 2005, the Department of Safety and Security (UNDSS) has maintained its strategic vision in promoting the Organization’s security culture in which security management aims to enable UN operations and programmes, even in high risk locations, while noting the duty of care and the need to protect UN personnel. As noted in Module 2, the Department provides executive directions relevant to the direction and control of the UN security management system and the overall safety and security of UN personnel, premises and assets at both field and Headquarters locations. The Department leads the Inter-Agency Security Management Network (IASMN) and is responsible for developing security policies, practices and procedures for the UN system worldwide, and coordinating with the organizations of the UN system to ensure implementation, compliance and support for security aspects of their activities. Through the Under-Secretary-General, UNDSS provides advice to the Secretary-General on all matters related to security and safety of the UN system.

Within the Department, the Peace Operations Support Section (POSS) of the Division of Regional Operations, in consultation with the DPKO/DFS Focal Point for Security, provides operational and technical support, including during crisis, to UN peacekeeping missions and mission security management structures, as well as security professionals.



For more information about UNDSS, please go to:  
<https://trip.dss.un.org/dssweb/WelcometoUNDSS/tabid/105/Default.aspx?returnurl=%2fdssweb%2f>.

### Office of the United Nations High Commissioner for Human Rights

Since the establishment of the United Nations, a fundamental role has been the promotion of respect for human rights for all without distinction as to race, sex, language, or religion, as stipulated in the UN Charter. The Office of the United Nations High Commissioner for Human Rights (OHCHR) is the principal UN office mandated to promote and protect human rights. OHCHR provides a forum for identifying, highlighting and developing responses to today's human rights challenges, and act as the principal focal point of human rights research, education, public information, and advocacy activities in the UN system. The Office is responsible for mainstreaming human rights within the UN and assisting the work of governments, civil society, national human rights institutions and other UN entities and international organizations in their efforts to promote and protect human rights. Examples of these organizations include the International Labour Organization, the Office of the High Commissioner for Refugees, the United Nations Children's Fund, United Nations Educational, Scientific and Cultural Organization, the International Criminal Court, and specialized criminal tribunals.

OHCHR's work focuses on three major dimensions: standard-setting, monitoring, and implementation on the ground. In support of these areas, it provides a broad range of services. Working in close collaboration with governments, the UN system, NGOs, and members of civil society, OHCHR's field presence plays an essential role in identifying, highlighting, and developing responses to human rights challenges. This work includes monitoring human rights situations on the ground and implementing projects, such as technical trainings and support in the areas of administration of justice, legislative reform, human rights treaty ratification, and human rights education, designed in cooperation with Member States.<sup>civ</sup>

Institutional relations between OHCHR on the one hand and DPKO, DPA and DFS on the other, in the context of peace operations and political missions are governed by the decision to fully integrate human rights in UN peace operations and political missions. The Secretary-General decision on Human Rights in Integrated Missions (2005/24) and the Policy on Human Rights in Peace Operations and Special Political Missions form the basis for this integration. OHCHR, as lead agency on human rights issues, plays a key role through the provision of expertise, guidance and support to human rights components.

As of May 2014, more than 800 Human Rights Officers are integrated in 14 peacekeeping and political missions that are mandated to promote, protect and monitor human rights. OHCHR supports peacekeeping and special political missions through expert advice, technical assistance and functional support; and human rights components of those missions have dual reporting lines, to the head of the mission and to the High Commissioner.



For more information on OHCHR, go to: <http://www.ohchr.org/EN/Pages/WelcomePage.aspx>  
For many videos related to human rights, go to:  
<http://www.youtube.com/user/UNOHCHR/videos>

### Office of the Special Advisors on the Prevention of Genocide and the Responsibility to Protect

In response to tragedies such as the deadly conflicts in Rwanda and the Balkans, the UN Security Council requested the Secretary General to inform the Council on cases of serious violations of international law and on potential conflict situations arising from ethnic, religious and territorial disputes and other related issues. Based on the Security Council's considerations, the Secretary-General created the positions of the Special Adviser on the Prevention of Genocide (2007) and the Special Adviser on the Responsibility to Protect (2008).

The mandates of the two Advisors are distinct but complementary. The Special Adviser on the Prevention of Genocide acts as a catalyst to raise awareness of the causes and dynamics of genocide, to alert relevant actors where there is a risk of genocide, and to advocate and mobilize for appropriate action. The Special Adviser on the Responsibility to Protect leads the conceptual, political, institutional and operational development of the Responsibility to Protect.

The efforts of the Advisors' Office include alerting relevant actors to the risk of genocide, war crimes, ethnic cleansing and crimes against humanity and enhancing the capacity of the United Nations to prevent these crimes, including their incitement. They work with Member States, regional and sub-regional arrangements, and civil society to develop more effective means of response when they do occur. As much as possible, the two Advisors share a common methodology for early warning, assessment, convening, learning, and advocacy and also share a common office and staff.<sup>cv</sup>



For more information, go to: <http://www.un.org/en/preventgenocide/adviser/index.shtml>  
To hear a discussion of the Advisors' linked mandates and roles, go to:  
[http://www.un.org/en/preventgenocide/adviser/videos/video\\_4.shtml](http://www.un.org/en/preventgenocide/adviser/videos/video_4.shtml)

### Office of the Special Representative of the Secretary-General for Children and Armed Conflict

The Office of the Special Representative of the Secretary-General for Children and Armed Conflict (OSRSG-CAAC) serves as an independent moral voice on behalf of children affected by conflict. The Special Representative raises challenges faced by children in war to political bodies, such as the General Assembly, the Human Rights Council, the Security Council and relevant Governments to maintain a sense of urgency amongst key decision makers as well as to secure political and diplomatic engagement. The Office works in partnership with DPKO-DFS, and other departments and offices within the UN Secretariat as well as UNICEF and other UN system agencies, funds, and programmes.

The OSRSG-CAAC focuses its advocacy efforts in a number of key priority areas, including the delivery of comprehensive and long-term reintegration assistance for children, the rights of

internally displaced children, the rights of children involved with justice systems as victims and/or perpetrators, protection of children from recruitment and use in hostilities.<sup>cvii</sup>



For more information, go to: <http://childrenandarmedconflict.un.org>

### Office of Legal Affairs

The UN Office of Legal Affairs (OLA) provides a unified central legal service for the Secretariat and the principal and other organs of the UN and contributes to the progressive development and codification of international public and trade law. OLA contributes to the development and codification of international public and trade law the effective implementation of the international legal order for seas and oceans. It also registers and publishes treaties, and performs the depositary functions of the Secretary-General. Through its various offices, OLA provides legal advice and support to UN peacekeeping operations, including on arrangements with Governments, other international organizations, UN Agencies and other actors in the field and commercial vendors for personnel, equipment and logistics support. It also assists with peacekeeping processes, policies and procedure, claims against the Organization arising from such operations, as well as commercial insurance arrangements and related claims.<sup>cvii</sup>



For more information on OLA, go to: <http://legal.un.org/ola/>

The OLA website also offers extensive legal resources, including the following:

- The UN Treaty Collection is the repository of every international treaty and agreement since the Charter: <https://treaties.un.org/>
- The Audiovisual Library of International Law provides an extensive collection materials and lectures: <http://www.un.org/law/avl/>

### Office for the Coordination of Humanitarian Affairs

The Office for the Coordination of Humanitarian Affairs (OCHA) is responsible for bringing together humanitarian actors in a coherent approach to emergencies. OCHA ensures there is a framework within which each actor can contribute to the overall response effort. It works in partnership with national and international actors to for advocate the rights of people in need, promote preparedness and prevention and facilitate sustainable solutions mobilize and coordinate effective and principled humanitarian action on emergencies. OCHA has over 30 offices internationally and approximately 1,900 specialized staff working together with international and local agencies to provide assistance around the world.<sup>cviii</sup>

OCHA also promotes the protection of civilians mandate through support to the Emergency Relief Coordinator (ERC) mandate, including through the biennial Secretary-General's report to the Security Council on POC, preparing the ERC's biannual POC briefing to the Security Council's informal POC Expert Group, providing normative guidance (e.g. the Aide Memoire) and commissioning studies, such as the joint OCHA/DPKO study on 'POC in the context of peacekeeping operations'.<sup>cix</sup>



For more information about OCHA, go to: <http://www.unocha.org/>

## Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict

The Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict (OSRSG-SVC) serves as the United Nations' spokesperson and political advocate on conflict-related sexual violence, and is the chair of the network UN Action against Sexual Violence in Conflict. The Office was established by [Security Council Resolution 1888](#) (2009), one in a series of resolutions which recognizes the detrimental impact that sexual violence in conflict has on communities, and acknowledges that this crime undermines efforts at peace and security and rebuilding once a conflict has ended. The Office's key initiatives include training on conflict-related sexual violence, development of early warning indicators, addressing conflict-related sexual violence in ceasefire and peace agreements, developing comprehensive strategies to combat sexual violence, addressing funding challenges, increasing and improving access to services, and strengthening protection and prevention in partnership with UN and other partner agencies. The OSRSG-SVC works with a Team of Experts on the Rule of Law and Sexual Violence in Conflict which is focusing its efforts on strengthening the capacity of national rule of law and justice actors, including in the specialized areas of criminal investigation and prosecution, collection and preservation of evidence, military justice system investigation and prosecution, criminal and procedural law reform, and protection of victims, witnesses and justice officials.<sup>cx</sup>



For more information about the OSRSG-SVC, go to:  
<http://www.un.org/sexualviolenceinconflict/>

## Peacebuilding Commission, Support Office and Fund

The Peacebuilding Commission (PBC) is an intergovernmental advisory body that was established by the Security Council and General Assembly in 2005 to support peace efforts in countries emerging from conflict. It was developed as part of the reform process in recognition of lack of mechanisms supporting countries during the transition from war to lasting peace. Its mandated functions are to:

- bring together all relevant actors (including international donors, the international financial institutions, national governments, troop contributing countries) to marshal resources and to advise on and propose integrated strategies for post-conflict peacebuilding and recovery
- focus attention on the reconstruction and institution-building efforts necessary for recovery from conflict and to support the development of integrated strategies in order to lay the foundation for sustainable development
- provide recommendations and information to improve the coordination of all relevant actors within and outside the United Nations and to develop best practices

The PBC also helps to ensure predictable financing for early recovery activities and to extend the period of attention given by the international community to post conflict recovery.<sup>cx</sup>

Countries that are currently on the PBC agenda include Burundi, Sierra Leone, Guinea, Guinea-Bissau, Liberia and the Central African Republic.

Also established in 2005, the Peacebuilding Support Office (PBSO) assists and supports the Peacebuilding Commission, administers the Peacebuilding Fund, and supports the Secretary

General's efforts to coordinate the UN System in its peacebuilding efforts.<sup>cxii</sup> The Peacebuilding Fund (PBF) is the Secretary-General's fund to support activities, actions, programmes and organisations that seek to build a lasting peace in countries emerging from conflict. The PBF was launched in 2006 and its overall management is the responsibility of the PBSO. At the country level, management of the Fund is delegated to the Joint Steering Committee, co-chaired by the national Government and the United Nations, with a broader membership representing national and international stakeholders.<sup>cxiii</sup>



For more information on the Peacebuilding Commission, go to: <http://www.un.org/en/peacebuilding/>

The Peacebuilding Support Office: <http://www.un.org/en/peacebuilding/pbso/about.shtml>  
The Peacebuilding Fund: <http://www.unpbf.org/>

### 3.4 AGENCIES, FUNDS AND PROGRAMMES ASSOCIATED WITH PEACEKEEPING

#### UN Children's Fund

The UN Children's Fund (UNICEF) is the United Nations Programme mandated by the General Assembly to advocate for the protection of children's rights, to help meet their basic needs and to expand their opportunities to reach their full potential. UNICEF mobilizes political will and resources to help countries, particularly developing countries, in achieving the goals articulated in "[First Call for Children](#)", to build their capacity to form appropriate policies and to deliver services for children and their families. UNICEF works on special protection for the most disadvantaged children - victims of war, disasters, extreme poverty, all forms of violence and exploitation and those with disabilities and responds in emergencies to protect the rights of children. Through its country programmes, UNICEF promotes the equal rights of women and girls and supports their full participation in the political, social, and economic development of their communities. In coordination with United Nations partners and humanitarian agencies, UNICEF works towards the attainment of the sustainable human development goals adopted by the world community and the realization of the vision of peace and social progress enshrined in the Charter of the United Nations.<sup>cxiv</sup>

In addition to their joint work on child protection, DPKO and UNICEF collaborate in a number of other areas that impact children, such as security sector reform, mine action, disarmament, demobilization and reintegration, women peace and security, sexual and gender-based violence, civil affairs and protection of civilians.



For more information about UNICEF, go to: <http://www.unicef.org/>

#### UN Development Programme

Created in 1966, the UN Development Programme (UNDP) partners with people at all levels of society to help build nations that can withstand crisis, and drive and sustain the kind of growth that improves quality of life. On the ground in more than 170 countries and territories, UNDP focuses on helping countries build and share solutions in four main areas:

- Poverty Reduction and Achievement of the MDGs
- Democratic Governance

- Crisis Prevention and Recovery
- Environment and Energy for Sustainable Development

As the specialized agency of the United Nations focusing on development, UNDP has a mandate of supporting countries in their development path, and to coordinate the UN System at the country level. In this capacity, the UN Secretary General requested UNDP to be the Millennium Development Goals (MDG) Scorekeeper, in addition to its programmatic work for MDG achievement. As the scorekeeper, UNDP supports the implementation of United Nations Development Group (UNDG) Core Strategy, including coordination and provision of financial support for the preparation of MDG country monitoring reports and forging closer collaboration within UN Country Teams on policy advocacy, while promoting a strong response to national MDG priorities through United Nations Development Assistance Frameworks (UNDAFs) and Country Programmes.<sup>cxv</sup>

DPKO-DFS works closely with UNDP in the field through the UN Country Teams and at Headquarters in the Integrated Task Forces and Working groups on security sector reform, mine action, disarmament, demobilization and reintegration and other inter-agency mechanisms. DPKO and UNDP are the Global Focal Point for police, justice and corrections in post-conflict and other crisis situations. Supporting the Secretary-General's priority of "delivery as one", the Global Focal Point arrangement strengthens the UN's ability to fill critical civilian capacity gaps in the aftermath of conflict.<sup>cxvi</sup>



For more information about UNDP, go to: <http://www.undp.org>

### UN Action Against Sexual Violence in Conflict

UN Action Against Sexual Violence in Conflict (UN Action) unites the work of 13 UN entities with the goal of ending sexual violence in conflict. It is a concerted effort by the UN system to improve coordination and accountability, amplify programming and advocacy, and support national efforts to prevent sexual violence and respond effectively to the needs of survivors. UN Action has three main pillars:

- Country Level Action: support joint strategy development and programming by UN Country Teams and Peacekeeping Operations, including building operational and technical capacity
- Advocating for Action: action to raise public awareness and generate political will to address sexual violence as part of a broader campaign to Stop Rape Now
- Learning by Doing: creating a knowledge hub on the scale of sexual violence in conflict, and effective responses by the UN and partners

DPKO works with UN Action and the OSRSG-SV to raise awareness, collect examples of good practice and provide guidelines for all UN peacekeeping personnel on proactively combating sexual violence.



For more information about UN Action and the Stop Rape Now campaign, go to: <http://www.storapenow.org/>

## UN Women

Created in 2010, UN Women is the United Nations organization dedicated to gender equality and the empowerment of women. It merges and builds on the important work of four previously distinct parts of the UN system, which focused exclusively on gender equality and women's empowerment: the Division for the Advancement of Women (DAW); the International Research and Training Institute for the Advancement of Women (INSTRAW); the Office of the Special Adviser on Gender Issues and Advancement of Women (OSAGI); and the United Nations Development Fund for Women (UNIFEM). The main roles of UN Women are:

- To support inter-governmental bodies, such as the Commission on the Status of Women, in their formulation of policies, global standards and norms
- To help Member States to implement these standards, standing ready to provide suitable technical and financial support to those countries that request it, and to forge effective partnerships with civil society
- To hold the UN system accountable for its own commitments on gender equality, including regular monitoring of system-wide progress

DPKO works in collaboration with UN Women in a number of areas, including conflict-related sexual violence; security sector reform; disarmament, demobilization and reintegration; women, peace and security; mine action and sexual exploitation and abuse.



For more information on UN women go to: <http://www.unwomen.org/en>

## UN Office on Drugs and Crime

The UN Office on Drugs and Crime (UNODC) was established in 1997 in a merger between the UN Drug Control Programme and the Centre for International Crime Prevention. Working through an extensive network of offices around the world, UNODC is mandated to assist Member States in their struggle against illicit drugs, crime and terrorism. The main focus areas of UNODC's work includes enhancing Member States capacity to counteract illicit drugs, crime and terrorism; conducting research and analysis to enhance understanding and evidence on drugs and crime issues; assisting states in the ratification and implementation of relevant international treaties; development of domestic legislation on drugs, crime and terrorism; and the provision of secretariat and substantive services to the treaty-based and governing bodies.

DPKO-DFS cooperates with UNODC to address drugs and criminal activities in conflict zones and increase national capacities, including in security sector reforms and strengthening criminal justice systems.



For more information on UNODC, go to: <http://www.unodc.org/unodc/index.html>

### 3.4.1 Mechanisms for Collaboration - Committees, Boards, Working Groups and Task Forces

#### Policy Committee

The Policy Committee is responsible for considering issues requiring strategic guidance and policy decisions on thematic and country-specific issues, including those involving peacekeeping. It is chaired by the Secretary-General and includes Deputy Secretary-General, the Chef de Cabinet, the Chair of the Executive Committee on Peace and Security, the Under-Secretary-General for Peacekeeping Operations (alternate Chair), the Chair of the United Nations Development Group, the Chair of the Executive Committee on Economic and Social Affairs, the Chair of the Executive Committee on Humanitarian Affairs, the High Commissioner for Human Rights, the Legal Counsel, the Under-Secretary-General for Communications and Public Information and the Special Adviser on Africa.<sup>cxvii</sup>

#### Management Committee

Established in 2005 as part of broad range management reform initiatives, the Management Committee's role is to provide leadership and strategic direction on internal reform and management-related issues requiring strategic direction from the Secretary-General. It is also tasked with ensuring that the findings and recommendations of the Board of Auditors, the Joint Inspection Unit and the Office of Internal Oversight Services are effectively fed into the executive management processes, and that accepted recommendations are followed up and implemented in a timely manner.<sup>cxviii</sup> Chaired by the Secretary-General, its membership consists of Deputy Secretary-General, the Chef de Cabinet, the Under-Secretary-General for Management, the Under-Secretary-General for Economic and Social Affairs, the Under-Secretary-General for Peacekeeping Operations and the Under-Secretary-General for General Assembly and Conference Management. The Committee meets monthly.<sup>cxix</sup>

#### Management Performance Board

Also established in 2005, the Management Performance Board functions in an advisory capacity to the Secretary-General for the purpose of strengthening accountability and monitoring performance of senior managers and heads of UN field missions. The Board also reviews the outcome of the administration of justice proceedings in the Secretariat for management performance and accountability purposes, with a particular focus on UN Dispute Tribunal and Appeals Tribunal judgments, so as to identify and make recommendations to address systemic problems. In addition, it conducts yearly reviews of the performance appraisal system within the UN Secretariat to ensure Secretariat-wide consistency in its application.<sup>cxx</sup>

#### Inter-Agency Working Group on Disarmament, Demobilization and Reintegration

The Inter Agency Working Group (IAWG) on Disarmament, Demobilization and Reintegration (DDR) was established by the UN Executive Committee on Peace and Security (ECPS) in 2005 to improve the UN's performance in the area of DDR. The IAWG was tasked with developing a coherent UN approach to DDR in both peacekeeping and non-peacekeeping environments and has as specific objectives: to develop and maintain cutting-edge policies and resources; to provide timely advice and support to programmes in the field at strategic and technical levels; and to monitor developments and evaluate results in the strategic environment of DDR so as to adapt its structures and procedures. The IAWG, which comprises 23 UN and non-UN entities, contributes to an integrated approach, applying the "UN Delivering as One"

principle, with a view to enhancing the effectiveness and efficiency of DDR processes worldwide. The Working Group is co-chaired by DPKO and UNDP.<sup>cxxi</sup>



For more information IAWG DDR, go to: <http://unddr.org/>

### Inter-Agency Security Sector Reform Task Force

The UN Inter-Agency Security Sector Reform Task Force (IASSRTF) was established by the Secretary-General of the United Nations in 2007 to promote an integrated, holistic and coherent United Nations security sector reform (SSR) approach. It assists in UN efforts supporting States and societies to establish effective, inclusive and accountable security institutions, thereby contributing to international peace and security, sustainable development and the enjoyment of human rights by all. The Task Force brings together fourteen departments, programmes and funds, namely DPKO and UNDP (co-chairs), DPA, ODA, OHCHR, OSA, PBO, SRGS-SVC, UN WOMEN, UNDP, UNFPA, UNICEF, UNITAR, UNODC and UNOPS.

With the aim of enhancing support to the field, the UN Inter-Agency Task Force has developed United Nations SSR Integrated Technical Guidance Notes that provide a platform for coherent system-wide support to SSR. The task force also develops partnerships with regional organizations, manages a roster of SSR experts and delivers training to United Nations personnel, external partners, national actors, regional and sub-regional organizations. The IASSRTF also facilitates development, undertakes joint SSR assessment missions and facilitates joint programmes and initiatives in the field.<sup>cxxii</sup>



For more information on the IASSRTF, go to: <http://unssr.unlb.org/>

### Inter-Agency Coordination Group on Mine Action

Chaired by the UN Mine Action Service (UNMAS), the membership of the UN Inter-Agency Coordination Group for Mine Action (IACG-MA) is comprised of 14 UN departments, agencies, programmes and funds. The IACG-MA is the UN forum for the coordination of mine action policies, strategies and initiatives, monitoring of the threats posed by landmines and explosive remnants of war (ERW) around the world, and developing of UN positions on issues related to mine action, especially in relation to international normative frameworks. The IACG-MA also provides options and recommendations to senior UN officials in specific countries to consider when planning an appropriate response to mine and ERW problems.

On a biennial basis, the IACG-MA prepares the Report of the Secretary-General on Assistance in Mine Action and provides technical expertise to Member States for consideration and adoption of a resolution by the General Assembly. The IACG-MA endorsed the Strategy of the United Nations on Mine Action 2013-2018 which outlines the United Nations approach to mine action and reaffirms the contribution of mine action to the full range of UN responses from peace and security to human rights to humanitarian affairs and development.



For more information on UNMAS and the IACG-MA, go to: <http://www.mineaction.org/>



To read the Strategy of the United Nations on Mine Action 2013-2018, go to: [http://www.mineaction.org/sites/default/files/publications/mine\\_action\\_strategy\\_mar15.pdf](http://www.mineaction.org/sites/default/files/publications/mine_action_strategy_mar15.pdf)

### Other Committees

The list above is not exhaustive. Some committees have been active in the past and others convene as needed. Additional inter-agency committees include the Integration Working Group, the Peacebuilding Contact Group, the Executive Committee on Peace and Security, the New Deal Task Team and the UN-World Bank Working Group.



**Module Completion:** Congratulations on completing Module 3 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).

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# MODULE 4



## Knowledge Sharing and Peacekeeping Training

Module 4 introduces the various mechanisms, processes and services related to peacekeeping knowledge sharing and information management within DPKO-DFS, including training and learning resources. Topics in this module include:

- Knowledge sharing and management concepts and resources
- Information management
- Research resources
- Information classification and sensitivity
- Communications
- Peacekeeping training architecture and learning resources

### A Note on Language:

#### Learning

A search on the internet of the word “learning” will result in a large number of definitions and theories. Here are two descriptions that work well for the purposes of this document:

***Learning** is defined as a process that brings together personal and environmental experiences and influences for acquiring, enriching or modifying one’s knowledge, skills, values, attitudes, behaviour and world views.* UNESCO<sup>cxiii</sup>

***Learning** is the lifelong process of transforming information and experience into knowledge, skills, behaviors, and attitudes.* J. Cobb<sup>cxiv</sup>

#### Organizational Learning

BusinessDictionary.com provides the following definition of organizational learning: *Organization-wide continuous process that enhances its collective ability to accept, make sense of, and respond to internal and external change. Organizational learning is more than the sum of the information held by employees. It requires systematic integration and collective interpretation of new knowledge that leads to collective action and involves risk taking as experimentation.* <sup>cxv</sup>

#### Knowledge Management

The field of knowledge management is a vibrant area in which concepts and definitions continue to evolve. The following description from DPKO-DFS Policy and Best Practices Service is included here to support understanding of the term as used in this context:

***Knowledge management** in general refers to a set of activities an organization engages in to gather, organize, analyse, and share its experiential knowledge, drawing upon and mining unstructured information throughout the organization in order to form a body of institutional knowledge.* <sup>cxvi</sup>

Please note that the terms “knowledge sharing” and “knowledge transfer” are sometimes used interchangeably with knowledge management, most often referring to activities and systems that facilitate sharing and exchange of knowledge.

***Information management:** A discipline that seeks to improve the quality of an organization's information, and how it is captured, stored, accessed, used, moved and destroyed. It achieves this by addressing relevant policies, processes, roles and resources, culture and technology.* <sup>cxvii</sup>

DPKO-DFS Policy Directive on Records Management, 2006

For the purposes of this document, information management includes document handling, information sensitivity, classification and handling, data handling and visualization, records management, digital storage rules, and search tools.



**Important Note:** All United Nations staff members should know that all information they collect or create in the conduct of business, irrespective of its format, is the property of the United Nations.

## 4.1 ORGANIZATIONAL LEARNING<sup>cxxviii</sup>

In the early days of peacekeeping, sharing of experiences across missions was limited and there was a lack of common doctrine and guidance for operations in the field. Recurring problems that peacekeeping missions regularly faced had to be solved over and over again and there was a tendency to reinvent the wheel rather than to build upon previously developed solutions. This resulted in high expenditures of time, energy and resources to perform common or simple tasks in peacekeeping. It also meant that there was little continuity in practice across missions, no standard approach to the challenges missions faced, and frequent confusion about roles and responsibilities. Innovative approaches, good practices and learning in peacekeeping were lost because they were not recorded, stored and shared with future peacekeepers.

Responding to these realities, a Lessons Learned Unit was established in 1995 to assist DPKO in its efforts to improve peacekeeping operations by learning from its experiences. While lessons-learned studies were produced, it became clear that the approach was not generating sufficient impact in terms of changing practice at Headquarters or in the field.<sup>cxxix</sup> The 2000 Brahimi Report noted, *“All are agreed on the need to exploit cumulating field experience but not enough has been done to improve the system’s ability to tap that experience or to feed it back into the development of operational doctrine, plans, procedures or mandates”*.<sup>cxxx</sup>

In 2001, the General Assembly agreed to resource a reconfigured lessons-learning and policy capability in the form of the Peacekeeping Best Practices Unit in the Office of the Under-Secretary-General for Peacekeeping Operations. The Unit became operational in its new form in 2003.<sup>cxxxi</sup> Currently housed with DPET, the Policy and Best Practices Service functions as the custodian of the DPKO-DFS Organizational Learning System, which is managed by the Knowledge Management and Guidance team.

Using a variety of organizational learning methodologies and tools, solutions to recurring problems are now institutionalized and information on common peacekeeping tasks has become increasingly accessible to DPKO and DFS staff. The sharing of experiences across missions and the development of peacekeeping guidance and doctrine contributes to a more common understanding and a shared vision of peacekeeping amongst all staff and stakeholders. A higher level of continuity is promoted through the more systematic approach to organizational learning that incorporates the development of organizational guidance based on identified lessons and good practices. This is resulting in the application of proven solutions to recurring challenges and increased clarity about roles and responsibilities. This is, of course, particularly important in the peacekeeping context, where staff turnover is high.

At the same time, it is recognized that practices from one peacekeeping context at a particular point in time will not necessarily be applicable in another situation. The complex and evolving nature of many of peacekeeping tasks indicates that practices that have proven successful should guide thinking and reflection in other similar situations rather than be copied on a one-to-one basis. Organizational learning initiatives involving the sharing of information and guidance, therefore, need to remain flexible rather than rigid or dogmatic in their approach. The Organization must be able to apply its knowledge to improve future operations, but must continue to do so using innovative and adaptive approaches.<sup>cxxxii</sup>

Peacekeeping missions are full of examples of staff having developed innovative solutions to the problems they face. Ultimately, organizational learning means the establishment of an organizational culture within DPKO and DFS that encourages continuous reflection on what works and should be replicated and what requires improvement to ensure that peacekeeping becomes more efficient and effective.<sup>cxxxiii</sup>

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*Below are some examples of organizational learning affecting practice - i.e. the development of policy and guidance based on identified lessons and good practices:*

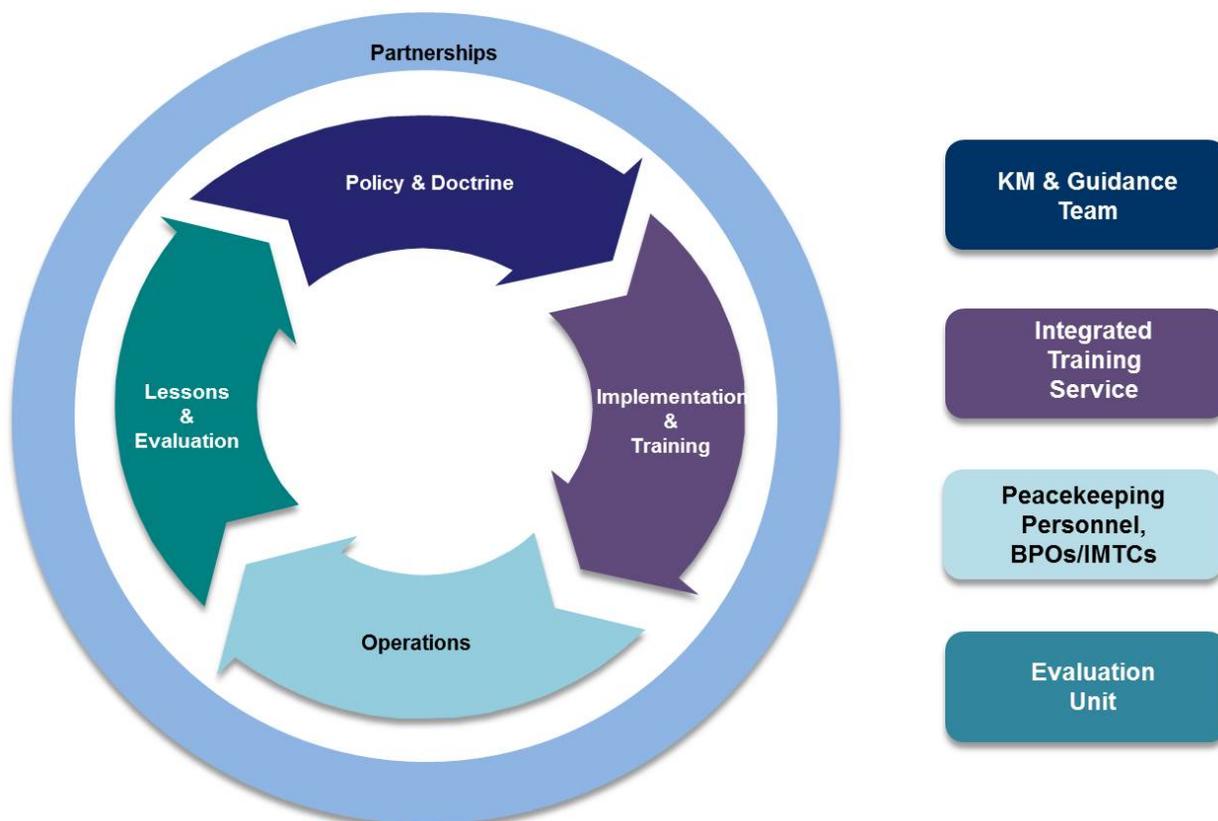
- *UNOCI shared lessons on crowd control tactics learned in riots which led to the revision of the Policy on Formed Police Units. (AAR, January 2006)*
  - *The Gender Military Guidelines were drawn from experiences and lessons in the field to develop “how to’s” at strategic, operational and tactical levels.*
  - *The Policy on UN Transition in the context of mission drawdown and withdrawal is based on extensive lessons and good practices that were previously identified and captured.*
  - *Demonstrating the benefits of learning from the collective experience of other peacekeeping operations, MINUSTAH was able to organize the escort of humanitarian convoys in Haiti using examples of guiding documents from missions in Africa.*
-

### 4.1.1 DPKO-DFS Organizational Learning Framework

As illustrated in the diagramme below, the DPKO-DFS Organizational Learning Framework takes a holistic, cyclical approach that is based in collaboration and partnerships.

#### Organizational Learning Framework

*DPKO-DFS Policy and Best Practices Service*



Experiences and learning by personnel in field operations is documented through a variety of knowledge sharing tools (e.g. lesson learned exercises, compulsory end of assignment reports, and after action reviews). This information contributes to a body of knowledge that is translated into policy, doctrine and guidance which in turn is disseminated, promulgated and implemented throughout Headquarters and peacekeeping missions in a variety of ways, including training and knowledge management products.

As shown by the arrows in the diagramme, each component of the framework informs the system. Guidance, based on previous lessons, informs operations in the field and at Headquarters, contributing to the execution of mission mandates. For example, the Civil Affairs Handbook describes a common approach to undertaking the work of Civil Affairs Officers in the field and conveys lessons learned from around the world.

Lessons learned from operations feed back into the framework. They help identify areas where improvements are needed to policies, procedures and guidance, or where new guidance needs to be developed to fill a gap.

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### Definitions:

**Policy:** A policy provides an articulation of an institutional position, intent, and/or direction on an issue or activity in UN peacekeeping. A policy is the basis for institutional consistency in managing peacekeeping issues. Compliance is mandatory.

**SOP:** A Standard Operating Procedure (SOP) is a standing instruction on how to implement a specific task, process or activity, or how to achieve a desired result. It provides institutional recognition of best practice methods or steps to be followed unless ordered otherwise. Compliance is mandatory.

**Guidelines:** Any document which is not a Policy or SOP, that provides direction on a specific task, process or activity, shall be deemed a “Guideline”. Guidelines may include manuals, handbooks, toolkits, or other similar instruction. Compliance shall be clearly specified within and throughout the document.

*- Policy on Guidance Development*

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#### 4.1.2 Official DPKO-DFS Guidance Materials

The Under-Secretary-Generals for DPKO and DFS issue standing instructions that range from high-level policies (e.g., the Capstone Doctrine), to detailed and technical (e.g., Standard Operating Procedures on Field Occupational Safety Incident Reporting), to extensive and comprehensive manuals (e.g., the Handbook on Civil Affairs and the Liquidation Manual).

The need to develop new, review or amend existing guidance materials may be based on a number of reasons, including:

- Tasking from USG/DPKO or USG/DFS or the Expanded Senior Management Team (E-SMT)
- Tasking or other requirements from superior sources (e.g. from the Secretary-General’s Bulletins or resolutions of the General Assembly or Security Council)
- Substantive evidence of changing/improved practices, lessons learned, or new ways of handling an issue that necessitates modifications to existing guidance
- A recognized gap in existing official guidance, as identified through needs assessments, evaluations, lessons learned studies, etc.
- The expiration, termination or rescinding of previous guidance on the issue.<sup>cxxxiv</sup>

There are two primary ways that personnel contribute to the development of guidance materials. The first is through the on-going process of documenting and submitting lessons and good practices through the Knowledge Sharing Toolbox (see below). The second is by contributing to development exercises that may be underway, in which case it would involve contacting the relevant staff member in charge of the exercise. The contact person’s information can be obtained through the Policy and Best Practices Service.

All DPKO-DFS guidance is approved by both the USG/DPKO and USG/DFS. Guidance documents are submitted to the Office of the USGs using the guidance approval and promulgation routing slip (see the 2014 SOP on Guidance Development for details). The

DPKO-DFS ASG or Director sponsoring the guidance document certify, in the guidance approval and promulgation routing slip, that due diligence has been applied throughout the drafting and consultation process. USG DPKO and/or USG DFS may decide not to approve any material he/she does not believe is of sufficient quality or has not met clearance requirements. At any time, USG DPKO and/or USG DFS may rescind or suspend a guidance document that he/she believes does not meet these requirements.<sup>CXXXV</sup>

High level policy beyond the authority of USG for DPKO/DFS must be approved with other UN departments or by superior policy sources such as the Secretary-General's Policy Committee or by referral to Member States. Once approved, guidance documents are signed by the USGs. Finalized materials are promulgated in the Policy and Best Practices Newsletter and are disseminated through the Peace Operations Policy and Practice Database. Drafting offices are responsible for dissemination of guidance materials beyond the Database.

DPKO/DFS guidance materials are subordinate to, and must comply with, higher UN Secretariat issuances such as Secretary-General's Bulletin (SGBs) or Administrative Instruction (AIs), as well as UN Rules and Regulations. DPKO/DFS materials are superior to Mission SOPs and other issuances within a mission. Subordinate mission-issued documents should be consistent with DPKO/DFS policies, SOPs or Manuals, where these exist. Guidance materials have a review date. Any major review to the substance of an existing document should follow the same procedure as guidance development.



The Policy and SOP on Guidance Development Materials explains the formal process for guidance development. There are specific templates which have been developed for the each of these guidance materials. These can be accessed at:  
[http://ppdb.un.org/Policy%20%20Guidance%20Database/2014.14%20Revised%20Policy%20on%20Guidance%20Development\\_signed.pdf](http://ppdb.un.org/Policy%20%20Guidance%20Database/2014.14%20Revised%20Policy%20on%20Guidance%20Development_signed.pdf)

### Best Practices Officers

Several missions have Best Practices Officers (BPOs) who provide support for the identification and documentation of practices and lessons learned in the field (UNOCI, UNAMA, UNAMID, UNIFIL, UNMIT and UNMIS). The BPO is a resource servicing all components of a peacekeeping mission. He/she has a dual role: (1) connecting missions with the Departments' Headquarters (vertically) as well as with other missions (horizontally), so that his/her mission can benefit from the institutional memory and collective experience contained in the official guidance and best practices developed system-wide; and (2) collecting lessons learned and good practices from her/his own mission for the reference of colleagues in the same mission or in other missions and to feed such information into policy development projects at Headquarters.

Experience has shown that the temporary, fast-paced nature of peacekeeping operations as well as the high turnover of staff is not conducive to having individuals and teams document their experience without the assistance of a dedicated staff member who can help to create an institutional memory of peacekeeping. The Best Practices Officer facilitates the learning process and ensures that good practices are documented and that the actionable recommendations are forwarded to the mission's leadership for review and action as well as to Headquarters for the reference of other missions and for the development of guidance

materials in the future.<sup>xxxvi</sup> In missions that don't have a BPO, Best Practices Focal Points provide support with the assistance of the PBPS team.

### 4.1.3 DPKO-DFS Knowledge Sharing Tools

#### The Knowledge Sharing Toolbox

The Best Practices Toolbox contains tools developed to capture issues, recommendations, good practices and lessons resulting from operations in field missions and at Headquarters. Toolbox reports include End of Assignment Reports, After Action Reviews, Handover Notes, Surveys of Practice and Lessons Learned Studies. The following table outlines the tools in the Toolbox.

**Knowledge Sharing Toolbox Reports**

<b>End of Assignment Report</b>	End of Assignment Reports are personal accounts by mission staff of lessons learned in the implementation of missions' mandates and on DPKO/DFS' institutional capacity to carryout mandated tasks.
<b>After Action Review</b>	An After Action Review is an analysis of an action, activity or project that allows a team to reflect on what happened, why it happened, what was learned, what follow-up action should be taken and how it can be done better in the future. Ideally, After Action Reviews should be a routine part of any action, activity or project with a view towards making recommendations for improving the efficiency and effectiveness of the organization in the future.
<b>Handover Note</b>	Handover Notes are created by staff members who are about to leave their positions, temporarily or permanently, to assist their successor to carry out their duties. Unlike End of Assignment Reports, Handover Notes are strictly factual and do not contain analysis, assessment or evaluation.
<b>Survey of Practice</b>	Surveys of Practice are snapshots of how peacekeeping practitioners carry out a certain function or activity. They are used to provide options, lessons and good practices to missions on issues that other missions have dealt with before but for which there is no official guidance.
<b>Lessons Learned Study</b>	A Lessons Learned Study is an in-depth study on a specific activity, theme or functional area, undertaken either by DPKO-DFS personnel or by outside experts.

Knowledge sharing materials reflect the personal views of, and are drafted by, field staff, often with the assistance of Best Practices Officers, to transmit their lessons and best practices to colleagues in their mission, other missions, as well as to provide field inputs to policy-makers at Headquarters. These reflections on what works well and what doesn't have not yet been validated and converted into official guidance, and thus do not carry any expectation of compliance. For this reason, they do not require clearance by senior management in missions or at Headquarters. As a complement to existing guidance, staff members are nevertheless encouraged to consult the best practices library to benefit from their colleagues' experience.

There are specific templates for documentation of lessons learned and good practices. Although the knowledge sharing templates are meant to be flexible, they are designed to ensure that reports are (a) structured in a way that facilitates the identification of lessons and good practices, and (b) conscious of information sensitivity by concentrating confidential observations in a separate section that can easily be removed before sharing.



The Knowledge Sharing templates can be accessed at:  
<http://point.un.org/SitePages/bptoolbox.aspx>.

### Policy and Practices Database

Created in 2006, the Policy and Practice Database (PPDB) is an online library of official Peacekeeping guidance, good practices and training documentation. The primary aim of the PPDB is to provide civilian, police and military peacekeepers with user-friendly access to guidance and good practices that are useful and often necessary to their work. Guidance includes approved DPKO, DFS and field mission policies, Standard Operating Procedures, guidelines and manuals. Good practices include a variety of templates and knowledge sharing products including: After Action Reviews, Lessons Learned Studies and End of Assignment Reports.

As an essential element for organizational learning and knowledge management, the PPDB is designed to capture and share good practices, lessons and guidance that peacekeepers can apply to improve the efficiency and effectiveness of peacekeeping activities. The PPDB includes over 3000 guidance and knowledge sharing documents in its easily searchable system.

The PPDB is managed by the Knowledge Management and Guidance Team. As noted earlier, the team is part of PBPS in DPET and is a shared DPKO-DFS service. The team provides knowledge management and guidance support services to both departments and to Peacekeeping field operations.

PBPS conducts a Review of Trends from knowledge sharing reports in support of the guidance development agenda. The Expanded Senior Management Team (E-SMT) frequently tasks offices to develop guidance based on the needs identified through the Review of Trends.

### What information will you find in the Policy & Practice Database?

Typical topics include policing, military planning, rule of law, disarmament, demobilization and reintegration, security sector reform, elections, transitions, integrated operations, field personnel, human resources, environment and sustainability, logistics, transport and information management. There are over 400 guidance documents from Headquarters as well as over 800 End of Assignment Reports and 250 After Action Reviews that capture vital lessons from your colleagues, both in the field and at Headquarters. The following are examples of the document types you will find in the PPDB.<sup>cxxxvii</sup>

**Guidance**

- Policies
- Guidelines/Manuals
- Standard Operating Procedures (SOPs)
- Mission-Developed Guidance
- Templates for drafting Policies, SOPs and Guidelines

**Knowledge Sharing**

- After Action Review (AAR)
- End of Assignment Report (EoAR)
- Lessons Learned
- Survey of Practice/Practice Notes
- Mission Projects & Tools
- Templates for drafting AARs & EoARs

**Additional Reference**

- Training Materials
- Strategic Peacekeeping Reports
- Planning Documents
- Progress Reports

**Policy and Best Practices Newsletter**

The newsletter’s purpose is to disseminate recent and relevant guidance and best practices materials to all peacekeeping staff. It is also a primary method of marketing the team’s information management services, such as the PPDB and POINT.

✉ Please contact [peacekeeping-bestpractices@un.org](mailto:peacekeeping-bestpractices@un.org) with questions or comments.

🖥 To access the PPDB, go to: <http://ppdb.un.org>  
 The PPDB can also be accessed from the POINT: <http://point.un.org>

*Policy and Practice Database  
Main Page*



**Communities of Practice**

The Knowledge Sharing Toolbox and the Intranet environment are complemented by Communities of Practice (CoP). The CoPs are online networks that bring together practitioners around their common area of expertise and are able to enhance collaboration regardless of geographical proximity. In CoPs members can ask each other questions, exchange information, build up a shared library of useful resources, contribute to policy development, and connect with counterparts in field missions and Headquarters. <sup>cxxxviii</sup>

There are over 40 DPKO-DFS online CoPs. The following list gives you a sense of the diversity of CoPs and topic areas.

Best Practices	Logistic Managers
Board of Inquiry	Organizational Resilience and Business Continuity
Civil Affairs	Peacekeeping Training
Child Protection	Peacekeeping HIV/AIDS
Conduct and Discipline	Property Management
Committee on Contracts	Public Information
Disarmament Demobilisation and Reintegration	Rations Unit
Environmental Management	Records Management
Field Procurement and Procurement	Rule of Law
Fuel Management	Security Sector Reform
Gender	Travel
Geographic Information Services	Field Office of Legal Affairs
Information Communication and Technology	Field Contracts Management
Integrated Mission Planning	



For a list of the current CoPs, along with descriptions and emails for more information, please go to: <https://extcop.unlb.org/layouts/CoPBranding/ContactUs.html>



If you are considering initiating a new CoP and need advice, please write to [peacekeeping-bestpractices@un.org](mailto:peacekeeping-bestpractices@un.org)



In addition to the DPKO-DFS CoPs, there are also inter-agency working groups and task forces, as discussed in Module 3.

#### 4.1.4 Other Knowledge Sharing and Briefing Opportunities

##### Town Hall Meetings

Town Hall meetings are an internal DPKO-DFS forum chaired by the DPKO-DFS USGs. The meetings typically begin with a brief from the Situation Centre on the latest developments in peacekeeping missions, followed by updates from the USGs on issues of concern in missions, future plans and other topics of current relevance. Attendance of DPKO-DFS staff is strongly encouraged. The Town Hall Meetings are generally held each month and are organized by Public Affairs Section in coordination with the offices of the USGs.



For more information on DPKO-DFS Town Hall meetings, contact Kate Brandli, [brandli@un.org](mailto:brandli@un.org)

##### Brown Bag Lunches

A Brown Bag Lunch is an information session or training that takes place during the lunch break, with people bringing their own lunches. These events happen at various times and are organized by different programmes and offices. They may be on relevant current events and/or about issues of cross-cutting concern. The Policy and Best Practices Service, for instance, hosts and facilitates regular “Voices from the Field” during lunch hours where senior mission managers can share their experience with staff at Headquarters. Other sections host lunches on an ad hoc basis. For example, the Senior Leadership Appointments Section (SLAS) organized a brown bag lunch with Field Personnel Division on senior

leadership appointments in the field. Another example is the brown bag lunch discussion on the communications landscape and challenges in South Sudan, an event convened by the Public Affairs Section.

### Conferences

Another opportunity for knowledge exchange is through conferences relevant to different sectors in DPKO-DFS. Examples include the Annual Conference of the International Association of Peacekeeping Training Centres and the Biannual Heads of Public Information Component Meeting.

## 4.2 INFORMATION FLOW AND ACCESS

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How information flows between field offices and Headquarters, between offices within DPKO and DFS and between the Departments within the Secretariat is a concern for all staff. The Secretary-General provides key guidance on the topic, there is guidance specific to peacekeeping and there may also be regular practices within each office established by the head of that office.

The three core concepts to understand are: (1) information classification, (2) access and sharing, and (3) retention. The following rules help you to understand what documents and data to protect, who to share information with, and when you can destroy documents and data with confidence.

### 4.2.1 Information Classification and Sensitivity

Records and information are vital UN assets and sound procedures for information sensitivity and security are important prerequisites for the proper management of the Organization's records.

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#### Definitions:

**Classification** refers to the act or process of determining the sensitivity (or non-sensitivity) of information; classification does not equate to sensitivity.

**Information sensitivity** relates to the level of confidentiality of the information within the UN. The appropriate handling of sensitive information is critical to the success of the Organization and its operations throughout the world.

- DPKO Information Sensitivity Toolkit

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The Secretary-General's 2007 Bulletin on information sensitivity, classification and handling notes that *"the overall approach to classifying information entrusted to or originating from the United Nations is based on the understanding that **the work of the United Nations should be open and transparent, except insofar as the nature of information concerned is deemed confidential**"*. The Bulletin goes on to articulate three levels of classification for all documents and data and outlines primary roles and responsibilities. The 2010 Information Sensitivity Toolkit jointly produced by the DPKO Peacekeeping Information Management Unit and the Archives and Records Management Section in the Department of Management, provides further direction and clarity on identifying and handling information at the UN.



This section provides an introduction to information classification and sensitivity, however, it is important to take time to fully acquaint yourself with the UN protocols in the Toolkit: [https://archives.un.org/sites/archives.un.org/files/files/Information\\_sensitivity/Information%20Sensitivity%20Toolkit\\_2010.pdf](https://archives.un.org/sites/archives.un.org/files/files/Information_sensitivity/Information%20Sensitivity%20Toolkit_2010.pdf) The Secretary-General’s 2007 Bulletin on information sensitivity, classification and handling can be found at: [https://archives.un.org/sites/archives.un.org/files/ST\\_SGB\\_2007\\_6\\_eng.pdf](https://archives.un.org/sites/archives.un.org/files/ST_SGB_2007_6_eng.pdf)

### Classifications

The three official UN security classifications are Strictly Confidential, Confidential and Classified. Since the overall approach to classifying information within the UN is that work should be open and transparent, staff are urged not to consider documents or data as sensitive by default. Information should only be classified as Strictly Confidential, Confidential where its disclosure, or leakage, would place another human in harm’s way, be detrimental to the proper functioning of the United Nations, endanger the welfare and safety of its staff or third parties, or violate legal obligations.<sup>cxxxix</sup> The definitions of the UN security classifications are as follows:

**United Nations Security Classifications: At a Glance<sup>cxl</sup>**

Security Classification	Definition	Examples	Declassification
<b>STRICTLY CONFIDENTIAL</b>	The designation that shall apply to information or material whose unauthorized disclosure could reasonably be expected to cause EXCEPTIONALLY GRAVE DAMAGE to or IMPEDE CONDUCT OF WORK at the UN.	<ul style="list-style-type: none"> <li>Secretary-General’s travel records</li> <li>Conduct and discipline report containing personally identifiable details</li> </ul>	<ul style="list-style-type: none"> <li>As determined by originator</li> <li>Never automatically declassified</li> </ul>
<b>CONFIDENTIAL</b>	The designation that shall apply to information or material whose unauthorized disclosure could reasonably be expected to cause DAMAGE TO THE WORK of the UN.	<ul style="list-style-type: none"> <li>Record relating to a contractor or vendor</li> <li>Minutes of a meeting related to a political matter</li> </ul>	<ul style="list-style-type: none"> <li>As determined by originator</li> <li>Automatic at 20 years</li> </ul>
<b>UNCLASSIFIED</b>	The designation that shall apply to information or material whose unauthorized disclosure could reasonably be expected NOT TO CAUSE DAMAGE to the work of the UN.	<ul style="list-style-type: none"> <li>Records relating to upcoming conference</li> <li>Results-Based Budgets</li> </ul>	<ul style="list-style-type: none"> <li>As determined by originator</li> <li>Automatic at 20 years</li> </ul>
<b>PUBLIC*</b>	Information produced expressly for public consumption or that has undergone a declassification process and is now available for public use.	<ul style="list-style-type: none"> <li>Security Council Resolutions</li> <li>SRSR press statements</li> </ul>	<ul style="list-style-type: none"> <li>No required</li> <li>Already declassified</li> </ul>

\* Not an official UN Security Classification

The following checklist provides a list to ask yourself when you're considering the sensitivity of a given piece of material.

#### Classification Checklist

- Is the record already classified by a United Nations office? If so, does it appear to be classified correctly?
- Was it classified by an external source? If so, what is the equivalent United Nations security classification?
- Is it public information (information already in the public domain or which has undergone declassification)?
- Would unauthorized disclosure be expected to cause damage to the United Nations, its Member States or individuals?
- Would unauthorized disclosure be expected to cause exceptionally grave damage to the United Nations, its Member States or individuals, or to impede the work of the United Nations?
- Could unauthorized disclosure in 20 years still potentially cause damage?
- Have you physically or electronically marked the record correctly?

#### 4.2.2 Access & Distribution of Information

Who can see what? To help answer that question, a second key concept in information management is access and distribution.

UN staff are guided to use three principles in determining access:

- the need to know
- the need to share
- the right to know

Most sensitive information should be shared on a need to know basis, for example only providing access to human rights cases, or justice matters, strictly to those who must obtain the materials in order to perform their jobs. As was mentioned before, we are also urged to not automatically classify information as sensitive, and should consider our work in a larger context.

As a secondary consideration, we should also evaluate who can benefit in their jobs by sharing information. For example, if training materials can benefit a new staff member by allowing her/him growth opportunities, the materials may be shared. This guidance is stipulated in [ST/SGB/2007/6](#) and is more fully explained in the [UN Information Sensitivity Toolkit](#) (see Chapter 9 of the Toolkit, entitled "Access to Active Records").

-  Briefings and training are available through the Peacekeeping Information Management Unit (PK IMU) for staff who handle high volumes of sensitive information. For more information contact on briefings and trainings email: [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

## Retention

The final key concept in information management is retention, which refers to how long you must retain records in your offices.

Many documents have limited value to the Organization and can be destroyed after their operational purpose has expired, or our legal obligations have been met. Staff files, for example, must be retained for 30 years after the last end of contract, while many political records are retained forever for the public trust. DPKO-DFS have a Peacekeeping Headquarters Retention Schedule (PHRS), and field operations have a Peacekeeping and Political Operations Retention Schedule (PORS), both available on the Policy and Practice Database. These guidelines allow all offices to review their documents and retain what is necessary, transfer materials to the UN Archives, or to destroy documents in situ. The guidance is meant to be used by trained focal points in all offices.

✉ To obtain training or inquire on the use of the guidance, contact the PK IMU at [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

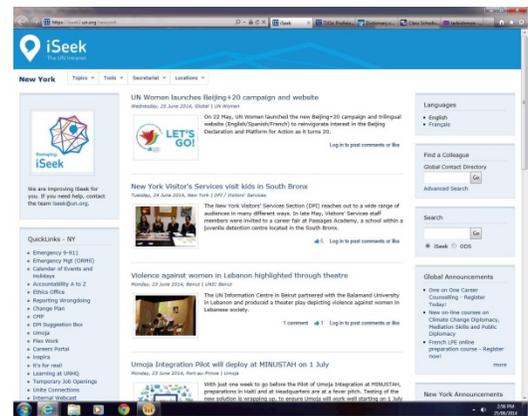
💻 For more information on policies, standards and guidelines related to DPKO-DFS information management and digitization, go to: [http://point.un.org/SitePages/Digitisation\\_Training.aspx](http://point.un.org/SitePages/Digitisation_Training.aspx)

### 4.2.3 Tools to Share Internal Unclassified Information

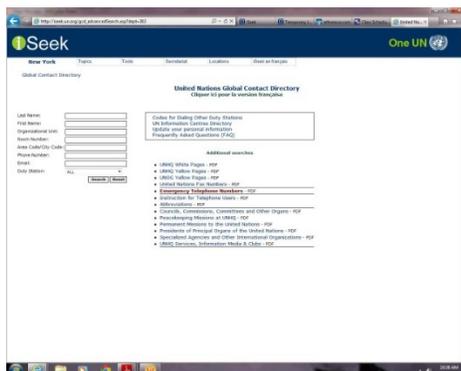
#### iSeek

iSeek was developed to support the UN Secretariat global knowledge sharing and internal communications strategy. It has a blend of internal and externally available information. Internally, the focus is on creating compelling content, stories of interest to everyone, regardless of their duty station. Examples of topic areas include, reform, management, staff issues, policy information, and new technologies.

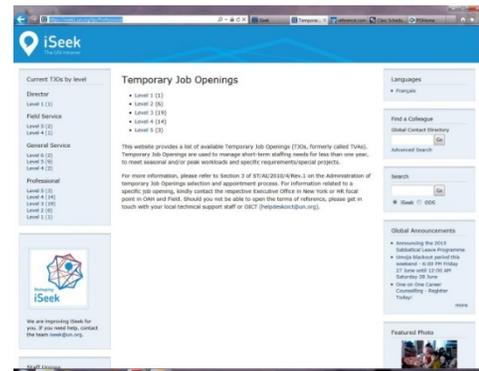
iSeek also provides a UN-wide global directory of contacts and listing of temporary job openings.



iSeek Main Page



iSeek UN Global Directory



iSeek Temporary Job Opening Listing



For details on iSeek go to: <https://iseek2.un.org/content/about-iseek-and-official-guidelines>

## POINT

The Peace Operations Intranet (POINT) is the DPKO/DFS intranet and is managed by the PK IMU. The POINT intranet provides online access for UN peacekeeping personnel to the Organizational Chart, office descriptions, peacekeeping news and resources, including the Policy and Practice Database, Careers portal and other relevant topics. A separate but connected site has been established for every mission and for DPKO-DFS at Headquarters.

The Peacekeeping Information Management Unit is responsible for the management of the POINT programme globally, with focal points in all duty stations and offices to update content. The KM Guidance team in DPET is responsible for various intranet pages on Guidance (Policies) and Best Practices.



To access the POINT, go to: <https://point.un.org/UNHQ/SitePages/POHome.aspx>. This link is only accessible to UN peacekeeping personnel within the UN network.



*POINT Home Page*



*POINT Maps & Geographic Information*



To access the DPKO-DFS Integrated Organizational Chart go to: <http://point.un.org/SitePages/dpkodfsoffices.aspx> and click on “Extended Org Chart”



To contact the Peacekeeping Information Management Unit with POINT related questions, email: [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

## 4.2.4 Tools to Share Operational Information

### Code Cable Repository

The Peacekeeping Code Cable Repository (CCR) is a secure web-based database of peacekeeping code cables, covering all code cables from 1 January 2009 until the present. New cables are added into CCR on daily basis. Access is provided to users strictly on a need-to-know basis as authorized by the Chief of Staff, DPKO/DFS.<sup>cxli</sup>



For more information on the Code Cable Repository, contact [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

 Registered users can access the Code Cable Repository via the following link: <https://pkcm.un.org/centralfiles>. This link is only accessible to computers on the UN network.

### Operations Reports Repository

The Operations Reports Repository (ORR) is a secure-web based tool for registration, approval, authorized access and storage of the daily and weekly Situation Reports (SitRep) for DPKO and DPA missions. Access for field staff is managed via mission focal points.

 In Headquarters, IOT Team leads or Section Chiefs at the P-5 level (or above) can request access via the system owner, the PK IMU in the Office of the Chief of Staff (OCoS), by contacting [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org).

### Strategic Management System

The Strategic Management System (SMS) is a DPKO-DFS business intelligence initiative managed by the PK IMU on behalf the Chief of Staff. The SMS initiative was established in 2009 to facilitate access to authorized data in order to support decision making, communication, planning, and analysis based on a commonly understood operational picture of field operation. The website offers statistics by missions and is validated by DPKO or DFS. The Data is displayed through graphs, charts, maps on the website.

 In addition, specialized data visualization services in the form of Fact Sheets are available to IOTs on demand by contacting [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org).

 To access SMS, go to: <http://reporting.dfs.un.org/sms/> This link is only accessible to UN peacekeeping personnel P-5 level and above and those authorized by their offices.



SMS Home Page



Example of SMS page



SMS Fact Sheet



The e-Research Package offerings are free for peacekeeping staff. Subscriptions to the databases in the package are consolidated for missions and Headquarters use.



To access e-Package, go to: <http://point.un.org/SitePages/eresearchpackage.aspx>



For more information, contact: [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

### Dag Hammarskjöld Library Tools

The Dag Hammarskjöld Library is located at the UN Headquarters in New York, connected to the Secretariat and conference buildings. Named after the second Secretary-General of the UN, it is the main depository for UN documents, publications and book for the use of UN delegates and staff. The Library also maintains a selected collection of materials of the specialized agencies and UN affiliated bodies.

Among other online resources, the Library provides electronic access to a wide array of UN documents, reference databases, maps, an oral history collection, and an index of proceedings of the General Assembly, the Economic and Social Council and the Security Council. The online environment includes the UN Research Guides, an extensive, searchable online research library, and the UN Depository Library System which includes over 365 depository libraries around the world maintaining UN materials.

Functions such as “Frequently Asked Questions” and “Ask Dag”, along with the provision of training, coaching and tutorials make this valuable resource very accessible to users. The following diagramme illustrate the extent of the material available.

The screenshot shows the main page of the Dag Hammarskjöld Library. At the top, there is a navigation bar with the United Nations logo and the library name. Below this, there is a search bar with a dropdown menu for 'UN Documents', 'Books articles and more', and 'Answers'. A search input field is labeled 'Search for UN documents & publications:'. To the left, there is a sidebar with 'Library Research Tools' including 'Library catalog (UNBISnet)', 'DAG Discovery', 'UNH-QUE', 'Research Guides', 'Electronic Resources', 'UN Resources', 'Index to Proceedings', and 'UN Member States on the Record'. Below the sidebar, there are sections for 'About the Library' (Contact & Hours, Depository Libraries, New Books, Training & Tutorials, Ask DAG (FAQ)) and 'Learn more' (Cartographic Information, Universal Declaration on Human Rights, Hamibia and the Security Council, Dag Hammarskjöld, UN Anniversaries, Oral History). The main content area includes a 'Training calendar' for June 2014, showing dates from 1 to 30, and a list of 'Upcoming Events' such as 'OFFICIAL HOLIDAY "INDEPENDENCE DAY"', 'OFFICIAL HOLIDAY "EID AL FITR"', 'OFFICIAL HOLIDAY "LABOUR DAY"', and 'OFFICIAL HOLIDAY "EID AL ADHA (Observed)'. On the right, there is a 'Tweets' section with two tweets from @UNLibrary, one about displaced people and another about electronic resources.

*The main page of the Dag Hammarskjöld Library*



*Dag Hammarskjöld Library UN Research Guides page*



To learn more about the Dag Hammarskjöld Library and access its resources, go to: <http://www.un.org/depts/dhl/>

The Library also has an active Facebook page with regular postings of current and historical facts, photos, useful resources, events and initiatives. Information queries are responded to, via “Ask Dag”, and posted on the site: <https://www.facebook.com/UnitedNationsLibrary/info>

### Archives and Records Management Section

UN Archives and Records Management Section (ARMS) identifies, preserves and provides access to those records that document the history of the United Nations. ARMS is responsible for policy and programmatic planning for UN recordkeeping, ranging from measures to ensure that UN officials create records in the course of their duties, through the management of records in UN offices, to preserving and making records of continuing value accessible as United Nations archives.

Management of UN records by Secretariat Offices is governed by *ST/SGB/2007/5 Record-keeping and the management of United Nations archives*.

Materials from ARMS, once declassified, are available to the public for research, teaching, legal proceedings, publication, television and radio programmes, and for general interest.<sup>cxlii</sup>



For more information about ARMS and to access records, go to: <https://archives.un.org/content/united-nations-archives-and-records-management-section>

For more information on policies, standards and guidelines related to records management, go to: <https://archives.un.org/content/our-policies-standards-and-guidelines>

For information on archives and management, go to: <https://archives.un.org/>

### **Official Documents of the United Nations**

The Official Documents of the United Nations (ODS) site covers all types of official UN documentation, beginning in 1993. Older UN documents continue to be added to the system on a daily basis. ODS also provides access to the resolutions of the General Assembly, Security Council, Economic and Social Council and the Trusteeship Council from 1946 onwards.



To conduct a search on ODS, go to: <http://documents.un.org/>

## 4.3 COMMUNICATIONS

### 4.3.1 Correspondence

The United Nations Correspondence Manual notes that in order “to contribute effectively to the conduct of the business of the United Nations, the correspondence of the Organization must be concise, clear and accurate in content, direct and dignified in style, correct in form and attractive in appearance.” The manual provides information and guidance on the drafting, processing and dispatching of various types of UN correspondence as well as the format of such correspondence.



The Correspondence Manual can be downloaded at:  
<http://archive.unu.edu/hq/library/resource/UN-correspondence-manual.pdf>

Individual offices may also have specific requirements for communication formats and handling, therefore, it is best to check with supervisors and colleagues on conventions.



The Learning and Development programme at the Office of Human Resources Management also offers specific courses on writing, including writing for the internet. For more information on these courses go to:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=home.asp>



The Department of Public Information has prepared Social Media Guidelines for DPI staff responsible for posting content on social media platforms. This guide makes excellent points, however, DPKO-DFS staff should check their respective offices for specific direction.  
[http://www.un.org/en/webguidelines/pdf/DPI\\_SocialMedia\\_Guide.pdf](http://www.un.org/en/webguidelines/pdf/DPI_SocialMedia_Guide.pdf)

### 4.3.2 Public Communications

For the UN to function successfully, it must have the support of the public. This necessitates UN personnel being well informed, not only on their own part of the organization, but on the United Nations as a whole. Opportunities to provide information to the public can arise anytime.

It is important for UN personnel to use tact and restraint in their discussions and responses about the UN, promoting a positive image of the Organization. The Standards of Conduct for International Civil Service, states that “international civil servants should regard themselves as speaking in the name of their organizations and avoid personal references and views; in no circumstances should they use the media to further their own interests, to air their own grievances, to reveal unauthorized information or to attempt to influence policy decisions facing their organizations. International civil servants are responsible for exercising discretion in all matters of official business. They must not divulge confidential information without authorization. Nor should international civil servants use information that has not been made public and is known to them by virtue of their official position to private advantage. These are obligations that do not cease upon separation from service.”<sup>cxliii</sup>

As a UN staff member, you are representing the Organization in every interaction with the public. The Department of Public Information and the Public Information sections of

individual programmes and offices are able to provide specific guidance on communications with the public.

### Department of Public Information Support and Resources

The Department of Public Information (DPI) plays a lead role in communicating with the public about the work of the UN. It also supports the UN offices in their public information efforts and is active on various task forces and working groups, including providing guidelines for working with the media.

DPI uses various communication tools, including radio, television, print, the Internet, videoconferencing and other new information technologies to communicate the ideas and work of the UN to the world.

The UN publishes approximately 500 new titles a year on a variety of topics from human rights, to the global economy, to international law, and more. UN publications are available in print through a secure ordering system, at the United Nations Bookshop in New York, and through a network of 90+ distributors and agents. They are also available as e-books through major content aggregators, on most popular mobile e-book readers and as smart phone "apps". The UN Publications team also negotiates license agreements with other publishers for translation or reproduction of United Nations content, and with e-book providers.<sup>cxliv</sup>



A series of flagship publications developed by the Department aim to meet the needs of diverse audiences, from those who seek basic facts about the Organization to the readers interested in in-depth or specialized information.

- Basic Facts about the United Nations – a periodically updated book outlining the UN's history, structure, work and purposes.
- Africa Renewal – a magazine focusing on key developments and issues related to the continent.
- The UN Chronicle – a magazine featuring in-depth coverage of a wide array of UN topics and activities.
- The Yearbook of the United Nations – an annual reference work providing a comprehensive and detailed look at a year in the life of the Organization.



The following are examples of information sites supported by DPI:

- United Nations Website: <http://www.un.org/>
- United Nations News Centre: <http://www.un.org/News/>
- United Nations Radio: <http://www.unmultimedia.org/radio/english/>
- United Nations Publications: <https://unp.un.org/>



For more information on the work of DPI and its resources, go to: <http://www.un.org/en/hq/dpi/index.shtml>

An organigramme with links to different sections of DPI is available at: <http://www.un.org/en/hq/dpi/organigram.shtml>

DPI also maintains an active Facebook page for the UN: <https://www.facebook.com/unitednations>



DPI Main Page



United Nations Facebook Page

### 4.3.3 Media Guidelines for UN Officials

The following guidelines on working with the media were developed by the UN Department of Public Information:

#### Policy

It is the UN policy to be open and transparent in its dealings with the press. It is in our interest to work with the media quickly and honestly, and to develop a coherent communications strategy based on those same principles. We should not only react to events but, where appropriate, project the Organization's point of view on important international developments. However, we must sometimes keep confidences--not to mislead or conceal, but to protect a diplomatic process. Our media policy must, therefore, balance the need to be open and the need to respect confidentiality.

#### Speaking to the Press

The principal voice of the Organization is the Secretary-General. He speaks to the media frequently, at Headquarters and when travelling.

Media policy is an integral component of the broader communications and public information work of the Organization, headed by the Under-Secretary-General for Communications and Public Information. The Director of Communications in the Office of the Secretary-General is responsible for coordinating a communications strategy that helps project to the world's media a coherent and consistent message for the Organization.

The Secretary-General's Spokesman and his staff speak to journalists on the Secretary-General's behalf throughout the day. The Spokesman gets his guidance directly from the Secretary-General and senior members of his staff. As the Spokesman's staff cannot be expert in all subjects, they seek the assistance of UN specialists--either to provide them with information that they can pass on to the press or to speak directly to the journalists themselves.

As a matter of principle, every member of the Secretariat may speak to the press, within limits:

- speak only with your area of competence and responsibility;
- provide facts, not opinions or comment;
- leave sensitive issues to officials who are specifically authorized to speak on them (see below)

### Sensitive issues

The number of officials speaking on sensitive issues is necessarily limited to:

- the Spokesman, on the basis of guidance;
- designated members of the Secretary-General's staff and Heads of Department, within their areas of competence;
- staff authorized by their Heads of Department, on the basis of guidance; and
- Directors of UNICs, on the basis of guidance from Headquarters.

For those speaking on sensitive issues, knowing the journalist's particular interest in a story can be useful. Such information can usually be provided by the Director of Communications or the Spokesman.

No staff member should presume or pretend to speak for the Secretary-General or characterize his views without his explicit consent.

### Communications

For the UN to communicate effectively with the outside world, it needs to do the same internally. Senior officials should share information with those under their supervision and should keep each other informed of their media activities. Within DPKO-DFS, the Public Affairs Section coordinates media relations.

### Ground rules

All UN officials should normally speak to journalists on the record--that is, for attribution. Sometimes, though, officials specifically authorized to address sensitive issues can give a journalist a deeper understanding of an issue by speaking on background. However, it is very important that the journalist know on which of the following bases the conversation is being conducted:

**On the record:** *"Everything I say can be attributed to me by name."*

**Not for attribution (on background):** *"Don't attribute this to me by name, but rather to a UN official."*

**On deep background:** *"Use my ideas but not my words; don't attribute to anyone."*

Keeping the Secretary-General's Spokesman informed of important background briefings will help provide an indication of the issues that the media is interested in.

It is unwise, and may sometimes be unethical, to tell one journalist what another is working on, or to suggest that one journalist discuss a pending story with another.

Officials should not feel that they have to answer every question, in particular any hypothetical ones. <sup>cxlv</sup>

### Additional Points Related to Communications with the Media

If you are in a position where you will be speaking with the media, make use of the UN resources, such as DPI, in your preparations. Here are some points to consider.

#### Preparation for media interviews

In order to be strategic in communications, it is important to be as prepared as possible when communicating with the media.

- Begin with the end in mind – what is your goal for the communication (e.g. to inform, to persuade, to actuate).
- Consider all the potentially difficult questions that may be asked and prepare responses that reinforce your key messages. Brainstorm with someone, “what if..” different questions were asked.
- Research your topic – be as certain as possible of the relevant facts and figures and any other aspects of the story (e.g. human dimensions).
- Simplify – work on your presentation/interview to refine it to a few key points (think in terms of what might be quoted). Use short words and simple sentences.
- Use index cards, mind maps or bulleted text with large fonts to ensure you can easily follow your notes.
- Practice what you are going to say and, if possible, have someone ask you some of the questions that may come up.
- Confirm the location and time of the interview or meeting.

#### During the Interview

- Avoid casual remarks that could be taken out of context and misconstrued.
- If you can’t answer a question, avoid saying ‘no comment’. If you can, provide a legitimate reason for not answering the question. When possible, bridge to a point that you do want to make.
- Avoid jargon and acronyms – don’t put people in the situation where they have to decipher what you are saying and thereby lose their attention.
- Pause before answering – give yourself time to consider the question and the implications of your response.
- Indicate the key points you want to emphasize by using phrases like, “the key point is...”, “what’s important to remember is...”, etc.
- Stay on message. If the discussion strays, come back to the key points you want to make.
- Be descriptive – use word pictures that create visuals as a way of illustrating what you are saying.
- Stay professional, avoid blame and personalizing.

- Ensure the interview is officially over. Avoid off-the-cuff remarks until the interviewer has actually departed.

### One UN

As far as the general public and the media go, the UN is one UN. To the vast majority, there is not a distinction between DPKO-DFS, UNDP, UNICEF, etc. – they see “the UN”. Despite the fact that it may be challenging to coordinate messages across the agencies, funds and programmes, it is critical to have a communications plan with agreed upon key messages. Adjustments can be made, as necessary, for different audiences.

- ✉ For information and support in working with the media, contact the UN Department of Public Information.

## 4.4 PEACEKEEPING TRAINING

In General Assembly resolution A/RES/49/37 (1995), Member States recognized their responsibility for the training of uniformed personnel for UN peacekeeping operations and requested the Secretary-General to develop training materials and establish a range of measures to assist Member States in this regard. With the creation of new and more complex missions over time, training requirements for both uniformed and civilian peacekeeping personnel have grown. With the restructuring of DPKO and establishment of DFS in 2007, the Integrated Training Service (ITS) in DPET was created as the responsibility centre for peacekeeping training.<sup>cxlvi</sup>

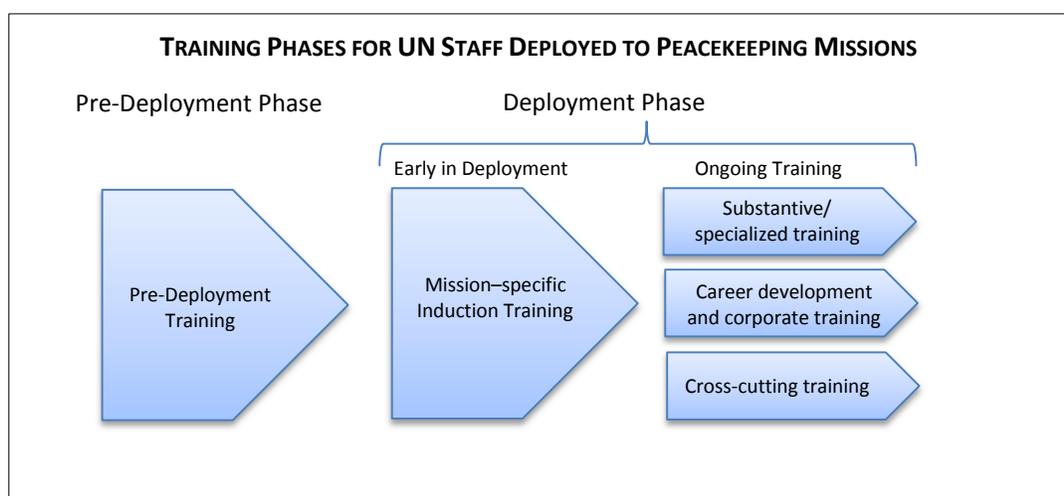
### **Definition:**

**Peacekeeping training** is defined as any training activity which aims to enhance mandate implementation by equipping UN military, police or civilian personnel, both individually and collectively, with the knowledge, skills and attitudes to enable them to: a) meet the evolving challenges of peacekeeping operations in accordance with DPKO/DFS principles, policies and guidelines, as well as lessons learnt from the field; b) perform their specialist functions in an effective, professional and integrated manner and; c) demonstrate the core values and competencies of the UN.

- DPKO-DFS Policy on Training for all United Nations Peacekeeping Personnel (2010)

The nature of UN peacekeeping is continuously evolving as peacekeeping operations are mandated to perform an ever-growing range of activities. Given the dynamic nature of peacekeeping and the unique challenges that peacekeeping personnel face on an everyday basis, there is a need to ensure that they are adequately equipped with the knowledge, skills, and attitudes required to perform their duties. Peacekeeping training is a strategic investment that enables UN military, police and civilian staff to effectively implement increasingly multifaceted mandates.<sup>cxlvii</sup>

There are three main opportunities for the delivery of peacekeeping training during the pre-deployment and deployment phases of peacekeeping personnel, as shown in the graphic below:



With the exception of pre-deployment training, the training opportunities are similar for staff based in Headquarters in their “deployment phase” (i.e. during their time working at Headquarters).

ITS has been developing and implementing a global training strategy since early 2000. To support Member States and the national and regional peacekeeping training centres, ITS has several programmes in place, including training of trainers’ courses, mobile training teams and training recognition. It also provides technical guidance and assistance to Integrated Mission Training Centres (IMTCs) of all DPKO-led missions on issues related to strategic planning, budgeting, implementation, evaluation, reporting and advocacy of peacekeeping training.

The 2010 Policy on Training for all United Nations Peacekeeping Personnel set by DPKO-DFS, determines that ITS has the responsibility to conduct periodic training needs assessments (TNAs), to identify what priority training is required to implement Security Council mandates. A key area of focus in the DPKO-DFS 2012-2013 Global Peacekeeping Training Needs Assessment was the link between training and mandate implementation. Security Council mandates are becoming more complex and the list of tasks assigned to peacekeepers longer. This reality, coupled with shrinking budgets and the pressure to “do better with less” necessitates a shift in organizational priorities to see training as a strategic investment.<sup>cxlvi</sup>

The TNA notes that if training is used to strategically target performance gaps, it will increase the productivity of staff and enhance mandate implementation. Among other recommendations, the TNA emphasizes the importance of developing a culture of learning “where training is viewed as a strategic investment rather than a budgeted cost. Peacekeeping training should be viewed as a means to an end – improved performance and a resource for mandate implementation – not an end in itself”.<sup>cxli</sup>

#### 4.4.1 Actors and Stages of PK Training

Based on the DPKO-DFS Policy on Training and extensive consultations and assessment, the principal focus of ITS is pre-deployment training and its links to in-mission training (induction and ongoing training). Leadership and specialist training, including for non-uniformed personnel, are also areas of focus, along with the strengthening of senior management training.

The planning, delivery and evaluation of United Nations peacekeeping training entails partnerships between a variety of peacekeeping training actors within and outside of the United Nations. ITS plays a strategic, coordinating role among peacekeeping training actors. To ensure that training has a maximum impact on mandate implementation ITS requires the collaboration and support of DPKO/DFS offices, field operations, the Office of Human Resource Management, training and learning sections of other relevant Secretariat departments, Member States, peacekeeping managers and staff.

The development and delivery of pre-deployment training (PDT) of uniformed personnel is widely dispersed among different entities (national, regional, government and non-governmental), which may serve similar or overlapping clients. These institutions operate under a variety of mandates, draw on a variety of funding sources and reflect a variety of

partnerships. The institutions all make valuable contributions to peacekeeping training and also represent a wide and essential source of expertise and training capacity.

One of the recommendations in the 2012-13 Training Needs Assessment is the enhancement the integration of efforts amongst all actors involved in peacekeeping training. This includes reaffirming the strategic role of ITS in the oversight and management of peacekeeping training and the central role of Integrated Mission Training Centres (IMTCs) in training at the mission level. It also calls for a high level review of the global peacekeeping training architecture with participation from key TCCs, PCCs and Member States.

Training Focal Points (TFPs), in the field and Headquarters, are responsible for the identification and implementation of job-specific and technical training activities in their particular area. In collaboration with their section chiefs, they are responsible for identifying and compiling substantive and specific training needs for mandate implementation. The IMTCs compile and submit the plans in a Strategic Mission Training Plan and Budget. Headquarters-based TFPs submit their training plans to ITS. The TFP Network at Headquarters is a forum for sharing information and collaborating with ITS in the planning and implementation of peacekeeping training.

To learn more about the specific roles and responsibilities of different actors in UN peacekeeping training, please refer to the DPKO-DFS Policy on Training.

The table below provides more information about each of the training phases, including who the actors are in each training opportunity. These are further described on the following pages.

#### TRAINING PHASES IN MISSION AND AT HEADQUARTERS

Opportunity	Description	Delivered By
<b>Pre-Deployment Training (PDT)</b>	<ul style="list-style-type: none"> <li>▪ Takes place prior to deployment to a peacekeeping operation</li> <li>▪ Is based on UN peacekeeping training standards</li> <li>▪ Gives an overview of the UN and core peacekeeping knowledge. Content is outlined in the Core Pre-Deployment Training Materials (CPTMs; available at the Peacekeeping Resource Hub)</li> <li>▪ May include specialized training related to specific function or employment category in peacekeeping operations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Is delivered by Member States to military and police personnel in their home country</li> <li>▪ Is delivered by ITS to internationally recruited civilian personnel at the Global Service Centre in Italy, prior to their deployment</li> </ul>
<b>Mission Induction training</b>	<ul style="list-style-type: none"> <li>▪ Mission- and host country-specific training</li> <li>▪ Targets all new peacekeeping staff - military, police and civilians - upon arrival in the mission area</li> <li>▪ Complements pre-deployment training and other information packages sent prior to deployment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Coordinated by Integrated Mission Training Centres (IMTCs) or Training Officers where there is no integrated training structure</li> </ul>
<b>Headquarters Orientation/ Induction Training</b>	<ul style="list-style-type: none"> <li>▪ DPKO-DFS specific orientation for staff joining departments at Headquarters</li> </ul>	<ul style="list-style-type: none"> <li>▪ DPKO-DFS offices provide their own orientations</li> <li>▪ DPKO-DFS e-Guide</li> <li>▪ ITS E-Learning Programme</li> </ul>

<b>Ongoing training</b>	<ul style="list-style-type: none"> <li>▪ Any learning activity for military, police or civilians, undertaken during their duty assignment, subsequent to induction training or Headquarters orientation</li> <li>▪ Includes substantive/specialised training, career development training, and cross-cutting training</li> </ul>	<ul style="list-style-type: none"> <li>▪ Various components in mission, depending on topic (e.g. Gender, Safety &amp; Security, etc.) and IMTCs</li> <li>▪ Various offices in Headquarters depending on topic</li> </ul>
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## Pre-Deployment Training

### Pre-Deployment Training for Civilian Personnel (UNLB, Brindisi)

The Integrated Training Service of DPET, DPKO-DFS is responsible for delivering UN PDT to eligible civilian personnel selected for service in UN peacekeeping operations. This is delivered through the Civilian Pre-Deployment Training (CPT) Course. The CPT Course is one of the primary tools used by DPKO-DFS to improve preparedness, effectiveness and productivity of civilian peacekeepers. It helps generate competent, institutionally knowledgeable, and ethically aware civilian peacekeepers capable of serving in dangerous and complex peacekeeping environments. This is a general course and does not address the specific mandate and circumstances of each field mission.

ITS has a dedicated team that delivers these courses. The team continuously consults with other DPKO-DFS offices, IMTCs and Mission Training Focal Points as well as course graduates. A mix of general trainers, subject matter experts, and experienced peacekeepers deliver the content in an adult-learning environment. The course management utilizes the extensive knowledge and skills of course attendees as well as peacekeeping experts available in the location where the training courses are conducted.

Note: Only those civilians that are new to UN peacekeeping or have not been employed in a UN peacekeeping operation in the past three years are required to attend the CPT.

### Pre-Deployment Training for Uniformed Personnel (Member States)

DPKO-DFS supports the provision of peacekeeping PDT conducted by Member States and associated Peacekeeping Training Institutions (PKTIs) with a range of measures including: establishing UN peacekeeping PDT standards, training materials and learning tools, providing assistance with the development of PDT plans and curricula, providing training-of-trainers support, facilitating UN peacekeeping information, knowledge sharing and bilateral partnerships between PKTIs, and providing training recognition for eligible military and police peacekeeping PDT courses.

The manner in which these measures are implemented is described in detail on the UN Peacekeeping Resource Hub website and in supporting Standard Operating Procedures.

As noted earlier, Member States are responsible for delivering United Nations PDT to all personnel provided to United Nations peacekeeping operations. The curriculum in each of the institutions is based on UN Peacekeeping Pre-Deployment Training Standards. The Core Pre-Deployment Training Materials available at the Peacekeeping Resource Hub, along with Specialized Training Material (STM) developed for specific categories of personnel and issue

areas. (Note: An update is currently underway and new materials are anticipated to be launched in 2015.)

## Induction Training

### Induction for Military, Police and Civilians in Mission

The aim of the in-mission induction training is to ensure that all military, police and civilian personnel in peacekeeping missions understand the security, cultural and operational complexities of their working environment. The training assists them to perform their tasks safely, responsibly and effectively while observing culturally-sensitive norms and practices. Induction training also prescribes the standards and values expected of all personnel on peacekeeping missions.

All incoming personnel must receive the mandatory in-mission induction training to attain mission readiness as soon as possible/practicable prior to assuming duties within the mission area.

### Induction at Headquarters

Induction at Headquarters can be divided into three levels – Headquarters level, department level and office/team level.

The Office of Human Resource Management (OHRM) organizes 2-day New Staff Orientation Programme for all staff joining the Headquarters. The topics covered are relevant to all staff, for example: performance management, flexi-work arrangement, oversight and accountability, prevention of work place conflicts, learning opportunities and human resources issues and services including allowances, benefits, insurances and pension.

The next level of induction is at the department-level, covering substantive issues that each department works on and is responsible for as well as information about key entities the department works with. This e-Guide is an example of DPKO-DFS induction material. Other departments will have their own specific induction materials and programmes.

Each DPKO-DFS office will have their own induction and staff orientation processes. Depending on the office size and staff turnover rate, the offices will have developed different forms of office-specific inductions on the team's work plan, roles and responsibilities, logistical and administrative issues, i.e. email set up, telephone list, etc. Orientations might include one-on-one briefings and/or formal or informal group presentations.

## Ongoing Training

### Later in Mission or at Headquarters

A variety of job-specific, technical and mission-specific training courses are organized throughout the year, both in the field and at Headquarters. These training activities are intended to provide staff with substantive knowledge and technical skills needed to implement peacekeeping mandates and effectively manage resources and processes related to peacekeeping. Some courses are required; others are optional.

Ongoing training is available to civilians, military and police. Specific topics are dependent on mandated tasks, job functions and other required tasks.

### Updates and Briefings As Needed

Updates and briefings are conducted for personnel in a number of areas, including Safety and Security, Ethics and Integrity and HIV/AIDS. Support functions are offered for those who work in the areas of logistics e.g. Transport, Engineering and Property Management. Procurement, Administration, Human Resources, Security, and Information Technologies are additional areas that are updated and briefed as these areas often have mandatory recertification programs. International Public Sector Accounting Standards (IPSAS) in the areas of budget and finance is one of the main trainings taken by a majority of civilian staff, along with Gender, Child Protection and the Protection of Civilians.

Military personnel are updated and briefed on the substantive functions such as Child Protection, Human Rights, Protection of Civilians, in addition to soft skill updates on Teamwork, Conflict Management, Presentation and Communication and language training.

### Senior Management Training

Currently, ITS runs several courses for senior management, including Senior Mission Leaders Course (SML), Senior Leadership Programme (SLP), Intensive Orientation Course for Heads of Military Components in the field and Senior Mission Administration and Resource Training (SMART).

The SML course is intended to better equip managers with the essential knowledge and skills required in complex and multidimensional missions. This includes strengthening knowledge of peacekeeping, the strategic vision required to effectively oversee mandate implementation and familiarization with the UN system. It provides in-depth information on UN rules and regulations in human resources and code of conduct. It also includes resource management and finance and budget information, including Results-Based Budgeting and procedures. The training also provides skill enhancement related to key strategic challenges that senior managers confront in their missions and information on specific mandates such as Protection of Civilians, Gender, and Children and Armed Conflict.

The Senior Leadership Programme (SLP), is a mandatory five-day course intended to provide newly-appointed senior leaders in field missions with an orientation on peacekeeping issues, such as the main challenges faced by senior leadership and the relationship between field missions and UN Headquarters. The participants are field mission senior managers at the D-2 level and above who are within their first six months of appointment, including Special Representatives of the Secretary-General and their deputies, Force Commanders, Police Commissioners Directors of Mission Support, Directors of Political Affairs and Chiefs of Staff. The course is also available to senior staff in DPA-led Missions. Although operational requirements sometimes delay the participation of some new mission appointees, every effort is made to include them in the SLP as soon as possible.

The aim of the Intensive Orientation Course for Heads of Military Components (HOMC) is to prepare appointed/ designated HOMCs so as to enable them to discharge their duties and responsibilities with maximum proficiency in UN Peacekeeping Operations.

The Senior Mission Administration and Resource Training (SMART) Programme seeks to improve the performance of managers (P.4 and above) in support functions in Missions by using a blended training approach of combining e-learning with face-to-face workshops.

#### 4.4.2 Additional Learning Responsibilities and Options

##### UN Competency Framework

As part of an overall human resource management reform effort, organizational values and competencies were developed in a participatory process and launched in 2002. Additional competencies, required by those who manage others, were subsequently added. Together, these values and competencies provide the foundation for all UN learning and development activities, performance management, and staff selection.

##### Definitions:

**Competency** may be defined as a combination of skills, attributes and behaviours that are directly related to successful performance on the job. They are important for all staff, regardless of occupation, function, or level.<sup>ci</sup>

**Organizational core values** are the shared principles and beliefs that underpin the work of an organization and guide the actions and behaviour of its staff.

**Core competencies** refer to the combination of skills, attributes and behaviour required of all staff, regardless of their level or function.

**Managerial competencies** are the additional skills, attributes and behaviours required of those who manage other staff.<sup>ci</sup>

The UN Competency Framework is categorized into three main areas, as shown below:

Core Values	Core Competencies	Managerial Competencies
Integrity	Communication	Leadership
Professionalism	Teamwork	Vision
Respect for Diversity	Planning and Organization	Empowering Others
	Accountability	Building Trust
	Creativity	Managing Performance
	Client Orientation	Judgement/Decision-making
	Commitment to Continuous Learning	
	Technology Awareness	



To read more about the Competency Framework, go to:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=unc.asp>



To download a copy of the Competency Connection Handbook, go to:  
[http://www.un.org/staffdevelopment/DevelopmentGuideWeb/image/OHRM\\_CDG.pdf](http://www.un.org/staffdevelopment/DevelopmentGuideWeb/image/OHRM_CDG.pdf)

## Office of Human Resource Management Courses

The Office of Human Resource Management (OHRM) provides an extensive list of courses that are available to both new and seasoned staff and it is encouraged that all peacekeeping personnel take advantage of these resources. A few examples of the courses offered are Leadership Development Program, Effective Communication, Creative Problem Solving and Decision Making, in addition to Report Writing and Drafting Correspondence. The following programmes are mandatory for all staff.

### Mandatory Programmes

1. Basic Security in the Field - Staff Safety, Health and Welfare Training	▪ Online Learning programme which may be accessed through the internet.
2. Integrity Awareness Initiative Programme	▪ Online Learning programme which may be accessed through the internet. Refer to ST/SGB/2005/17 Sec. 2.2
3. Prevention of Workplace Harassment, Sexual Harassment, and Abuse of Authority in the Workplace	▪ Online Learning programme which may be accessed through the internet. Refer to ST/SGB/2008/5
4. HIV/AIDS Orientation Session	▪ Half-day instructor-led Programme. Refer to ST/SGB/2007/12
5. Working Together: Professional Ethics and Integrity in our Daily Work	▪ Half-day Instructor-led Programme. Refer to A/60/568.

There are additional courses that are mandatory for supervisors, senior leaders, and those participating in interview panels or procurement. Additionally, there are courses that are mandatory for staff going to non-Headquarters duty stations, including Advanced Security in the Field.



For an extensive list of courses and to find out more about career development options, please visit the OHRM website where there are extensive resources that will enrich your tenure in the UN system.

<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=catalog.asp>

The OHRM staff members who are responsible for learning and development programmes are available to assist you with assessing your learning needs, developing training plans and identifying a range of options to meet your learning and development requirements. They can also provide assistance and advice to departments or work units on linking development activities with performance management and career support, within the context of the organizational development framework.<sup>ciii</sup>



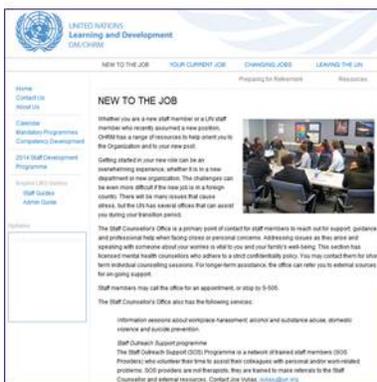
For career development queries, contact [CareerDevelopment@un.org](mailto:CareerDevelopment@un.org).



**Module Completion:** Congratulations on completing Module 4 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).

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# MODULE 5



# Working at Headquarters

The purpose of this module is to provide DPKO-DFS staff with direction on where to go for information related to the following subject areas:

- Offices involved in human resource management
- Staff entitlements
- Career development
- Health and well-being
- Travel and security
- Resources for staff and their families

## 5.1 OFFICES SUPPORTING HUMAN RESOURCE MANAGEMENT

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In addition to the department that you work in, there are two main offices that you will likely interact with on human resources (HR) related issues. These are the Office of Human Resources Management and the DPKO-DFS Executive Office. The functions of these two offices are discussed below. Please note that your first point of contact on HR related issues is the DPKO-DFS Executive Office.

### 5.1.1 The Office of Human Resource Management

The Office of Human Resources Management (OHRM) in the Department of Management is the main office for human resource management in the United Nations. In addition to OHRM's role in training (as was introduced in Module 4), the Office plays a strategic role attracting, developing and retaining UN personnel. It supports UN departments and offices in New York, as well as the Field Personnel Division of the Department of Field Support on all aspects of human resource management. It also provides assistance and advice to departments and work units on linking development activities with performance management and career support, within the context of the organizational development framework.

Human Resources Officers working in HR Services in OHRM administer and monitor a staff member's entitlements and benefits. They can assist staff members with such issues as:

- Initial appointments and onboarding
- Rental subsidies and deductions
- Education grants
- Dependency allowance
- Language allowance
- Mobility and Hardship Benefits
- Administration of special leave (shared responsibility with the EO)
- Assignment grant and repatriation entitlements (shared responsibility with the EO)
- Other entitlements and benefits
- Official status file
- Private legal obligations (shared responsibility with the EO)
- Personal status (i.e. nationality, marital status, dependants)
- Procedure for recruitment, placement, promotion and termination

The following sections provide more information about areas that OHRM and other parts of the UN provide support.



For more information on OHRM and the services and supports they offer, go to:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=newjob.asp>

### 5.1.2 Executive Office

The Executive Office assists Heads of Departments in management of human, financial and other resources allocated to the department for implementation of given mandates. It also represents the department in intergovernmental bodies and maintains contacts with the administrative offices of Human Resource Management, Programme Planning, Budget and Accounts (OPPBA) and Central Support Services (OCSS).

In relation to human resources, the Executive Office deals with the following:

- Contract management, extension of appointments, extensions of temporary assignments from different departments as well as field missions
- Promotion, transfer between departments
- Administration of leave
- Processing of home leave
- Performance management
- Step-in-grade increments
- Approval of learning activities
- Travel on official business, training, home leave, education travel and respective travel claim settlements
- Visa requests
- Employment Letters
- Processing special post allowances
- Time and attendance recording and certification

#### Who to Contact for What

When to Contact OHRM	When to contact the Executive Office
1. Change in name or other personal information	1. Employment verification
2. Change in family status	2. Leave request and balance verification
3. Change in nationality, permanent residency, or place of home leave	3. Special Post Allowance (SPA)
4. Dealing with child support request	4. Getting a salary advance
5. Meeting outside financial obligations	5. Contract extension issues
6. Transferring to/from a UN Agency, Fund or Programme	6. Request for approval of outside activity
	7. Performance management issues
	8. Official travel arrangements
	9. Certification of Visa requests
	10. Staff selection related issues
	11. Request for approval for receiving honors

## 5.2 STAFF ENTITLEMENTS

Staff members are entitled to various benefits and allowances as part of the conditions of their service. Please note, some of the entitlements listed below are not applicable for staff members serving in New York, USA.



Summaries of the terms and condition of selected benefits and allowances are provided on this site: [http://www.un.org/depts/OHRM/salaries\\_allowances/allowanc.htm](http://www.un.org/depts/OHRM/salaries_allowances/allowanc.htm)

The following topics include links for more information:

[Assignment grant](#)

[Non-family duty stations](#)

[Dependency allowance](#)

[Rental subsidy](#)

[Education grant](#)

[Separation payments](#)

[Danger pay](#)

[Travel allowances](#)

[Home leave and family visit](#)

[Rest and Recuperation \(R & R\)](#)

[Language scheme](#)

[Mobility and hardship scheme](#)



The policy documents relevant to a variety of staff entitlements are listed on page 38-40 in “The Roadmap: A Staff Member’s Guide to Finding the Right Place”:

<http://www.un.org/en/ethics/pdf/roadmap.pdf>



For specific queries on entitlements, please contact the DPKO-DFS Executive Office.



Information about the UN Joint Staff Pension Fund can be found at:

[http://www.unjspf.org/UNJSPF\\_Web/page.jsp?role=info&page=Info](http://www.unjspf.org/UNJSPF_Web/page.jsp?role=info&page=Info)

## Relocation and Mobility

### Rental subsidies

[ST/AI/2013/2](#) states that, “The purpose of the rental subsidy scheme is to facilitate the settlement of new staff members and to encourage mobility within the common system by subsidizing the rental costs of eligible staff members whose rental accommodations are of a reasonable standard but cost significantly more than the average for the duty station.”



Information on the rental subsidy for North America can be found at:

[http://www.un.org/depts/OHRM/salaries\\_allowances/allowances/rentalsu.htm#in](http://www.un.org/depts/OHRM/salaries_allowances/allowances/rentalsu.htm#in)

### Mobility Policy

The Secretary-General’s vision is for a dynamic, adaptable and global workforce - both to ensure the Organization can deploy its expertise where it is most needed, and to ensure that we are truly “Serving as One” through providing equity and burden-sharing between tours of duty at Headquarters, regional commissions and the field. Mobility refers to the movement of staff for a period of one year or longer through one of the following: change of duty station (geographical); movement to a post in a different function or in another Department of the Secretariat (functional); or movement to another UN Agency, Fund or Programme (inter-organizational). Mobility could be through a lateral move (at the same level) or through promotion (movement to a higher level). Mobility is also a key feature of career development, providing opportunities for staff to gain knowledge and expertise through exposure to a wide range of experience.

The Secretary-General’s comprehensive mobility policy has recently been approved by the General Assembly. This represents transformational change for the Organization and will

require significant effort. The first round of managed mobility will start in 2016 for selected job families.



For information on various aspects of mobility, including duty station country profiles, go to: <http://unglobalmobility.org/index.html>

Articles, updates and news on new mobility policy are available at: <https://iseek2.un.org/newyork>

### **Mobility Related Hardship Allowances**

As part of encouraging operationally required mobility between duty stations and to compensate for the degree of hardship experienced by staff assigned by their organizations to difficult duty stations, the UN has a mobility and hardship scheme in place. The main elements of the scheme are an allowance for mobility and hardship and an assignment grant; other benefits include additional education travel, additional reimbursement of boarding costs, the reimbursement of basic medical examinations and extra freight shipment.

For the purposes of the scheme, “assignment” is defined as an initial appointment to a duty station or the reassignment to a new duty station of one year or more, where the staff member’s official travel to the duty station has been paid and assignment grant has been paid.



For further details on the scheme, please download an informal brochure on the Mobility and Hardship Scheme: [http://www.un.org/depts/OHRM/salaries\\_allowances/allowances/mobility/Mobility%20and%20Hardship%20brochure,%202012.doc](http://www.un.org/depts/OHRM/salaries_allowances/allowances/mobility/Mobility%20and%20Hardship%20brochure,%202012.doc)

## **5.3 PERFORMANCE MANAGEMENT**

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As mentioned in Module 4, there is a set of core competencies that guide UN staff learning, performance and conduct. These competencies and associated values provide the foundation for performance management by clearly laying out the expectations of the Organization, Governed by ST/AI/2010/5. Learning and development programmes have been aligned to support staff in building and strengthening these competencies.<sup>cliii</sup>

Performance management is aimed at ensuring each staff member is performing at their highest potential and meeting the expectations of their position. The performance evaluation cycle is one year from April to March. The process starts with staff member’s Work Plan based on his/her team and office work plans. Upon agreeing with the supervisor (first reporting officer), the staff member creates/uploads the Work Plan in the Inspira system. The mid-term review is important for both staff members and supervisors to make adjustments in the work plan if the priorities have changed, and to raise and address any performance-related issues early on. End-of-cycle evaluation commences in March every year with Self Evaluation and performance discussions. It must be completed by June 30<sup>th</sup>.



All documents related to performance management are available to all staff by logging in to [inspira.un.org](https://inspira.un.org) and clicking on “Manuals” at the top right section of the home page.



Information on e-Performance can be found at: <http://itsforreal.un.org/>



A quick guide to e-Performance can be found at:  
[https://inspira.un.org/FILES/UN\\_EPREF/e\\_Performance\\_Quick\\_Guide.pdf](https://inspira.un.org/FILES/UN_EPREF/e_Performance_Quick_Guide.pdf)



The Secretariat Administrative Instruction ST/AI/2010/5 on the Performance Management and Development System can be accessed at:  
[https://careers.un.org/lbw/attachments/Performance\\_Management\\_Policy.pdf](https://careers.un.org/lbw/attachments/Performance_Management_Policy.pdf)

## 5.4 CAREER DEVELOPMENT

Each staff member ultimately has the primary responsibility for their career planning and development, however, at the UN career development is seen as a partnership between individual staff members, their managers and the organization. The complex mandates at the UN involve a multiplicity of occupations and multidisciplinary teams. This means that staff members are expected to change locations, functions, departments and even fields of work during their tenure with the UN. Such changes can be experienced as opportunities while at the same time requiring steep learning curves that involve time, effort and information. There are a number of excellent resources available to support learning and development at the UN. One of these is the Career Resource Centre (CRC).

The CRC is a resource for staff and managers offering career planning and development information, learning opportunities and mobility support. It is a place for self-study and learning through written, web-based and video resources, individual, confidential career counselling, small group practice sessions and mini workshops which teach concepts and facilitate information exchange between participants in a way that is less formal than a larger, full-day training. Career Counsellors offer the following confidential career services for staff members:

- General Career Counselling
- Preparing Written Applications: Personal History Profiles and Cover Letters
- Effective Job Interviewing for Applicants



To contact the Career Resource Centre, email: [centrec@un.org](mailto:centrec@un.org)



The Office of Human Resource Management has developed an excellent resource called the Career Workbook. You can access it by logging into Inspira, then going to “my learning”. Search "taking" on search catalog and click enroll on LMS1670 (taking control of your career). Click enroll again on the description page and click submit enrolment. Once you are enrolled in the course, go back to my learning, click on the course - notes and attachments and download the career workbook doc version.



As mentioned in Module 4, there are many different kinds of training programmes available to staff – some mandatory and some voluntary. For more information on staff development, go to: <http://www.un.org/staffdevelopment>

For a listing of staff development programmes, go to:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=catalog.asp>

## 5.5 ETHICAL CONDUCT

The United Nations has a commitment to the highest ethical standards guiding all of the Organization's actions and decisions. The purposes and principles guiding the Organization are laid out in the UN Charter, which also stipulates that staff will adhere to the highest standards of efficiency, competence and integrity. As a United Nations staff member, you are expected to take the following Oath of Office at the time of your appointment:

*"I solemnly declare and promise to exercise in all loyalty, discretion and conscience the functions entrusted to me as an international civil servant of the United Nations, to discharge these functions and regulate my conduct with the interests of the United Nations only in view, and not to seek or accept instructions in regard to the performance of my duties from any Government or other source external to the Organization.*

*I also solemnly declare and promise to respect the obligations incumbent upon me as set out in the Staff Regulations and Rules."*

There are several resources to guide staff actions and decisions in their tenure with the United Nations, as outlined below:



The Ethics and Integrity at the United Nations is a new online programme accessible via Inspira. The purpose of the training is to promote ethical awareness and ethical-decision making so that staff are better enabled to fulfill the mission of the UN. The programme is mandatory for all staff. Newly hired staff are to complete the programme within three months of their entry into service. Existing staff who may have participated in past ethics training programmes will find this a valuable refresher opportunity and are expected to also take the course.

Staff may access the programme by searching "ethics" on their Inspira My Learning page. The course number is LMS-1796. While available in English, a French language version is forthcoming.



Questions or feedback concerning the Ethics and Integrity course can be directed to the Ethics Office at [ethicsoffice@un.org](mailto:ethicsoffice@un.org)



The "Staff Regulations" booklet provides essential information about conditions of service and the basic rights, duties and obligations of the UN Secretariat:  
[http://www.un.org/ga/search/view\\_doc.asp?symbol=ST/SGB/2014/2&Lang=E](http://www.un.org/ga/search/view_doc.asp?symbol=ST/SGB/2014/2&Lang=E) and for



Staff Rules: [http://www.un.org/ga/search/view\\_doc.asp?symbol=ST/SGB/2014/1&Lang=E](http://www.un.org/ga/search/view_doc.asp?symbol=ST/SGB/2014/1&Lang=E)

Please note that the two documents above are available in other languages at:

<http://unparty3.rssing.com/channel-3486152/latest.php?q=ST%2FSGB%2F2014%2F2&site=rssing.com>



The “Working Together: Putting ethics to work” booklet provides information on the United Nations Code of Conduct and its application in practice:

[http://www.un.org/en/ethics/pdf/WorkinTogetherGuide\\_en.pdf](http://www.un.org/en/ethics/pdf/WorkinTogetherGuide_en.pdf)



Policies and Procedures related to ethics standards can be found at:

<http://www.un.org/en/ethics/policies.shtml>



The Integrity Awareness Initiative is a self-administered online learning programme with certification mandatory for staff members at all levels:

<http://www.un.org/en/ethics/awareness.shtml>



“The Roadmap: A staff member’s guide to finding the right place” provides information on the various offices and mechanisms and guidance to the appropriate resources to address concerns: <http://www.un.org/en/ethics/pdf/roadmap.pdf>



The Ethics Office provides assistance to staff members, as well as the Secretary-General, in ensuring the highest standards of integrity by UN personnel and the Organization:

[www.un.org/en/ethics](http://www.un.org/en/ethics)



You can also contact the Ethics Office by email at: [ethicsoffice@un.org](mailto:ethicsoffice@un.org)

## 5.6 TRAVEL

The [UN Administrative Instruction on Official Travel](#) provides information on travel for UN staff members and eligible family members. It includes information about authorizations, medical and security clearance, transportation and accommodation entitlements, travel deviations, daily subsistence allowances, travel time, insurance, payment options, and security in the field training.



The Administrative Instruction ST/AI/2013/3 is available at:

[http://www.un.org/ga/search/view\\_doc.asp?symbol=ST/AI/2013/3](http://www.un.org/ga/search/view_doc.asp?symbol=ST/AI/2013/3)

Information on travel allowances can be found at:

[http://www.un.org/depts/OHRM/salaries\\_allowances/allowances/travel.htm](http://www.un.org/depts/OHRM/salaries_allowances/allowances/travel.htm)

The UN Department of Safety and Security (DSS) provides resources such as security clearance requests, travel notification processing and travel advisories for staff members of United Nations departments, agencies, funds and programmes.



Access to further information is provided to traveling staff members by DSS:

<https://trip.dss.un.org/dssweb/WelcometoUNDSS/tabid/105/Default.aspx?returnurl=%2fdssweb%2f>

## 5.7 RESOURCES FOR STAFF AND THEIR FAMILIES

### The UN Ombudsman and Mediation Services

The UN Ombudsman and Mediation Services are neutral services to assist staff in addressing work-related concerns and generating options to resolve disputes.



Email: [ombudsmediation@un.org](mailto:ombudsmediation@un.org)



[www.un.org/ombudsman](http://www.un.org/ombudsman)

### UN Staff Union

All Staff members employed by the UN Secretariat in New York can be members of the UN Staff Union.



For information about the union, go to: [www.u-see.org.unsu](http://www.u-see.org.unsu) or visit the FaceBook page at: <https://www.facebook.com/UNSNY>

### Health and Well-Being

#### Health Insurance and Pension<sup>cliv</sup>

The UN offers its staff a comprehensive insurance scheme under its Headquarters Health & Life Insurance programme. It provides eligible staff members and their eligible dependants with medical, dental, vision and life insurance coverage. Benefits included in this scheme are, routine physicals, inpatient and outpatient services, hospital, pharmacy, vision care and other benefits. Dental benefits include diagnostic and preventative, restorative, and orthodontic care.

There are several different carriers that administer the health & life insurance programme. Staff members have 31 days from their date of employment to sign-up for medical insurance.



For more information on UN Health and Life Insurance, go to: <http://www.un.org/insurance/front>

#### Medical Service

The UN Medical Services Division provides health care services to all its personnel. It has three offices in New York:

Main Clinic - Secretariat Building S-535 -5<sup>th</sup> Floor  
Telephone: 212-963-7080

DC1 Building 1190 - 11<sup>th</sup> Floor  
Telephone: 212-963-8990

UNICEF House H-5F - 5<sup>th</sup> Floor  
Telephone: 212-326-7541

### Staff Counsellor's Office

The Staff Counsellor's Office provides psycho-social assistance to staff members and their families with situations encountered in everyday life that may have an impact on their well-being and productivity. Counselling is available for a number of conditions, including fear and anxiety, trauma, depression, alcohol/substance abuse, loss and grief, personal/family issues and concerns, harassment, HIV/AIDS counselling, financial emergency information, mission-readiness, stress management and resilience.



For more information contact: + 1 (212) 963-7044



OR email: [scolearn@un.org](mailto:scolearn@un.org) or [scohq@un.org](mailto:scohq@un.org)

### Staff Outreach Support Programme

The Staff Outreach Support (SOS) Programme is a network of trained staff members (SOS Providers) who volunteer their time to assist their colleagues with personal and/or work-related problems. SOS providers are not therapists; they are trained to make referrals to the Staff Counsellor and external resources.



For more information, go to:

<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=newjob.asp>

### Flexible work arrangements

Flexible work arrangements may include staggered working hours, compressed work schedule, telecommuting, etc. Please note these arrangements are not an entitlement but rather are up to the individual manager and the nature of work you are performing.



For more information on flexible work arrangements, go to:

<http://iseek.un.org/M210.asp?dept=2105>

### Office of the Focal Points for Women

Office of the Focal Point for Women provides informal counselling to all staff on gender-related issues, including conditions of service, discrimination, staff selection and harassment.



For more information, go to: <http://www.un.org/womenwatch/osagi/fp.htm>

## Information for Spouses and Families

### Visas

The Visa Committee is a standing advisory body that assists staff, who are not U.S. nationals, in obtaining G-4 visas for their family members—other than spouses and children under 21 years of age—and to assist them in obtaining G-5 visas for their household employees, as appropriate.

Other services include:

- U.S. employment authorization documents for eligible spouses and children
- Guidance in the processing of green card applications under the special immigrant provisions for retirees and eligible children

- Advice on DMV issues pertaining to visas
- Advice on obtaining Social Security numbers
- Advice on conversion of status (non-immigrant to and from G-4)<sup>clv</sup>



For more information, go to:

<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=newjob.asp>

### Dependency Status and Dependency Benefits

[ST/AI/2011/5](#) lays out the provisions related to dependency status and dependency benefits.

### Other Resources



New York Local Expatriate Spouse Association was created by UN spouses for UN spouses to support spouses and partners of international UN staff members to settle in and find career support during their stay in New York: <http://www.nylesa.org/>



The Permits Foundation is a not-for-profit organization working to improving work permit regulations to make it easier for partners of expatriate staff to gain employment during an international assignment. Their website provides helpful resources:

<http://www.permitsfoundation.com/>

### Additional Links of Potential Interest

- Pay and Benefits: <https://careers.un.org/lbw/home.aspx?viewtype=SAL>
- Career Support: <https://careers.un.org/lbw/home.aspx?viewtype=CS>
- Job Networks: <https://careers.un.org/lbw/home.aspx?viewtype=JN>
- Job Classifications: [http://www.un.org/depts/OHRM/salaries\\_allowances/classif.htm](http://www.un.org/depts/OHRM/salaries_allowances/classif.htm)
- Young Professional Programme: <https://careers.un.org/lbw/home.aspx?viewtype=NCE&lang=en-US>
- The Application Process: [https://careers.un.org/lbw/attachments/Inspira/At\\_a\\_Glance/APP1TheApplicationProcess.pdf](https://careers.un.org/lbw/attachments/Inspira/At_a_Glance/APP1TheApplicationProcess.pdf)
- English language opportunities in New York: Join the Friends of the United Nations English Club, a free-to-join group that provides opportunities for advanced-level English learners to interact with native speakers - while also exploring New York: [http://www.meetup.com/esl-426/?trax\\_also\\_in\\_algorithm2=original&traxDebug\\_also\\_in\\_algorithm2\\_picked=original](http://www.meetup.com/esl-426/?trax_also_in_algorithm2=original&traxDebug_also_in_algorithm2_picked=original)  
Learn about the United Nations while developing your English language through a free online self-study course: <http://www.unepd.info/>

### Additional Resources for Orientation and Reference



Essential Guidebook for United Nations Secretariat Staff can be obtained from OHRM



Essential Guidebook for Senior Leaders of the United Nations Secretariat can be obtained from OHRM

## 5.8 INSIGHTS AND PERSPECTIVES FROM DPKO-DFS STAFF

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“Joining the Headquarters was exciting yet a bit nerve-racking, to be honest! You constantly hear about how competitive, even fierce, and fast-paced the working environment can be! I knew first impressions count, therefore needed to present myself as a sharp professional. So, I did my homework - read about my section’s work priorities, plans, current projects and the latest reports. Obviously, they won’t ask you to pass the test all over again, but it did boost my self-confidence and that’s all I needed on the first day when I was being presented to and struggled to memorise the names to all those new colleagues so eager to welcome me.”



- DPKO staff member

“I think it’s important that you familiarise yourself with the Staff Rules and Regulations and the Code of Conduct, etc. It makes it easier to ask “informed” questions when talking to HR Officers at the Executive Office. For example, I read about the rental subsidy and thought I might qualify for it, so inquired about it. Without reading about these entitlements, I wouldn’t have asked the “right” questions.”

- DPET staff member

“I realised that it is very easy to get absorbed within own “specialisation” and lose sights on the bigger picture issues. Personally, I took action and set 1 hour a week for my professional development by reading cross-cutting and UN-wide reports and discussion papers. This also renews your sense of belonging to much bigger UN family and its cause.”

- ITS staff member



**Module Completion:** Congratulations on completing Module 5 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).

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## GLOSSARY OF ACRONYMS AND TERMS

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ACABQ	Advisory Committee on Administrative and Budgetary Questions
AU	African Union
BINUB	United Nations Integrated Office in Burundi (renamed BNUB January 2011)
BNUB	United Nations Office in Burundi
C-34	Special Committee on Peacekeeping Operations
CAAC	Children and Armed Conflict
CAF	Country Assistance Framework
CAP	Consolidation Appeals Process
CCA	Common Country Assessment
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CERD	International Convention on the Elimination of All Forms of Racial Discrimination
CMIC	Civil Military Coordination Cell
CRC	Convention on the Rights of the Child
DDR	Disarmament, Demobilization and Reintegration
DDRRR	Disarmament, Demobilization, Repatriation, Reintegration and Resettlement
DFS	Department of Field Support
DOCO	Development Operations Coordination Office
DPA	Department of Political Affairs
DPET	Division of Policy, Evaluation and Training, DPKO
DPI	Department of Public Information
DPKO	Department of Peacekeeping Operations
DRC	Democratic Republic of the Congo
DSRSG	Deputy Special Representative of the Secretary-General
DSRSG/RC/HC	Deputy Special Representative of the Secretary-General/Resident Coordinator/Humanitarian Coordinator
DSRSG/HOM	Deputy Special Representative of the Secretary-General/Head of Mission
DSS	Department of Safety and Security
ECHA	Executive Committee on Humanitarian Affairs
ECOSOC	United Nations Economic and Social Council
ECOWAS	Economic Community of West African States
ESRSG	Executive Special Representative of the Secretary-General
EU	European Union
FAO	Food and Agricultural Organization
FC	Force Commander
GA	General Assembly
HC	Humanitarian Coordinator
HOM	Head of Mission
HOMC	Head of Military Component
HOPC	Head of Police Component
IAP	Integrated Assessment and Planning
IAPP	Integrated Assessment and Planning Policy
ICRC	International Committee of the Red Cross
IDP	Internally Displaced Person
IFRC	International Federation of Red Cross and Red Crescent Societies
IMF	International Monetary Fund
IMPP	Integrated Mission Planning Process

IMTC	Integrated Mission Training Centre
IMTF	Integrated Mission Task Force
Interpol	International Criminal Police Organization
ISF	Integrated Strategic Framework
ISG	Integrated Steering Group
ISPT	Integrated Strategy and Planning Team
ITF	Integrated Task Force
JLOC	Joint Logistics Operations Centre
JAM	Joint Assessment Mission
JOC	Joint Operations Centre
JMAC	Joint Mission Analysis Centre
JSJP	Justice and Security Joint Programme
JTP	Joint Transition Plan
M&E	Monitoring and Evaluation
MCDA	Military and Civil Defence Assets
MDG	Millennium Development Goals
MINUSTAH	United Nations Stabilization Mission in Haiti
MLT	Mission Leadership Team
MOB	Mobile Operating Base
MONUC	United Nations Organization Mission in the Democratic Republic of the Congo (renamed MONUSCO in July 2010)
MONUSCO	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo
MoU	Memorandum of Understanding
NATO	North Atlantic Treaty Organization
NGO	Non-Governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs
OHCHR	Office of the High Commissioner for Human Rights
OLA	Office of Legal Affairs
OROLSI	Office of Rule of Law and Security Institutions, DPKO
OSRSG-CAAC	Office of the Special Representative of the Secretary-General for Children and Armed Conflict
OSRSG-SVC	Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict
PAD	Political Affairs Division
PBC	Peacebuilding Commission
PBF	Peacebuilding Fund
PBSO	Peacebuilding Support Office
PCNA	Post-Conflict Needs Assessment
PCC	Police Contributing Country
PDT	Pre-Deployment Training
PKO	Peacekeeping Operation
PPDB	Policy and Practices Database
QIPs	Quick Impact Projects
RBB	Results-Based Budgeting
RC	Resident Coordinator
RCO	Resident Coordinator Office
ROE	Rules of Engagement

ROL	Rule of Law
SA	Strategic Assessment
SC	Security Council
SCR	Security Council Resolution
S/ERSG	Head of a Peacekeeping Operation or Special Political Mission and also applies to Special Coordinators (as per IAP Policy)
SG	Secretary-General
SGBV	Sexual and Gender Based Violence
SMT	Security Manager Team
SLT	Senior Leadership Team
SMT	Senior Management Team
SOFA	Status of Forces Agreement
SOMA	Status of Mission Agreement
SOP	Standard Operating Procedure
SPG	Strategic Policy Group
SPM	Special Political Mission
SMSG	Special Representative of the Secretary-General
SSR	Security Sector Reform
SSSS	Security and Stabilization Support Strategy
SVC	Sexual Violence in Conflict
TAM	Technical Assessment Mission
TCC	Troop Contributing Country
TOR	Terms of Reference
UNAMA	United Nations Assistance Mission in Afghanistan
UNAMID	African Union–United Nations Hybrid Operation in Darfur
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNDSS	United Nations Department of Safety and Security
UNEST	United Nations Electoral Support Team
UNFPA	United Nations Population Fund
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children’s Fund
UNIPSIL	United Nations Integrated Peacebuilding Office in Sierra Leone
UNMAS	Mine Action Service, DPKO
UNMIL	United Nations Mission in Liberia
UNMIS	United Nations Mission in the Sudan (ended July 2011)
UNMISS	United Nations Mission in the Republic of South Sudan
UNMIT	United Nations Integrated Mission in Timor-Leste
UNODC	United Nations Office on Drugs & Crime
UNOPS	United Nations Office for Project Services
UNPOS	United Nations Political Office for Somalia
UNSMIL	United Nations Support Mission in Libya
USG	Under-Secretary-General
UNV	United Nations Volunteers
UN WOMEN	United Nations Entity for Gender Equality and the Empowerment of Women
UXO	Unexploded Ordnance

VTC	Video Conferencing
WFP	World Food Programme
WHO	World Health Organization

## COLLECTION OF USEFUL WEBSITES

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### United Nations - General

- United Nations Main Page: <http://www.un.org/>
- United Nations Structure and Organization: <http://www.un.org/en/aboutun/structure/index.shtml>
- United Nations System Organizational Chart:  
[http://www.un.org/en/aboutun/structure/org\\_chart.shtml](http://www.un.org/en/aboutun/structure/org_chart.shtml)
- United Nations Member States: <http://www.un.org/en/members/index.shtml>
- United Nations Official Document System: <http://www.un.org/en/documents/ods/>
- General Assembly Resolutions: <http://www.un.org/documents/resga.htm>
- Security Council Resolutions: <http://www.un.org/en/sc/documents/resolutions/>

### Public Peacekeeping Websites

- United Nations Peacekeeping Website: <http://www.un.org/en/peacekeeping/>
- United Nations Peace and Security: <http://www.un.org/en/peace/index.shtml>
- United Nations Bodies Involved In Peacekeeping: <http://www.un.org/en/peace/index.shtml>
- United Nations Department of Peacekeeping: <http://www.un.org/en/peacekeeping/about/dpko/>
- United Nations Department of Field Support: <http://www.un.org/en/peacekeeping/about/dfs/>
- United Nations Peacekeeping Fact Sheet:  
<http://www.un.org/en/peacekeeping/resources/statistics/factsheet.shtml>
- Troop and Police Contributing Country Information:  
<http://www.un.org/en/peacekeeping/resources/statistics/contributors.shtml>
- United Nations Peacekeeping Operations: [un.org/peacekeeping/sites](http://www.un.org/peacekeeping/sites)
- Current Peacekeeping Operations: <http://www.un.org/en/peacekeeping/operations/current.shtml>
- United Nations Peacekeeping Resource Hub:  
<http://peacekeepingbestpractices.unlb.org/PBPS/Pages/Public/Home.aspx>

### DPKO-DFS Intranet Entry Points

- The POINT: <http://point.un.org> (includes links to all main DPKO-DFS services)
- Policy and Practice Database: [http://ppdb.un.org/Nav%20Pages/PolicyFramework\\_Default.aspx](http://ppdb.un.org/Nav%20Pages/PolicyFramework_Default.aspx)

### Guiding Documents for Peacekeeping

- Policy and Guidance in DPKO-DFS: <http://www.un.org/en/peacekeeping/resources/policy.shtml>  
(specific policy and guidance documents are also listed throughout the e-Guide)
- Brahimi Report: <http://www.unrol.org/files/brahimi%20report%20peacekeeping.pdf>
- Capstone Doctrine: [http://pbpu.unlb.org/pbps/Library/Capstone\\_Doctrine\\_ENG.pdf](http://pbpu.unlb.org/pbps/Library/Capstone_Doctrine_ENG.pdf)
- New Partnership Agenda: Charting a New Horizon for UN Peacekeeping:  
<http://www.un.org/en/peacekeeping/documents/newhorizon.pdf>

### Learning

- United Nations Competency Framework:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=unc.asp>
- Office of Human Resource Management Course Listings:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=catalog.asp>
- UNSSC Induction Course: <http://www.unssc.org/W2UN/>
- 2009 Core Pre-Deployment Training Materials (CPTMs) (To be updated in early 2015)  
<http://peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/library.aspx?ot=2&scat=393&menuey=452>

- Specialized Training Materials (STMs)  
[http://peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/library.aspx?ot=2&cat=71&level=2&menukey= 4 5 1](http://peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/library.aspx?ot=2&cat=71&level=2&menukey=4_5_1)

#### Working at the UN

- United Nations Careers: <https://careers.un.org/lbw/Home.aspx>
- DPKO-DFS Working for us: <http://www.un.org/en/peacekeeping/about/work.shtml>
- Volunteering with the United Nations: <http://www.unvolunteers.org/>
- Internship with the United Nations: <http://www.un.org/Depts/OHRM/sds/internsh/index.htm>
- For an extensive list of websites related to working in the United Nations (e.g. entitlements, mobility, performance development, family supports, etc.), go to Module 5 in this document.

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- ii ST/SGB/2010/1 Secretary-General's Bulletin - Organization of the Department of Peacekeeping Operations <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/231/37/PDF/N1023137.pdf?OpenElement>
- iii UNPOL, Office of Rule of Law and Security Institutions <http://www.un.org/en/peacekeeping/sites/police/orolsi.shtml>
- iv ST/SGB/2010/1 Secretary-General's Bulletin - Organization of the Department of Peacekeeping Operations <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/231/37/PDF/N1023137.pdf?OpenElement>
- v DPKO Justice Update 2010 <http://www.un.org/en/peacekeeping/publications/cljas/justice042010.pdf>
- vi UN Peacekeeping, Rule of Law <http://www.un.org/en/peacekeeping/issues/ruleoflaw.shtml>
- vii ST/SGB/2010/1 Secretary-General's Bulletin - Organization of the Department of Peacekeeping Operations <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/231/37/PDF/N1023137.pdf?OpenElement>
- viii UNPOL, United Nations Policing. <http://www.un.org/en/peacekeeping/sites/police/policing.shtml>
- ix UNPOL, Standing Police Capacity <http://www.un.org/en/peacekeeping/sites/police/capacity.shtml>
- x The UN DDR Resource Centre, What is DDR [http://unddr.org/what-is-ddr/introduction\\_1.aspx](http://unddr.org/what-is-ddr/introduction_1.aspx)
- xi ST/SGB/2010/1 Secretary-General's Bulletin - Organization of the Department of Peacekeeping Operations <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/231/37/PDF/N1023137.pdf?OpenElement>
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- xiv DPKO Security Sector Reform <http://www.un.org/en/peacekeeping/issues/security.shtml>
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- xvi SCR 2151 (2014) <http://unscr.com/en/resolutions/doc/2151>
- xvii GA resolution A/RES/68/72 (2013) [http://www.mineaction.org/sites/default/files/documents/Assistance%20in%20Mine%20Action%20-%20A.RES.68.72%20-%20English\\_0.pdf](http://www.mineaction.org/sites/default/files/documents/Assistance%20in%20Mine%20Action%20-%20A.RES.68.72%20-%20English_0.pdf)
- xviii Mine Action Publications <http://www.mineaction.org/resources/publications>
- xix International Mine Action Standards (IMAS) [http://www.mineactionstandards.org/fileadmin/user\\_upload/MAS/documents/IMAS\\_04.10\\_Glossary\\_of\\_mine\\_action\\_terms\\_definitions\\_and\\_abbreviations\\_Ed.2\\_Amendment\\_6\\_.pdf](http://www.mineactionstandards.org/fileadmin/user_upload/MAS/documents/IMAS_04.10_Glossary_of_mine_action_terms_definitions_and_abbreviations_Ed.2_Amendment_6_.pdf)
- xx UNMAS, About Us <http://www.mineaction.org/unmas/about>
- xxi UNMAS, About Us <http://www.mineaction.org/unmas/about>
- xxii Mine Action Publications <http://www.mineaction.org/resources/publications>
- xxiii ST/SGB/2010/1 Secretary-General's Bulletin - Organization of the Department of Peacekeeping Operations <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/231/37/PDF/N1023137.pdf?OpenElement>
- xxiv UN Peacekeeping, About Us, Department of Peacekeeping Operations <http://www.un.org/en/peacekeeping/about/dpko/>
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- xxviii ST/SGB/2010/2 Secretary-General's Bulletin - Organization of the Department of Field Support <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/N10/259/49/PDF/N1025949.pdf?OpenElement>

- xxix A/64/633 Report of the Secretary-General – Global Field Support Strategy [http://www.un.org/en/ga/search/view\\_doc.asp?symbol=A/64/633](http://www.un.org/en/ga/search/view_doc.asp?symbol=A/64/633)
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## Contents of the e-Guide

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## Navigating the e-Guide

The e-Guide includes several ways to navigate to topics of interest:

1. The Table of Contents have hyper-linked page numbers. If you are viewing this document digitally, you can go directly to each topic by clicking on the topic.
2. The “Search” function is also available if you are viewing the e-Guide digitally.
3. There is also an Index near the back of the document which provides the page numbers of all the listed topics.
4. Throughout the document there is hyperlinked text which you can click on to get to other parts of the document or to resources via inter and intranets links. These hyperlinks are indicated by underlined text.

Additionally, the following symbols are used throughout the e-Guide to represent internal references and external resources:



Additional references on the inter or intranet



Additional material, either within the document or in another document



Email address of contact for further information



Phone number of contact for further information

## Relevance Reflections

In various places in the document, there are sections with the title *Why is this important to you?* The text following the question provides thoughts on how the information might be relevant and, in some cases, poses points to ponder.

## Self-Assessments

Each module of this e-Guide has an online self-assessment of somewhere between 10-20 questions. These assessments provide the reader with an opportunity to test their memory of the material and on where to find information in the e-Guide. The assessments also alert the DPKO-DFS Integrated Training Service of successful completion of each module.

## Accuracy and currency of the material

Please note that the information contained in this document is as accurate and current as possible. You may want to consult the appropriate sections of the intranet and/or internet to confirm in case of updates.

## Sourcing and Acknowledgements

Much of the information in this document is directly referenced or adapted from UN documents (Security Council resolutions, etc.), DPKO-DFS training materials and internal/external websites. A great many UN staff members also contributed information and feedback towards the development of this e-Guide. Special thanks go to the Training Focal Points of DPKO and DFS.

## Input and Feedback

It is anticipated that the e-Guide will be updated on a yearly basis to accommodate changes in services, standards and legal frameworks. For suggestions on content updates or corrections, please email [peacekeeping-training@un.org](mailto:peacekeeping-training@un.org) with “Induction e-Guide Feedback” in the subject header.

# MODULE 1



## Introduction to DPKO and DFS

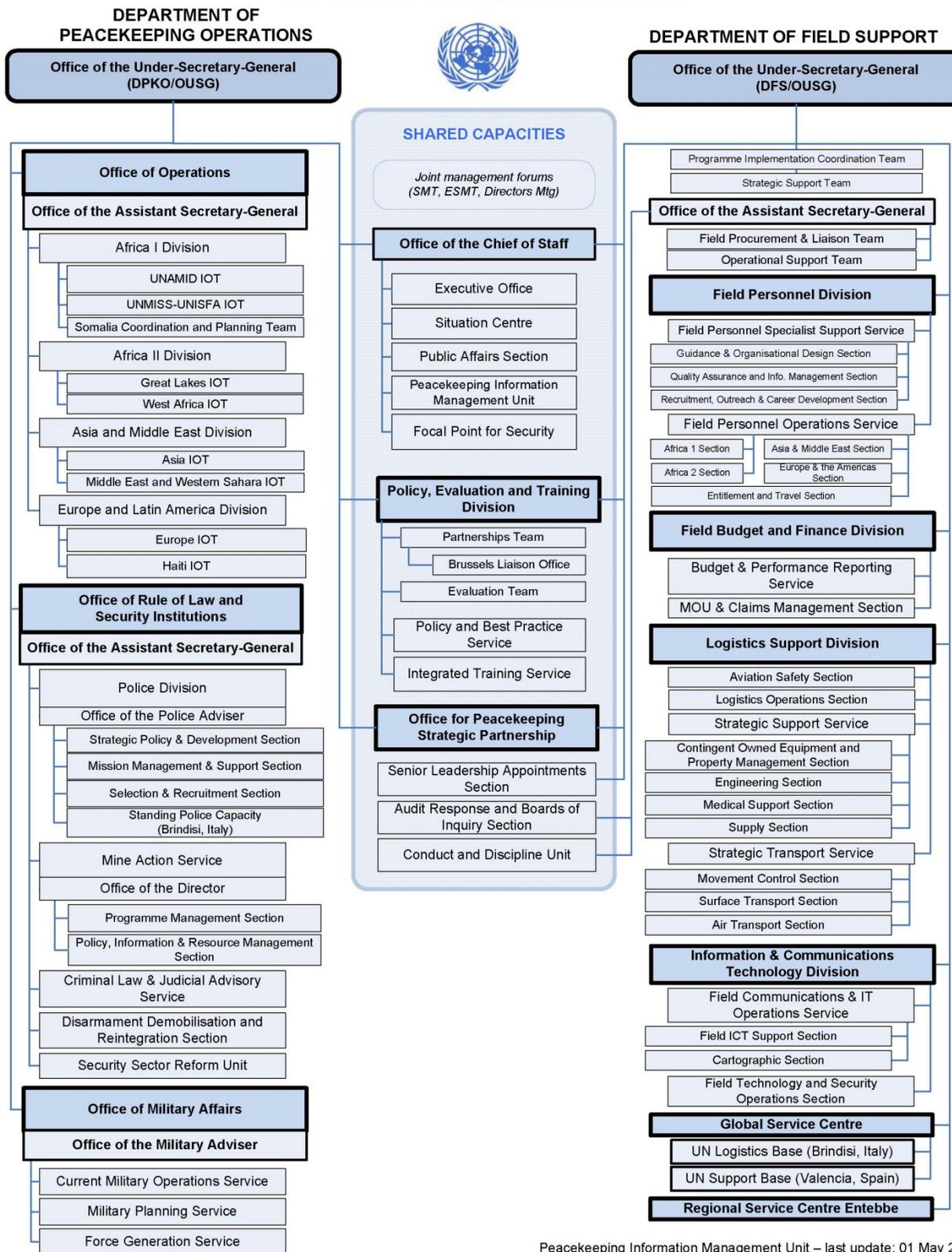
Module 1 provides an overall introduction to DPKO-DFS, with a particular focus on Headquarters offices. Specific topics include introductions to:

- The Departments of Peacekeeping (DPKO) and the Field Support (DFS)
- The main offices, units and teams within each of the Departments
- The UN offices that are shared by the two Departments

The organizational chart on the following page illustrates the DPKO-DFS offices and areas of shared capacity and responsibility which will be discussed in this module.

[1]

## UNITED NATIONS PEACEKEEPING GROUP: CAPACITIES TO ENSURE INTEGRATION



Peacekeeping Information Management Unit – last update: 01 May 2014

The Department of Peacekeeping Operations (DPKO) and the Department of Field Support (DFS) work together in establishing and managing the United Nations peacekeeping operations that are currently functioning around the world. The Departments also provide technical and subject matter advice and direct administrative and logistics support to special political missions.

## 1.1 INTRODUCTION TO DPKO

Formally established as a department of the UN Secretariat in 1992, DPKO provides strategic direction, management, and guidance to UN peacekeeping operations around the world. In accordance with the Secretary-General's Bulletin on the Organization of the Department of Peacekeeping Operations (2010), DPKO directs, manages and provides political and policy guidance and strategic direction to all operations under its responsibility. This comprises all traditional and multidimensional peacekeeping operations with military and/or police components and which may include elements of peacemaking and peacebuilding. It also comprises certain special political missions as determined by the Secretary-General. DPKO maintains contact with the Security Council, troop and financial contributors, and parties to the conflict in the implementation of Security Council mandates. The Department works to integrate the efforts of UN, governmental and non-governmental entities in the context of peacekeeping operations. DPKO also provides guidance and support on military, police, security sector reform, disarmament, demobilization and reintegration, mine action and other relevant issues to UN special political missions.<sup>1</sup>

### 1.1.1 The Under-Secretary-General, Department of Peacekeeping



Mr. Herve Ladsous has been Head of the Department of Peacekeeping Operations since October 2011. Serving as the Under-Secretary-General (USG) Peacekeeping Operations, Mr. Ladsous is responsible for advising the Secretary-General on all matters related to the planning, establishment, direction, management and conduct of United Nations peacekeeping operations and special political missions under the responsibility of the Department. On behalf of the Secretary-General, he briefs the Security Council and, on the basis of Security Council mandates, the USG directs, manages and provides political and policy guidance and strategic direction to Department-led operations, which may include elements of peacemaking and peacebuilding. He



[3]

also directs policy development and approves guidance materials related to the planning and conduct of operations based on Security Council mandates and lessons learned.

The USG is responsible for ensuring the effective integration of integrated operations led by the Department, including serving as Chair of the Integrated Steering Group. He promotes and maintains strategic partnerships with United Nations and non-United Nations peacekeeping partners; provides direction to senior management in the Department to ensure the efficient functioning of the Department; and provides direction to the Under-Secretary-General for Field Support on all matters falling within the purview of the Department of Peacekeeping Operations.<sup>ii</sup>



To read more about Mr. Ladsous, go to:  
<http://www.un.org/en/peacekeeping/about/dpko/chief.shtml>



To see a short video clip of Mr. Herve Ladsous speaking about the challenges and successes of peacekeeping in 2013, go to Module 2, page 50 for the link (or click on [here](#) to go to the video in YouTube)

### 1.1.2 Main Offices of DPKO

There are three main offices in DPKO: the Office of Operations, the Office of the Rule of Law and Security Institutions and the Office of Military Affairs. The Policy Evaluation and Training Division is sometimes mentioned as a fourth office, however, it is a shared resource with the Department of Field Support and will be discussed in the section on Shared Capacities later in this module.

The diagramme on the previous page shows the three main offices and the services and units within them. Each of these will be discussed in the following pages.

#### Office of Operations

The Office of Operations (OO) is headed by the Assistant Secretary-General (ASG) for Peacekeeping Operations, who serves as a Deputy to the Under-Secretary-General. Within the Office of Operations is the Office of the Assistant Secretary-General and four regional Divisions, as outlined below.

#### The Assistant Secretary-General-DPKO and the Office of the Assistant Secretary-General

The Assistant Secretary-General-DPKO (ASG-DPKO), currently Mr. Edmond Mulet, is responsible for advising the Under-Secretary-General on political, cross-cutting strategic, mission-specific and integrated operational issues and briefing the Security Council and other intergovernmental bodies as required. The ASG also ensures the development and effective implementation of overarching integrated strategies for Department-led operations and the provision of political direction and integrated operational support to those operations. Additionally, the ASG contributes to the generation of political, financial and material support among Member States, regional organizations, non-governmental organizations, think tanks, academia and the media for planned and deployed operations and for peacekeeping in general.

[4]

The Office of the Assistant Secretary-General assists and advises the ASG in carrying out his or her duties. The Office also provides advice and implementation support on key policies, including the integrated assessment and planning process; ensuring that related technical guidance and training capacity are provided; and on strengthening the strategic peacekeeping partnership with and support to the African Union and its regional economic communities/ regional mechanisms. Quality assurance of the Office of Operations services and products is also a responsibility and includes proper integration or coordination and compliance with deadlines.

### Office of Operations Divisions

There are four Divisions in the Office of Operations: the Africa Division I (AD I), the Africa Division II (AD II), the Asia and Middle East Division (AMED) and the Europe and Latin America Division (ELAD). These Divisions are composed of integrated operational teams. Each of the regional Divisions is headed by a Director, who is accountable to the Assistant Secretary-General. Drawing on the expertise of other DPKO-DFS areas, as well as other UN system partners (e.g. DPA, OCHA and UNDP as appropriate), the main functions of the regional Divisions include:

- Developing overarching integrated strategies and providing strategic direction on cross-cutting, mission-specific and political issues, as well as day-to-day operational support, including guidance on policy and operational issues
- Coordination with other DPKO-DFS offices, as well as other departments, agencies, funds, programmes and regional entities
- Devising, promoting agreement on and implementing integrated solutions to the political and operational challenges of Department-led operations and supporting them vis-à-vis the parties to the conflict and other interested parties, and conveying relevant concerns to Member States and other relevant partners, and vice versa
- Leading the integrated planning process for new Department-led operations and coordinating transitions, as well as consolidation and exit strategies in existing operations
- Fulfilling the reporting obligations of the Secretary-General to the Security Council for Department-led operations

### Integrated Operational Teams

Integrated Operational Teams (IOTs) are cross-functional teams at the Headquarters level that perform a range of core tasks related to the integrated operational, including political, guidance and support to one or more peacekeeping operations or special political missions under the direction of DPKO. The creation of the IOTs serves to address the requirement for more effective and efficient service delivery to peacekeeping constituencies, against the backdrop of a widening range of tasks and increasing complexity of peacekeeping operations. The integration of Headquarters guidance and support to field operations mirrors the increasingly integrated nature of complex missions. The IOT structure was institutionalized as part of the wider reform of DPKO and the establishment of DFS. The structure and assignment of IOTs are managed flexibly so as to optimize the utilization of available resources in meeting operational requirements.

IOTs form an integral part of the Office of Operations (OO) in the Department of Peacekeeping Operations (DPKO). They consist of political affairs, military, police/Rule of Law and Security Institutions (ROLSI), support (logistics) and administrative (personnel/budget) officers who are all co-located in nearby offices. OMA, OROLSI and DFS all contribute staff to the IOTs. Military and police officers are seconded by Member States to OMA and PD/OROLSI and are subsequently assigned to an IOT. Support and administrative officers with the requisite UN field and Headquarters experience and expertise have been recruited directly from field operations, other departments or DFS. Political Affairs Officers - who originally staffed OO before the restructuring - have all been absorbed within the IOTs. The composition of an IOT varies depending on the size, complexity and life cycle of a peacekeeping operation.

IOTs are being supplemented with expertise available within other DPKO offices in areas not currently represented on the IOT on a residential basis. Justice, corrections, disarmament, demobilization and reintegration, security sector reform, mine action (including explosive hazard management), civil affairs, gender, child protection, HIV/AIDS, partnerships, etc., are some examples in line with the specific needs emanating from the mandate of the mission(s) under their purview.

The IOTs are overseen by OO regional Division Directors who advise on the political and strategic direction of field missions covered by their respective regional Division. Team Leaders, who take strategic advice and direction from the Regional Directors, are responsible for the day-to-day management and supervision of the team and the delivery of day-to-day integrated and coherent support and guidance to the field mission(s) under his/her purview. Military and police officers on the IOTs operate within the delegated authority of the Military Adviser and Police Advisor, respectively.

### Office of Rule of Law and Security Institutions

The Office of Rule of Law and Security Institutions (OROLSI) was created in 2007 in response to the [2000 Brahimi Report](#) recommendation to take a more integrated approach to the rule of law. OROLSI provides a holistic approach in (re)establishing systems of justice and reinforcing security, disarmament, demobilization and the reintegration of ex-combatants. In addition, the Office helps deal with mine fields and unexploded ordinance that remain following armed conflict.<sup>iii</sup>

OROLSI at UN Headquarters brings together the Criminal Law and Judicial Advisory Service, the Police Division, the Disarmament, Demobilization, and Reintegration Section, the Security Sector Reform Unit, and the United Nations Mine Action Service. Each of these components is discussed below.

[6]

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The following videos outline the work of the Office of the Rule of Law and Security Institutions:



<http://www.youtube.com/watch?v=6oisXL4yJu8&list=PL49CE20981558F582>  
(1:08 minutes)



[http://www.youtube.com/watch?v=LSWR\\_WXDMhU&list=PL49CE20981558F582](http://www.youtube.com/watch?v=LSWR_WXDMhU&list=PL49CE20981558F582)  
(6:48 minutes)

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For more information on OROLSI go to:

<http://www.un.org/en/peacekeeping/issues/ruleoflaw/>



OROLSI within POINT: <http://point.un.org/SitePages/orolsi.aspx>

#### **Office of the Assistant Secretary-General for OROLSI**

OROLSI is headed by an Assistant Secretary-General (ASG), currently Mr. Dmitry Titov, who is responsible to the DPKO Under Secretary-General. The ASG is responsible for directing and managing all aspects of the areas within the overall responsibility of the Office of Rule of Law and Security Institutions. This includes developing an integrated, coherent departmental and UN system-wide approach to strengthening the rule of law and sustainable security sector institutions and ensuring systematic collaboration with all relevant UN and non-UN actors, including regional organizations, bilateral donors, non-governmental organizations and academia. The Office of the ASG also oversees the development and implementation of cross-cutting information and communications strategies, as well as coordinating the production of reports to the relevant legislative bodies on the rule of law and security institutions.

All organizational units within the Office of Rule of Law and Security Institutions are headed by a Chief or Director, who is accountable to the ASG for Rule of Law and Security Institutions. Each component is responsible for developing and implementing

information and communications strategies and providing reports in their respective areas to relevant legislative bodies and other actors.<sup>iv</sup>

### **Criminal Law and Judicial Advisory Service**

The strengthening of justice and corrections institutions plays a key role in the restoration and consolidation of peace. It facilitates the maintenance of law and order and fosters the peaceful resolution of disputes, while preventing impunity for crimes committed during and after a conflict.<sup>v</sup>

The provision of rule of law assistance is based on United Nations standards that reflect applicable international human rights law, international humanitarian law, international criminal law and international refugee law. It is always based on national ownership and the needs and priorities identified by national authorities and is consistent with the culture and legal traditions of the host country.<sup>vi</sup>

In 2003, the Criminal Law and Judicial Advisory Service (CLJAS) was created within DPKO to promote rule of law work, addressing both judicial and penal systems in UN peace operations. In 2007, CLJAS became a part of DPKO's Office of Rule of Law and Security Institutions. The Service is structured into the Justice Team, the Corrections Team and the Policy Cell. CLJAS works closely in coordination with other components of the Office of Rule of Law and Security Institutions, integrated operational teams, the Department of Political Affairs and other entities in the United Nations Secretariat, as well as United Nations agencies, funds and programmes. In 2010, the General Assembly established the Justice and Corrections Standing Capacity. It consists of a small number of experts who can be sent on short notice wherever needed, in compliment to the Standing Police Capacity.

CLJAS serves as the lead entity for strengthening legal and judicial institutions in peacekeeping contexts, as well as the global lead in the area of corrections. In collaboration with partners, it plans programmes within DPKO-led operations for strengthening of legal, judicial and prison systems, conducts periodic reviews and provides input on strategic planning for specific operations and missions. The Service also provides operational support to justice, corrections and rule of law components in such areas as programme implementation, budgeting, reporting, building institutional partnerships and staffing. CLJAS develops, updates, and distributes guidance, procedures, and lessons learned/best practices and training materials. It also facilitates sharing of these materials through the electronic Rule of Law Community of Practice, an Internet-based forum linking Headquarters and field staff to facilitate knowledge exchange.<sup>vii</sup>



For more information on the Criminal Law and Judicial Advisory Service, go to: <http://www.un.org/en/peacekeeping/issues/ruleoflaw/> or in the POINT: <http://point.un.org/SitePages/cljas.aspx>



The 2014 OROLSI/CLJAS Update on Justice and Corrections is available at: <http://www.un.org/en/peacekeeping/publications/cljas/DPKO-Justice-Corrections-Update-2014.pdf>

## Police Division

United Nations Police are an important tool used by the Organization to help promote peace and security. When the UN first started deploying police officers to peace operations in the 1960s, the mandate of police components was limited to monitoring, observing and reporting. Since the 1990s, the role of the UN Police has expanded to advisory, mentoring and training functions in order to serve as a corrective mechanism and strengthen capacities of domestic police and other law enforcement agencies.<sup>viii</sup>

There has been a Civilian Police Unit within DPKO since 1993. In 2000, the Police Division was established and, in 2007, as part of restructuring to increase integration and coordination, the Division became part of the DPKO Office of Rule of Law and Security Institutions. The Police Division is headed by a Police Adviser, who is accountable to the Assistant Secretary-General for Rule of Law and Security Institutions. The Division includes the Office of the Police Adviser, the Strategic Policy and Development Section, the Selection and Recruitment Section, the Mission Management and Support Section and the Standing Police Capacity.

The main areas of focus for the Division are policy and guidance development, strategic planning, selection and rotation of UN Police Personnel, technical advice to the police components of missions, and operational support to missions through the Standing Police Capacity. Currently the Police Division is running a number of projects aimed to increase the number of female police officers in field missions and to improve UNPOL's response to sexual and gender-based violence (SGBV). In September 2012, the Police Division became a part of the Global Focal Point for Police, Justice and Corrections Areas in the Rule of Law in Post-conflict and other Crisis Situations, together with other OROLSI and UNDP counterparts.

The Standing Police Capacity (SPC) is a rapidly deployable arm of the Police Division. The current SPC is 40 staff members whose areas of expertise includes a broad area of leadership and specialized knowledge expertise. The members of the SPC are normally the first UN Police Officers deployed to a new peacekeeping operation. They provide start-up capacity for the police components of new UN peacekeeping operations, including the strategic direction and organization to ensure the immediate and longer term effectiveness, efficiency and professionalism of the components. The SPC is currently based at the United Nations Global Service Centre in Brindisi, Italy.<sup>ix</sup>



For more information on the Police Division and UN Policing, go to:  
<http://www.un.org/en/peacekeeping/sites/police/index.shtml>



For specifics on UN Police work in the field:  
<http://www.un.org/en/peacekeeping/sites/police/work.shtml>



Additional information on the UN Police in a mission context can be found in Unit 2, page 64.

### Disarmament, Demobilization and Reintegration Section

The Disarmament, Demobilization and Reintegration (DDR) process is intended to contribute to security and stability in post-conflict environments so that recovery and development can begin. The DDR of ex-combatants is a complex process, with political, military, security, humanitarian and socio-economic dimensions. It aims to deal with the post-conflict security problem that arises when ex-combatants are left without livelihoods or support networks, other than their former comrades, during the vital transition period from conflict to peace and development. Through a process of removing weapons from the hands of combatants, taking the combatants out of military structures and helping them to integrate socially and economically into society, DDR seeks to support male and female ex-combatants and men, boys, women and girls associated with armed forces and groups, so that they can become active participants in the peace process.<sup>x</sup>

The DPKO DDR Section plans and supports DDR programmes in countries where there is a UN peacekeeping operation or a Special Political Mission with a DDR mandate. It works in coordination with other OROLSI components, integrated operations teams, the Department of Political Affairs and other UN agencies, funds and programmes. The DDR Section also monitors, evaluates, captures and disseminates lessons learned and best practices, develops policy and guidance (in conjunction with the Inter Agency Working Group on DDR) and provides operational guidance and support to the technical units in the field.<sup>xi xii</sup>



For more information on DDR and the IAWG, go to: <http://unddr.org/>

### Security Sector Reform Unit

Making people feel safe and secure in post-conflict contexts and re-building confidence between the State and its people is vital for sustainable peace and development. Security Sector Reform (SSR) is defined by the UN as “a process of assessment, review and implementation as well as monitoring and evaluation led by national authorities that has as its goal the enhancement of effective and accountable security for the State and its peoples without discrimination and with full respect for human rights and the rule of law”.<sup>xiii</sup> The security sector is generally acknowledged to include the structures, institutions and personnel responsible for the management, provision and oversight of security in a country. These might include defence, law enforcement, corrections, intelligence services and institutions responsible for border management, customs and civil emergencies, as well as elements of the judicial sector responsible for cases of alleged criminal conduct and misuse of force, management and oversight bodies, and informal or traditional security providers.<sup>xiv</sup>

Traditionally, international support to national SSR efforts has focused on operational level institutional reforms, in particular within police services and defence forces. Indeed, the vast bulk of the international community’s assistance to defence sector reform has been on ‘train and equip’ initiatives. However, over the past decade, the transformative value of assistance at the ‘sector-wide’ level of SSR has become evident. It aims to enhance security sector governance and, thereby, to produce systemic change in foundations common to all security sector components.

[10]

Working in coordination with partners in the UN Secretariat and other UN agencies, funds and programmes, the core functions of the SSR Unit are serving as the focal point and technical resource capacity for UN systems, national and international partners and providing support to the rapidly expanding range of field missions involved in assisting national SSR efforts. Responsibilities also include developing UN guidance, standards and practices, maintaining a roster of SSR experts and delivering SSR training to United Nations personnel, external partners and national actors. In consultation with Member States, the SSR Unit also identifies lessons learned on security sector reform and makes available a repository of SSR materials.<sup>xv</sup> Finally, the SSR Unit provides the secretariat for the UN Inter-agency SSR Task Force, which is co-chaired by DPKO and United Nations Development Programme (UNDP). This system-wide Task Force seeks to facilitate a comprehensive and coherent “One-UN” approach to SSR, with the goal of enhancing the United Nations capacity to deliver more efficient and effective support to national and regional SSR efforts.

A recent development in this area is the unanimous adoption of the first stand-alone Security Council Resolution on SSR, SCR 2151 (2014), reaffirming the importance of SSR in stabilizing countries recovering from conflict and resolving to prioritize reform aspects in both peacekeeping and special political mission mandates. The Resolution underscores the centrality of national ownership, recognizing that SSR needs to be in support of, and informed by, broader national political processes. In this regard, it underlines the importance of strengthening support to sector-wide initiatives that aim to enhance the governance and overall performance of the security sector. Regarding the role of the United Nations, the resolution notes that the Organization is particularly well-positioned to support and coordinate sector-wide reforms and has experience as well as comparative advantages in this area. It also requests the Secretary-General to strengthen the Organization's comprehensive approach to SSR, to encourage the Secretary-General's Special Representatives and Envoys to fully take into account the strategic value of SSR in their work, including through their good office functions, and, to develop guidance and assist relevant senior UN management to understand how to deliver mandated SSR tasks.<sup>xvi</sup>



For more information on SSR, go to: <http://unssr.unlb.org/>



An in-depth look at achievements and lessons learned in SSR can be found in the 2012 UN SSR Perspective document:  
[http://www.un.org/en/peacekeeping/publications/ssr/ssr\\_perspective\\_2012.pdf](http://www.un.org/en/peacekeeping/publications/ssr/ssr_perspective_2012.pdf)

In the video below, Brigadier (rtd.) Kellie Conteh shares his experience and knowledge about Security Sector Reform in this short video

“Securing States and Societies through Security Sector Reform”



<http://www.youtube.com/watch?v=l2nGi8w6SaM&feature=youtu.be>  
(3:54 minutes)

Closely linked with SSR is Defence Sector Reform (DSR). The [2011 DPKO-DFS Defence Sector Reform \(DSR\) Policy](#) notes that the defence sector is considered to be an important subset of the security sector.



To see a video on Defence Sector Reform in the UN, providing guidance to UN personnel engaged in supporting national defence sector reform, go to:

<http://www.youtube.com/watch?v=abZbXA4vMVM> (16 :09 minutes. Includes French subtitles)

### United Nations Mine Action Service

The United Nations role in mine action (UNMAS) is rooted in the UN Charter and further defined under UN resolutions, which consider “Mine action to be an important component of United Nations humanitarian and development activities”.<sup>xvii</sup> UNMAS is the lead United Nations entity on explosive hazards and the focal point for the coordination of “mine action” in the UN system.<sup>xviii</sup>

Mine action refers to activities which aim to reduce the social, economic and environmental impact of mines and explosive remnants of war (ERW) including cluster munitions. Mine action comprises five complementary groups of activities: mine-risk education (MRE) for civilians and UN staff, humanitarian demining (i.e. mine and ERW survey, mapping, marking and clearance), victim assistance (including rehabilitation and reintegration to those who have been injured by mines), weapons and ammunition stockpile management and destruction and advocacy against the use of Anti-Personnel Mines in accordance with international agreements.<sup>xix</sup>

UNMAS was established under GA resolution [A/RES/53/26](#) (1998) to support the UN's vision of "a world free of the threat of landmines and unexploded ordnance, where individuals and communities live in a safe environment conducive to development, and where mine survivors are fully integrated into their societies".<sup>xx</sup> Fourteen UN entities work together to implement the United Nations vision of a world free from the threat of

mines and explosive remnants of war including cluster munitions. UNMAS collaborates with UN departments, agencies, programmes and funds to ensure an effective, proactive and coordinated response.<sup>xxi</sup> UNMAS leads the Inter-Agency Coordination Group on Mine Action, the Mine Action Area of Responsibility under the Global Protection Cluster and contributes to the Inter-Agency Support Group on the Convention on the Rights of Persons with Disabilities and the Coordinating Action on Small Arms mechanism. UNMAS also coordinates meetings of standing committees and the Steering Committee on Mine Action, as well as administering the Voluntary Trust Fund for the Assistance in Mine Action. Additionally, the Service coordinates UN advocacy in support of treaties and other international legal instruments related to landmines and explosive remnants of war, including cluster munitions, and in support of the rights of people affected by these devices.

UNMAS operates in the most challenging environments in the world. It provides advisory and technical support to United Nations peacekeeping operations and special political missions, and rapid response to humanitarian emergencies. Working with governments and other actors to provide timely and effective responses, UNMAS leads, coordinates and carries out clearance, risk education, victim assistance and stockpile destruction activities and provides expert guidance and training to national authorities of affected countries.

As first responders, UNMAS explosive hazards experts stand by to provide lifesaving rapid response to deploy at short notice to emergencies. This paves the way for humanitarian assistance, the deployment of peacekeepers and safe, secure communities.

UNMAS provides direct support and assistance to 17 programmes in Afghanistan, Colombia, Cote d'Ivoire, Democratic Republic of Congo, Lebanon, Liberia, Libya, Mali, State of Palestine, Somalia, Sudan, Abyei, Darfur, South Sudan, Syrian Arab Republic, Western Sahara, and the Central African Republic.<sup>xxii xxiii</sup> The UN Mine Action Service is comprised of the Office of the Director, Planning and Programme Management, Policy coordination and Public Affairs and Finance, Budget and Reporting Sections.



For more information on the UN Mine Action Service, go to: <http://www.unmas.org>

### Office of Military Affairs

Another of the three main offices of DPKO, the Office of Military Affairs (OMA) provides military advice and plans and supports the deployment of military capabilities within peacekeeping operations. It is also responsible for enhancing the performance, efficiency and effectiveness of military components in United Nations Peacekeeping missions.<sup>xxiv</sup> The Office of Military Affairs (OMA) is comprised of the Office of the Military Adviser, the Current Military Operations Service, the Military Planning Service and the Force Generation Service. Each of these services is headed by a Chief who is accountable to the Military Adviser.

### Office of the Military Advisor

The Military Adviser, a serving Lieutenant General at the level of Assistant Secretary-General, leads the Office of Military Affairs and is accountable to the Under-Secretary-

General. The current Military Advisor (also known as the MILAD) is Lieutenant General Maqsood Ahmed. The MILAD is responsible for providing military advice to the Under-Secretary-General for Peacekeeping Operations and, when requested, through him or her to the Under-Secretaries-General for Political Affairs and Field Support, the Secretary-General and the Security Council. The Military Adviser also provides advice and support to heads of offices and divisions within the Department of Peacekeeping Operations, the Department of Field Support, operations with military components led by the Department of Peacekeeping Operations and missions with military advisory functions led by the Department of Political Affairs.<sup>xxv xxvi</sup>



For more information on the current Military Advisor, go to:  
[http://www.un.org/en/peacekeeping/about/dpko/oma\\_adviser.shtml](http://www.un.org/en/peacekeeping/about/dpko/oma_adviser.shtml)

### Current Military Operations Service

The Current Military Operations Service (CMOS) is comprised of three geographically based teams. The core functions of the CMOS include providing advice to the heads of the military components of Department-led operations in coordination with the integrated operational teams on technical aspects of military operations, such as contingency planning, force rotations and operational reporting. The Service also provides military information and analysis related to current events and situations relevant to United Nations peacekeeping and coordinates visits, briefings and debriefings of various officials to peacekeeping operations. In coordination with the Conduct and Discipline Unit in the Department of Field support, the CMOS coordinates OMA's responses to disciplinary issues involving DPKO operations and DPA led missions.<sup>xxvii</sup>



For more information on the Office of Current Military Operations Service, go to:  
<http://point.un.org/SitePages/oma.aspx>

### Military Planning Service

The Military Planning Service (MPS) is comprised of three geographically based planning teams, a long-term planning team and specialist aviation and maritime operational planners. The core functions of the MPS include providing military strategic planning advice to the Military Advisor, developing and monitoring military plans, specifying force or operational requirements, producing military guidance documents and providing technical advice and guidance. The Military Planning Service works in coordination with DPKO-DFS, the Department of Political Affairs, the Office of Legal Affairs and the Integrated Training Service within the Policy, Evaluation and Training Division and other agencies as appropriate.



For more information on the Office of Military Planning Service, go to:  
<http://point.un.org/SitePages/mps.aspx>

### Force Generation Service

The Force Generation Service (FGS) is comprised of a force generation team, a standby arrangements team and a military personnel team. The FGS serves as the principal military contact with troop-contributing countries. In close liaison with Member States,

integrated operational teams and other appropriate entities in the DPKO-DFS and the Department of Political Affairs, FSG conducts the force generation process, including the generation and rotation of all military contingents and individuals and supporting the selection process for senior United Nations military appointments. In collaboration with DFS, the Service develops guidelines on force requirements and participates in negotiations and memorandums of understanding (MOUs) regarding troop deployment, force adjustments and contingent-owned equipment. It also maintains military deployment records of service and performance, deployment statistics, country profiles and data on agreements with Member States related to standby arrangements and rapid deployment levels. The Service coordinates reconnaissance visits to peacekeeping operations for troop-contributing countries as well as leading pre-deployment visits to troop-contributing countries to verify the preparedness of Member States to meet the conditions of UN peacekeeping operations, MOUs and contingent-owned equipment agreements.



For more information on the Force Generation Service, go to:  
<http://point.un.org/SitePages/fsg.aspx>

## 1.2 INTRODUCTION TO DFS

UN field operations require complex support systems in challenging operating environments. In accordance with the Secretary-General’s Bulletin on the Organization of the Department of Field Support (2010), the Department of Field Support (DFS) provides support to peacekeeping and special political missions in coordination with Member States and contracted services providers. DFS delivers support in the areas of finance, human resources, general administration, information and communications technology and logistics. Logistical services include supplying fuel, water, accommodation, food, offices and equipment for military observers, staff officers, UN Police and civilian staff, as well as transportation and medical facilities for the entire mission. Varying arrangements are made with troop and police contributing countries for the provision of vehicles, large equipment, catering, engineering and other support services for each mission.<sup>xxviii</sup>

DFS currently provides logistics, administrative and information and communications technology support for 15 peacekeeping missions and 1 field-based special political mission. These field missions represent a total civilian, police and military deployment of more than 118,800 personnel. In peacekeeping missions, the constant rate of troop and police rotations entails supporting twice the number of deployed uniformed personnel on an annual basis.<sup>xxix</sup>



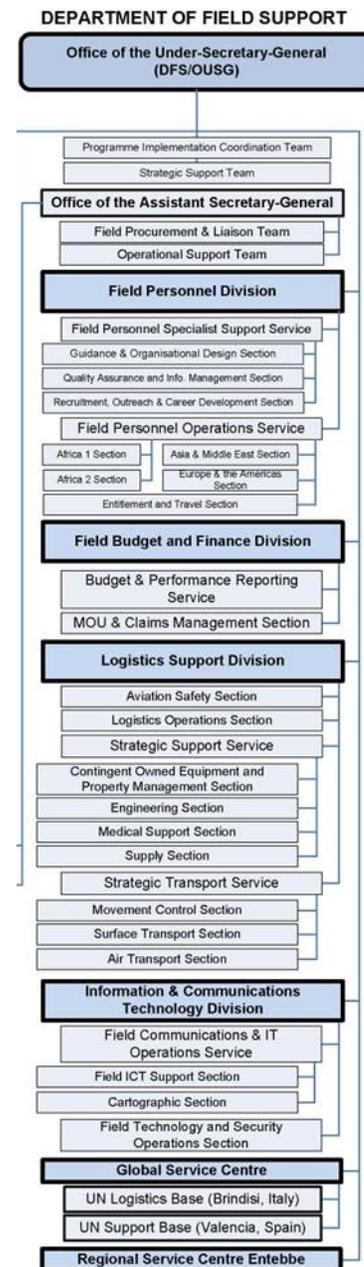
For more information on DFS, go to: <http://www.un.org/en/peacekeeping/about/dfs/>

### The Global Field Support Strategy

Recognizing that the effectiveness of peacekeeping activities depends a great deal on a broad range of logistics that safely and efficiently support peacekeepers, a comprehensive strategy was developed to transform service delivery in the field.

The Global Field Support Strategy (GFSS) is a comprehensive, five year (2010-2015) change management initiative that aims to improve the quality, speed and efficiency of the support that the Department of Field Support provides to field missions and personnel serving on the ground. The strategy focuses on four main areas: finance, human resources, the supply chain and service centres.<sup>xxx</sup>

The GFSS initiative is intended to facilitate timelier mission start-up, improved provision of physical support to field missions, and increased accountability and transparency in



the efficient use of the resources entrusted to the UN by Member States. The GFSS is based on partnership within the UN, with troop- and police-contributing countries, and the major providers of funds for peacekeeping operations. The principles that inform the Strategy include broad consultation with Member States, optimizing service delivery within existing resources and budgets, increased transparency and accountability, and a strong call for the engagement of civilian, military and police mission components in developing and implementing the GFSS.<sup>xxxix</sup>



Information on implementation support for the GFSS can be found in this e-Guide in the section on the [Programme Implementation Coordination Team](#).

### 1.2.1 Under-Secretary-General, Department of Field Support



Since June of 2012, Ms. Ameerah Haq has served as the Under-Secretary-General of the Department of Field Support (USG–DFS). The core strategic functions of the Under-Secretary-General include directing all support for UN field operations (peacekeeping operations and special political missions), including the provision of strategic direction on the delivery of support components in the areas of human resources, finance, procurement, conduct, logistics, communications and information technology. The USG leads the development of organizational support strategies, policies and procedures to meet field requirements and ensures the recruitment and retention of high-quality civilian personnel for field operations.

The USG is also responsible for liaising and conducting negotiations with Member States and other organizations on contributions to field operations and related administrative and logistical support. Operational responsibilities include ensuring effective management, implementation and monitoring of integrated support for field operations, overseeing the delivery of operational, administrative and logistics support to ensure the safety and security of staff in field operations and overseeing the development and maintenance of strategic support partnerships, including with regional organizations and entities within the UN system.



To read more about Ms. Haq, go to:  
<http://www.un.org/en/peacekeeping/about/dfs/chief.shtml>

To see a short video clip of Ms. Haq speaking about the major challenges of 2013 and the priorities for field support in 2014, go to Module 2, page 50 or click [here](#).

### Assistant Secretary-General and the Office of the Assistant Secretary-General

The current Assistant Secretary-General (ASG) is Mr. Anthony Banbury. The ASG is accountable to the USG-DFS and is responsible for developing cross-cutting field support policies and strategies and overseeing their implementation at Headquarters and in field operations. His core functions also include delivering day-to-day operational field support in the areas of personnel, finance, budget, conduct and discipline, logistics, information and communications technology, field-focused risk management, quality assurance, audit and Board of Inquiry issues, procurement and leadership of enterprise-wide projects and initiatives.

The Office of the ASG-DFS comprises the front office of the ASG, the Field Procurement and Liaison Team, the Conduct and Discipline Unit, and the Audit and Board of Inquiry Team (the latter two of which are discussed in the [Shared Capacities](#) section). In addition to assisting and advising the ASG-DFS in carrying out his duties, the core functions of the Office of the ASG includes advising on the provision of field operational support, communicating on behalf of the ASG as required, and coordinating administrative and logistics mechanisms to support field operations in their implementation of the policy on recreation and welfare.

### 1.2.2 Main Offices of DFS

As of May, 2014, there are three strategic level offices within the Department of Field Support reporting directly to the Office of the USG DFS: (1) the Strategic Support Team, (2) the Programme Implementation Coordination Team for the Global Support Strategy and, (3) the Office for Peacekeeping Strategic Partnership.

There are also eight sections who report to the Office of the Assistant Secretary-General. These include the Operational Support Team, the Field Procurement and Liaison Team, the Field Personnel Division, the Logistics Support Division, the Information and Communications Technology Division, the Global Service Centre and the Regional Service Centre Entebbe.

#### **Programme Implementation Coordination Team**

The Global Field Support Strategy provides for a change management implementation system that allows senior leadership to be systematically exposed to achievements, issues and failures and decide on corrective actions in a timely manner. The Programme Implementation Coordination Team plans, manages and coordinates the programme of work associated with the strategy. The Team supports the related accountability and management frameworks to enable comprehensive and detailed reporting to Member States on a regular basis and coordinates efforts among DFS divisions at Headquarters, the Global Service Centre, the Regional Service Centre and field missions.

The Team also coordinates efforts among various departments and offices, including DPKO, the Department of Political Affairs, the Department of Safety and Security and the Office of Human Resources Management, the Office of Programme Planning, Budget and Accounts and the Office of Central Support Services of the Department of Management. It is responsible for planning, monitoring and reporting on the implementation of the strategy and recommending corrective action to the USG DFS and the Strategy Steering Committee as required for successful implementation. The Team Leader provides senior management with the oversight and coordination necessary for the timely and comprehensive implementation of the strategy over its five-year implementation horizon, ensuring that related activities are contributing to the attainment of the strategic objectives.<sup>xxxii</sup>



For more information, please contact the GFSS Implementation Coordination Team at: [gfss-dfs@un.org](mailto:gfss-dfs@un.org)

### Strategic Support Team

The Strategic Support Team reports directly to the USG-DFS and supports the strategic development and management oversight of the Department of Field Support. Its principal function is to ensure that the leadership of DFS benefits from a two-way interaction with DFS staff, mission-level leadership, DPKO, the Departments of Political Affairs and Management, other United Nations entities and Member States. The Team ensures that strategic decisions taken by the USG DFS are systematically based on department-wide information-gathering and analysis and that DFS activities and efforts benefit from clear strategic guidance, robust management oversight and senior-level decision-making led by the Office of the Under-Secretary-General. The Team is also responsible for ensuring that accountability is strengthened throughout DFS and within UN peacekeeping missions with a view to the efficient use of resources and consistency with Member State guidance.<sup>xxxiii</sup>

### Global Services Centre

As part of the Global Field Support Strategy restructuring, the UN Logistics Base (formerly UNLB) in Brindisi, Italy, has been re-profiled as the Global Service Centre (GSC) for the field. In addition to its pre-existing tasks as the logistics base for UN peacekeeping (including the provision of logistics and information and communications technology support, and maintaining the strategic deployment stocks reserve), the new GSC also supports centres of expertise for service delivery to the field in administrative support, field central review body secretariat services, budgeting and financial management.

The United Nations Support Base at Valencia, Spain, serves as a communications hub for peace operations as well as a secondary active site for disaster recovery.



For more information on the Global Service Centre, go to:  
<http://point.un.org/SitePages/gsc.aspx>



The Civilian Pre-Deployment Training at the GSC is further discussed in Module 4, on page 143.

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A video outlining the logistics services of the Global Service Centre



<http://www.youtube.com/watch?v=QvnsQ9cbE2M> (6:42 minutes)

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### Regional Service Centre - Entebbe

Also as part of the UN Global Field Support Strategy concept, the Regional Service Centre - Entebbe (RSCE) in Uganda, was established in 2006 as a regional hub for common use by missions in the region. Its purpose is to enhance the efficiency and responsiveness of logistical support operations and reduce the deployment footprint of regional missions. Since its inception, the RSCE has worked closely with the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) and benefits from the support and infrastructure provided by the MONUSCO Entebbe Support Base (ESB). The Regional Training and Conference Centre in Entebbe serves as a training hub for DFS and DPKO Field missions in the region, hosting a wide variety of courses, conferences and meetings.<sup>xxxiv</sup>

### Field Procurement and Liaison Team

The Field Procurement and Liaison Team (FPL) is responsible for managing and monitoring delegations of procurement authority by the Under-Secretary-General for Field Support to field mission staff. The Team develops procedures related to field contract management and integrated logistics support planning, including acquisition planning. The Team is also responsible for advising the Assistant Secretary-General for Field Support on field procurement issues and supporting the Under-Secretary-General for Field Support and the Department of Management in the development and implementation of field procurement policies and procedures.<sup>xxxv</sup>

### Operational Support Team

The Operational Support Team (OST) has responsibility for enhancing the ability of the Department to deliver higher-quality service to field missions at a lower cost, consistent with the global field support strategy. For this purpose, the Team provides support to the Assistant Secretary-General in strengthening the capacity of the Office to provide more integrated support to peacekeeping missions. It also ensures that the priorities and immediate exigencies of mission start-up, sustainment and drawdown are understood at the division level in order to provide an overall coherent response. The Director of the Operational Support Team delivers operational guidance and support across all of the functional areas of DFS.<sup>xxxvi</sup>

### Field Personnel Division

Headed by the Field Personnel Division (FPD) Director, the Division is responsible for designing, recruiting, developing, managing, and retaining a highly-qualified civilian staff for service in UN field operations. The Division exercises overall leadership and responsibility for the conduct of human resources management and is also the primary human resources policy advisor to DPKO and the Department of Political Affairs senior leadership in Headquarters and in the field.

The Field Personnel Division is comprised of the Field Personnel Operations Service and the Entitlements and Travel Section (which includes the Office of the Deputy Director and four Integrated Regional Human Resources Management Sections) and the Field Personnel Specialist Support Service (which includes the Office of the Deputy Director/Chief of Service, Guidance and Organizational Design Section, the Quality Assurance and Information Management Section and the Recruitment, Outreach and Career Development Section).<sup>xxxvii</sup>

[20]



For more information on the FPD, go to: <http://point.un.org/SitePages/fpd.aspx>

### Field Budget and Finance Division

The Field Budget and Finance Division (FBFD) is responsible for efficient budgeting processes and providing guidance to field operations and Headquarters on the formulation of budget proposals, performance reports and other budgetary documents. Guidance also encompasses budgetary policies, procedures, processes, systems, practices, rules and regulations and results-based budgeting.

The Division participates in discussions with advisory and legislative bodies and supports the implementation of their recommendations. Working in consultation with the Office of Military Affairs, the Police Division, Mine Action Service and the Logistics Support Division of DPKO, the FBFD manages the financial aspects of contingent-owned equipment and death and disability claims for contingents in field operations. The Division also liaises with Members States on related memoranda of understandings, policies and procedures.

The Division is comprised of the Office of the Director, the Budget and Performance Reporting Service and the Memorandum of Understanding and Claims Management Section.<sup>xxxviii</sup>

### Logistics Support Division

The Logistics Support Division (LSD) is the Division tasked with providing logistics support to peacekeeping operations. Organized into four main areas (the Strategic Support Service, the Strategic Transport Service, the Aviation Safety Section and the Logistics Operations Section), the Division provides an extensive range of logistical support services including responsibilities for supplies, rations, engineering, contingent owned equipment and property management, cartographic and medical support. The LSD also manages logistics capabilities in terms of safe ground, sea and air transport for movement of military and civilian personnel and cargo, and the timely provision of vehicles and spare parts. Additionally, the LSD is responsible for overall planning and coordination of logistical support including contract management, acquisition and liquidation processes and monitoring logistics related policies and procedures.<sup>xxxix xl</sup>



For more information on the Logistics Support Division, go to: <https://www.lsd.unlb.org/home.aspx>

### Information and Communications Technology Division

The Information and Communications Technology Division (ICTD) is responsible for the planning, implementation, management and maintenance of information and computer applications throughout UN peacekeeping and political missions. The Division is comprised of the Field Communications and Information Technologies Operations Service and the Field Technology and Security Section. Working in coordination, the ICTD services establish the architecture and standards for information and communications technologies (ICTs), plan and implement major infrastructures, improvements and transitions, provide ICT project management support and review and approve budgets and strategic directions for ICTs in field operations. The Division

provides ICT operational, logistic, administrative and training support to field operations and manages the Secretariat’s global telecommunications infrastructure that underpins field operations and supports UN bases in Brindisi and Valencia. The Division also coordinates planning for field-based disaster recovery and business continuity and assesses and implements measures to address and prevent information security threats, compromises and loss of ICT resources and data. In accordance with the ICT governance framework, the Division ensures the coherent and coordinated global usage of information systems across DPKO-DFS and the Department of Political Affairs.



For more information on the Information and Communications Technology Division, go to: <http://point.un.org/SitePages/ictd.aspx>

### 1.3 SHARED CAPACITIES AND RESPONSIBILITIES

The following offices are shared resources providing services to the Department of Peacekeeping Operations and the Department of Field Support.

#### 1.3.1 Office of Chief of Staff

The Office of the Chief of Staff (O/COS) is headed by the Chief of Staff, who is accountable to both the Under-Secretaries-General for Peacekeeping Operations and Field Support. Working in coordination with executive bodies and committees, the O/COS is responsible for ensuring DPKO and DFS work in an integrated manner. Core functions of the O/COS include coordinating, monitoring and overseeing the internal management of DPKO, as well as developing, advising on, and promoting policies and guidelines on management issues on behalf of and as directed by the DPKO-DFS USGs. The Office provides policy and strategic advice to the DPKO-DFS USGs on safety and security matters related to DPKO-led operations and coordinates daily interaction with the Department of Safety and Security.

The O/COS leads development of the programme management plan and results-based-budgeting frameworks for DPKO, as well as the related monitoring, evaluation and reporting activities. The Office also leads or oversees the development and implementation of the reform and change management and process improvement plans of DPKO-DFS. It also oversees the implementation of the performance management framework for heads of DPKO-led operations and coordinates the formulation of their Senior Managers’ compacts and performance assessments.

The Office manages and archives the substantive business records of the Offices of DPKO-DFS USGs and ASGs and coordinates the processing of incoming and outgoing documents in DPKO and DFS, including internal and external correspondence addressed to the Under-Secretaries-General.



## Executive Office

The Executive Office (EO) is headed by the Executive Officer who is accountable to the Chief of Staff. The Office is responsible for assisting department heads and programme managers in carrying out their financial, personnel and general administrative responsibilities as delegated by the Under-Secretary-General for Management. Support might include providing support with budgets, financial performance reports, recruitment, performance appraisal, promotions, entitlements and liaising with the Office of Human Resources, the Office of Programme Planning, Budget and Accounts and the Office of Central Support Services.

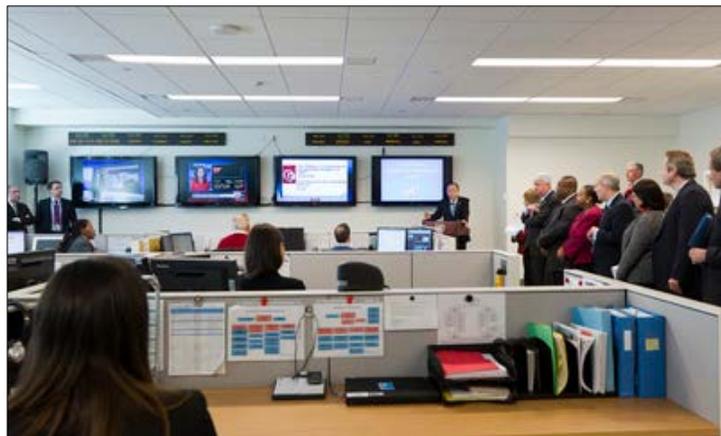


The EO function related to human resources are discussed in more detail in [Module 5](#).

## UN Operations and Crisis Centre/Peacekeeping Situation Centre

The Peacekeeping Situation Centre (SitCen) was established in 1993 and serves as an information hub for DPKO and DFS. The SitCen became part of the United Nations Operations and Crisis Centre (UNOCC) in January 2013. Under the Secretary-General's authority, the UNOCC is responsible for providing UN senior management with a common global picture, acting as a single point of contact for the management of crisis in the field and continuous executive communications support. Within UNOCC, the SitCen provides situational awareness and analysis through the monitoring of developments in operations led by DPKO and/or supported by DFS, as well as in other areas of interest. It provides daily written updates to senior Secretariat staff, conducts research and prepares specialized information products on incidents and trends that might affect current and potential operations, and coordinates the development of policy guidance and standard operating procedures concerning reporting, crisis response and crisis management for DPKO-led operations. SitCen also facilitates Headquarters crisis response for DPKO-led operations, ensuring an integrated operational approach at Headquarters and in the field.

The Centre provides policy guidance and support to [Joint Operations Centres \(JOC\)](#) and [Joint Mission Analysis Centres \(JMAC\)](#). It also maintains and develops external relations with situation and operations centres of other UN entities and regional organizations.



*Secretary-General Ban Ki-moon (at lectern, centre right) delivers remarks, inaugurating the United Nations Operations and Crisis Centre (UNOCC, located in the UN Secretariat Building), and thanking the stakeholder UN departments responsible for the Centre's development.* (Photo Credit: Rick Bajornas)

### Public Affairs Section

The Public Affairs Section (PAS) is responsible for managing media relations, publicity and external relations, including the development and implementation of communications plans and campaigns and representational activities. The section also manages corporate messaging and internal communications and provides support to the public information components of DPKO-led operations in cooperation with the Department of Public Information and DFS.<sup>xii</sup>

PAS liaises with the integrated operational teams and other areas of DPKO and DFS, as well as the Department of Public Information, in providing technical advice and broader operational support to public information components in field missions, including on planning, policy, training and evaluation issues. The Section maintains the UN Peacekeeping website in conjunction with DPI, the Mission websites in collaboration with the Peacekeeping Information Management Unit, and runs UN Peacekeeping social media channels.



For more information on the Public Affairs Section, go to:

<http://point.un.org/SitePages/pas.aspx>

### Peacekeeping Information Management Unit

The Peacekeeping Information Management Unit (PK IMU) is responsible for generating information management strategy and policy and for leading cross-cutting initiatives in support of peacekeeping strategy. The unit also provides technical assistance on information management policy, practice, and operational planning to DPKO, DFS and field missions. The coordination of stakeholder interests in high-impact, crosscutting information management initiatives is led in the PK IMU to ensure access to timely information in peacekeeping. PK IMU supports the alignment of information management priorities with peacekeeping priorities, including support to the Chief of Staff in budgetary processes through the DPKO/DFS Information Management Committee.

The core functions of the PK IMU include implementing the DPKO-DFS Information Management Strategy, establishing information management governance and the DPKO-DFS Information Management Committee, ensuring information management activities are aligned with departmental and mission mandate objectives, and establishing priorities for information management initiatives for peacekeeping operations.

The Unit is responsible for the POINT Intranet platform, the DPKO/DFS Strategic Management System (SMS), and several global information initiatives, some of which are discussed in [Module 4](#). The Peacekeeping Records Centre (PKRC) is a team within the PK IMU and is responsible for streamlining and strengthening records management in peacekeeping.<sup>xiii</sup>



For more information on the Peacekeeping Information Management Unit, go to:

<http://point.un.org/SitePages/pkimu.aspx>

For more information on the PK IMU Information Management Initiatives, go to:

<http://point.un.org/SitePages/pkimuinitiatives.aspx>

For more information on the Peacekeeping Records Centre, go to:  
<http://point.un.org/SitePages/pkrc.aspx>

### **Focal Point for Security**

The Focal Point for Security (FPS) is a small section under the Chief of Staff. It is headed by the FPS him/herself, and supported by two programme officers and a team assistant. While the section does not manage the day to day security matters in missions (as this function is performed by the Peace Operations Support Section (POSS) at the Department of Safety and Security (DSS) the FPS is in daily contact with POSS on all matters relating to security of field missions, and offers strategic or policy support to POSS where required. The FPS attends most crisis meetings convened to manage crisis in the field in the role of security adviser to the USG DPKO and USG DFS through the Chief of Staff.

The FPS provides DPKO and DFS with security advice, policy guidance and support, serves on the Inter Agency Security Management Network (IASMN) and supports and liaises with Occupational Group Manager and safety occupational groups as required. He or she also supports Field Occupational Safety Risk Management (FOSRM) and the Organizational Resilience Management System through assistance with policy development, field visits and training. The FPS also provides support for integration of Programme Criticality, policy development on crisis management and security advice to the IOTs, as well as serving as a member of the Secretariat Crisis Operations Group (COG).

### **1.3.2 Policy Evaluation and Training Division**

Established in 2007, the Policy Evaluation and Training Division (DPET) provides overall leadership and strategic direction and, through its Services, develops and disseminates policy and guidance, conducts thematic and programme evaluations, and develops, coordinates and delivers standardized training. DPET's work in developing policy and capacity supports is facilitated by strategic partnerships and cooperation with UN and external partners, including Member States. DPET includes the Partnerships Team, the Evaluation Team, the Policy and Best Practices Service and the Integrated Training Service. Each of these services is discussed below.

#### **Partnerships Team**

UN peacekeeping is increasingly reliant on effective partnership arrangements in order to meet its mandated objectives. DPET maintains a Partnerships Team that provides a common platform of support to both DPKO and DFS for strategic partnerships. While all parts of DPKO and DFS work with a differentiated set of partners based on the country or tasks at hand, DPET Partnerships supports global partnership arrangements and dialogue mechanisms with critical partners (one exception is partnership with the African Union, which is managed by the Office of Operations). The Partnerships Team also supports policy work in areas that are closely linked to partnership efforts, including peacebuilding and integration. The following tables show the main partnerships supported through the Team.

### Main Partnerships supported through Partnerships Team

Main External Multilateral Partners	Main UN Partners
European Union	DPA
NATO	UNDP
CSTO	DOCO
LAS	PBSO
ASEAN	OCHA
World Bank/IMF	UNICEF
ICRC	OHCHR
International organizations and NGOs	UNHCR
	WFP

### Evaluation Team

As noted in [DPKO-DFS Headquarters Self-Evaluation Policy \(2013\)](#), the Departments have a responsibility to assess the performance and results of DPKO and DFS and their respective sub-programmes. Evaluations provide the Departments with objective evidence on their achievements and on the effects of their efforts and resources. Evaluation results also can serve the purpose of strengthening requests to Member States for resources, provide managers and staff with opportunities to review processes and implementation and to identify lessons to be learned to improve practices and management.

The Evaluation Team provides substantive and administrative support to DPKO-DFS in the planning, conduct and follow-up of evaluations. Evaluations may be undertaken either directly by the Evaluation Unit or by the programme/sub-programme with support from the Evaluation Unit. As resources are limited, a DPKO-DFS Evaluation Advisory Board advises senior managers on the resources available and supports a jointly developed annual evaluation plan that address both Departments' needs and recommends which evaluations should be led by the programme(s) and which should be led by the Evaluation Unit.

The Evaluation Unit's placement within the Policy, Evaluation and Training Division ensures that it is separate from day-to-day operational management responsibilities and that evaluation findings are incorporated into the policy development, best practices and training activities that contribute to the institutional strengthening of DPKO and DFS.

### Policy and Best Practices Service

The Policy and Best Practices Service (PBPS) provides support to both DPKO and DFS in the field and at Headquarters. The function of PBPS is to help improve the efficiency and effectiveness of peacekeeping operations through the exchange of good practices between missions, the development of guidance material that reflects lessons learned and thematic policy support in selected areas (Gender, HIV/AIDS, Civil Affairs, Protection of Civilians and Child Protection). PBPS also coordinates the network of Best Practices Officers in the field and the Knowledge Sharing Toolbox.

With regards to guidance development, PBPS acts as the secretariat for the Expanded Senior Management Team (E-SMT), as well as DPKO’s policy review body. As such, it coordinates the drafting of policy guidelines and procedures on cross-cutting aspects of peacekeeping operations (such as mission integration and risk management), or in specialized areas (such as strategic partnerships with regional organizations or HIV prevention among peacekeeping staff). PBPS also supports electronic platforms such as Communities of Practice, the Peace Operations Intranet, and the DPKO website.<sup>xliii</sup> These knowledge sharing tools will be discussed further in [Module 4](#).

The Policy and Best Practices Service is comprised of teams focused on Policy Planning, Knowledge Management and Guidance, Protection of Civilians, Gender Advisory, HIV/AIDS, Child Protection, Civil Affairs and Integrated Training Services. Each of these teams is discussed on the following pages.

### Policy Planning Team

The Policy Planning Team (PPS) is tasked with developing, coordinating and implementing a range of policy portfolios in support of ongoing peacekeeping reform activities, along with identification and development of new policy initiatives in response to the ongoing evolution of the global peacekeeping environment. Building on the key findings of the Report of the Panel on United Nations Peace Operations of 2000 and on the direction set by the [Capstone Doctrine](#) of 2008, PBPS has focused on further defining the central issues facing peacekeeping today and on scoping approaches to addressing them. In this regard, the Policy Planning Team, in cooperation with offices across DPKO and DFS, supports oversight of the current reform streams outlined within the [New Partnership Agenda: Charting a New Horizon for UN Peacekeeping](#), released in 2009, and the additional outputs identified in the [Progress Report No.1](#) of 2010. The Team’s oversight responsibilities include preparation of relevant briefings and reports on implementation, as well as coordination of Departmental outreach efforts on reform issues.

With respect to implementation of reform priorities, the Policy Planning Team serves as the Departmental focal point and coordinator for efforts to develop and implement a comprehensive capability-driven approach with the aim of improving overall performance in the field. In reference to forward-looking policy planning, the Policy Planning Team, in partnership with other elements of DPET and the wider UN family, provides conceptual and policy advice on a wide range of peacekeeping issues, including but not limited to the peacekeeping-peacebuilding nexus, command and control, strategic force generation, and human rights screening. It also serves as the Departmental liaison with peacekeeping experts from within civil society and academic circles and supports ongoing policy dialogue on cross-cutting peacekeeping issues with both UN system and external partners. In addition to its policy analysis and articulation function, the Policy Planning Team provides the Secretariat support to the Special Committee on Peacekeeping Operations and also supports the OUSGs of DPKO and DFS in the development of strategic messaging and communication materials on the UN peacekeeping agenda and in engagement with key partners within Member States, regional organizations, civil society and the broader UN.



For more information on the Policy and Planning Team at Headquarters, go to <http://point.un.org/SitePages/policyplanningteam.aspx>

### Knowledge Management and Guidance Team

The Knowledge Management and Guidance Team facilitates the exchange of good practices between missions and supports the development and dissemination of DPKO-DFS official guidance materials for UN peacekeeping operations. It develops standard tools to capture good practices and lessons to identify major trends, raise attention, and foster the policy planning agenda. Greater detail about specific knowledge management and sharing tools can be found in [Module 4](#).

The Team also assists DPKO-DFS colleagues in drafting and approval of guidance materials, identifies needs for guidance to be developed, takes the lead in drafting guidance on cross cutting issues (e.g. Protection of Civilians) and provides support to DPKO-DFS to the Extended Senior Management Team on guidance issues. The Peacekeeping Policy and Practice Database, which is managed by the team, forms the repository for all DPKO-DFS promulgated guidance and good practices products.



For more information on the PBPS Knowledge Management and Guidance Team go to: <http://point.un.org/SitePages/knowledgesharing.aspx>

### Protection of Civilians Coordination Team

In response to the increasing number of civilians who have become the victims of armed conflict, the Security Council has mandated a number of peacekeeping operations with the protection of civilians (POC) from physical violence. There are currently 9 peacekeeping operations with Protection of Civilians (POC) mandates. Over 94% of overall peacekeeping personnel serve in missions with POC as a core mandated task. Mandate implementation remains challenging, however, with widespread threats to civilians, and 75% of member states requesting further training guidance on POC. <sup>xliv</sup>

To assist missions in planning for POC implementation and responding to crises where civilian lives are at risk, DPET established a POC Coordination Team in 2012 (an evolution of the POC work that was being done by the PBPS Guidance Team). Responding to the clear need for awareness and training, the POC Team has since developed a variety of guidance and training materials as well as providing substantive direction, including on the development of POC training materials for military, police and civilian audiences, including mission-specific scenarios.

The Team works closely with the IOTs in the Office of Operations, the Office of Military Affairs, and other parts of DPKO and DFS. It provides policy advice and backstopping to missions with POC mandates and takes an active role in mission planning in contexts where threats to civilians have been identified. It is also a main interlocutor for DPKO with OCHA, OHCHR, UNHCR and other UN agencies, as well as the Contact Group on the Responsibility to Protect, where issues of the protection of civilians are concerned. The POC Coordination Team is a standing respondent at the Security Council's Informal Expert Group on POC.



For more information on the POC Coordination Team, go to:  
<http://www.un.org/en/peacekeeping/issues/civilian.shtml>

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The following video provides an overview of the  
 “Mandate to Protect Civilians in peacekeeping operations”.



<http://www.youtube.com/watch?v=bRmasLzbpU> (43:12 minutes)

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### Women Peace and Security Team

The Women Peace and Security (WPS) mandate is derived from seven Security Council resolutions on Women Peace and Security which acknowledge that i) women have an important role to play in the prevention and resolution of conflicts and in peace-building and that promoting gender equality in post conflict-environments is a pre-condition for sustainable peace; and ii) that sexual violence, when used or commissioned as a tactic of war to deliberately target civilians or as a part of a widespread or systematic attack against civilian populations, can significantly exacerbate situations of armed conflict and may impede the restoration of international peace and security, and that effective steps are to be taken to prevent and respond to such acts of sexual violence, and in particular the protection of women and girls.

Since the adoption of SCR 1325, Gender Advisers have been systematically deployed to all multidimensional peacekeeping operations to support the integration of gender into all peacekeeping functions in line with the women peace and security agenda. In order to support the work of the Gender Advisers, a Unit was established at Headquarters in 2003. Since its inception the Unit has developed policy and guidance on women peace and security, including guidelines for the police and military, as well as mine action and elections. Today the Unit is composed of two pillars: i) Gender Equality; and ii) Conflict-related Sexual Violence.

Pillar (i) Gender Equality: To guarantee that gender is effectively mainstreamed throughout DPKO/DFS, Gender Focal Points are nominated from each unit/office at Headquarters and in the field, to participate in DPKO/DFS Gender Task Force. The Task Force is responsible for the implementation of the DPKO/DFS Gender Strategy which seeks to 1) strengthen capacity of all peacekeeping personnel to advance gender equality, 2) Strengthen DPKO/DFS management and accountability systems for achieving gender equality, and 3) increase DPKO/DFS efforts to mobilize and engage effectively with its partners to achieve gender equality.

Pillar (ii) Conflict-related Sexual Violence: Since the adoption of resolution 1820 (2008), the Unit is specifically supporting the implementation of the conflict-related sexual violence (CRSV) mandate by DPKO/DFS and relevant peacekeeping operations. In particular, the Unit strengthens the capacity of peacekeeping personnel (military, police and civilian) to operationalize the CRSV mandate, and mainstreams CRSV concerns through the work of relevant components; supports the implementation of mandated arrangements to prevent and respond to CRSV; and engages with political partners, such as the SRSG on Sexual Violence in Conflict, and operational partners through the UN Action against Sexual Violence in Conflict network, and regional security organizations.



For more information on the Women Peace and Security Team go to:  
<http://point.un.org/SitePages/genderadvisoryteam.aspx>



For more information on field based work on women, peace and security, see Module 2, page 76.

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#### Video on Women in Peacekeeping



<http://www.youtube.com/watch?v=w21nCiG3ZSs&list=PL49CE20981558F582>  
 (2:47 minutes)

A videoed conversation between DPKO-DFS Senior Leaders on “Does Gender Matter?”  
 Filmed at the Gender Strategy Launch in September, 2014



<http://webtv.un.org/watch/does-gender-matter-a-conversation-between-senior-leaders-dpkodfs-gender-strategy-launch/3778387733001>

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### HIV/AIDS Advisory Team

Conflict and post conflict environments are high-risk areas for the spread of HIV. Resolutions of both the United Nations Security Council and General Assembly acknowledge the devastating impact that HIV has on all sectors of society and stresses that ‘the HIV/AIDS pandemic, if unchecked, may pose a risk to stability and security’. These resolutions outline the Department for Peacekeeping Operations obligations to provide awareness and prevention programmes for all peacekeeping personnel in order to reduce the risk of peacekeepers contracting and/or spreading HIV. The DPKO/DFS Policy Directive in the Role and Functions of HIV/AIDS Units in the United Nations Peacekeeping Operations defines the functions and role of HIV/AIDS Units in peacekeeping operations, outlines the framework within which the units operate and provides the rationale for integrating HIV/AIDS in peacekeeping operations.

The upsurge in peacekeeping operations has necessitated a focus on technical and operational support. DPKOs key strategic priorities also include developing guidelines for the provision of voluntary confidential counselling and testing facilities and for setting up mission programmes, developing systems to collect baseline data in collaboration with the Centres for Disease Control, and reviewing of DPKO's HIV testing policy.<sup>xiv</sup>



For more information on the HIV/AIDS Advisory Team go to:  
<http://point.un.org/SitePages/hiv.aspx>

### Child Protection Team

Since 2008, the Department of Peacekeeping Operations has had a Headquarters-based Child Protection Team serving as the main focal point at Headquarters on all issues related to the protection of children in DPKO. The 2009 DPKO/DFS Child Protection Policy secured the commitment of the highest level in DPKO to mainstream child protection in all policies, strategies, trainings and briefing programmes. The policy makes everybody in DPKO and DFS responsible to consider the concerns of children in their work.

More recently, DPKO-DFS issued a Policy on the Prohibition of Child Labour in UN Peacekeeping operations and is currently developing training on child protection for all categories of peacekeeping personnel.

The Child Protection Team coordinates with DPKO field-based Child Protection Advisors in support of their responsibilities to mainstream child protection as an integral part of peacekeeping operations, including in peace processes and in the planning, strategies and the activities of all the DPKO mission components.<sup>xvi</sup>



The Child Protection Team is available to assist with guidance and providing advice. Please contact the Child Protection Focal Point directly or write to [dpkochildprotection@un.org](mailto:dpkochildprotection@un.org).

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This video discusses “Child Protection and Peacekeeping”.



<http://www.youtube.com/watch?v=4RE06NTgZgo> (12:22 minutes)



For more information about the work of Child Protection Advisors in the field, go to <http://www.un.org/en/peacekeeping/issues/children/>

For more information on the Child Protection Team at Headquarters, go to: <http://point.un.org/SitePages/childprotection.aspx>



The issue of child protection and armed conflict is discussed further in Module 2, on page 79.

### Civil Affairs Team

Usually deployed at the local level, Civil Affairs components in United Nations peacekeeping operations facilitate the implementation of peacekeeping mandates sub-nationally and work to strengthen social and civic conditions necessary for peace. Civil Affairs Officers are often the primary interface between the mission and local interlocutors performing a variety of essential tasks. While tasks vary significantly depending on the mandate of the mission and needs on the ground, the [DPKO/DFS Policy Directive on Civil Affairs \(April 2008\)](#) sets out three core roles that are performed, depending on the mandate and the situation on the ground: 1) cross-mission representation, monitoring and facilitation at the local level; 2) conflict management, confidence-building and supporting the development of political space; and 3) support to the restoration and extension of state authority.

The Civil Affairs Team at Headquarters focuses on policy development, guidance and training, and lessons learned and knowledge sharing. The team also partners with other UN agencies, regional organizations and NGOs and liaises with Member States. Civil Affairs is one of the largest civilian components in UN peacekeeping and the Headquarters team provides ongoing support to mission-based teams, including in recruitment processes.<sup>xlvii</sup>



For more information on the Civil Affairs Team at Headquarters, go to <http://point.un.org/SitePages/civilaffairs.aspx>



For more information on the restoration of civil authority in peacekeeping contexts, see Module 2, page 75.

## Integrated Training Service

Given the dynamic and continuously evolving nature of peacekeeping and the unique challenges that peacekeepers face on a daily basis, there is a need to ensure that personnel are adequately equipped with the knowledge, skills, and attitudes required to perform their duties. Peacekeeping training is a strategic investment that enables UN military, police and civilian staff to effectively implement increasingly multifaceted mandates.<sup>xlviii</sup>

As outlined in the [DPKO-DFS Policy for Training for all United Nations Peacekeeping Personnel](#) (2010), the Integrated Training Service (ITS) is responsible for the direction and coordination of peacekeeping training. It provides strategic direction, advice and technical support for all DPKO-DFS training initiatives and undertakes partnerships and joint training initiatives with governmental and non-governmental peacekeeping training institutes. ITS addresses pre-deployment, induction and in-mission training requirements for civilians, military and police peacekeeping personnel, as well as capacity development of Headquarters-based staff in coordination with partners such as UNITAR, the UN System Staff College and the Office of Human Resources Management. ITS also supports strengthened capacity in cross-cutting themes (such as gender and child protection) by integrating them into core training materials and assisting in the development of thematic training.

Working in collaboration with Member States, peacekeeping training institutions (PKTIs) and substantive experts, ITS develops training materials, such as the [Core Pre-Deployment Training Materials](#) (CPTMs), as well as [Specialized Training Materials](#) (STMs). ITS provides troop- and police-contributing countries with training standards and materials, as well technical advice, review of training courses and opportunities for knowledge exchange and networking. ITS also organizes and provides on-site assistance to Member States and PKTIs through Mobile Training Support Teams and conducts Training Recognition exercises on peacekeeping training delivered by external training institutions.

ITS delivers and continuously updates the Senior Leadership Programme (SLP) and Senior Mission Leaders (SML) course, as well as the Senior Mission Administration and Resources (SMART) programme. These courses address training needs of those who are responsible for mission management from the highest levels (SRSG, DSRSG, Force Commander or Head of Military Component, Police Commissioner) to Directors and senior managers of substantive and support components. An ITS team also delivers the Civilian Pre-Deployment Training at the Global Service Centre in Brindisi, Italy.

ITS works closely with Integrated Mission Training Centres (IMTCs) by maintaining a direct reporting line and providing training advice, materials and assistance. IMTCs are required to develop comprehensive mission training plans in order to ensure that priorities, budget provisions and training initiatives are aligned at Headquarters and in the field.

For more information on DPKO-DFS training, see [Module 4](#) and for UN system staff career development opportunities, see [Module 5](#).

### 1.3.3 Joint Management Forums at Headquarters<sup>xlix</sup>

The following forums are in place to ensure cohesion, sharing of information and decision-making.

#### Senior Management Team

The Senior Management Team Meeting (SMT) serves as a forum for discussion and decision-making on strategic issues. The membership of the SMT meetings is comprised of USGs and ASGs from DPKO and DFS. Due to the special nature of the police functions, the Police Advisor also attends the meetings.

#### Expanded Senior Management Team

The Expanded Senior Management Team (E-SMT) is a forum for discussion and approval of cross-cutting policies. Directors (D-2s) and above attend the meeting, along with DPKO and DFS Special Assistants, the Chiefs of SitCen and CITS and the Chief of the Policy and Best Practices Service.

#### Directors Meeting

The Directors Meeting provides a forum for information exchange, in addition to immediate problem-solving and decision-making on operational issues. The meeting is attended by senior managers from both DPKO and DFS, the Chiefs of SitCen and CITS and the DPKO and DFS Special Assistants.

### 1.3.4 Integrated Task Forces

At Headquarters, Integrated Task Forces (ITF; formerly IMTF or Integrated Mission Task Force for DPKO-led task forces) are the main forum for joint assessments, planning, coordination, sharing of information and analysis, consultations and decision-making support. Integrated Task Forces consider all issues that have strategic significance or programmatic impact in integrated settings, including entity-specific planning and reporting processes that may have implications for other entities. ITFs are used to resolve policy differences between UN entities, ensure information-sharing between missions and UN Country Teams, and consult thematic entities as needed. Integrated Task Forces are established and chaired by lead departments on behalf of the UN system and include representatives of all relevant UN entities, including DPKO, DPA, DFS, the Peacebuilding Support Office, the Office of the High Commissioner for Human Rights and the Department for Safety and Security as well as the UN Development Group and the UN Executive Committee on Humanitarian Affairs. Field presences should also be represented. Task forces meet at the Director or Principal level as needed or as required by the present policy.<sup>1</sup>

The role of the ITFs varies in intensity during the life-cycle of the mission (i.e., mission-start-up, implementation, and draw-down or withdrawal). The key planning roles and products are articulated in the [Integrated Assessment and Planning Handbook](#).



For more information on the Integrated Task Force and other aspects of integrated planning, go to:

<http://www.undg.org/content/post-crisis-transition/coordination-structures/integration>

### Office for Peacekeeping Strategic Partnership

Working closely with troop and police-contributing countries and senior leadership, both in the field and at Headquarters, the Office for Peacekeeping Strategic Partnership contributes to strengthening the peacekeeping partnership. The Office assists in identifying gaps that have an impact on the delivery of mandates by United Nations peacekeeping missions and makes recommendations on systemic issues relating to United Nations peacekeeping operations. It also makes recommendations to ensure the safety, security and welfare of field uniformed personnel, including the provision of adequate support services. The Office also supports the incorporation of lessons learned and best practices from peacekeeping missions into peacekeeping operations.<sup>ii</sup>

### Senior Leadership Appointment Section

The core functions of the Senior Leadership Appointments Section (SLAS) include identifying and monitoring leadership requirements in the field in order to improve senior management recruitment and succession planning, with special attention to geographic representation and to increasing the representation of qualified female candidates. In order to meet field-based senior-level leadership requirements, SLAS maintains a centralized database of potential Under-Secretary-General and Assistant Secretary-General levels candidates. It develops outreach strategies and creates new partnerships, and regularly briefs senior leaders on their role and responsibilities and supports the profiling of mission-specific requirements, including the development of specific Terms of Reference. On the policy side, SLAS, in collaboration with its main partners, works on leadership related matters including performance management, accountability and substantive support to newly appointed leaders.



For more information on SLAS, go to: <http://point.un.org/SitePages/slas.aspx>

### Audit Response and Boards of Inquiry Section

The Audit Response and Boards of Inquiry Section (AR&BOI) is responsible for coordinating, developing and preparing responses to audit reports of the UN oversight bodies, coordinating and strengthening interaction between line managers and oversight bodies, and developing and circulating guidelines to DPKO and DFS, as well as field operations, to ensure compliance with audit recommendations. AR&BOI also provides guidance to field missions to facilitate inquiries into accidents and incidents resulting in the loss of life and serious injuries of mission members, or third party individuals, when mission members are involved and major loss of UN funds or damage to assets and equipment occurred.

The Audit Response Unit (ARU) follows up on the status of implementation of oversight recommendations and guides field operations on measures to address internal control weaknesses and prevent repeated audit findings. The Board of Inquiry (BOI) is convened by the Heads of Mission or USGs DPKO-DFS to look into serious occurrences.



For more information on the Audit Response and Boards of Inquiry Section, please go to: <http://point.un.org/SitePages/aru.aspx>

## Conduct and Discipline Unit

The Conduct and Discipline Unit (CDU) was formally established in the Department of Field Support in 2007 following the initial formation of a Conduct and Discipline Team in the Department of Peacekeeping Operations in 2005. It was launched as part of a package of reforms in United Nations peacekeeping designed to strengthen accountability and uphold the highest standards of conduct.

The CDU provides overall direction for conduct and discipline issues and maintains global oversight on the state of conduct and discipline for all categories of UN personnel in field operations. Specific functions include developing strategies and leading the development of conduct and discipline policies, procedures and guidelines and the identification of best practices to facilitate compliance with conduct and discipline standards, and the development of monitoring tools and mechanisms. The CDU implements a three-pronged comprehensive strategy (prevention, enforcement and remedial action) to address sexual exploitation and abuse as well as working in consultation with the Integrated Training Service on developing training programmes related to misconduct, sexual exploitation and abuse. It is also responsible for making recommendations for actions on disciplinary cases.

The CDU reports to intergovernmental and expert bodies, including the General Assembly, the Fourth and Fifth Committees, the Advisory Committee on Administrative and Budgetary Questions and other policymaking organs on conduct and discipline issues related to all categories of United Nations personnel in field operations.



To learn more about the Conduct and Discipline Unit, go to:

<http://point.un.org/SitePages/cdu.aspx>

For more information on the on standards of conduct, strategies, etc., go to:

<http://cdu.unlb.org/>

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### *Why is it important for you to know about these offices, sections and teams?*



In your role at Headquarters, you will likely be involved in processes and initiatives that involve collaboration across many of the offices, sections and teams in DPKO-DFS. Having a foundational knowledge of their core functions will assist in knowing who to contact and where to go for information.

Attending Town Hall sessions, Brown Bag Learning Lunches and other meetings will also support your knowledge of the various offices and the people in them.

How else might you familiarize yourself with the offices and colleagues you will be working with?

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**Module Completion:** Congratulations on completing Module 1 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).

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# MODULE 2



## Overview of United Nations Peacekeeping

The focus of this module is on UN peacekeeping and the context of peacekeeping missions. Specifically, this module covers the following topics:

- Legal framework and principles of UN peacekeeping
- Types of peacekeeping missions
- Trends and reforms in peacekeeping
- Planning processes in peacekeeping operations
- Peacekeeping mission structures and components
- Cross-cutting substantive issues in peacekeeping
- Related peace and security activities

Please note that a few segments of this module may be familiar to those who have taken the “*UN Peacekeeping Operations: an Introduction*” programme. These are included here for the benefit of those who did not take that programme and also to serve as a refresher and easily accessible reference for those who did.

“Peace is Hard” is a short video introducing UN peacekeeping



<http://www.youtube.com/watch?v=C-2rv8s8Zmg> (1:00 minute)

## 2.1 INTRODUCTION TO PEACEKEEPING

The term peacekeeping refers to activities that are designed to preserve the peace and support implementation of peace agreements. United Nations peacekeeping draws together the legal and political authority of the Security Council, the personnel and financial contributions of Member States, the support of host countries and the accumulated experience of the Secretariat in managing peacekeeping operations in the field.<sup>iii</sup> These factors are what give UN Peacekeeping its legitimacy, sustainability and global reach and contribute to its crucial role in international security.

In its earliest days, peacekeeping was primarily military in nature and limited to monitoring cease-fire agreements and stabilizing situations on the ground while political efforts were being made to resolve conflicts. In the past, the conflicts were typically between states and tended to focus on border disputes or territorial disagreements. Today, peacekeepers operate in increasingly complex situations in which conflicts may be internal, involve many parties and include civilians as deliberate targets. In the more than sixty years of its existence, UN Peacekeeping has had to evolve significantly, adapting and innovating to meet these challenges in order to stay relevant as a tool of international crisis response. Peacekeeping continues to be a work in progress, incorporating comprehensive, multidimensional approaches that, in addition to security, often include humanitarian, political, environmental and socio-economic objectives.



Later in this module we will explore some of the trends and reforms in peacekeeping as well as the different kinds of peacekeeping missions that have evolved.

The following legal and analytical foundations and fundamental principles are the basis for all peacekeeping operations.

### 2.1.1 Legal Foundation for Peacekeeping Operations

Under the UN Charter, the Security Council holds primary responsibility for the maintenance of international peace and security. Although peacekeeping is not explicitly mentioned in the Charter, the legal basis for peacekeeping can be found in Chapters VI, VII and VIII. Chapter VI relates to the ‘Pacific Settlement of Disputes’, and is associated with traditional peacekeeping operations, while the more forceful actions are mandated under Chapter VII. Chapter VII provides the framework within which the Security Council may take enforcement action. It

allows the Council to "determine the existence of any threat to the peace, breach of the peace, or act of aggression" and to make recommendations or to resort to non-military and military action to "maintain or restore international peace and security".<sup>liii</sup>

The Security Council determines when and where a UN peacekeeping operation should be deployed, deciding on a case by case basis. Prior to Security Council authorization of a peacekeeping mission, the Secretariat usually conducts a Strategic Assessment of the situation in the country or territory where the UN Peacekeeping operation is being considered. Based on the findings and recommendations of the Strategic Assessment, the UN Secretary-General will issue a report to the Security Council. This report presents options for the establishment of the peacekeeping operation. If the UN Security Council determines that deploying a UN Peacekeeping operation is the most appropriate step to take, it will formally authorize it by adopting a resolution. (Such decisions require at least nine out of 15 votes in favour and are subject to a veto by any of the Council's five permanent members.) The resolution sets out the operation's mandate and size, and details the tasks it will be responsible for performing. The budget and resources are then subject to General Assembly approval.



For more information on the initiation of peacekeeping operations, go to page 53 in this module, as well as the Core Pre-Deployment Training Material, Unit 2, Part 1.

### 2.1.2 Mandated Mission Tasks

While each UN peacekeeping operation is unique, there are many similarities in the types of mandated tasks assigned by the Security Council. Depending on their mandate, peacekeeping operations may be required to:

- Prevent the outbreak of conflict or the spill-over of conflict across borders
- Stabilize conflict situations after a ceasefire to create an environment for the parties to reach a lasting peace agreement
- Assist in implementing comprehensive peace agreements
- Lead states or territories through a transition to stable government, based on democratic principles, good governance and economic development

Depending on the circumstances and specific challenges identified in the Strategic Assessment, UN peacekeepers are often mandated to play a key role in activities which are essentially part of peacebuilding:

- Disarmament, demobilization and reintegration of ex-combatants (DDR)
- Mine action and improvised explosive device threat mitigation
- Weapons and ammunition management
- Security sector reform and other rule of law-related activities, such as support to justice and corrections institutions
- Protection and promotion of human rights
- Electoral assistance
- Support for the restoration and extension of State authority
- Promotion of social and economic recovery and development

All peacekeeping operations are expected to uphold human rights standards, ensure that they do not adversely affect human rights through their operations, and advance human rights through the implementation of their mandates. Depending on the context, Security Council mandates may also reflect a number of cross-cutting substantive issues (e.g., women, peace and security, children and armed conflict, protection of civilians in armed conflict and HIV/AIDS). These issues have associated tasks and responsibilities that are also assigned to UN peacekeeping operations. For more information on cross-cutting substantive issues, please go to page 72 in this module.

### 2.1.3 Fundamental Principles of Peacekeeping

There are three basic principles that have developed over time and continue to serve as the foundation for UN peacekeeping operations. These principles are inter-related and mutually reinforcing:

1. Consent
2. Impartiality
3. Non-use of force except in self-defence and defence of the mandate

These principles provide a compass for peacekeeping personnel, both in the field and at United Nations Headquarters. It is important that the meaning and practice of these principles are understood by everyone who is involved in United Nations peacekeeping operations so they can be applied in all aspects of peacekeeping planning and conduct.

#### Consent

All UN peacekeeping operations should be deployed with the consent of the main parties. Consent ensures that the mission has the political and physical freedom of action needed to carry out its mandated tasks. Consent for a peacekeeping mission is provided to the Security Council during the planning phase by the leading representatives or negotiators representing the main parties to the conflict.

Without consent, a United Nations peacekeeping operation risks becoming a party to the conflict. It can be drawn into peace enforcement and away from the key role of keeping the peace. A complete withdrawal of consent to the peacekeeping mission by one or more of the main parties challenges the reason for the operation. Withdrawal of consent will likely change the international community's strategy and may mean that the Security Council withdraws the peacekeeping operation.

Consent can be uncertain or unreliable in some contexts. A lack of trust between parties to the conflict may cause one or more of the parties to block certain aspects of the peacekeeping mission's mandate. In addition, weak command and control systems within parties to the conflict may mean that there are differences of opinion between central and local levels of command. There may also be "spoilers", not under the control of any of the main parties to the conflict, who have an interest in spoiling the peace process.

Consent is encouraged, at all levels, by building confidence among the parties and enhancing their stake in and ownership of the peace process.<sup>liv</sup>

## Impartiality

UN peacekeeping operations must implement their mandate without favour or prejudice to any of the parties to the conflict. Impartiality is crucial to maintaining the consent and cooperation of the main parties. A peacekeeping operation is similar to a good referee who is impartial, but will penalize infractions. The operation should not condone actions by the parties that violate the undertakings of the peace process or the international norms and principles that a United Nations peacekeeping operation upholds. Impartiality for UN peacekeeping operations means adherence to the principles of the UN Charter and to the objectives of the mission mandate. Impartiality, as a principle of UN peacekeeping, means that the peacekeeping operation deals with all parties to a conflict in an unbiased and even-handed manner, and its actions are focused on implementing its mandate fairly.

This kind of impartiality is not the same as neutrality. It is also not the same as equal treatment of all parties in all cases for all time, which can amount to a policy of appeasement. In some cases, local parties are made up of obvious aggressors and/or victims, and a peacekeeping operation may not only be operationally justified in using force, but also morally compelled to do so.

Humanitarian actors also use the terms impartiality and neutrality, however, their meaning is somewhat different. For the International Red Cross and Red Crescent Movement, in particular, impartiality means being guided solely by needs, making no discrimination on the basis of nationality, race, gender, class or religious or political beliefs, while neutrality means to take no sides in hostilities or engage, at any time, in controversies of a political, racial, religious or ideological nature.<sup>lv</sup>

## Non-use of force except in self-defence and defence of mandate

The initial principle that UN peacekeeping operations should only use force in self-defence has evolved to include the use of force in order to defend the mandate. This means that even though UN peacekeeping operations are not a peace enforcement tool, they may use force when authorized by the Security Council and in cases of self-defence and/or defence of the mandate. Self-defence is generally understood to be in defence of United Nations personnel and property.

In situations where there may be militias, criminal gangs and other spoilers who actively seek to undermine the peace process or pose a threat to the civilian population, the Security Council tends to provide the mission with a “robust” mandate. A *robust* mandate authorizes the peacekeeping operation to “use all necessary means” to deter forceful attempts to disrupt the political process. It is also intended to protect civilians under imminent threat of physical attack or assist the national authorities in maintaining law and order.

Even when the Security Council has specified a robust mandate, a United Nations peacekeeping operation should only use force as a measure of last resort, when all other methods of persuasion have failed.

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### Why is this important to you?

**Consent:** In the implementation of its mandate, the United Nations Peacekeeping Operation's role is to move the peace process forward while maintaining consent of all the parties to the conflict. It is the job of all personnel in a peacekeeping mission (civilian, military and police components equally) to have a thorough understanding of the history, customs and culture in the mission area and to continuously analyze the peacekeeping environment. Peacekeeping personnel must have the capacity to watch, assess and report on the evolving interests and motivation of the parties and be ready to prevent any loss of consent at the local or central level.

 In your role at Headquarters, you may be in a position to support your colleagues in the field in the overall goal of maintaining consent. Perhaps this is through supporting knowledge exchange, reporting or assisting in planning processes. What other ideas or thoughts come to mind in this regard?

**Impartiality:** If the peacekeeping process is being undermined and the mission decides to take action, the mission must make sure that the rationale for action is well established. In order to maintain the principle of impartiality, it is important that the peacekeeping operation is perceived as a fair, open and transparent actor. The reasons for action and the appropriate response must be clearly communicated to all. This will help to lessen any potential backlash against the peacekeeping operation.

 In your role at Headquarters, how might you contribute to supporting a peacekeeping missions' stance and perception of impartiality?

**Non-use of force except in self-defence & defence of mandate:** Peacekeeping personnel at Headquarters who are directly involved in supporting peacekeeping missions, should be familiar with the relevant mission-specific documents outlining the use of force (Rules of Engagement and Directive on the Use of Force). Political implications, mission capability, public perceptions, humanitarian impact, force protection, safety and security of personnel and the effect on national and local consent for the mission are all factors to be taken into account when deciding on the application of the use of force.

 In your role at Headquarters, are there ways that you might be responsible for information or communications related to this principle?

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### Definitions:

The **Rules of Engagement (ROE)** outline the authority of armed UN military personnel to use force in implementing the mandate. They also clearly state when force may not be used by armed UN military personnel. The Rules of Engagement apply to all armed military personnel and units in the mission and they are tailored to the particular mandate of that mission. They are legally binding documents, internal to the United Nations.

The **Directive on the Use of Force (DUF)** applies to all armed police personnel and units in the mission. It indicates whether UN Police are armed and when they have the legal authority to use force in implementing their mandate. Each Directive on the Use of Force applies to a particular mission and it is specific to that particular mandate.

- UN Peacekeeping Core Pre-Deployment Training Materials (2009)

### 2.1.4 Additional Success Factors

In addition to the three principles of peacekeeping, there are also several other factors that contribute to the success and effectiveness of a peacekeeping operation. These include the *credibility* and *legitimacy* of the mission and the promotion of *national and local ownership*.

**Credibility:** Effective, well-resourced and rapidly deployed missions contribute to their credibility, along with the mission's ability to manage and meet expectations. With so many actors and influences, it sometimes takes longer than expected to deploy personnel and equipment. Collaboration across components and a unified posture becomes all the more important in such cases in order to maintain confidence and credibility.

**Legitimacy:** Peacekeeping operations tend to start with legitimacy because of the international recognition of the UN and the fact that the mandate is established by the Security Council and directed by the Secretary-General. Once the mission is in place, its ongoing perceived legitimacy is directly related to the quality and conduct of its military, police and civilian personnel. Their actions must be in keeping with the mission's mandate and their behaviour must meet the highest standards of professionalism, competence and integrity.

**National and local ownership:** National and local ownership is critical to the successful implementation of a peace process. Effective approaches to national and local ownership not only reinforce the perceived legitimacy of the operation and support mandate implementation, they also help to ensure the sustainability of national capacity once the peacekeeping operation has been withdrawn. The activities of multidimensional peacekeeping operations must be informed by the need to support and, where necessary, build national capacity. UN peacekeeping operations may be obliged, in the short-term, to take on important state-like functions, such as the provision of security and the maintenance of public order. However, these functions should be conducted in a consultative manner with the aim to restore, as soon as possible, the ability of national actors and institutions to assume their responsibilities and to exercise their full authority, with due respect for internationally accepted norms and standards.<sup>lvi</sup>

The 2013 Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal notes that the "success of UN transitions hinges on national ownership, leadership and political will in the host country, which should be secured through high-level political engagement, as well as support from a broad and representative range of national stakeholders. The existence and development of relevant national capacities is critical to ensure an effective and sustainable handover of mission responsibilities to national partners."<sup>lvii</sup>

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#### Why is this important to you?



In your role at Headquarters, are there ways to promote the credibility and legitimacy of peacekeeping operations you are involved in and support efforts that contribute to national and local ownership?

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### 2.1.5 Types of Peacekeeping Missions

As noted earlier, peacekeeping has had to evolve significantly and now encompasses several models that are employed in different contexts. Overall, there has been a trend away from the traditional military approach to a more complex, multidimensional model that involves military, civilian and police personnel. The following section introduces the three different kinds of UN peacekeeping mandates (traditional, multidimensional and transitional) as well as special political missions. It also briefly discusses the contexts each of these operations is used in.

#### Traditional Peacekeeping

Traditional peacekeeping was the original form of UN peacekeeping and was first deployed during the Cold War. It was and is still deployed as an interim measure to help manage conflict and create safer conditions for those working on peacemaking activities. The tasks outlined in a traditional mission mandate, as set out by the Security Council, are essentially military in character and are often headed by military personnel. The tasks may involve observation, monitoring and reporting, supervision of ceasefire, support to verification mechanisms, creation of buffer zones and other confidence-building measures.

Traditional peacekeeping operations do not normally play a direct role in political efforts to resolve the conflict nor do they engage in governance or capacity building activities. Other actors such as diplomats or other representatives of individual States, regional organizations or special United Nations envoys may be working on longer term political solutions, which will allow the peacekeeping operation to withdraw. Some traditional peacekeeping operations are deployed for decades before a lasting political settlement is reached between the parties. Below are some examples of longstanding, traditional UN peacekeeping operations.

- [United Nations Military Observer Group in India and Pakistan \(UNMOGIP\)](#)
- [United Nations Peacekeeping Force in Cyprus \(UNFICYP\)](#)
- [United Nations Mission for the Referendum in Western Sahara \(MINURSO\)](#)
- [United Nations Disengagement Observer Force \(UNDOF\) on the Golan Heights, Syria](#)

#### Multidimensional Peacekeeping

Today, the majority of wars are internal armed conflicts, many of which are driven as much by economic gain as by ideology and past grievances.<sup>lviii</sup> In these contexts, multidimensional peacekeeping operations have become the most common form of UN peacekeeping operation. These operations are typically deployed in the dangerous aftermath of a violent internal conflict, once there is a peace agreement or political process in place, even a fragile one. The operation works to create a secure and stable environment while working with national authorities and actors to make sure the peace agreement or political process is implemented.

Multidimensional missions are deployed as part of a broader international effort to help countries emerging from conflict make the transition to a sustainable peace. These operations are generally more involved in peacemaking activities than traditional missions,

working in collaboration with other UN and non-UN actors to support and promote dialogue and reconciliation between different groups to ensure peace agreements hold.

Multidimensional peacekeeping operations employ a mix of military, police and civilian capabilities to support the implementation of a comprehensive peace agreement. They support the establishment of legitimate and effective institutions of governance and rule of law. They also support the State's ability to provide security, with full respect for human rights.

The multidimensional peacekeeping operation also provides a framework for ensuring that the United Nations and other international actors work in coordination at the country-level. This can be difficult in practice because there are so many UN and other international actors, therefore, it is critical for peacekeeping personnel to be aware of what those other actors do and how they can work cooperatively. Examples of multidimensional UN peacekeeping missions are:

- [United Nations Organization Stabilization Mission in the DR Congo \(MONUSCO\)](#)
- [United Nations Stabilization Mission in Haiti \(MINUSTAH\)](#)
- The hybrid [United Nations/African Union peacekeeping mission in Darfur \(UNAMID\)](#)
- [United Nations Mission in the Republic of South Sudan \(UNMISS\)](#)
- [United Nations Operation in Cote d'Ivoire \(UNOCI\)](#)
- [United Nations Mission in Liberia \(UNMIL\)](#)
- [United Nations Multidimensional Integrated Stabilization Mission in Mali \(MINUSMA\)](#)

### Transitional Authority

In rare circumstances, the Security Council has also authorized multidimensional United Nations peacekeeping operations to temporarily take responsibility for the legislative and administrative functions of the State. This measure is taken in order to resolve sovereignty questions, such as the transfer of authority from one sovereign entity to another, or until sovereignty questions are fully resolved (as in the case of transitional administrations), or to help the State to establish administrative structures that may not have existed previously. Examples of authorized transitional authorities include:

- [United Nations Transitional Authority in Cambodia \(UNTAC\)](#) from March 1992 to September 1993
- [United Nations Transitional Authority in Eastern Slavonia, Baranja and Western Sirmium \(UNTAES\)](#) from January 1996 to January 1998
- [United Nations Transitional Authority in East Timor \(UNTAET\)](#) from October 1999 to May 2002
- [UN Interim Administration Mission in Kosovo \(UNMIK\)](#) established in June 1999

### Special Political Missions (SPMs)

In addition to the three types of UN peacekeeping operations mentioned above, the United Nations may also deploy a "Special Political Mission" (SPM), led by the Department of Political Affairs (DPA). The term "Special Political Mission" covers political field missions, Special Envoys, and Expert Panels to monitor Security Council sanctions. The major difference between a peacekeeping operation and an SPM is that an SPM has very few or no uniformed personnel.

Political missions are part of a continuum of UN peace operations working in different stages of the conflict cycle. There is a large variety in the mandate, size and duration of SPMs. The mandates of political missions have changed over time, becoming broader and more complex. In general, they tend to be involved in conflict prevention, peacemaking or peacebuilding. They may be deployed at the same time as peacekeeping operations or before or after the deployment of a peacekeeping operation, depending on the context. In some instances, following the signing of peace agreements, political missions overseen by DPA during the stage of peace negotiations have been replaced by peacekeeping missions. In other instances, UN peacekeeping operations have given way to special political missions overseeing longer term peace-building activities (e.g. in Sierra Leone).<sup>lix</sup>

DPKO components support DPA-led missions with substantive backstopping. For example, DPKO OROLSI provides expertise in security sector reform, disarmament, demobilization and reintegration, police, justice, corrections and mine action and DPKO Gender Advisors support DPA Gender Focal Points with mainstreaming guidance and training. DFS supports DPA missions in the areas of finance, logistics, Information, communication and technology, human resources and general administration, similarly to how it supports DPKO-led missions.

The following are examples of Special Political Missions:

- United Nations Support Mission in Libya (UNSMIL)
- United Nations Assistance Mission Somalia (UNSOM)
- United Nations Assistance Mission for Iraq (UNAMI)
- United Nations Regional Office for Central Africa (UNOCA)
- United Nations Mission in Afghanistan (UNAMA) UNAMA is the only SPM currently directed and supported by DPKO.



For the latest information on currently deployed UN political and peacebuilding missions, go to: [http://www.un.org/wcm/content/site/undpa/main/about/field\\_operations](http://www.un.org/wcm/content/site/undpa/main/about/field_operations)

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### *Why is this important to you?*



In your role at Headquarters, it is likely you will be called upon to support colleagues in different kinds of missions, including Special Political Missions. The different kinds of mandates and structures can have significant implications for kind of support you provide.

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## **2.1.6 The Role of Troop and Police Contributing Countries in United Nations Peacekeeping**

UN Peacekeeping personnel in the field and at Headquarters are comprised of military, police and civilians. While civilians are generally recruited to peacekeeping as individuals, police and military personnel participate as part of their country's contribution.

For every new United Nations peacekeeping operation, the Secretariat depends on contributions of military, police and other personnel from Member States, who are under no obligation to provide them. Sustained consultations with each troop and police contributing

country (TCC/PCC) and other contributing countries at all stages of the planning and decision-making process are therefore critical to the success of any UN peacekeeping operation.

Consultations with TCCs/PCCs take several forms and are held at all key stages in the life of a United Nations peacekeeping operation, including:

- a) the development of the concept of operations and the elaboration of the mandate of a new operation
- b) any change in the mandate, in particular the broadening or narrowing of the scope of the mission, the introduction of new or additional functions or components, or a change in the authorization to use force
- c) the renewal of the mandate
- d) significant or serious political, military or humanitarian developments
- e) a rapid deterioration of the security situation on the ground
- f) the termination, withdrawal or scaling down in size of the operation, including the transition from peacekeeping to post-conflict peacebuilding
- g) before and after Security Council missions to a specific peacekeeping operation<sup>lx</sup>

A Memorandum of Understanding (MOU) is developed for each TCC/PCC participating in a peacekeeping operation. The MOUs are negotiated and are binding, legal agreements outlining how the UN will reimburse the respective governments for the troops, formed police units, equipment, and self-sustainment services that they are providing to the peacekeeping operation. The MOU also details the obligations of the contributing government for ensuring the appropriate quality of the personnel and equipment. The MOU is signed by representatives of DFS and the contributing country's Permanent Mission to the UN. It remains in force until the end of the mandate of the Peacekeeping Operation, when the military/police leave the mission, or until both parties mutually agree that the MOU requires adjustment and renegotiation.<sup>lxi</sup>

There are currently over 97,000 uniformed personnel (police and military) coming from over 110 countries across the world.



To see a “Data Dashboard” of TCC/PCC countries and their contributions, including trends and stories of contribution, go to:

[http://www.un.org/en/peacekeeping/operations/global\\_contribution.shtml](http://www.un.org/en/peacekeeping/operations/global_contribution.shtml)



The functions of military and police personnel in the context of a peacekeeping mission are discussed further in the Module 2 section on Mission Components.

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### ***Why is this important to you?***

In your role at Headquarters, your office may be involved in providing information in support of consultations or arrangements with Troop and Police Contributing Countries, therefore, it is important to understand the kinds of processes and agreements that may be in place.

### 2.1.7 Current Peacekeeping Missions

Since 1948 there have been 69 peacekeeping operations. As of January 2015, there are 16 peacekeeping missions currently operating, as well as one special political mission led by DPKO (Afghanistan). The graphic below shows all 17 current DPKO-led missions. Clicking on a mission in the list on the right will take you to the mission’s official web site.



The latest information about existing peacekeeping missions can be found at: <http://www.un.org/en/peacekeeping/operations/current.shtml>



A detailed interactive timeline of UN Peacekeeping activities in 2013 can be accessed at: <http://www.un.org/en/peacekeeping/news/yir2013.shtml#timeline>





Reviews of previous years' timelines can be found at:  
<http://www.un.org/en/peacekeeping/news/yearinreview.shtml>

### 2.1.8 Trends

As mentioned earlier, the nature of armed conflict that the UN is engaged in has changed over the decades. Today, the conflicts are primarily internal in nature and are often related to issues of independence, ethnic and religious struggles, ownership of resources and economic inequalities. Conflicts often affect surrounding regions with influxes of refugees or the spread of armed groups, potentiating economic pressures and political tensions in neighbouring countries.

In a meeting with the Security Council in June of 2014, the Secretary-General outlined four current trends in peacekeeping. The first trend is that *“UN peacekeeping operations are increasingly mandated to operations in countries where there is no peace to keep”*. The Secretary-General noted that more than two-thirds of all military, police and civilian personnel that operate under the UN flag are deployed in the Central African Republic, Darfur, eastern Democratic Republic of the Congo (DRC), South Sudan, and Mali, where there are significant levels of violence. The second trend is UN blue helmets being authorized where there are no clearly identifiable parties to the conflict or viable peace process. Mr. Ban stated that *“when there is no clear path towards peace, crises will inevitably recur and peacekeeping operations are much more likely to struggle to meet their mandates”*. Mali is an example where no comprehensive agreement is in place and the situation is precarious. The third trend is that UN peacekeepers are increasingly operating in more complex environments with asymmetric and unconventional threats. *“Whether acting in self-defence or implementing our mandate to protect civilians, we need to ensure that UN peacekeeping operations are undertaken in full compliance with international human rights and humanitarian law obligations.”* The fourth trend articulated by the Secretary-General was the need for the international community to build on what he sees as *“the renewed commitment of the Security Council to respond to our changing world.”* Mr. Ban called for a broader discussion on how the UN should adapt to new demands and to examine the limitations of UN peacekeeping and ask whether it is always the right tool. Noting that it was 15 years since the Brahimi Report, the Secretary-General has asked the Secretariat to initiate another review to take stock of UN peacekeeping. Some of the areas that he suggested may warrant review included: mandates, political leverage, logistical support, training, accountability, rules of engagement, technological innovation, and clarity on caveats of troop and police contributing countries.<sup>lxii</sup>



A video of the Secretary-General's full speech is available at:  
<http://www.un.org/apps/news/story.asp?NewsID=48020#.U5nbDvldXjW>

The UN has re-emerged as the single most significant organizational actor in peacekeeping on a global scale, and its current deployments in Haiti and southern Lebanon continues to show that its role is not necessarily confined to Africa. However, the UN does not and cannot have a monopoly over peace operations, and continues to explore ways to coordinate operations with other institutions such as the African Union, the European Union, and the North Atlantic Treaty Alliance. Lately, the Security Council has authorized peacekeeping operations by regional organizations and 're-hatted' them to UN Peacekeeping Operations. One recent example of this is the transitioning of African Union troops to serve as UN peacekeepers in

the Central African Republic (MINUSCA) (taking place in September 2014). Another example is the UN sanctioned, African-led International Support Mission to Mali (AFISMA) that was deployed by the Economic Community of West African States (ECOWAS) and then transformed in 2013 into the DPKO-led UN Multidimensional Integrated Stabilization Mission in Mali (MINUSMA).

Another development in recent years is the increased importance of policing in peace operations being factored into the capacity-building and operational planning of the UN and other organizations. The creation of Formed Police Units (FPU) is of strategic importance in various peacekeeping missions. The significance of cultural awareness to good policing means that it is an area in which regional and sub-regional organizations have a significant role to play in enhanced liaison mechanisms and formal processes for initiating and implementing cooperation.

In the video below, the Head of UN Department of Peacekeeping Operations, Mr. Hervé Ladsous, describes both the greatest challenges and successes of 2013, and the priorities for peacekeeping in 2014.



<http://www.youtube.com/watch?v=WxibG9HQJ3k> (3 minutes)

In the following video, the Head of UN Department of Field Support, Ms. Ameerah Haq, describes the major challenges presented in 2013 and the priorities for field support in 2014.



<http://www.youtube.com/watch?v=DV1KCZgGvSY> (4:30 minutes)

### 2.1.9 Reforms

In recognition of the increasing complexity of peacekeeping environments and the associated shortcomings of the existing peacekeeping system, in 2000 the Secretary-General appointed a Panel on United Nations Peace Operations to conduct an assessment and make specific and realistic recommendations for change. The 2000 Report of the Panel on United Nations Peace Operations (the Brahimi Report), unofficially named after the Panel's Chair, Lakhdar Brahimi, noted that UN peacekeeping operations must be properly resourced and equipped and operate under clear, credible and achievable mandates. The report called for renewed political commitment from the Member States, significant institutional change and increased financial support. Initiatives responding to the Panel's recommendations included the 2004 High-level Panel on Threats, Challenges and Change document, the 2005 World Summit Outcome Report, the 2008 Capstone Doctrine.<sup>lxiii</sup> As part of the reform efforts, DPKO was restructured and the Department of Field Support was created in 2007.

Since the time of Brahimi Report, the demand and complexity of peacekeeping operations have continued to increase, while a global financial crisis has put intense pressure on the countries and partnerships that support peacekeeping operations. The New Horizon initiative was introduced in 2009 to address the limitations of past reforms in the face of the scale, scope and complexity of peacekeeping demands. Recommendations put forward in the 2009 New Horizon non-paper were based on a near decade of examination of peacekeeping, including on reform efforts and the evolving realities of peacekeeping contexts.<sup>lxiv</sup>

The overall goal of the New Horizon process is to strengthen consensus on the future direction of UN peacekeeping, bringing together different members of the peacekeeping partnership around a set of shared immediate, medium and long-term objectives. It is anticipated that the achievement of these objectives will bring greater clarity, predictability and capacity to the way in which UN peacekeeping missions operate.<sup>lxv</sup>

Since the initiation of the New Horizon process, progress reports have been released (in October 2010 and December 2011) summarizing achievements and activities and highlighting upcoming priorities.

The four priority areas (as shown on the following page) emerged as a result of in-depth discussions among Member States, the Secretariat and partners within and beyond the UN System. They are intended to bolster the effectiveness and efficiency of peacekeeping in the medium term.

New Horizon Four Priority Areas	
POLICY DEVELOPMENT	CAPABILITY DEVELOPMENT
Developing practical guidance on critical roles for United Nations peacekeeping <ul style="list-style-type: none"> <li>• Achieving policy consensus</li> <li>• Clarity of tasks and responsibilities:               <ul style="list-style-type: none"> <li>✓ Protection of Civilians</li> <li>✓ Peacekeeping-peacebuilding</li> <li>✓ robust approach/effective peacekeeping</li> </ul> </li> </ul>	Identifying, building, and sustaining the required capabilities to support peacekeeping <ul style="list-style-type: none"> <li>• Filling critical gaps sustainably</li> <li>• Stronger performance culture</li> <li>• Outreach to contributors and coordination of capability-building assistance</li> </ul>
GLOBAL FIELD SUPPORT STRATEGY	PLANNING AND OVERSIGHT
Improving service delivery to the field through the introduction of a new service delivery model <ul style="list-style-type: none"> <li>• Client orientation</li> <li>• Flexibility and faster deployment</li> <li>• Scale efficiencies</li> </ul>	Ensuring more effective arrangements for planning, accountable management and oversight of missions <ul style="list-style-type: none"> <li>• More inclusive planning</li> <li>• Improved information and reporting</li> <li>• Accountability frameworks</li> </ul>

New Horizon Initiative: Progress Report No. 2

The New Horizon agenda, based on the four priority areas outlined above, has been the focus of implementation activities and ongoing consultations. The agenda has resulted in the production of critical operational guidance and training programmes, standardization of tasks and capabilities, clearer identification of resourcing and capability requirements, improved field support and mission planning processes, and increased dialogue with key partners.<sup>lxvi</sup>

As noted earlier, in June 2014, the Secretary-General informed the Security Council that he instructed the Secretariat to initiate a review of peacekeeping operations to take stock of evolving expectations of UN peacekeeping and how the Organization can work toward a shared view of the way forward.



More information on the New Horizons initiative can be found at:  
<http://www.un.org/en/peacekeeping/operations/newhorizon.shtml>



Key documents include:

[A New Partnership Agenda: Charting A New Horizon for United Nations Peacekeeping \(2009\)](#)  
[The Peace Operations 2010 Reform Strategy](#)  
[The New Horizon Initiative: Progress Report No. 1 \(Oct. 2010\)](#)  
[The New Horizon Initiative: Progress Report No. 2 \(Dec. 2011\)](#)

## 2.2 AN OVERVIEW OF THE PEACEKEEPING MISSION CONTEXT

### 2.2.1 Brief Introduction to Mission Start-Up Processes and Mechanisms

When a peacekeeping mission is being considered, a number of processes are initiated to clarify the need, identify options and priorities, and make recommendations on specifics of the potential mission. The UN's commitment to an integrated approach is reflected in the following assessment and planning processes and mechanisms.

#### Integrated Assessment Plan

For multidimensional peacekeeping operations and field-based Special Political Missions, an Integrated Assessment Plan (IAP) is used to plan the mission in cooperation with the full UN system. In 2013, the [UN Integrated Assessment and Planning Policy \(IAPP\)](#) replaced the Integrated Mission Planning Process (IMPP) guidelines. The main difference between the policy and the guidelines is the scope – the IMPP guidelines were mission-centric, whereas the new policy focuses on designing UN-wide responses to conflict and post-conflict situations.

The Integrated Assessment Plan is intended to ensure that there is one strategic vision for the UN in that country and a cohesive and efficient deployment and operationalization of the mission. The IAP Policy provides minimum and mandatory steps and includes the following basic requirements:

Requirements	Mechanisms
<b>Joint Strategic Assessments:</b> The joint conduct of assessments to ensure a shared understanding of a conflict or post-conflict situation, role of stakeholders and core peace consolidation priorities, and to propose options for UN engagement on the basis of an assessment of risks and opportunities	Strategic Assessment and associated technical assessments (e.g. Technical Assessment Missions (TAMs))
<b>Guiding Documents and Processes:</b> The articulation of a common UN vision, priorities and respective responsibilities in support of peace consolidation, including the relationship, if any, to national plans and priorities	Directive to the Special Representative of the Secretary-General and Resident Coordinator/Humanitarian Coordinator  Integrated Strategic Framework or equivalent framework (e.g. UN Development Assistance Framework)  Mission Concept
<b>Joint Coordination Mechanisms:</b> Establishment and maintenance of integrated coordination mechanisms at Headquarters and in the field for joint analysis, planning, coordination, monitoring and decision-making on joint strategic and operational matters	Integrated Task Force and its equivalent on the ground
<b>Integrated Monitoring and Reporting:</b> The conduct of integrated monitoring and reporting (M&R) on the implementation of Integrated Strategic Frameworks	Monitoring and reporting mechanisms for Integrated Strategic Framework - may include other M&R frameworks

lxvii lxxviii

The above requirements are elaborated in the following pages.

## Assessments

### Strategic Assessment

Early in the consideration of a peacekeeping operation, the Secretary-General generally calls for a Strategic Assessment. The Strategic Assessment is led by the Integrated Task Force and brings UN political, security, development, humanitarian and human rights entities together to develop a shared understanding of a conflict or post-conflict situation, the role of stakeholders and core peace consolidation priorities, and to propose options for UN engagement on the basis of assessed risks and opportunities. The process engages all relevant UN actors as well as consulting with Member States, including the potential host government and TCCs/PCCs. It also involves regional and other intergovernmental organizations, and other key external partners.<sup>lxix</sup>

The duration of a Strategic Assessment varies in order to ensure a full coverage of the substantive issues. It ranges from 2-3 months from inception to conclusion. If necessary, the Assessment may be accelerated to as little as a few weeks, depending on circumstances and requests from the Security Council.

The Assessment draws upon existing UN analyses and country strategies, such as Secretary General reports and Security Council resolutions, UN Development Assistance Frameworks (UNDAFs), Common Country Assessments (CCAs), Post-Conflict Needs Assessments, Integrated Strategic Frameworks (ISFs) and Peacebuilding reports. Assessments of a technical nature, such as technical assessment missions and sector assessments, are integrated if and when their scope and operational implications relate to multiple entities of the UN system.

Field visits are often part of the Strategic Assessment, however, if time is short or if the security situation does not permit a visit, special measures are taken to fully capture field-based assessments from all appropriate national, regional and international actors, ensuring country-based UN leadership is involved in establishing the UN priorities and strategic options.<sup>lxx</sup>



For a more detailed description of Strategic Assessments, including a full listing of key analyses references and resources, refer to the IAP Handbook.

### Integrated Technical Assessment

An integrated technical assessment is a Headquarters and field-based analytical exercise focusing on UN programmes and operations (staffing, budgets, funding, systems, etc.) for one entity and/or one sector. By nature, technical assessments will vary greatly in scope, duration, purpose, composition, etc. They include Technical Assessment Missions (TAMs), usually conducted by Secretariat entities in support of a field mission (peacekeeping or political), as well as sector-specific programming reviews carried out by individual agencies. Examples of the latter include a review or support mission for an agency's rule of law or child protection activities.<sup>lxxi</sup>



For a more detailed description of technical assessment, refer to the IAP Handbook.

## Guiding Documents and Processes

### Directive to the S/ERSG, RC and HC

*Note: As per the IAP policy, the term S/ERSG is used to refer to the head of a peacekeeping operation or Special Political Mission and therefore also applies to Special Coordinators.*

The Directive to the Special/Executive Representative of the Secretary-General, Resident Coordinator and Humanitarian Coordinator (S/ERSG, RC and HC) provides mission leadership with strategic direction and priorities, initial responsibilities, an outline of structural and coordination arrangements, and basic planning parameters. It includes guidance on the development of an Integrated Strategic Framework. The Directive signifies the transfer of responsibility for subsequent planning of the integrated presence to the S/ERSG and the senior leadership team of the integrated presence.

The Directive to the S/ERSG, RC and HC is issued and updated by the Secretary-General upon a recommendation of the Integrated Task Force at the principal level. Significant changes in the environment or mandate will require an update in the Directive, supported, as required, by an updated Strategic Assessment.<sup>lxxii</sup>

### Integrated Strategic Framework

An Integrated Strategic Framework (ISF) is both a document and a process. It is designed to ensure that the mission and the UN Country Team (UNCT) have a common understanding of the crisis and the critical peace consolidation needs. The ISF also ensures that the mission and the UNCT jointly define areas in which colocation is necessary to increase their impact and on what the modes of collaboration will be. The contents of the ISF document include:

- a) The main findings from integrated assessments of the conflict and challenges to peace consolidation, UN role and comparative advantages
- b) A clear definition and expression of peace consolidation priorities for the UN, including for national capacity development and institution-building
- c) An articulation of all programmatic, functions and/or operational areas requiring an integrated approach, with agreed form and depth of integration
- d) Agreed results, timelines, responsibilities and other relevant implementation arrangements, including coordination mechanisms
- e) A common monitoring and reporting framework including indicators or benchmarks of progress<sup>lxxiii</sup>

The ISF is intended to be a living document that supports the process of regular joint analysis of the situation, stocktaking and, if necessary, readjustment to the ways in which the mission and the UNCT can increase their impact on peace consolidation priorities. Potential context-specific obstacles are also addressed through the ISF, such as possible programmatic overlaps, inadequate sequencing of interventions, duplication of costs, and contradictory analysis or messaging. The ISF reflects the mission and UNCT's joint decisions on how to work together on these kinds of priorities.<sup>lxxiv</sup>

All countries with an integrated UN presence are mandated to fulfil the minimum requirements for an ISF. Other tools, such as a UN Development Assistance Framework may

meet the ISF minimum requirements. The ISF is led by the country-based Senior Leadership Team (SRSG, and DSRSG/RC/HCs).<sup>lxxv</sup>

### UN Development Assistance Framework

The UN Development Assistance Framework (UNDAF) is the development planning and programme framework of the UNCT in response to national development priorities. The UNDAF is the basis for each agency's country plans and workplan and must be signed by the host government and the agency's executive boards. It includes four steps: (1) a road map, (2) country analysis, (3) strategic planning, and (4) monitoring and evaluation. All steps are mandatory but UNCTs can undertake each in a flexible manner (i.e. no specific process prescribed for each step). It incorporates a range of modalities, including UNCT meetings, retreats, thematic working groups, and consultations with national government and civil society.

The UNDAF exists in all countries with a UN presence/programme and is normally revised every 5 years, with exceptions granted. Sometimes the UNDAF serves as the Integrated Strategic Framework or the Integrated Strategic Framework is developed as a complement to an UNDAF, in which case it is known as UNDAF +. The UNDAF is led by the UNCT and host government.<sup>lxxvi</sup>



To access UNDAF guidance materials, go to:  
[http://www.undg.org/content/programming\\_reference\\_guide\\_\(undaf\)/common\\_country\\_programming\\_processes\\_-\\_undaf/undaf\\_guidance\\_materials](http://www.undg.org/content/programming_reference_guide_(undaf)/common_country_programming_processes_-_undaf/undaf_guidance_materials)

### Mission Concept

Based on the Integrated Strategic Framework, the Mission Concept is a multi-year plan that covers the lifecycle of a UN field mission. It is a statement of intent and strategy on how a peacekeeping mission plans to implement its Security Council mandate, taking into account the mission's role within the broader UN system and international context. It is a tool for senior mission management to present the vision for mandate delivery, set priorities in order of importance and sequence, and direct mission components to align and synchronize their activities. It also informs resource allocation. The Mission Concept supports component-level planning and serves as a management tool. Its clarity on the mission's focus also helps manage the expectations of national and international constituencies.<sup>lxxvii</sup>

The Mission Concept is required in peacekeeping operations, but not in special political missions. Generally the Mission Concept is developed with mission leadership, however, if the Special Representative of the Secretary General for the mission is not yet in place during the early planning stages, the Mission Concept may be developed by Headquarters.<sup>lxxviii</sup>

## Coordination Mechanisms

### Integrated Task Force

As mentioned in Module 1, the Integrated Task Force (ITF) serves as the principal Headquarters mechanism for UN inter-departmental and interagency coordination of strategic guidance, planning support and information exchange. It supports and promotes joint and coordinated strategic policy and planning processes, coordinates Strategic Assessments, undertakes the various planning activities outlined in the IAP Policy and

coordinates technical assessment missions. The ISF also reviews planning and policy documents for decisions by the Secretary-General and heads of departments and agencies, provides support to the Peacebuilding Commission, monitors political, security, humanitarian, reconstruction/development and human rights developments in the field, and maintains a dialogue with field-based integrated structures and provides support to them as required.<sup>lxxix</sup>

### Integrated monitoring and reporting

From the start, Integrated Strategic Frameworks must include a monitoring and reporting mechanism, including measurable and meaningful benchmarks and risk indicators. Other existing monitoring and reporting frameworks may be used where relevant. The joint analytical and planning capacity tracks progress and reports to the senior UN leadership forum and, through this forum, to Headquarters on progress towards common objectives agreed to and articulated in the Directive to S/ERSG, RC and HC and Integrated Strategic Frameworks. When appropriate, it provides recommendations for changes in strategy or objectives based on this analysis. Progress against the UN priorities outlined in integrated plans must be reflected in the regular reports of the entities engaged in the implementation of these plans, as appropriate for the reporting format. This includes reports of the Secretary-General to the Security Council and UNDAF reporting mechanisms.<sup>lxxx</sup>

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#### *Why is this important to you?*

When a new multidimensional peacekeeping operation is being considered, or if there have been significant changes that affect an existing integrated presence, a Strategic Assessment is undertaken by an Integrated Task Force. The Assessment is often researched and coordinated by Headquarters staff.

-  In your role at Headquarters, it is possible that you or your office will be involved in supporting various aspects of the integrated assessment planning, such as the technical assessment and sector-specific assessments.
-  There may be requirements related to the development of the Integrated Strategic Framework.
-  Your office may be involved in analysis of the mission's monitoring and reporting products and subsequent reporting and, when necessary, strategy adjustments.

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The graphic on the following page illustrates some of the processes and products in initiating a peacekeeping operation. The UN integrated planning process and products are indicated in light blue.

### A Simplified Representation of the Planning Framework for Integrated Peacekeeping Operations



As noted, this is a simplified representation. A complete representation would also show additional products and mechanisms, such as mission component plans, documents related to UN Agencies, Funds and Programmes, Results-Based Budget, etc.



For a more detailed outline, please refer to the [IAP Handbook](#).

## Transitions

The Integrated Assessment Plan also provides a foundation for transitions in the mission's mandate, including drawdown or withdrawal. Early and integrated transition planning needs to be incorporated from the very outset of the deployment of a mission. All assessment and planning processes need to take into account the roles and capacities of UN and non-UN partners in broader peacebuilding and development efforts in view of the eventual transition. The use of benchmarks provides 'signposts' that help in measuring progress and increasing objectivity in decision-making related to the pace of mission drawdown and withdrawal.

The Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal, provides strategic guidance to UN Headquarters offices and field presences on how to plan and manage the transition of UN operations where a peacekeeping or Special Political Mission is deployed and the UN presence is preparing for, or involved in, a significant drawdown or withdrawal of the mission. To ensure sustainability of transition processes, transition planning needs to reflect national priorities, peacebuilding and/or development plans. Where separate transition planning instruments are introduced, alignment with existing UN planning tools, such as the ISF, UNDAF, Mission Concepts and the Results-based Budgets must be ensured. Equally, all component level planning must be informed by the integrated transition plans or other UN-wide or mission-wide plans and strategic decisions on the overall UN engagement in a country.<sup>lxxxi</sup>



For detailed information on transition planning, please refer to the Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal:  
[http://www.peacekeepingresourcehub.unlb.org/pbps/Library/TransitionsPolicy\\_MissionWithdrawal\\_2013\\_Policy.pdf](http://www.peacekeepingresourcehub.unlb.org/pbps/Library/TransitionsPolicy_MissionWithdrawal_2013_Policy.pdf).

### 2.2.2 Mission Structure

Since the context of each United Nations peacekeeping operation is unique, there is no standard structure or organizational chart. As mentioned earlier, the structure of each peacekeeping operation is based on the Security Council mandate which in turn has been informed by a Strategic Assessment Mission.

#### Mission Leadership and Authority Structure

The Security Council authorizes the Secretary-General and the UN Secretariat to establish the mission and implement the mandate. The Secretary-General delegates primary responsibility for the strategic level of management and direction of all UN peacekeeping operations to the Under-Secretary-General (USG) of the Department of Peacekeeping Operations. In exercising this responsibility, the USG is supported by other UN Departments responsible for safety and security oversight, strategic level financial management, administrative support and logistics.



As part of this responsibility to establish, direct and manage peacekeeping operations, the United Nations has “Operational Authority” from the Member States over all military and police personnel participating in UN peacekeeping operations.<sup>lxxxii</sup> This means that while Member States retain responsibilities for their military and police in terms of pay, allowances and promotions, they do not have direct influence over tactical plans, decisions or operations supervised by Military or Police Components in the mission.

### Head of Mission - Special Representatives of the Secretary-General

The Head of a peacekeeping Mission (HoM) is appointed by the Secretary-General and exercises operational authority over all civilian, military and police personnel employed within the mission. He or she generally holds the title of Special Representatives of the Secretary-General (SRSB). The SRSB is the highest UN official in the country.

The Head of Mission and DPKO-DFS lead the planning for the political, military, operational and support aspects of the peacekeeping operation. The planning phase usually involves the establishment of a Headquarters-based joint working group or integrated task force, with participation of all relevant UN departments, funds and programmes.<sup>lxxxiii</sup><sup>lxxxiv</sup>

As Head of Mission, the SRSB is responsible for managing the mission and its results, conduct and discipline and morale, and the effective management of resources. The Secretary-General may also appoint the SRSB, who is normally the most senior United Nations official in the mission area, as the Designated Official (DO) for Security. The SRSB has security management responsibility and accountability for the protection of UN personnel as outlined in the UN-system wide Framework of Accountability for the United Nations Security Management System.

The SRSB provides direction and guidance to each component and ensures that activities are undertaken in an integrated manner. He or she initiates the development of a Mission Concept in close consultation with the senior management team of the mission. The SRSB also establishes the framework guiding the overall activities of the United Nations peacekeeping operation and those of the United Nations Country Team.

In a multidimensional peacekeeping operation, the HoM is always a civilian. In a traditional peacekeeping operation, the HoM is often, but not always, a senior military officer who performs the dual role of ‘Head of Mission’ and ‘Head of the Military Component’ (HOMC). In both cases the Head of Mission will normally also be appointed as the Designated Official.

### Deputy Special Representatives of the Secretary-General

Most multidimensional peacekeeping missions have two Deputy Special Representatives of the Secretary-General (DSRSBs). One is often termed the Principal DSRSB and might be in charge of the political, operational, and/or rule of law aspects of the mission. He or she is the second in command and becomes Officer in Charge (OIC) of the mission if the SRSB is travelling out of the mission area.

The second DSRSB often serves as Resident Coordinator (RC) and represents and coordinates the work of all the UN agencies, funds and programmes in the UNCT. She or he is the primary interlocutor for the UNCT with heads of state and government.

In integrated missions where there is a humanitarian emergency, this DSRSG may be triple-hatted to include the role of UN Humanitarian Coordinator (DSRSG/RC/HC). Should both the SRSR and Principal DSRSG be out of the mission area, the DSRSG/RC/HC becomes OIC of the mission.

For examples showing the different responsibilities of DSRSGs in two current missions, see pages 68 and 69.

### **Mission Chiefs**

UN peacekeeping operations also have a Chief of Staff (COS) who works closely with the HOM. The COS performs a senior level staff and advisory function for the HOM and the senior management of the mission. While the role will vary from mission to mission, the COS is generally responsible for the effective and integrated management of all the mission's activities in line with the strategic vision and guidance from the HOM. The Chief of Staff also coordinates mission policy and planning activities among the various components of the mission, including the Mission Concept or Integrated Strategic Framework (ISF) and the Results-Based Budgeting (RBB) framework.

The Head of the Military Component, and often the Head of Police Component, also have a military or police Chief of Staff to address similar issues within their own component.

The Director or Chief of Mission Support (DMS/CMS) is the most senior UN official within the mission that is authorized to expend UN funds associated with the mission's allocated budget. Therefore, this is a critical function in all peacekeeping missions. The DMS/CMS may also be supported by two civilian subordinate officials: a Chief Administrative Services (CAS) and a Chief Integrated Support Services (CISS).

### **Heads of Military and Police**

To maintain the integrity of the military and police chains of command, the Head of Mission can only exercise authority over military and police personnel through the respective heads of the military and police components. The Head of the Military Component (HOMC) reports to the HOM and exercises 'UN Operational Control' over all military personnel and units assigned to the mission. The Head of the Police Component (HOPC) reports to HOM, most often through a DSRSG, and exercises 'UN Operational Control' over all UN Police (UNPOL) in the peacekeeping operation, both individual Police Officers (IPOs) and Formed Police Units (FPU). The HOPC also supervises temporarily deployed personnel, for example from the Standing Police Capacity based in Brindisi, Italy.

The HOMC and HOPC are the principal advisers to the HOM on military and police issues and each maintain a technical reporting link to UN Headquarters - to the UN Military Adviser and UN Police Adviser, respectively. This reporting link ensures that the technical aspects of military and police field operations are conducted in accordance with overarching UN policies and standards. It also assists UN Headquarters in their responsibilities for all official interactions with Member States regarding the operational employment of military and police in the field.

In large peacekeeping missions with armed military units, the Head of the Military Component is a serving military officer usually appointed in the functional title of "Force

Commander”. Similarly, in large operations, the Head of the Police Component is a serving police officer usually appointed in the functional title of “Police Commissioner”.

### Management and Leadership Structures

Given the complexity and conditions of peacekeeping operations, it is necessary to have clear command and control structures to ensure that decisions are effectively transmitted from the HOM down to the relevant components. Strong management structures across the various components are also required to ensure the different components are using resources efficiently. Different structures exist in order to allow the HOM to manage the work of these different functions and ensure progress in implementing the Mandate Implementation Plan or Integrated Strategic Framework. These structures exist at the mission headquarters level. In larger missions there may also be regional management structures (e.g., MONUSCO has 15 or so field offices) to coordinate the work of different parts of the peacekeeping operation in that particular region.

In addition, most peacekeeping operations, particularly larger ones, will have a Senior Management Group, which is a wider management, planning and coordination forum. The top principals of the various components of the peacekeeping operation are brought together in a Mission Leadership Team (MLT), a senior level decision-making forum. The SMG tends to include the members of the MLT as well as the heads of various civilian components in the mission.

The Senior Leadership Forum includes the key in-country decision-makers such as the S/ERSG, DSRSG, DSRSG/RC/HC, Civilian Chief of Staff, Heads of Mission components and Heads of relevant UN agencies, funds and programmes. It ensures high-level coordination and decision-making on joint strategic and operational issues. The core functions of the forum are to develop joint vision and peace consolidation priorities, review progress and provide support to mission components on implementation of the Integrated Strategic Framework (ISF), conduct strategic reviews with the Integrated Task Force and other Headquarters-based bodies, facilitate interaction with non-UN actors related to peace consolidation priorities and delineate roles and responsibilities among UN actors – ensuring complementarities between the mission and UNCT. The Senior Leadership Forum also guides and reviews the work of thematic working groups, and promotes synergies and minimize overlaps through system-wide and thematic strategies or Standard Operating Procedures (SOPs; e.g., on protection of civilians, sexual and gender-based violence, security sector reform and early warning).<sup>lxxxv</sup>

### 2.2.3 Mission Components

Each person and component in a mission makes an important contribution in achieving the mandate and the mission plan. Across the mission and at Headquarters, it is critical that all peacekeeping personnel understand the contribution of other components and sections to the success of the mission, and the importance of collaboration across the mission. Understanding the importance of each other’s functions is particularly vital in multidimensional peacekeeping operations where there are complex mandates and difficult operating environments, and the work of each component affects and influences the tasks of other components.

## The Military Component

Military components play an instrumental role in UN peacekeeping. In traditional peacekeeping operations, the military component is generally made up of unarmed military observers or lightly armed contingents carrying out monitoring or observation tasks. The military component carries out the mandated tasks to monitor or supervise any military arrangements that parties to a conflict have agreed upon while the peace process continues.

Over time, the tasks of UN military components have become increasingly complex. The conflicts in which they intervene no longer involve only national armies, but may also now include irregular forces, guerrilla factions, and even armed criminal gangs. Consequently, the military capability under UN command has changed and is no longer the lightly armed intervention aimed at separating national armed forces that was typical during the first 40 years of UN peacekeeping. In multidimensional peacekeeping operations, the primary function of the military component is to create a secure and stable environment for other elements of the peace process to be implemented, for example, human rights monitoring, national reconciliation and distribution of humanitarian assistance. Depending on the mandate, there may also be tasks associated with monitoring of a ceasefire or certain boundaries. In such cases, the military component may carry out these tasks in collaboration with other components, such as civilian political affairs officers.

It is particularly important in multidimensional peacekeeping operations for the military component to work in close consultation with all mission components. This is because the success of those missions is measured by more than just the absence of conflict. The reestablishment and development of strong institutions and respect for the rule of law are also important conditions for success, and these cannot be achieved through the threat, or use, of military force alone. For those reasons, the military component must work with all other partners in this wider context to consolidate peace and security.

The three main categories of military personnel in a UN peacekeeping operation are:

Formed Military Units or Contingents	Military Experts on Mission	Staff Officers
<ul style="list-style-type: none"> <li>▪ Biggest number of military personnel</li> <li>▪ May be in the form of companies, battalions or brigades</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unarmed military</li> <li>▪ May be military observers, military liaison officers, military advisors or arms monitors</li> </ul>	<ul style="list-style-type: none"> <li>▪ Military officers deployed in individual capacity for specialized functions at mission force, Headquarters or joint mission structures</li> </ul>

All military personnel report to the Head of the Military Component (the Force Commander in large missions).

The military component of the mission works alongside the UN Police and civilian colleagues and maintains close cooperation with other military entities in the area. The following table outlines some key activities:

Component	Functions and activities
<b>Military</b>	<ul style="list-style-type: none"> <li>• Provision of a secure environment, through:               <ul style="list-style-type: none"> <li>○ Conducting patrols</li> <li>○ Establishing and operating checkpoints</li> <li>○ Securing major routes to facilitate mobility</li> </ul> </li> <li>• Assisting in-country military personnel with training and support</li> <li>• Securing key facilities (hospitals, power plants, police recruiting stations, etc.)</li> </ul> <p>Working with other components on:</p> <ul style="list-style-type: none"> <li>• Security Sector Reform (SSR) and Defence Sector Reform (DSR)</li> <li>• Disarmament, Demobilization and Reintegration (DDR)</li> <li>• Protection of Civilians</li> </ul>



For more information on the military in a peacekeeping operation and to see a map with information, links, photos and videos on country contributions and skills, go to: <http://www.un.org/en/peacekeeping/issues/military.shtml>

### The Police Component

United Nations Police (UNPOL) are deployed to multidimensional peacekeeping operations to play a critical role in establishing public safety, preventing crimes and restoring and facilitating the rule of law. In doing so, they work with the host country police and in close collaboration with civilian components such as human rights, judicial affairs, civil affairs and corrections. UN Police are also sometimes used in traditional missions to assist with observer functions, such as monitoring the buffer zone in Cyprus.

UN Police are police or other law enforcement personnel on active duty in their home countries who are temporarily seconded to a peacekeeping operation. The tour of duty of an UNPOL officer is usually for one year from the date of authorization of the deployment.

There are two categories of UN Police. First are the individual Police Officers (IPOs), both seconded and contracted, and second are Formed Police Units (FPUs). An FPU is a cohesive mobile police unit deployed from the same country. The FPUs generally consist of about 140 police officers whose primary role is to support the peacekeeping operation or the host country police in public order management.

All categories of UN Police report to the Head of the Police Component (HOPC). The Head of the Police Component (in most cases called ‘Police Commissioner’ in peacekeeping operations and ‘Senior Police Advisor’ in special political missions), is a serving senior police officer who exercises operational control and provides direction to all members of the police component of the mission. He or she is accountable and responsible to the HOM for the supervision and technical management of the police component with particular responsibility to ensure effective and efficient mandate implementation and strict compliance with UN policies and procedures. As noted earlier, HOPC is the principal adviser to the HOM on policing issues. He or she maintains a technical reporting link to the UN Police Adviser in the Department of Peacekeeping Operations at Headquarters.

The role of the Police Component differs across peacekeeping missions and so the Police Commissioner is chosen for the specific skills required for the mission's mandate. Examples of these skills include: national police capacity building, reform, restructuring and rebuilding of national police, mentoring and monitoring of national police, or exercising executive policing authority during a period of transition from international supervision to the installation of a new national government.

Individual Police Officers and Formed Police Units mentor and help train national police officers in all aspects of policing, including investigations, election security, operational support and public order management. Under special circumstances, in host countries with no functioning police, UN Police are called upon to assume full responsibility for policing and law enforcement activities, until the host state can take over policing tasks. UN Police Officers are also increasingly involved in enhancing national capacities to counter transnational organized crime and corruption. The Police Division has strengthened its strategic-level coordination with other stakeholders involved in the rule of law sector, including through the Global Focal Point for Police, Justice and Corrections Areas in the Rule of Law in Post-Conflict and other Crisis Situations (GFP). Furthermore, UN Member States established a Group of Friends of the UN Police and UN Police increasingly collaborates with regional organizations, such as the African Union.

While the specific roles of police components differ across missions, the UN Police may be involved in the following areas:

Component	Functions and activities
<b>Police</b>	<ul style="list-style-type: none"> <li>• Restoration of rule of law</li> <li>• Reform, restructuring and rebuilding of host country police services and other law enforcement agencies to develop a representative, responsive and accountable police service of the highest possible professional standards</li> <li>• Capacity-building (certification, training and mentoring) of host country police</li> <li>• Public order management and public safety challenges, through:               <ul style="list-style-type: none"> <li>○ Effective prevention, detection and investigation of crime</li> <li>○ Protection of life and property</li> <li>○ Static guard and close protection duties for dignitaries , UN personnel and assets</li> <li>○ Patrols and checkpoints</li> <li>○ Tactical support for high-risk operations</li> <li>○ Security for demonstrations, elections and camps</li> </ul> </li> <li>• Provision of interim law enforcement functions (when mandated and in the absence of an established national police framework)</li> </ul>



For more information on the police in peacekeeping operations and to see a deployment map with related information, go to:  
<http://www.un.org/en/peacekeeping/issues/police.shtml> and  
<http://www.un.org/en/peacekeeping/sites/police/>

### Civilian Components

Regardless of the type of peacekeeping operation, all missions incorporate both support and substantive personnel. The support components provide logistics and administrative services to the mission. The substantive components provide services to the local beneficiaries as defined in respective mission mandates, including in the following areas: Political, Justice / Rule of Law, Corrections, Human Rights, Civil Affairs, Electoral, Disarmament, Demobilization and Reintegration, Security Sector Reform, Child Protection, Gender, HIV/AIDS, etc.

The support and substantive components also collaborate on substantive activities. For example, the support component of the mission works with the Disarmament, Demobilization and Reintegration section on the disbursement of funds to support the reinsertion of ex-combatants as part of the demobilization process.

Civilian staff serving in peacekeeping operations include personnel drawn from within the UN system (including the United Nations Volunteers), loaned by Member States, or recruited internationally or locally to fill specific jobs. International civilian personnel with specialized areas of expertise are indispensable to the successful implementation of peacekeeping mandates. At the same time, the UN increasingly places priority on the development of local capacities.

The following table provides an outline of the civilian functions that may be present in a multidimensional peacekeeping operation:

Component	Functions and activities*
<b>Civilian</b>  <i>Substantive</i>	<ul style="list-style-type: none"> <li>• Providing support for Disarmament, Demobilization, and Reintegration (DDR) with military, humanitarian, and development partners</li> <li>• Providing support for Security Sector Reform</li> <li>• Electoral assistance</li> <li>• Justice and corrections support</li> <li>• Mine action assistance</li> <li>• Public relations and communications</li> <li>• Building human rights and rule of law</li> <li>• Protection of civilians</li> <li>• Gender mainstreaming and ending of conflict related sexual violence</li> <li>• Protection of children</li> <li>• HIV/AIDS education and prevention</li> <li>• Capacity building of the host country government and civil society</li> <li>• Support to emergence of legitimate political institutions and participatory processes</li> </ul>
<b>Civilian</b>  <i>Mission Support</i>	<ul style="list-style-type: none"> <li>• Administrative services</li> <li>• Procurement</li> <li>• Ensuring health and safety of mission personnel</li> <li>• Communications</li> <li>• Financial support: preparation and execution of mission budget, paying staff and vendors</li> <li>• Logistical support to all components</li> <li>• Recruitment, training, and career development</li> <li>• Monitoring mission compliance with local laws and respect for UN privileges and immunities and status-of-forces or status-of-mission agreement</li> </ul>

\* **Please note this list is not exhaustive**

The following examples of organizational charts illustrate the variability of UN peacekeeping mission structures. Mission structures are based on a number of factors, including the mission mandate, the history of the mission's development, and comparative advantages with other partners.

We will not go into detail in this document on the roles of each of the support and substantive civilian components as many of these were introduced in Module 1. The cross-cutting substantive issues the components work on are discussed in this module starting on page 72.



For more information on individual components, refer to the POINT intranet: <http://point.un.org/SitePages/dpkodfsoffices.aspx>

#### 2.2.4 Conduct and Discipline in Peacekeeping Missions

Conduct and Discipline Teams (CDTs) in field missions act as principal advisers to Heads of Mission on conduct and discipline issues involving all categories of UN peacekeeping personnel. They address all forms of misconduct by personnel, including acts of sexual exploitation and abuse. The Head of Mission is responsible for awareness raising, training, and engaging with managers and commanders in order to have measures in place to prevent and respond to misconduct, and to uphold the highest standards of conduct and to implement the zero tolerance policy on sexual exploitation and abuse.

Conduct and discipline activities in the field are supported by the Headquarters. The Conduct and Discipline Unit is introduced in Module 1 on page 36.

#### 2.2.5 Security Management in Peacekeeping Missions

The goal of the UN Security Management System is to enable the conduct of UN peacekeeping activities while ensuring the safety and security of personnel and the security of UN premises and assets.

In peacekeeping missions, the Security Section is distinct from the substantive and support side of the mission, with the Chief, who is normally a United Nations security professional appointed as Chief Security Adviser/Officer, reporting directly to the HOM on all matters pertaining to security management. The SRSG, in his or her capacity as DO, is a key actor with security management responsibility in the UN Security Management System. In his or her capacity as the DO and accredited to the host government, the SRSG/DO is accountable to the Secretary-General, through the Under-Secretary-General for Safety and Security. She or he is responsible for the security and protection of UN personnel, including that of the UN funds, programmes and specialized agencies as well as their eligible dependants, and other individuals defined as “UN personnel” according to the UN-system wide policy on the Applicability of the UN Security Management System (Chapter III of UN Security Policy Manual).

The DO chairs the Security Management Team comprising the Chief Security Adviser or Officer, senior management members of the mission, and the heads of UN funds, programmes and specialized agencies present in the mission area and is responsible for ensuring that the goal of the UN Security Management System is met in the mission area. He or she is responsible for engaging with the host country to advocate full implementation of Host Country’s security responsibilities for the protection of the United Nations. The DO implements any arrangements decided by the Secretary-General in support of the Host Government’s measures for the safety and security of UN personnel, premises and assets, and maintain liaison with the Host Government on security matters.

In line with the aforementioned Framework of Accountability on security management, the Chief Security Adviser/Officer, serves as principal adviser to the DO and the Security Management Team (SMT) on all aspects of security management, crisis readiness and preparedness at their respective duty stations and in the execution of responsibilities with regard to the security of personnel employed by the organizations of the UN system and their eligible dependants, premises and assets.

The UN Department of Safety and Security (UNDSS) is the UN department that deals with the safety and security of the UN worldwide, and, except for the traditional peacekeeping operations of MINURSO, UNFICYP, UNIFIL, UNDOF, UNTSO, UNISFA and UNMOGIP, provides a Chief Security Adviser (CSA) and some additional DSS security personnel to missions. In the traditional missions, DFS provides a Chief Security Officer (CSO) and all other security personnel. Besides normal functions commonly associated with security management, the section may also have a security information analysis capability which works closely with other information analysis capabilities in the mission to ensure a comprehensive situational awareness for the Designated Official.

Reporting directly to the Secretary-General, the Department of Safety and Security oversees security globally through its Division of Regional Operations in which the Peace Operations Support Section backstops all missions with security support from the Headquarters. The Under-Secretary-General of the Department chairs the Inter-Agency Security Management Network (IASMN), a UN system wide body responsible for developing all security policy which is ultimately approved by the Chief Executives Board. This body of security policy applies to all elements of peacekeeping operations with the exception of the military contingents and the members of formed police units. Headquarters support to security in the field from within DPKO is handled by the Focal Point for Security, who is located within the office of the Chief of Staff DPKO-DFS. This person is the security policy adviser to the Under-Secretaries-General DPKO and DFS, and acts as the liaison with DSS. For more details on the roles and accountability of all actors in the UN Security Management System, at the strategic, operational I and technical levels, please refer to Security Policy Manual Chapter II Section B on the Framework of Accountability (which has been acknowledged by the General Assembly).

The protection of UN premises in the field can be achieved in a number of ways including the employment of guards under UN contract; relying on the military contingents and formed police units; establishing a UN Guard Unit with personnel provided by TCC or PCC (to date this has only been done in Special Political Missions); using private security companies as the last resort, or, a combination of these. The security section will still be responsible for the security of UN premises, irrespective of the source of guards.

All members of peacekeeping operations, with the exception of formed military or police units, undergo certain mandatory security training, and have to abide by all security policies, rules and operating procedures in the mission.

While UNDSS focusses on all aspects of security managements part of which involve safety issues (including fire, road and aviation safety), occupational safety is managed as a workplace programme through the office of the Director or Chief of Mission Support.

### 2.2.6 Joint or Integrated Mission Structures

All multidimensional missions have Integrated Support Services (ISS), a Joint Mission Analysis Centre (JMAC) and a Joint Operations Centre (JOC). All of these joint centres are headed by a civilian and bring together civilian, military and police specialists to ensure that information, action and resources are effectively used across all components of the mission.

ISS is responsible for providing logistics support to all mission components including in regions or sectors. They therefore control all logistical resources in the mission (including UN-owned, commercially contracted and military logistics or enabling units such as construction and maintenance engineering, medical, movements control, supply and transport assets etc.). This means that the Chief of ISS exercises “Tasking Authority” over all uniformed personnel and resources assigned to ISS. This includes enabling units, transportation and movement units, such as military transport helicopters, but it does not include combat units, such as combat aviation units or combat/field engineers, which are tasked by the Head of the Military Component.

In UN peacekeeping operations with military logistic units, known in UN peacekeeping as ‘enabling units’, a Joint Logistics Operation Centre (JLOC) is established as part of the ISS. The role of the JLOC is to provide all mission components and other UN and non-UN entities with a single point of coordination for all aspects of logistics support in the mission area.

The JOC is a jointly staffed information hub established at Mission Headquarters. It ensures mission-wide situational awareness through integrated reporting on current operations and day-to-day situation reporting. The JOC provides the Head of Mission and the Senior Management Team with a 24-hour information centre ensuring full situational awareness. During a crisis event, the JOC becomes the Head of Mission’s crisis management centre.<sup>lxxxvi</sup>

The JMAC supports integrated mission management, security and informed decision-making across all the components. It collects and synthesizes all-source information and produces medium and long-term integrated analysis. These integrated analysis products provides the Head of Mission and Senior Management Team with information needed to understand issues and trends as well as related implications and potential developments. The JMAC also provides assessments on cross-cutting information and threats that may affect the mission.<sup>lxxxvii</sup>



For more detailed information on this aspect of the mission structure, please refer to the Core Pre-Deployment Training Module, Unit 2, Part 2.

## 2.2.7 Substantive Key Issues Across Peacekeeping Operations

### Human Rights

The UN is firm in its conviction that strong, durable and equitable peace and security can only ever be attained if it is built on respect for human rights. As former Secretary-General Kofi Annan declared to the General Assembly at the 60th anniversary of the UN, “*We will not enjoy development without security, we will not enjoy security without development, and we will not enjoy either without respect for human rights*”. It is the UN position that development, security and human rights are mutually dependent on each other.

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#### Definitions:

**Human rights violation:** is a term which indicates that human rights have been violated by the action (or omission) of a State official or agent, such as a police officer, soldier, judge, local administrator, parliamentarian, while they have been acting in their official capacity (or have been perceived to be acting in their official capacity).

**Human rights abuse:** is a broader term which includes abuses of human rights committed by non-State actors, such as rebel groups, corporations etc.

For a discussion on what human rights are, go to:

<http://www.ohchr.org/en/issues/pages/whatarehumanrights.aspx>

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Since human rights violations are at the origin of many modern conflicts, addressing human rights issues is essential to finding solutions and facilitating the success of peace operations. The protection and promotion of human rights are therefore key elements of the full spectrum of peace and security activities (conflict prevention, peacemaking, peacekeeping, peace enforcement and peacebuilding). It is the UN position that peace processes must address the root causes of a conflict, and not just the consequences. Peace processes must address the plight of the most marginalized of groups in a society affected by conflict. Seeking justice and providing compensation or remedies can be important way to address the plight of communities and individuals affected by conflicts.

In 2005, the Secretary-General issued Decision 2005/24 on Human Rights in Integrated Missions, which spelled out the principles according to which human rights should be integrated in peacekeeping operations. In 2011, building on the 2005 Secretary-General Decision, DPKO, DPA, DFS and the Office for the High Commission on Human Rights (OHCHR) issued the Policy on Human Rights in United Nations Peace Operations and Political Missions which outlines the institutional relations between the four departments in the context of the integration of human rights in these operations. Additionally, it sets out the purpose, roles, and scope of activity of human rights components as well as human rights roles and responsibilities of senior mission leadership and other components of peace operations and political missions.

Human Rights integration is a critical enabler to implementation of the 2011 Secretary-General Due Diligence Policy on Support to non-UN Security Forces, which in peace mission settings requires strong cooperation between all mission components. Responsibilities

include assessing risks that recipient forces may commit grave violations; identifying mitigating measures; monitoring behaviour once support is provided; and interceding if grave violations are committed. Implementation of Due Diligence is fundamental to i) positively influence the behaviour of local armed forces which receive support, ii) enable them to take on their primary responsibility to protect their own population (mission exit strategy) iii) maintain the credibility of the UN and iii) protect UN military contingents from accusations that they work with human rights violators.

At Headquarters, DPKO, DPA, OHCHR and DFS work together to ensure the full integration of human rights in peace operations and political missions, including in assessment and planning in all mission phases; information sharing and consultation; guidance development; and promotion and support for the integration of human rights training in pre-deployment and other training programmes for appropriate target groups.

At the mission level, all peace operations and political missions' personnel have a responsibility to ensure that human rights are promoted, respected and protected through and within their operations in the field. It is the responsibility of the Head of Mission to uphold international human rights law in the implementation of peace operations and political missions' mandates. Traditional and non-multidimensional peace operations whose mandate does not include specific human rights provisions, or a human rights component, or are neither mandated nor resourced to implement human rights activities, are still expected to uphold human rights standards, ensure that they do not adversely affect human rights through their operations, and advance human rights through the implementation of their mandates.

The mission's Human Rights Component coordinates and discharges all core human rights functions as part of the mandate of a peace operation or political mission. These typically include, but are not limited to:

- i) monitoring of the human rights situation and investigations into serious human rights violations to prevent and address them;
- ii) assessment, analysis and evaluation of information to identify and understand the causes of human rights violations and problems, and guide the design of strategies to provide effective remedies and durable solutions;
- iii) internal and public reporting on human rights issues and activities;
- iv) advocacy and intervention actions to address human rights concerns;
- v) human rights advice, support for institutional reform and capacity building of State authorities and civil society actors;
- vi) advice and assistance to other components in integrating human rights in their tasks, for example on strategies for the protection of civilians, sexual and gender-based violence, cases of individuals seeking protection, and political and peace processes;
- vii) support to United Nations human rights mechanisms; and
- viii) coordination and integration of human rights in UNCT and HCT, to ensure that human rights considerations and approaches are properly integrated into broader planning frameworks.

On 11 December 2012, the Secretary-General endorsed the [Policy on Human Rights Screening of UN Personnel \(Decision No. 2012/18\)](#). The policy applies to all UN personnel in

the Secretariat – staff and non-staff, uniformed and civilian, including those in peace operations. It includes a section on principles, which includes that the UN should, as a principle, neither select nor deploy for service in the Secretariat any individual who has been involved in violations of international human rights or humanitarian law. The full policy can be found by clicking on the hyperlink in the text above.



For more information on human rights, go to:

<http://www.un.org/en/peacekeeping/issues/humanrights.shtml>

### Restoration of State Authority

The transition from war to sustainable peace is multifaceted and nonlinear. (Later in this module, starting on page 86, we will discuss the three overlapping phases of making peace, keeping peace and sustaining peace, with each phase requiring a mix of political, security, humanitarian and developmental activities.) The displacement and destruction associated with conflict has an adverse effect on civil society. However, the civil society - the network of informal and formal relationships, groups and organizations which bind a society together – often times survives and can be built on. Involving civil society in the peace process can contribute to psychosocial healing and provide the environment within which the levels of trust and sense of community necessary for durable peace are constructed. By allowing civil society to participate in the peace settlement, reconciliation becomes part of the peace-making process itself.

Civil Affairs components play a vital role in restoration of peace by working with civil society, namely through (a) supporting the restoration and extension of state authority, (b) confidence-building, conflict management, and (c) reconciliation cross-mission liaison, monitoring and facilitation at the local level. In doing so, they help to put into practice a broader concept of national ownership in which different elements of societies are able to shape national and international interventions.

Civil affairs colleagues work to have an impact at local levels in support of peace processes. For examples, colleagues in South Sudan, Darfur and Cote d'Ivoire continue their efforts in support of conflict management, early warning and community reconciliation activities, while in Liberia, Haiti and Afghanistan civil affairs components are called on to address the challenges posed by transition environments - working to strengthen and support the role of local authorities. Civil Affairs Officers in the eastern parts of the Democratic Republic of Congo are deeply engaged in support of mechanisms and strategies to address threats to civilian populations, in what remains an extremely challenging context.

The modern state has a core set of functions and responsibilities, including providing security to its people, managing public finances, establishing control over key national assets, administering justice, providing infrastructure, and investing in human capital. In the immediate aftermath of a conflict, fragile States need to restore their authority, re-establish the rule of law, rebuild justice and security systems while managing a process of disarmament, demobilization, and reintegration, and addressing the needs of internally displaced persons. Mandates to support the extension or restoration of state authority in post-conflict environments have increased over recent years, and tasks related to this area of work are also recognised as part of the core functions of a multidimensional UN peacekeeping operation.

Political Affairs components or the Office of the DSRG/RC/HC may also undertake a variety of tasks in support of the restoration or extension of state authority in addition to those undertaken by Civil Affairs components. Similarly, Police and Military components may provide support to security sector reform and capacity building or to institutions of the judiciary, and are often involved in providing the necessary enabling security environment.

An example of the role that civil affairs plays in building confidence between local players unfolded recently in Seguin National Park in Haiti, where parcels of land belonging to the park have been occupied since 1942 by a community of 600 farmers. Tensions between the authorities, in particular the national police and the farmers, escalated into violent clashes resulting in four deaths as police tried to evict the farmers. After the incident, Civil Affairs Officers were the only actors that had sufficient confidence and credibility to be able to reach out to the community entrenched in Seguin Park, with a view to mediating dialogue between the occupants and the local authorities. The negotiations that took place in the regional field office of MINUSTAH, focused not only on the outstanding problem of the relocation of the community from Seguin, but also on the opening of a formal investigation into the killing of the four farmers. The discussions helped to normalize relations between the community and the authorities, contributing to conditions that are more conducive to a final resolution of the problem.



For more information on restoration of state authority and the role of civil affairs, go to: [http://www.un.org/en/peacekeeping/documents/civilhandbook/Civil Affairs Handbook.pdf](http://www.un.org/en/peacekeeping/documents/civilhandbook/Civil%20Affairs%20Handbook.pdf)

### Women Peace & Security

The blueprint for gender equality in work the Peacekeeping Operations is firmly rooted in a series of resolutions on Women Peace and Security (WPS) (UNSCR 1325, 1820, 1888, 1889, 1960, 2106, 2122). The resolutions collectively address the importance of women's equal and full participation in all political mechanisms as well as recognizing their role in prevention and protection mechanisms, and provide a comprehensive framework to strengthen prevention and accountability as regards incidents of conflict-related sexual violence (CRSV).

The framework of WPS incorporates 2 pillars (Gender Equality and CRSV), each addressed within a separate but interconnected structure in DPKO-DFS. Gender Advisers support and promote women's gender equality through empowerment, whereas Women Protection Advisers support and advance the protection of women and girls from sexual violence.

Collectively the 2 pillars form the basis of the women, peace and security architecture in peacekeeping. They are interconnected and interoperable, each mutually re-enforcing and enabling. Without women's active participation in their own protection, they remain at a higher risk to sexual violence, therefore, the WPS agenda in peacekeeping builds on a partnership between Promotion and Participation, and Response to CRSV.

DPKO and DFS utilise a number of methods to ensure that gender equality is at the core of all peacekeeping work. One of the most important is the process of *gender mainstreaming*. Gender mainstreaming ensures that gender perspectives are integrated into all elements of policy development in all sections (Security Sector Reform, Disarmament, Demobilization and Reintegration, Police, Military, Protection of Civilians, Elections etc.) from initial planning through to evaluation.

To guarantee that gender is mainstreamed throughout peacekeeping operations, DPKO-DFS draws from its recently adopted DPKO-DFS Forward Looking Gender Strategy 2014-2018 and the Policy on Gender Equality in Peacekeeping Operations (2010).

In order to effectively address CRSV, dedicated personnel specifically recruited to address CRSV, namely Women's Protection Advisers are deployed into peacekeeping operations (as per resolution 1888) where CRSV is an issue. To ensure the mainstreaming of the mandate, and strengthen the mission's response to CRSV Women's Protection Advisers are to be deployed into the OSRSG, and the Gender and Human Rights components.

In addition, training and capacity building is developed and delivered on both gender issues and prevention of sexual violence, for pre-deployment and in-mission specialized training courses. Policies and guidelines are developed at headquarters for both gender issues and CRSV.

The role of the Gender Advisors in the field and at Headquarters is to: (a) provide technical guidance to mission senior leadership (military, police and civilian) in the specifics of how to integrate gender considerations into planning, policy development and programming, (b) contribute and implement capacity building mechanisms for all mission personnel and partners on gender equality, and (c) mainstream gender across all mission components and ensure that gender equality is integrated into all mission components.

Whilst preventing and responding to CRSV is a mission wide responsibility and is to be implemented by men and women alike, the role of the Women Protection Advisers is to (a) advise mission leadership on the integration of CRSV issues throughout planning processes; b) mainstream CRSV issues throughout security and defence sector reform, disarmament, demobilisation and reintegration processes, the rule of law, political, human rights, gender, child protection, and protection of civilians sectors; (c) establish monitoring, analysis and reporting arrangements on CRSV with UN partners; (d) engage in a dialogue with parties to the conflict for 'commitments' to prevent and respond to incidents of CRSV and monitor the implementation of these 'commitments'; (e) strengthen coordination on the CRSV mandate with the UN Country Team and partners; (f) and deliver training and capacity building on CRSV and the root causes of violence in mission contexts.

Please note that the Gender Equality pillar of the Women, Peace and Security framework is addressed in all peacekeeping operations through Gender Advisers and Focal Points. However, Women's Protection Advisers are only deployed to missions implementing the CRSV mandate, notably where CRSV is taking place in the operational environment.



For more information on women peace and security go to:  
<http://www.un.org/en/peacekeeping/issues/women/wps.shtml> and in POINT:  
<http://point.un.org/SitePages/genderadvisoryteam.aspx>

### Protection of Civilians in UN Peacekeeping

Following the failures of the United Nations to prevent mass atrocities in Bosnia and Rwanda in the mid-1990's, the Security Council began to mandate peacekeeping operations to protect civilians under imminent threat of physical violence. The authorization of UNAMSIL in 1999 began a practice in which the Security Council has routinely mandated UN

peacekeeping operations to protect civilians when deployed to areas where insecurity still exists. The protection of civilians (POC) is arguably the most important, and perhaps most challenging mandated task that peacekeepers are asked to implement. Preserving human life is at the very core of the Charter, and the UN's ability to protect civilians where peacekeepers are deployed is often the yardstick by which the world judges the effectiveness of the organization. With the new mission in the Central African Republic, there are now 10 missions with the POC mandate, with more than 95% of all peacekeeping personnel working in those missions.

Amongst international actors, peacekeeping missions have a unique ability, and authorization, to protect civilians from physical violence. Their impartial stance, political weight, multidimensional civilian capacities, and authorization to use force, provide them with a set of tools to protect civilians from physical violence that other actors do not possess. The most distinguishing feature of UN peacekeeping vis-à-vis other protection actors is the authorization provided by the Security Council to use force to protect civilians. While the use of force is a last resort, and should only be used when all other measures have failed to prevent civilians from being harmed by physical violence, peacekeepers can use their weapons to do so, irrespective of the source of the threat.

The challenges to implementing the POC mandate are legion. Threats to civilians are rarely concentrated in one geographical area, making it difficult, and oftentimes impossible, for the mission to reach all vulnerable civilians. Peacekeepers frequently find themselves in situations in which they are required to protect civilians from elements of the very host government that they are deployed in support of, thus posing a risk to the government's consent for the mission. Peacekeeping operations are generally not resourced to meet the expectations of the mandate; air mobility assets such as utility and attack helicopters required to convey troops to the site where civilians are being threatened, or to intervene in those attacks that are already underway, are perennially short in supply. And the willingness of troop contributing countries to put themselves in harm's way to protect civilians is not monolithic.

Protecting civilians is a whole-of-mission mandate, requiring joint analysis, planning, and operations. In multidimensional missions, this generally requires a strong coordination, planning and guidance development role that can be performed by Protection of Civilians Advisors. In South Sudan, for instance, the UNMISS POC Advisors developed plans for the eventuality that civilians sought refuge within mission bases. These plans enabled the mission to protect more than 70,000 internally displaced persons (IDPs) on its premises during the violence in December 2013. In MONUSCO, the POC Advisor has been instrumental in developing the procedures for joint operations with the Armed Forces of the Democratic Republic of Congo (FARDC) to ensure that civilians are not harmed in UN-supported military operations. In other missions, POC Advisors work with colleagues on in-mission training on POC, lead the development of mission-wide POC strategies, coordinate regular analyses of threats to civilians with humanitarians and military and police colleagues, and ensure that senior mission leadership has as current and comprehensive picture of the POC landscape in the mission area.

Further to the DPKO-DFS strategy, individual units, including the police and military, have been developing their own follow-up policies and guidance on their roles in the

implementation of protection of civilians mandates. These have additionally been supplemented by mission-specific approaches in line with their own POC mandates.



The 2008 Report “Protecting Civilians in the Context of Peacekeeping: Successes, Setbacks, and Remaining Challenges” is available at:  
<http://www.peacekeepingbestpractices.unlb.org/pbps/Pages/Public/viewdocument.aspx?id=2&docid=1014>



A record of Security Council meetings on POC, including associated resolutions, Presidential Statements, Secretary-General’s Reports, and press releases can be found at:  
[http://www.un.org/en/peacekeeping/documents/sc\\_poc\\_meetings.pdf](http://www.un.org/en/peacekeeping/documents/sc_poc_meetings.pdf)

### Children and Armed Conflict

Conflicts disproportionately affect children. Many are subject to abductions, sexual violence, military recruitment, killing, maiming, and numerous forms of exploitation which are part of what is called the six grave violations against children. In many conflict-ridden countries, peacekeeping missions are the largest actor on the ground and their contribution is vital to protecting children.

The Security Council has addressed this issue since 1999 and the protection of children in conflict has been included in the mandates of peacekeeping operations since 2001. In 2009 DPKO-DFS adopted the Policy on Mainstreaming the protection, rights and well-being of children affected by armed conflict within UN Peacekeeping Operations. The Policy clearly lays out that everyone in the mission has a role to play. For example:

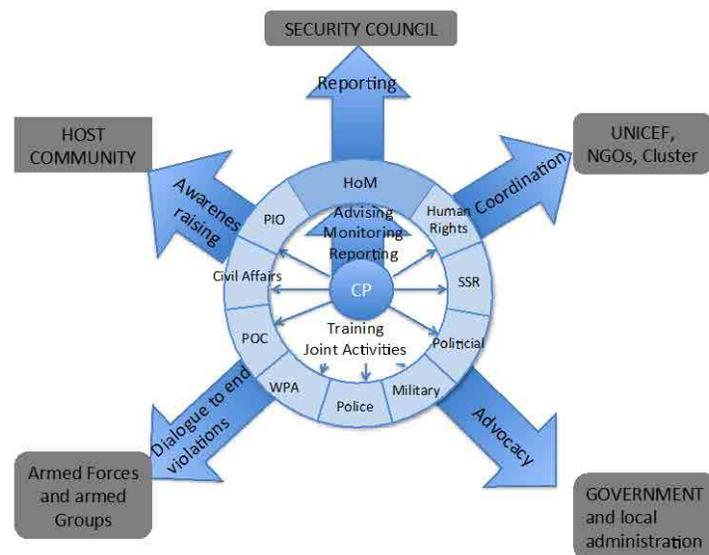
- The head of the peacekeeping operation works to ensure that child protection concerns are a priority in the peace process
- Peacekeeping military are crucial in providing protection signalling violations against children to the child protection staff, helping to identify and release children from armed groups
- UN Police work jointly with national police to ensure the rights of children in contact with the law
- Judicial Affairs Officers ensure that children’s rights are secured in national legislation

Although everybody in a peacekeeping operation, including military and the police, plays a role in protecting children, there are also special Child Protection Advisers who, in countries with the most severe impacts of conflict, help the mission channel their resources towards children. Child Protection Advisers are specialist staff sent to missions to help them fulfill the child protection mandate. Their work includes:

- Placing the concerns of children onto the peace and political agenda
- Ensuring that child protection becomes an integral part of the mission’s engagement. This is done through mainstreaming and advising the mission leadership.
- Monitoring and reporting the most serious violations against children

- Negotiating with armed forces and groups action plans to stop violations against children, such as the recruitment of children, sexual violence etc.
- Assist in the release of child soldiers
- Advocacy: the child protection adviser acts as an advocate, facilitator, and an adviser to the mission leadership on pertinent child protection issues
- Training newly-deployed peacekeepers on child protection, which complements the training on child protection every peacekeeper must receive prior to his or her deployment
- Liaising with UNICEF and other child protection actors for follow-up and response to individual cases

### The Work of Child Protection in the Mission



It is important for UN personnel to understand that a child is defined as any person below the age of 18 and that child protection extends to prohibition of child labour in UN peacekeeping operations, as per the [2011 DPKO-DFS Policy](#).



For more information on the protection of children in armed conflict, go to: <http://www.un.org/en/peacekeeping/issues/children/> and <http://point.un.org/SitePages/childprotection.aspx>

To understand more about the role of Child Protection Advisers, go to: <http://www.un.org/en/peacekeeping/issues/children/cpa.shtml>

### Justice and Corrections

Strong justice and corrections institutions, together with robust police and law enforcement agencies, are necessary to ensure a secure and stable environment by bringing perpetrators

of serious crimes to justice, encouraging the peaceful resolution of disputes and restoring trust and social cohesion based on equal rights.

The objective of justice and corrections components in the field is to support national authorities to rehabilitate and re-open courts and prisons, facilitate constitution-making processes, develop legislation, policies and procedures, provide training to police officers to develop national capacity, investigate and prosecute serious crimes and promote access to justice. Justice and correction officers also promote the independence, professionalism and accountability of justice and corrections institutions, improve prison security, reduce prison overcrowding, address arbitrary and prolonged detention and develop prison health, education and vocational activities.

Under the Global Focal Point arrangements, the justice and corrections components work closely together with police, to enhance the United Nations ability to deliver high-quality and coordinated assistance in the rule of law sector. Other partnerships include cooperation with the Team of Experts on Rule of Law/Sexual Violence in Conflict and United Nations Rule of Law Coordination Group. Member States established the Group of Friends of Corrections in 2010.



For more information on correction and justice, go to:  
<http://www.un.org/en/peacekeeping/issues/ruleoflaw/corrections.shtml> or  
<http://www.un.org/en/peacekeeping/issues/ruleoflaw/justice.shtml>

### Security Sector Reform

The objective of Security Sector Reform (SSR) programmes is to facilitate national security sector reform dialogues, develop national security and defence policies, strategies and plans, strengthen oversight, management and coordination capacities, articulate security sector legislation, mobilize resources for SSR-related projects, harmonize international support to SSR and monitor and evaluate programmes and results.

Security sector reform specialists primarily support initiatives at the sector-wide level of SSR, which extend beyond critical exercises like “right-sizing” the security services or “training and equipping” uniformed personnel. The aim of sector-wide initiatives is to strengthen the entire security sector architecture and framework by enhancing the oversight, governance and management of all security institutions.

A partnership exists between DPKO and UNDP, in the Inter-agency SSR Task Force (IASSRTF). In addition, the SSR Unit also maintains a Community of Practice for United Nations SSR practitioners. Between 2008 and 2011, the SSR Unit administered and managed the inter-agency capacity building programme entitled “Developing a System-wide United Nations Approach to Security Sector Reform.”



For more information go to: <http://www.un.org/en/peacekeeping/issues/security.shtml>

### Disarmament, Demobilization and Reintegration Programmes

The objective of the Disarmament, Demobilization and Reintegration (DDR) process is to contribute to security and stability in post-conflict environments so that recovery and development can begin. The DDR of ex-combatants is a complex process, with political,

military, security, humanitarian and socio-economic dimensions. It aims to deal with the post-conflict security problem that arises when ex-combatants are left without livelihoods or support networks, other than their former comrades, during the vital transition period from conflict to peace and development. Through a process of removing weapons from the hands of combatants, taking the combatants out of military structures and helping them to integrate socially and economically into society, DDR seeks to support male and female ex-combatants and men, boys, women and girls associated with armed forces and groups, so that they can become active participants in the peace process.

DDR Officers, who are civilian mission staff, work closely with the host country's DDR Commission, or similar entity, to carry out disarmament and demobilization. To bridge the gap between demobilization and reintegration, which is a longer-term process, reinsertion activities are often carried out by the mission. These reinsertion activities, which last up to a year, could take the form of a Community Violence Reduction (CVR) programme, or other, more individually-targeted assistance. While a DDR programme may, depending on the country context, direct ex-combatants into SSR initiatives, this is not the programme's principal aim. Rather, DDR focuses on channeling ex-combatants into civilian livelihoods.

The DDR Section, together with the UNDP, acts as Co-Chair of the 23-member Inter-Agency Working Group on DDR, which has been mandated to improve the Organization's performance in the area of DDR and in particular to contribute to an integrated approach. The DDR Section also worked closely with the African Union, the World Bank and other partners on joint initiatives.



For more information on DDR go to: <http://www.unddr.org>

### Mine Action

The objective of the United Nations Mine Action Service (UNMAS) is to address the challenges related to unsecured and poorly-managed stockpiles of weapons and ammunition, improvised explosive devices, dangerous storage depots, unexploded ordnance, landmines and cluster munitions. Mine action programmes support UN peacekeeping operations to deploy and build mine action and explosive ordnance disposal capacities in security forces, military and police. They support disarmament by destroying small arms or building safe and secure storage facilities.

Staff working on mine action coordinate and carry out clearance, risk education, victim assistance and stockpile destruction. They provide expert guidance and training to national authorities of affected countries and work closely with the United Nations Department of Safety and Security (DSS) to counter improvised explosive devices.

UNMAS works closely with regional bodies and has an office at the African Union Headquarters in Ethiopia. It cooperates regularly with the European Union, Organization of American States, NATO and continues to build new partnerships inside as well as outside of the UN system.



For more information on UNMAS, go to <http://www.un.org/en/peacekeeping/issues/mineaction.shtml>

## 2.2.8 Collaboration Beyond the Peacekeeping Mission

The success of the peacekeeping mission depends not only on the coordinated efforts of its peacekeeping personnel, but on effective working relationships with other actors working in the country. These actors fall within three broad categories: the United Nations Country Team, national partners and the regional and international partners.

### UN Country Teams

The United Nations Country Team (UNCT) is made up of all the United Nations agencies, funds and programmes who operate in that particular country. Among others, these might include, United Nations Development Programme (UNDP), United Nations Children’s Fund (UNICEF), United Nations Office of the High Commissioner for Human Rights (OHCHR - which is often represented by the Head of the Human Rights Component of the peacekeeping or special political mission), United Nations High Commission for Refugees (UNHCR), UN Women, World Food Programme (WFP), Food and Agricultural Organization (FAO), the International Monetary Fund (IMF), and the World Bank. (Please note this list is not exhaustive.)



The UNCT is a source of extensive knowledge about the host country and the conflict situation and can help in identifying and building relationships with national partnerships and ensuring that peacebuilding activities are carried into development phase. They can also be a significant source of financial resources and programming expertise.

In multidimensional peacekeeping operations, where the mandate has strong linkages with the objectives and programmes of UN agencies, the UN has adopted an integrated approach for all parts of the UN system that are active in that country. The DSRSG/RC/HC serves as the head of the UNCT.

The UN peacekeeping operation and the UNCT engage in joint planning and, depending on the context, they are likely to have joint projects in key areas. For example, traditionally a peacekeeping operation carries out the disarmament and demobilization components of DDR, while another UN agency, such as UNDP, implements the reintegration component.

The Secretary-General’s Decision 2012/13 of 11 September 2012 on rule of law arrangements appointed DPKO and UNDP as the Global Focal Point (GFP) for the Police, Justice and Corrections Areas in the Rule of Law in Post-conflict and other Crisis Situations. Under the GFP arrangement, DPKO and UNDP, working with other United Nations partners, “respond to country-level requests, channelled through UN entities on the ground, with timely and quality police, justice and corrections assistance in terms of global knowledge, people, and

advice on assessments, planning, funding and partnerships”. The GFP is an internal operational arrangement at Headquarters which focuses on creating more integrated ways of working among two key United Nations actors and the broader United Nations system to support the field. The initiative aims to improve the coherence and quality of the United Nations rule of law support to crisis and conflict affected areas, building on the comparative advantages of relevant entities involved in rule of law efforts.

Integration can present a number of challenges given partner agencies are governed by different mandates, decision-making structures, and funding arrangements. Peacekeeping missions are ultimately accountable to the Security Council, whereas other UN agencies are accountable to the host nation, donors and other UN governance structures outside of the Security Council. Furthermore, time frames for operations are different. Humanitarian actors tend to focus on the immediate term; peacekeepers operate on a political timetable, and development agencies look toward longer-term sustainability in their activities. The UNCT is also made up of purely civilian agencies and programmes, whereas peacekeeping operations are made up of military, police and civilian components.

While there will be differences in institutional cultures and management styles, it is important for everyone to keep in mind that all objectives and activities can and should ultimately contribute to the overall goal of improving the lives of the host population.

### National Partners

While coordination within the peacekeeping mission and integration with other UN agencies is necessary to the success of a mission, the host government is by far the most important non-UN actor with whom a peacekeeping mission collaborates. It has the most at stake. Interactions between the UN peacekeeping mission and the host government occurs on many levels from high-level political discussions between the SRSG and the President or Prime Minister, to the frequent interaction between mission support personnel and their national counterparts (e.g. to obtain and secure UN offices, or to facilitate logistics support to the mission components). In multidimensional peacekeeping operations, substantive personnel generally work with and through national governmental authorities to organize elections, reduce the risks of landmines and explosive remnants of war, improve weapons and ammunition management practices, or develop programs for the disarmament, demobilization, and reintegration of ex-combatants. This is in keeping with the UN peacekeeping principle of consent.

The UN mission’s interaction with the host population is not solely conducted through the national government. Direct and constant contact is often essential with political parties and even faction leaders. Regular dialogue is maintained with religious leaders, women and student associations, academics, professional organizations, and the many other parts of the national civil society, which are central to the rebuilding of their country. It is through these contacts that mission personnel can get to understand the society in which they are working, and support them to help ensure the sustainability of the peace. Dialogue with civil society groups and different political parties is an important element of maintaining impartiality and ensuring national ownership in order to solidify the peace process. In keeping with the UN peacekeeping principle of impartiality, partnerships with national actors should be inclusive with wide representation.

## Regional and International Partners

Partnerships with international and regional organizations have become increasingly common in UN Peacekeeping. Regional organizations may have comparative advantages such as knowledge of the region, proximity to conflict aiding in rapid and less costly deployment, and troops who are acclimatized to the environment and climate. In some situations, cultural considerations can also play a significant role in the welcome of peacekeepers. Regional organizations may also have a high investment in regional stability and an appreciation for historical, cultural, political and economic interests. Some recent examples of collaboration with regional organizations include the UN working with the African Union (AU) in Darfur and the Intergovernmental Authority on Development (IGAD) in South Sudan, working alongside the North Atlantic Treaty Organization (NATO) in Kosovo and Afghanistan, handing over policing operations to the European Union (EU) in Kosovo and succeeding Economic Community of West African States (ECOWAS) troops in Mali and the EU military operation in Chad.

The individual Member States that provide the UN mission with its mandate, troops, police, finances, and political support are likely to have embassies or missions in the country. Senior UN mission and agency staff allocate time and attention to the diplomatic community to retain their confidence and support. Furthermore, many of these countries are also providing technical and financial assistance directly to the national authorities. They are doing this either through their embassies or national development agencies, such as the British Department for International Development (DFID), Japan International Cooperation Agency (JICA), or the United States Agency for International Development (USAID). Close coordination is essential to prevent duplication of effort or misunderstandings.

International non-governmental organizations (NGOs) also form part of “civil society” and work with UN peacekeeping operations. OXFAM, Save the Children, Médecins Sans Frontières (MSF) and Concern are just some examples among many. At times, peacekeeping missions work directly with some of these groups as implementation partners for Quick Impact Projects (QIPs) or initiatives under Community Violence Reduction (CVR) programmes, which can take the form of small infrastructure rehabilitation projects or short-term employment activities.

## 2.3 OTHER PEACE AND SECURITY ACTIVITIES RELATED TO PEACEKEEPING

There are a range of peaceful and coercive measures which the Security Council can authorize in cases of conflict. Peacekeeping is only one of those activities, and is often linked to, or overlaps with conflict prevention, peacemaking, peace enforcement or peacebuilding.

Many multidimensional peacekeeping operations may overlap somewhat with peacemaking or peace enforcement, when they are used. Such peacekeeping operations also overlap significantly with peacebuilding. It is, therefore, important for peacekeeping personnel to understand how these activities are related. The following explanations show how conflict prevention, peacemaking, peace enforcement and peacebuilding activities support and connect to peacekeeping.

### 2.3.1 Conflict Prevention

Conflict prevention involves the use of diplomatic measures or other tools to prevent inter- or intra-state tensions from turning into violent conflict. Conflict prevention occurs before a conflict starts. It is generally a peaceful measure adapted to the particular source of the dispute or tension. Conflict prevention may include dialogue, mediation, enquiries into sources of disagreement or confidence-building measures. One common conflict prevention measure is the use of the UN Secretary-General's "good offices" to engage in dialogue with the different parties. The aim of this dialogue may be to decrease tension, mediate a disagreement or help resolve the dispute.

Depending on the situation, different conflict prevention measures may be taken by different parts of the UN and the international community, including regional organizations.

### 2.3.2 Peacemaking

Peacemaking involves measures to deal with existing conflicts. It usually involves diplomatic action aimed at bringing hostile parties to a negotiated agreement. This may include direct activities by the UN to assist in negotiating a peace agreement, or it may mean that the UN facilitates peacemaking by peace negotiators or other regional or international actors, for instance by providing neutral facilities for their negotiations or chairing sessions of the negotiations.

The Security Council may request the UN Secretary-General, or other peacemakers, such as regional organizations, to take action. At the same time, the Secretary-General, or regional organizations, also have the power to initiate peacemaking, such as the use of his/her "good offices" to assist in the resolution of the conflict. Peacemaking efforts may also be undertaken by unofficial and nongovernmental groups, or by a prominent personality working independently.

One of the first examples of a UN peacemaking initiative was the appointment of the Swedish diplomat Count Folke Bernadotte as the UN Mediator in Palestine in 1948 to use "his good offices to promote a peaceful adjustment of the future situation in Palestine" (General Assembly Resolution 186 of 14 May 1948).

### 2.3.3 Peace Enforcement

Peace enforcement involves the use of a range of coercive measures, such as sanctions or blockades. As a last resort, the use of military force may be authorized. Because they may involve the use of force, coercive measures are taken only with the authorization of the Security Council. Such actions are authorized to restore international peace and security in situations where the Security Council has determined there is a threat to the peace, a breach of the peace or an act of aggression. Generally, coercive measures are used when other measures (conflict prevention, peacemaking, peacekeeping) have been tried and failed or are not feasible.

The Security Council may authorize peace enforcement action without the consent of the parties to the conflict if it believes that the conflict represents a threat to international peace and security or for humanitarian and protection purposes. This may occur in situations where civilians are suffering and there is no peace agreement in place, nor is there any peacemaking process which appears to be moving forward. Peace enforcement is different than peacekeeping since there is no peace process in place or consent from the warring parties. However, Chapter VII of the UN Charter still provides the legal basis for such an operation or action.

The UN does not generally engage in peace enforcement itself. When it is appropriate, the Security Council may use regional organizations for peace enforcement action (under Chapter VIII of the Charter). Peace enforcement action by regional organizations must always be undertaken with the authorization of the Security Council and should not be initiated by regional organizations without the authority of the Security Council.

The UN may engage in “robust peacekeeping”. This is when a UN peacekeeping operation is deployed with the consent of the main parties to the conflict and with a strong mandate to use force if necessary to deter spoilers and make sure the peace agreement is properly implemented. Although the line between “robust” peacekeeping and peace enforcement may appear blurred at times, there are important differences between the two.

### 2.3.4 Peacebuilding

Peacebuilding involves a range of measures aimed at reducing the risk of lapsing or relapsing into conflict. The national capacity to manage conflict and build a foundation for sustainable peace and development are strengthened at all levels. For this reason, many multidimensional peacekeeping operations are also involved in peacebuilding when they are mandated to help national authorities rebuild a state.

Peacebuilding is a complex, long-term process of creating the necessary conditions for lasting peace. It works on the deep-rooted, structural causes of violent conflict in a comprehensive manner. Activities address core issues that affect the functioning of society and the State. It aims to improve the State’s ability to govern effectively. Examples of peacebuilding activities include security sector reform, assistance to rebuild justice systems, support for the creation of national human rights institutions and other activities aimed at strengthening state structures.

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### *Why is this important to you?*

- ☞ While your role may focus on peacekeeping related initiatives, it is critical to understand the interconnectedness of all the peace and security activities and how the processes and programmes you are involved in may support them.

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This concludes our introduction to the peacekeeping context. The film “In the cause of Peace: Honouring 60 years of UN Peacekeeping” (2009) illustrates the many changes, achievements and challenges inherent in UN peacekeeping since its inception.



<http://www.youtube.com/watch?v=rqYuRh78-4> (13:31 minutes)

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- 📖 **Module Completion:** Congratulations on completing Module 2 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).
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# MODULE 3



## The Larger Picture at United Nations Headquarters

Module 3 provides an overview of the main actors and offices involved in UN peacekeeping. The following topics are covered:

- Main bodies involved in peacekeeping
- UN committees associated with peacekeeping
- DPKO-DFS collaboration with other UN Secretariat Departments
- Agencies, funds and programmes associated with peacekeeping
- Inter-agency working groups and task forces

### 3.1 MAIN UNITED NATIONS BODIES INVOLVED IN PEACEKEEPING

The Members States of the United Nations are bound together by the principles of the UN Charter. Signed in 1945, the Charter is an international treaty that spells out the rights and duties of Member States as members of the world community. The Charter guides the work of the United Nations, including its peace and security activities.



For full text of the Charter go to: <https://www.un.org/en/documents/charter/>

The UN Charter established six principal organs of the United Nations: the General Assembly, the Security Council, the Economic and Social Council, the Trusteeship Council, the International Court of Justice, and the Secretariat. In addition to these bodies, the larger United Nations family encompasses many specialized agencies, programmes and funds. This section discusses the UN bodies and agencies that are involved in peacekeeping.

#### Definitions:

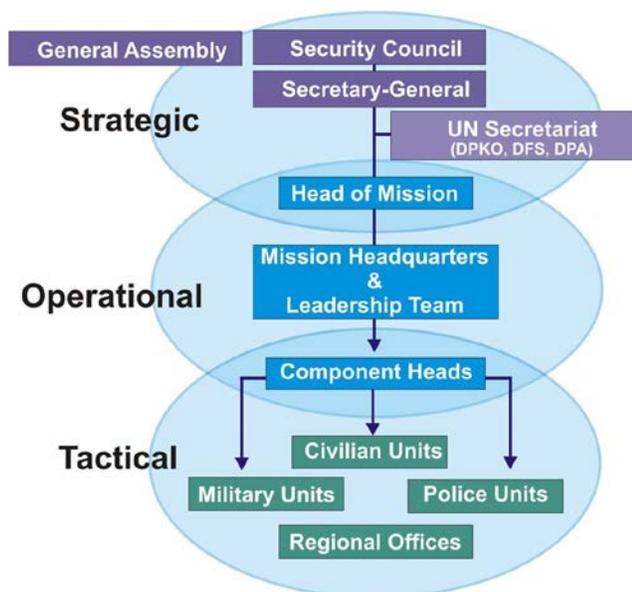
In the UN system and for the purposes of this e-Guide, the following definitions will be used for the words “strategic”, “operational” and “tactical”.

**Strategic:** The high level political decision-making and management of a UN peacekeeping operation at UN Headquarters.

**Operational:** The field-based management of a peacekeeping operation at the Mission Headquarters is considered to be the operational level.

**Tactical:** The management of military, police and civilian operations below the level of Mission Headquarters as well as the supervision of individual personnel is considered to be at the tactical level. This management is exercised at various levels by the subordinate commanders of the different components and the civilian managers at levels below the Mission Headquarters.

The following graphic illustrates the actors involved in the strategic, operational and tactical levels.



Adapted from UN Peacekeeping Operations Principles & Guidelines, pg. 67



For links to all of the UN organs, programmes, funds and other entities go to:  
<http://www.un.org/en/aboutun/structure/#GA>

For an organizational chart of the United Nations System go to:  
[http://www.un.org/en/aboutun/structure/org\\_chart.shtml](http://www.un.org/en/aboutun/structure/org_chart.shtml)

### 3.1.1 Security Council

As noted earlier, under the UN Charter, the Security Council (SC) is the UN body with primary strategic responsibility for maintaining international peace and security and the lead in determining if there is a



threat to peace or an act of aggression. It may investigate and recommend appropriate peaceful measures to resolve disputes and prevent them from escalating. In situations where the Security Council has determined that there is a threat to international peace and security, it may authorise more coercive measures. These measures may or may not involve the use of force. The legal basis for the Security Council's power to investigate and take appropriate measures is outlined in Chapters VI and VII of the UN Charter.

The Security Council, along with other principal organs, was established after World War II and has permanent residence at UN Headquarters in New York. It is made up of five permanent members (China, France, the Russian Federation, the United Kingdom and the United States) and 10 non-permanent members who are elected by the General Assembly. The non-permanent members have two-year terms. Each Security Council member has one vote. Nine out of 15 votes are required for decisions to pass. The five permanent members have veto power, which means that a resolution will not be approved if any of them votes against it. There must always be a representative of each of the members at UN Headquarters so that the Security Council can meet any time the need arises.



For more information on the Security Council, including the current non-permanent members, go to: <http://www.un.org/en/sc/>

### 3.1.2 Security Council Subsidiary Bodies and Working Groups

The Charter gives the Security Council the power to establish subsidiary bodies as required, including peacekeeping and political missions. Security Council entities and working groups that are relevant to peacekeeping efforts are discussed below.

#### Working Group on Peacekeeping Operations

The Security Council Working Group on Peacekeeping Operations serves the purpose of strengthening cooperation and consultation with Troop and Police Contributing Countries. The Working Group addresses both generic peacekeeping issues relevant to the responsibilities of the Security Council, and also technical aspects of individual peacekeeping operations, without prejudice to the competence of the [Special Committee on Peacekeeping Operations](#). The Working Group was established pursuant to a Security Council decision in 2001 and the commitment was reiterated in SCR 2086 (2013), which recognized the need for “triangular cooperation between the Security Council, the Troop- and Police-Contributing Countries and the Secretariat, in areas where military and police contingents undertake early peacebuilding tasks”. The resolutions encourage “active participation of all stakeholders in open and more frequent consultation processes with a view to improving the delivery of peacebuilding tasks in the field”. These processes complement the private and public meetings between the Security Council and Member States.<sup>lxxxviii</sup>



For more information, go to: <http://www.un.org/sc/committees/wgpk/>

#### Working Group on Children and Armed Conflict

The Working Group on Children and Armed Conflict (WG CAAC) was established in 2005 to address issues related to children in armed conflict situations. The WG CAAC has a mandate to review reports on violations against children affected by armed conflict, to review progress in the development and implementation of the national action plans on children and armed conflict, and to consider other relevant information presented to it.

The Working Group consists of all members of the Security Council and is assisted in its work by the [Office of Special Representative of the Secretary General on Children and Armed Conflict](#). DPKO and UNICEF also contribute information to the Working Group. In addition to an annual report, the Working Group produces ‘Conclusions of the Security Council Working Group on Children and Armed Conflict’ which includes recommendations to parties to conflict, Member States, the United Nations system, donors and other relevant actors.<sup>lxxxix</sup>



For more information on WG CAAC, go to:  
<http://www.un.org/sc/committees/WGCAAC/index.htm>

### Informal Working Group of the Security Council on Protection of Civilians in Armed Conflict

The Security Council's Informal Working Group on the Protection of Civilians in Armed Conflict was established in September 1999 to review further the recommendations contained in the 1999 report of the Secretary-General regarding measures that could be taken to ensure the protection of civilians and to consider appropriate steps.<sup>xc</sup> It now routinely meets ahead of mandate renewals for peacekeeping operations with protection of civilians mandates to ensure that mandate language is in sync with the protection of civilians situation on the ground. It also meets to discuss protection of civilians in armed conflict as it pertains to countries where peacekeeping operations are not deployed.

### Security Council Sanctions Committees and Panel of Experts

The UN Security Council Sanctions Committees are made up of the Security Council's fifteen current members with the responsibility to oversee sanctions enforcement and report back to the Council. Under Chapter VII of the Charter, the Security Council can take enforcement measures to maintain or restore international peace and security. Such measures range from economic and/or other sanctions not involving the use of armed force to international military action. The use of mandatory sanctions is intended to apply pressure on a State or entity to comply with the objectives set by the Security Council without resorting to the use of force. The universal character of the UN makes it an especially appropriate body to establish and monitor such measures.<sup>xcii</sup>

The Security Council established Panels of Experts (POE; also called Group of Experts or Monitoring Group) to assist the Security Council to implement its mandate to monitor, promote and facilitate the implementation of measures imposed in SC resolutions. The Panel of Experts acts under the direction of the Sanctions Committees. It is based in New York City and consists of eight members with specialized backgrounds in relevant fields, such as nuclear issues, weapons of mass destruction proliferation, finance, export control/nuclear items, missile technology, air transportation, maritime transportation and customs. The POE has a mandate to gather, examine and analyze information from States, relevant United Nations bodies and other interested parties regarding the implementation of the measures imposed in resolutions 1718 (2006), 1874 (2009), 2087 (2013) and 2094 (2013), in particular incidents of non-compliance. It also supports other Committee efforts, including outreach to Member States on issues regarding sanctions implementation, monitoring of sanctions implementation and analysis of trends and "best practices" regarding sanctions enforcement.<sup>xciii</sup>



For more information on the Security Council Sanctions Committees and Panel of Experts, go to: <http://www.un.org/sc/committees/> and

<http://www.un.org/sc/committees/1718/panelofexperts.shtml>

For more information on the subsidiary bodies of the Security Council, go to:

<http://www.securitycouncilreport.org/about-the-un-security-council.php>

To see a chart of all the subsidiary bodies, go to:

[http://www.securitycouncilreport.org/atf/cf/%7B65BFCF9B-6D27-4E9C-8CD3-CF6E4FF96FF9%7D/Subsidiary\\_Bodies\\_2013.pdf](http://www.securitycouncilreport.org/atf/cf/%7B65BFCF9B-6D27-4E9C-8CD3-CF6E4FF96FF9%7D/Subsidiary_Bodies_2013.pdf)

### 3.1.3 General Assembly

The General Assembly is the main deliberative and policymaking organ of the UN. It is made up of representatives of all 193 Member States of the United Nations. They discuss and make decisions on all international issues covered by the UN Charter. These range from development, humanitarian, social and human rights issues to financial issues, including the approval of budgets for UN peacekeeping missions.



Each Member State has one vote in the General Assembly. Decisions on significant issues, such as questions on peace and security, admission of new members and budgetary matters, require a two-thirds majority. Lesser matters require a simple majority. The General Assembly meets annually, a new session starting with high level meetings in September of each year. Emergency special sessions can also be convened within 24 hours if there is a lack of unanimity of the permanent members of Security Council on issues relating to international peace and security.



For more information on the General Assembly, go to: <http://www.un.org/en/ga/>

### 3.1.4 General Assembly Committees Associated with Peacekeeping

There are six Main Committees of the General Assembly. While all the committees play key roles in international peace and security, in this section we will focus on the two committees of particular relevance to peacekeeping, as well as their associated subcommittees.

#### Fourth Committee: Special Political and Decolonization

The Special Political and Decolonization Committee deals with a variety of subjects, including decolonization, Palestinian refugees and human rights, peacekeeping, mine action, outer space, public information, atomic radiation and the UN mandated University for Peace. It consists of membership from all the UN Member States.<sup>xciii</sup> The mandate of the Fourth Committee is determined by the General Assembly's agenda items that focus on 'special, political and decolonization' issues. Decolonization remains an important aspect of the Committee's mandate, given the sixteen territories that have not been granted self-determination.

In terms of peacekeeping, the Fourth Committee is tasked with the comprehensive review and oversight of the management of peacekeeping operations. This work is done primarily through the Special Committee on Peacekeeping Operations, however, the USGs of DPKO and DFS generally provide an annual speech to the Fourth Committee in which they explain their priorities for the coming year.



For more information on the Fourth Committee:  
<http://www.un.org/en/ga/fourth/index.shtml>

### Special Committee on Peacekeeping Operations (C-34)

The Special Committee was established by the General Assembly in 1965 to conduct a comprehensive review of all issues relating to peacekeeping. It provides updates and advice to the General Assembly on all peacekeeping operations, reporting through the Fourth Committee (Special Political and Decolonization). The Special Committee is currently made up of 147 Member States, most of which are past or current contributors to peacekeeping operations. The name “C-34” was coined in 1989 when there were 34 Member States participating. Although the numbers of Members have grown considerably, the Committee is still known as the C-34. In addition to the official Members, several Member States, intergovernmental organizations and entities, including the African Union, the European Community, the Organization of Islamic Cooperation, the International Committee of the Red Cross (ICRC) and the International Criminal Police Organization (Interpol), act as observers.

The C-34 meets annually in February and March. Before each session of the Committee, the Secretary General reports on progress through the “Report of the Secretary-General on the implementation of recommendations of the Special Committee on Peacekeeping Operations”. The session provides a forum for Member States with a stake in peacekeeping to review progress and key issues, discuss concerns and reforms, and formulate policy. The meetings include a general debate, and briefings and discussions with DPKO, DFS, relevant working groups and informal thematic groups. A substantive report is produced each year which includes recommendations to the Secretariat, Security Council, and Member States. This report provides important advice and direction to DPKO and DFS on Member States priorities, policy initiatives, and areas of particular interest or concern.

The C-34 works closely with other parts of the United Nations, particularly with DPKO, DFS and the Peacebuilding Commission. At the annual meeting, DPKO and DFS present a number of informal briefings on issues specifically requested by C-34 members in the previous year’s report. During its annual meeting, and in particular during the negotiations of the Special Committee’s report, individual DPKO-DFS offices are often invited to provide additional information to the Special Committee on particular issues or processes. The Division of Policy, Evaluation and Training acts as the C-34 focal point for the two Departments and coordinates the preparation of the annual Secretary-General’s progress report, organizes the informal briefings, and facilitates communication between the Special Committee and DPKO-DFS on substantive issues.



For more information the C-34, go to: <http://www.un.org/en/peacekeeping/ctte/CTTEE.htm>



Recent reports can be found at: [http://www.un.org/en/peacekeeping/ctte/spcmt\\_rep.htm](http://www.un.org/en/peacekeeping/ctte/spcmt_rep.htm)

### Fifth Committee: Administrative and Budgetary

The Fifth Committee is the General Assembly committee with responsibilities for administration and budgetary matters. Based on the reports of the Fifth Committee, the General Assembly considers and approves the budget of the Organization. The Assembly also

considers and approves financial and budgetary arrangements with specialized agencies and makes recommendations to the agencies concerned.

The Committee meets during the main part of the General Assembly session (September to December) and in a resumed session in March. The Committee holds a second resumed session in May to deal with administrative and budgetary aspects of UN peacekeeping missions. The Fifth Committee may also consider urgent matters relating to the financing of new peacekeeping missions authorized by the Security Council at any of its sessions.<sup>xciiv</sup>



For more information on the Fifth Committee, go to: <http://www.un.org/en/ga/fifth/>

### Advisory Committee on Administrative and Budgetary Questions

The Advisory Committee on Administrative and Budgetary Questions (ACABQ) is a subsidiary organ of the General Assembly, consisting of 16 members appointed on the recommendation of the Fifth Committee. Membership is based on broad geographical representation, personal qualifications and experience.

The programme of work of the ACABQ is determined by General Assembly and other legislative committees to which the Committee reports. Its functions include examining and reporting on budgets submitted by the Secretary-General to the General Assembly, advising on related administrative and budgetary matters, examining administrative budgets and proposals from specialized agencies, and reviewing auditors' reports and reporting to the GA on the accounts of the UN and the specialized agencies.<sup>xciiv</sup>



For more information on the ACABQ, go to: [www.un.org/ga/acabq](http://www.un.org/ga/acabq)

## 3.2 PEACEKEEPING FINANCING AND BUDGETS

In accordance with provisions in Article 17 of the UN Charter, financing UN peacekeeping operations is the collective responsibility of all of the UN Member States. The General Assembly apportions peacekeeping expenses based on a special scale of assessments under a complex formula that Member States themselves have established. This formula takes into account, among other things, the relative economic wealth of Member States.

Peacekeeping budgets are prepared based on the mandate from the Security Council. A start-up team is deployed as soon as feasible after the Security Council establishes mandate. A detailed budget is then prepared on the basis of findings of a strategic assessment and related technical assessment mission(s). Following the initial budget request, a peacekeeping mission budget is prepared on an annualized basis (1 July of first year to 30 June to the following year) and therefore covers one mandate period and beyond. Peacekeeping budgets follow the results-based budgeting approach (as defined below).

### Definition:

**Results-based budgeting (RBB)** is a budget process in which

- a) Budgets are formulated around a set of pre-defined objectives and expected accomplishments

- b) Expected accomplishments justify the resource requirements which are derived from and linked to outputs required to achieve such accomplishments
- c) Actual performance in achieving expected accomplishments is measured by indicators of achievement

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Unlike the regular budget, however, peacekeeping budgets do not include programmes and sub-programmes. Peacekeeping budgets include the resource requirements for military, police and civilian personnel costs, such as salaries and related costs, travel and subsistence of military and police personnel, rations and related operational costs, force-wide equipment and supplies, and transportation.

The Secretary-General submits budget proposals to the ACABQ. The ACABQ reviews the proposal and makes recommendations to the General Assembly's Fifth Committee for its review and approval. The Fifth Committee resumes its work annually for a period of four weeks in May to consider the administrative and budgetary aspects of the financing of peacekeeping operations, as well as the Support Account, which finances most of the work carried out by DPKO and DFS (see below). Ultimately, the budget is endorsed by the General Assembly as a whole. At the end of the financial cycle, each peacekeeping operation, as well as DPKO/DFS, prepares and submits a performance report which shows the actual use of resources. This report is also considered and approved by the General Assembly.

If a decision of the Security Council relating to the start-up phase or expansion phase of peacekeeping operations results in the need for expenditure, the Secretary-General is authorized, with the prior concurrence of the Advisory Committee on Administrative and Budgetary Questions, to enter into commitments up to 100 million dollars from the available balance of the Peacekeeping Reserve Fund.<sup>xcvii</sup> (The Peacekeeping Reserve Fund was established in 1992, at a level of \$150 million, as a cash flow mechanism to ensure the rapid response of the Organisation to the needs of peacekeeping operations.<sup>xcviii</sup>) For commitments of more than \$100 million, authority is requested from General Assembly.<sup>xcix</sup> The approved budget for UN Peacekeeping operations for the fiscal year 1 July 2013-30 June 2014 is approximately \$7.83 billion.<sup>c</sup>

The Support Account budget is a funding mechanism that provides for Headquarters' support and guidance to peacekeeping operations. It is based on temporary post and non-post requirements of active peacekeeping operations and depends on the number, scope and complexity of these operations. Under non-post requirements, the following objects of expenditures are considered: general temporary assistance, official travel, facilities and infrastructure, communications and other supplies, services and equipment. The support account is not limited to DPKO-DFS. For example, the Department of Management (DM) and the Office of Legal Affairs (OLA) also receive funding through the Support Account to cover costs associated with their support to peacekeeping missions.



Information on current peacekeeping budgets and Member States contributions can be found at: <http://www.un.org/en/peacekeeping/operations/financing.shtml>

### 3.3 DPKO-DFS COLLABORATION WITH OTHER SECRETARIAT DEPARTMENTS AT Headquarters

In June 2008, the Secretary-General issued a set of decisions that reaffirmed integration as the guiding principle to maximize the individual and collective impact of the UN's response in all conflict and post-conflict situations. This includes all operations where the UN has a Country Team and a multidimensional peacekeeping operation or a political field mission/office, regardless of whether these were 'structurally integrated'. The 2008 decisions resulted in the creation of the Integration Steering Group (ISG) which is chaired by the USG of DPKO and meets on a quarterly basis to provide senior leadership and oversight on key integration-related issues. It has considered a broad range of issues, including the impact of integration on humanitarian space, a review of joint programming between missions and UNCTs, and a broad range of support related issues (which are dealt with through a DFS chaired Support Working Group). In 2013, the ISG endorsed the new UN Policy on Integrated Assessment and Planning (IAP), which was subsequently approved by the Secretary-General on 9 April, 2013.

As previously noted, the IAP replaces the guidelines on the Integrated Mission Planning Process (IMPP) and, as the name change indicates, moves away from the mission-centric nature of the previous guidelines and focuses on a UN-wide strategic response in support of peace consolidation, consistent with the introduction of the requirement for Integrated Strategic Frameworks in the 2008 decisions. Compared to the IMPP, the scope of the IAP is broader, requiring the UN system to come together once a UN peacekeeping or political mission is under consideration to engage in joint assessment and to begin joint planning. The IAP emphasizes the importance of developing a shared analysis of the context through joint assessment, and it puts a stronger emphasis on links to other planning processes (including national ones) and the UN's strategic positioning vis-à-vis other actors.

The inter-agency Integration Working Group includes, inter alia, DPKO, DFS, DPA, OCHA, UNDP, UNICEF, UNHCR, PBSO and WFP and meets regularly to discuss issues related to integration.



The IAP is supported by the Integrated Assessment and Planning Handbook which provides guidance on methodologies, tools and approaches for implementation. There is also information on the IAP in this e-Guide, Module 2 on page 53.

#### 3.3.1 The Secretariat

The UN Secretariat is the administrative arm of the United Nations, serving the principal organs for the United Nations. The Secretariat is made up of a wide variety of departments and offices which deal with all aspects of the United Nations mandate. It is led by the Secretary-General and staffed by approximately 43,000 international civil servants in duty stations around the world.

Earlier in this e-Guide we discussed some of the offices which are part of the Secretariat directly focusing on peacekeeping (DPKO, DFS and their shared Offices). In this section we will explore some of the other offices within the Secretariat that have responsibilities related to peacekeeping.

## The Secretary-General



The Secretary-General (SG) is the head of the United Nations Secretariat and the Chief Administrative Officer of the Organization. The Secretary-General is appointed by the General Assembly on the recommendation of the Security Council. It is a five-year, renewable term, although no one has held the office for longer than two terms. The Secretary-General has the power to bring any situation that she or he thinks may threaten international peace and security to the attention of the Security Council. The Security Council still maintains the power to decide whether the situation is in fact a threat to international peace and security.

Mr. Ban Ki-moon, of the Republic of Korea, is the current Secretary-General, taking office in 2007 and being re-elected in 2011. He is the eighth Secretary-General of the United Nations.

The following brief video provides a glimpse into a day in the life of the Secretary-General during the 2010 meeting of the General Assembly.



<http://www.youtube.com/watch?v=dUR0gzFg2ss> (7:22 minutes)



For more information on the Secretary-General, go to: <http://www.un.org/sg/>

## Department of Political Affairs

Established in 1992, the Department of Political Affairs (DPA) plays a central role in United Nations efforts to prevent and resolve deadly conflict around the world. DPA monitors global political developments and advises the United Nations Secretary-General on the prevention and management of crises, including the use of his diplomatic "good offices" to help parties in conflict settle disputes peacefully. The Department provides support to numerous envoys of the Secretary-General engaged in peace talks or crisis diplomacy, while overseeing field-based United Nations peacebuilding support offices and "political missions" with mandates to help nations and regions resolve conflicts and tensions peacefully.<sup>ci</sup>

Political missions are part of a continuum of UN peace operations working in different stages of the conflict cycle. In some instances, following the signing of peace agreements, political missions overseen by the Department of Political Affairs during the stage of peace negotiations have been replaced by peacekeeping missions. In other instances, UN peacekeeping operations have given way to special political missions overseeing longer term peace-building activities.

Administrative and logistical support to DPA field missions is provided by DFS. DPKO also provides assistance to DPA-led field operations, most notably through the Office of Rule of Law and Security Institutions (OROLSI) which supports DPA presences in the fields of

disarmament, demobilization and reintegration, security sector reform, mine action, police, justice and corrections.

The Department of Political Affairs has other important functions that contribute directly to UN efforts to promote peace and prevent conflict, including providing support to the Security Council and its subsidiary bodies and coordinating all UN electoral assistance activities. In peacekeeping operations, DPA's Electoral Assistance Division works closely with DPKO and DFS in planning and managing electoral support aspects.

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The following film illustrates DPA's role in UN peacemaking efforts.



<http://www.youtube.com/watch?v=HiGCASwk4Ts#t=117> (10:07 minutes)

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For more information on DPA, go to: <http://www.un.org/wcm/content/site/undpa/main>

### Department of Public Information

The Department of Public Information (DPI) was established in 1946 by the General Assembly. As the public voice of the United Nations, DPI promotes global awareness and greater understanding of the work of the United Nations, using various communication tools including radio, television, print, the Internet, videoconferencing and other new information technologies. Its mission is to communicate the ideas and work of the UN to the world, to interact and partner with diverse audiences and to build support for peace, development and human rights.

DPI has three main divisions. The Strategic Communications Division formulates communications strategies on priority issues and launches global campaigns and manages the network of 63 United Nations information centres and offices around the world. The News and Media Division produces and publishes news and information on the UN's priorities and activities, builds partnerships with media organizations and other target audiences and supports the work of news organizations covering the work of the UN. The Outreach Division engages and educates communities worldwide to encourage support for the ideals and activities of the UN.<sup>cii</sup>

The Peace and Security Section promotes UN work on priority peace and security-related issues, including conflict prevention, peacemaking, peacekeeping, peacebuilding, disarmament and counter-terrorism. It designs and manages the implementation of global communications strategies on those issues, produces and disseminates public information

materials, and undertakes promotional and outreach activities. It also provides strategic communications support, backstopping and training to public information components of UN peacekeeping and special political missions and assists in the development of communications policies and standard operating procedures for public information components in UN field peace missions. In cooperation with the DPKO, the section hosts and develops the UN Peacekeeping website and publishes the annual “UN Peace Operations: Year in Review” magazine, which provides a review of current UN peacekeeping operations, and special political and peacebuilding missions throughout the world. In all its activities, the section works closely with the relevant substantive offices and departments in the UN Secretariat and communications partners in UN field peace missions. It participates in the work of various Integrated Task Forces and working groups set up in the Secretariat to address specific peace and security-related issues.<sup>ciii</sup>

The following brief video describes the work of the Department of Public Information.



<http://unic.un.org/aroundworld/unics/en/whoWeAre/aboutDPI/> (8:54 minutes)



For more information on DPI, go to: <http://www.un.org/en/hq/dpi/index.shtml>

Some examples of information sites supported by DPI:

- United Nations Website: <http://www.un.org/>
- United Nations News Centre: <http://www.un.org/News/>
- United Nations Radio: <http://www.unmultimedia.org/radio/english/>
- United Nations Publications: <https://unp.un.org/>

### Department of Safety and Security and the Peace Operations Support Section

Since its establishment in 2005, the Department of Safety and Security (UNDSS) has maintained its strategic vision in promoting the Organization’s security culture in which security management aims to enable UN operations and programmes, even in high risk locations, while noting the duty of care and the need to protect UN personnel. As noted in Module 2, the Department provides executive directions relevant to the direction and control of the UN security management system and the overall safety and security of UN personnel, premises and assets at both field and Headquarters locations. The Department leads the Inter-Agency Security Management Network (IASMN) and is responsible for developing security policies, practices and procedures for the UN system worldwide, and coordinating with the organizations of the UN system to ensure implementation, compliance and support for security aspects of their activities. Through the Under-Secretary-General, UNDSS provides advice to the Secretary-General on all matters related to security and safety of the UN system.

Within the Department, the Peace Operations Support Section (POSS) of the Division of Regional Operations, in consultation with the DPKO/DFS Focal Point for Security, provides operational and technical support, including during crisis, to UN peacekeeping missions and mission security management structures, as well as security professionals.



For more information about UNDSS, please go to:

<https://trip.dss.un.org/dssweb/WelcometoUNDSS/tabid/105/Default.aspx?returnurl=%2fdssweb%2f>.

### Office of the United Nations High Commissioner for Human Rights

Since the establishment of the United Nations, a fundamental role has been the promotion of respect for human rights for all without distinction as to race, sex, language, or religion, as stipulated in the UN Charter. The Office of the United Nations High Commissioner for Human Rights (OHCHR) is the principal UN office mandated to promote and protect human rights. OHCHR provides a forum for identifying, highlighting and developing responses to today's human rights challenges, and act as the principal focal point of human rights research, education, public information, and advocacy activities in the UN system. The Office is responsible for mainstreaming human rights within the UN and assisting the work of governments, civil society, national human rights institutions and other UN entities and international organizations in their efforts to promote and protect human rights. Examples of these organizations include the International Labour Organization, the Office of the High Commissioner for Refugees, the United Nations Children's Fund, United Nations Educational, Scientific and Cultural Organization, the International Criminal Court, and specialized criminal tribunals.

OHCHR's work focuses on three major dimensions: standard-setting, monitoring, and implementation on the ground. In support of these areas, it provides a broad range of services. Working in close collaboration with governments, the UN system, NGOs, and members of civil society, OHCHR's field presence plays an essential role in identifying, highlighting, and developing responses to human rights challenges. This work includes monitoring human rights situations on the ground and implementing projects, such as technical trainings and support in the areas of administration of justice, legislative reform, human rights treaty ratification, and human rights education, designed in cooperation with Member States.<sup>civ</sup>

Institutional relations between OHCHR on the one hand and DPKO, DPA and DFS on the other, in the context of peace operations and political missions are governed by the decision to fully integrate human rights in UN peace operations and political missions. The Secretary-General decision on Human Rights in Integrated Missions (2005/24) and the Policy on Human Rights in Peace Operations and Special Political Missions form the basis for this integration. OHCHR, as lead agency on human rights issues, plays a key role through the provision of expertise, guidance and support to human rights components.

As of May 2014, more than 800 Human Rights Officers are integrated in 14 peacekeeping and political missions that are mandated to promote, protect and monitor human rights. OHCHR supports peacekeeping and special political missions through expert advice, technical assistance and functional support; and human rights components of those missions have dual reporting lines, to the head of the mission and to the High Commissioner.



For more information on OHCHR, go to: <http://www.ohchr.org/EN/Pages/WelcomePage.aspx>  
For many videos related to human rights, go to:  
<http://www.youtube.com/user/UNOHCHR/videos>

### Office of the Special Advisors on the Prevention of Genocide and the Responsibility to Protect

In response to tragedies such as the deadly conflicts in Rwanda and the Balkans, the UN Security Council requested the Secretary General to inform the Council on cases of serious violations of international law and on potential conflict situations arising from ethnic, religious and territorial disputes and other related issues. Based on the Security Council's considerations, the Secretary-General created the positions of the Special Adviser on the Prevention of Genocide (2007) and the Special Adviser on the Responsibility to Protect (2008).

The mandates of the two Advisors are distinct but complementary. The Special Adviser on the Prevention of Genocide acts as a catalyst to raise awareness of the causes and dynamics of genocide, to alert relevant actors where there is a risk of genocide, and to advocate and mobilize for appropriate action. The Special Adviser on the Responsibility to Protect leads the conceptual, political, institutional and operational development of the Responsibility to Protect.

The efforts of the Advisors' Office include alerting relevant actors to the risk of genocide, war crimes, ethnic cleansing and crimes against humanity and enhancing the capacity of the United Nations to prevent these crimes, including their incitement. They work with Member States, regional and sub-regional arrangements, and civil society to develop more effective means of response when they do occur. As much as possible, the two Advisors share a common methodology for early warning, assessment, convening, learning, and advocacy and also share a common office and staff.<sup>cv</sup>



For more information, go to: <http://www.un.org/en/preventgenocide/adviser/index.shtml>  
To hear a discussion of the Advisors' linked mandates and roles, go to:  
[http://www.un.org/en/preventgenocide/adviser/videos/video\\_4.shtml](http://www.un.org/en/preventgenocide/adviser/videos/video_4.shtml)

### Office of the Special Representative of the Secretary-General for Children and Armed Conflict

The Office of the Special Representative of the Secretary-General for Children and Armed Conflict (OSRSG-CAAC) serves as an independent moral voice on behalf of children affected by conflict. The Special Representative raises challenges faced by children in war to political bodies, such as the General Assembly, the Human Rights Council, the Security Council and relevant Governments to maintain a sense of urgency amongst key decision makers as well as to secure political and diplomatic engagement. The Office works in partnership with DPKO-DFS, and other departments and offices within the UN Secretariat as well as UNICEF and other UN system agencies, funds, and programmes.

The OSRSG-CAAC focuses its advocacy efforts in a number of key priority areas, including the delivery of comprehensive and long-term reintegration assistance for children, the rights of

internally displaced children, the rights of children involved with justice systems as victims and/or perpetrators, protection of children from recruitment and use in hostilities.<sup>cvi</sup>



For more information, go to: <http://childrenandarmedconflict.un.org>

### Office of Legal Affairs

The UN Office of Legal Affairs (OLA) provides a unified central legal service for the Secretariat and the principal and other organs of the UN and contributes to the progressive development and codification of international public and trade law. OLA contributes to the development and codification of international public and trade law the effective implementation of the international legal order for seas and oceans. It also registers and publishes treaties, and performs the depositary functions of the Secretary-General. Through its various offices, OLA provides legal advice and support to UN peacekeeping operations, including on arrangements with Governments, other international organizations, UN Agencies and other actors in the field and commercial vendors for personnel, equipment and logistics support. It also assists with peacekeeping processes, policies and procedure, claims against the Organization arising from such operations, as well as commercial insurance arrangements and related claims.<sup>cvii</sup>



For more information on OLA, go to: <http://legal.un.org/ola/>

The OLA website also offers extensive legal resources, including the following:

- The UN Treaty Collection is the repository of every international treaty and agreement since the Charter: <https://treaties.un.org/>
- The Audiovisual Library of International Law provides an extensive collection materials and lectures: <http://www.un.org/law/avl/>

### Office for the Coordination of Humanitarian Affairs

The Office for the Coordination of Humanitarian Affairs (OCHA) is responsible for bringing together humanitarian actors in a coherent approach to emergencies. OCHA ensures there is a framework within which each actor can contribute to the overall response effort. It works in partnership with national and international actors to for advocate the rights of people in need, promote preparedness and prevention and facilitate sustainable solutions mobilize and coordinate effective and principled humanitarian action on emergencies. OCHA has over 30 offices internationally and approximately 1,900 specialized staff working together with international and local agencies to provide assistance around the world.<sup>cviii</sup>

OCHA also promotes the protection of civilians mandate through support to the Emergency Relief Coordinator (ERC) mandate, including through the biennial Secretary-General's report to the Security Council on POC, preparing the ERC's biannual POC briefing to the Security Council's informal POC Expert Group, providing normative guidance (e.g. the Aide Memoire) and commissioning studies, such as the joint OCHA/DPKO study on 'POC in the context of peacekeeping operations'.<sup>cix</sup>



For more information about OCHA, go to: <http://www.unocha.org/>

## Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict

The Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict (OSRSG-SVC) serves as the United Nations' spokesperson and political advocate on conflict-related sexual violence, and is the chair of the network UN Action against Sexual Violence in Conflict. The Office was established by [Security Council Resolution 1888](#) (2009), one in a series of resolutions which recognizes the detrimental impact that sexual violence in conflict has on communities, and acknowledges that this crime undermines efforts at peace and security and rebuilding once a conflict has ended. The Office's key initiatives include training on conflict-related sexual violence, development of early warning indicators, addressing conflict-related sexual violence in ceasefire and peace agreements, developing comprehensive strategies to combat sexual violence, addressing funding challenges, increasing and improving access to services, and strengthening protection and prevention in partnership with UN and other partner agencies. The OSRSG-SVC works with a Team of Experts on the Rule of Law and Sexual Violence in Conflict which is focusing its efforts on strengthening the capacity of national rule of law and justice actors, including in the specialized areas of criminal investigation and prosecution, collection and preservation of evidence, military justice system investigation and prosecution, criminal and procedural law reform, and protection of victims, witnesses and justice officials.<sup>cx</sup>



For more information about the OSRSG-SVC, go to:  
<http://www.un.org/sexualviolenceinconflict/>

## Peacebuilding Commission, Support Office and Fund

The Peacebuilding Commission (PBC) is an intergovernmental advisory body that was established by the Security Council and General Assembly in 2005 to support peace efforts in countries emerging from conflict. It was developed as part of the reform process in recognition of lack of mechanisms supporting countries during the transition from war to lasting peace. Its mandated functions are to:

- bring together all relevant actors (including international donors, the international financial institutions, national governments, troop contributing countries) to marshal resources and to advise on and propose integrated strategies for post-conflict peacebuilding and recovery
- focus attention on the reconstruction and institution-building efforts necessary for recovery from conflict and to support the development of integrated strategies in order to lay the foundation for sustainable development
- provide recommendations and information to improve the coordination of all relevant actors within and outside the United Nations and to develop best practices

The PBC also helps to ensure predictable financing for early recovery activities and to extend the period of attention given by the international community to post conflict recovery.<sup>cx</sup>

Countries that are currently on the PBC agenda include Burundi, Sierra Leone, Guinea, Guinea-Bissau, Liberia and the Central African Republic.

Also established in 2005, the Peacebuilding Support Office (PBSO) assists and supports the Peacebuilding Commission, administers the Peacebuilding Fund, and supports the Secretary

General's efforts to coordinate the UN System in its peacebuilding efforts.<sup>cxii</sup> The Peacebuilding Fund (PBF) is the Secretary-General's fund to support activities, actions, programmes and organisations that seek to build a lasting peace in countries emerging from conflict. The PBF was launched in 2006 and its overall management is the responsibility of the PBSO. At the country level, management of the Fund is delegated to the Joint Steering Committee, co-chaired by the national Government and the United Nations, with a broader membership representing national and international stakeholders.<sup>cxiii</sup>



For more information on the Peacebuilding Commission, go to: <http://www.un.org/en/peacebuilding/>

The Peacebuilding Support Office: <http://www.un.org/en/peacebuilding/pbso/about.shtml>  
The Peacebuilding Fund: <http://www.unpbf.org/>

### 3.4 AGENCIES, FUNDS AND PROGRAMMES ASSOCIATED WITH PEACEKEEPING

#### UN Children's Fund

The UN Children's Fund (UNICEF) is the United Nations Programme mandated by the General Assembly to advocate for the protection of children's rights, to help meet their basic needs and to expand their opportunities to reach their full potential. UNICEF mobilizes political will and resources to help countries, particularly developing countries, in achieving the goals articulated in "[First Call for Children](#)", to build their capacity to form appropriate policies and to deliver services for children and their families. UNICEF works on special protection for the most disadvantaged children - victims of war, disasters, extreme poverty, all forms of violence and exploitation and those with disabilities and responds in emergencies to protect the rights of children. Through its country programmes, UNICEF promotes the equal rights of women and girls and supports their full participation in the political, social, and economic development of their communities. In coordination with United Nations partners and humanitarian agencies, UNICEF works towards the attainment of the sustainable human development goals adopted by the world community and the realization of the vision of peace and social progress enshrined in the Charter of the United Nations.<sup>cxiv</sup>

In addition to their joint work on child protection, DPKO and UNICEF collaborate in a number of other areas that impact children, such as security sector reform, mine action, disarmament, demobilization and reintegration, women peace and security, sexual and gender-based violence, civil affairs and protection of civilians.



For more information about UNICEF, go to: <http://www.unicef.org/>

#### UN Development Programme

Created in 1966, the UN Development Programme (UNDP) partners with people at all levels of society to help build nations that can withstand crisis, and drive and sustain the kind of growth that improves quality of life. On the ground in more than 170 countries and territories, UNDP focuses on helping countries build and share solutions in four main areas:

- Poverty Reduction and Achievement of the MDGs
- Democratic Governance

- Crisis Prevention and Recovery
- Environment and Energy for Sustainable Development

As the specialized agency of the United Nations focusing on development, UNDP has a mandate of supporting countries in their development path, and to coordinate the UN System at the country level. In this capacity, the UN Secretary General requested UNDP to be the Millennium Development Goals (MDG) Scorekeeper, in addition to its programmatic work for MDG achievement. As the scorekeeper, UNDP supports the implementation of United Nations Development Group (UNDG) Core Strategy, including coordination and provision of financial support for the preparation of MDG country monitoring reports and forging closer collaboration within UN Country Teams on policy advocacy, while promoting a strong response to national MDG priorities through United Nations Development Assistance Frameworks (UNDAFs) and Country Programmes.<sup>cxv</sup>

DPKO-DFS works closely with UNDP in the field through the UN Country Teams and at Headquarters in the Integrated Task Forces and Working groups on security sector reform, mine action, disarmament, demobilization and reintegration and other inter-agency mechanisms. DPKO and UNDP are the Global Focal Point for police, justice and corrections in post-conflict and other crisis situations. Supporting the Secretary-General's priority of "delivery as one", the Global Focal Point arrangement strengthens the UN's ability to fill critical civilian capacity gaps in the aftermath of conflict.<sup>cxvi</sup>



For more information about UNDP, go to: <http://www.undp.org>

### UN Action Against Sexual Violence in Conflict

UN Action Against Sexual Violence in Conflict (UN Action) unites the work of 13 UN entities with the goal of ending sexual violence in conflict. It is a concerted effort by the UN system to improve coordination and accountability, amplify programming and advocacy, and support national efforts to prevent sexual violence and respond effectively to the needs of survivors. UN Action has three main pillars:

- Country Level Action: support joint strategy development and programming by UN Country Teams and Peacekeeping Operations, including building operational and technical capacity
- Advocating for Action: action to raise public awareness and generate political will to address sexual violence as part of a broader campaign to Stop Rape Now
- Learning by Doing: creating a knowledge hub on the scale of sexual violence in conflict, and effective responses by the UN and partners

DPKO works with UN Action and the OSRSG-SV to raise awareness, collect examples of good practice and provide guidelines for all UN peacekeeping personnel on proactively combating sexual violence.



For more information about UN Action and the Stop Rape Now campaign, go to: <http://www.stopraperow.org/>

## UN Women

Created in 2010, UN Women is the United Nations organization dedicated to gender equality and the empowerment of women. It merges and builds on the important work of four previously distinct parts of the UN system, which focused exclusively on gender equality and women's empowerment: the Division for the Advancement of Women (DAW); the International Research and Training Institute for the Advancement of Women (INSTRAW); the Office of the Special Adviser on Gender Issues and Advancement of Women (OSAGI); and the United Nations Development Fund for Women (UNIFEM). The main roles of UN Women are:

- To support inter-governmental bodies, such as the Commission on the Status of Women, in their formulation of policies, global standards and norms
- To help Member States to implement these standards, standing ready to provide suitable technical and financial support to those countries that request it, and to forge effective partnerships with civil society
- To hold the UN system accountable for its own commitments on gender equality, including regular monitoring of system-wide progress

DPKO works in collaboration with UN Women in a number of areas, including conflict-related sexual violence; security sector reform; disarmament, demobilization and reintegration; women, peace and security; mine action and sexual exploitation and abuse.



For more information on UN women go to: <http://www.unwomen.org/en>

## UN Office on Drugs and Crime

The UN Office on Drugs and Crime (UNODC) was established in 1997 in a merger between the UN Drug Control Programme and the Centre for International Crime Prevention. Working through an extensive network of offices around the world, UNODC is mandated to assist Member States in their struggle against illicit drugs, crime and terrorism. The main focus areas of UNODC's work includes enhancing Member States capacity to counteract illicit drugs, crime and terrorism; conducting research and analysis to enhance understanding and evidence on drugs and crime issues; assisting states in the ratification and implementation of relevant international treaties; development of domestic legislation on drugs, crime and terrorism; and the provision of secretariat and substantive services to the treaty-based and governing bodies.

DPKO-DFS cooperates with UNODC to address drugs and criminal activities in conflict zones and increase national capacities, including in security sector reforms and strengthening criminal justice systems.



For more information on UNODC, go to: <http://www.unodc.org/unodc/index.html>

### 3.4.1 Mechanisms for Collaboration - Committees, Boards, Working Groups and Task Forces

#### Policy Committee

The Policy Committee is responsible for considering issues requiring strategic guidance and policy decisions on thematic and country-specific issues, including those involving peacekeeping. It is chaired by the Secretary-General and includes Deputy Secretary-General, the Chef de Cabinet, the Chair of the Executive Committee on Peace and Security, the Under-Secretary-General for Peacekeeping Operations (alternate Chair), the Chair of the United Nations Development Group, the Chair of the Executive Committee on Economic and Social Affairs, the Chair of the Executive Committee on Humanitarian Affairs, the High Commissioner for Human Rights, the Legal Counsel, the Under-Secretary-General for Communications and Public Information and the Special Adviser on Africa.<sup>cxvii</sup>

#### Management Committee

Established in 2005 as part of broad range management reform initiatives, the Management Committee's role is to provide leadership and strategic direction on internal reform and management-related issues requiring strategic direction from the Secretary-General. It is also tasked with ensuring that the findings and recommendations of the Board of Auditors, the Joint Inspection Unit and the Office of Internal Oversight Services are effectively fed into the executive management processes, and that accepted recommendations are followed up and implemented in a timely manner.<sup>cxviii</sup> Chaired by the Secretary-General, its membership consists of Deputy Secretary-General, the Chef de Cabinet, the Under-Secretary-General for Management, the Under-Secretary-General for Economic and Social Affairs, the Under-Secretary-General for Peacekeeping Operations and the Under-Secretary-General for General Assembly and Conference Management. The Committee meets monthly.<sup>cxix</sup>

#### Management Performance Board

Also established in 2005, the Management Performance Board functions in an advisory capacity to the Secretary-General for the purpose of strengthening accountability and monitoring performance of senior managers and heads of UN field missions. The Board also reviews the outcome of the administration of justice proceedings in the Secretariat for management performance and accountability purposes, with a particular focus on UN Dispute Tribunal and Appeals Tribunal judgments, so as to identify and make recommendations to address systemic problems. In addition, it conducts yearly reviews of the performance appraisal system within the UN Secretariat to ensure Secretariat-wide consistency in its application.<sup>cxx</sup>

#### Inter-Agency Working Group on Disarmament, Demobilization and Reintegration

The Inter Agency Working Group (IAWG) on Disarmament, Demobilization and Reintegration (DDR) was established by the UN Executive Committee on Peace and Security (ECPS) in 2005 to improve the UN's performance in the area of DDR. The IAWG was tasked with developing a coherent UN approach to DDR in both peacekeeping and non-peacekeeping environments and has as specific objectives: to develop and maintain cutting-edge policies and resources; to provide timely advice and support to programmes in the field at strategic and technical levels; and to monitor developments and evaluate results in the strategic environment of DDR so as to adapt its structures and procedures. The IAWG, which comprises 23 UN and non-UN entities, contributes to an integrated approach, applying the "UN Delivering as One"

principle, with a view to enhancing the effectiveness and efficiency of DDR processes worldwide. The Working Group is co-chaired by DPKO and UNDP.<sup>cxxi</sup>



For more information IAWG DDR, go to: <http://unddr.org/>

### Inter-Agency Security Sector Reform Task Force

The UN Inter-Agency Security Sector Reform Task Force (IASSRTF) was established by the Secretary-General of the United Nations in 2007 to promote an integrated, holistic and coherent United Nations security sector reform (SSR) approach. It assists in UN efforts supporting States and societies to establish effective, inclusive and accountable security institutions, thereby contributing to international peace and security, sustainable development and the enjoyment of human rights by all. The Task Force brings together fourteen departments, programmes and funds, namely DPKO and UNDP (co-chairs), DPA, ODA, OHCHR, OSA, PBO, SRGS-SVC, UN WOMEN, UNDP, UNFPA, UNICEF, UNITAR, UNODC and UNOPS.

With the aim of enhancing support to the field, the UN Inter-Agency Task Force has developed United Nations SSR Integrated Technical Guidance Notes that provide a platform for coherent system-wide support to SSR. The task force also develops partnerships with regional organizations, manages a roster of SSR experts and delivers training to United Nations personnel, external partners, national actors, regional and sub-regional organizations. The IASSRTF also facilitates development, undertakes joint SSR assessment missions and facilitates joint programmes and initiatives in the field.<sup>cxxii</sup>



For more information on the IASSRTF, go to: <http://unssr.unlb.org/>

### Inter-Agency Coordination Group on Mine Action

Chaired by the UN Mine Action Service (UNMAS), the membership of the UN Inter-Agency Coordination Group for Mine Action (IACG-MA) is comprised of 14 UN departments, agencies, programmes and funds. The IACG-MA is the UN forum for the coordination of mine action policies, strategies and initiatives, monitoring of the threats posed by landmines and explosive remnants of war (ERW) around the world, and developing of UN positions on issues related to mine action, especially in relation to international normative frameworks. The IACG-MA also provides options and recommendations to senior UN officials in specific countries to consider when planning an appropriate response to mine and ERW problems.

On a biennial basis, the IACG-MA prepares the Report of the Secretary-General on Assistance in Mine Action and provides technical expertise to Member States for consideration and adoption of a resolution by the General Assembly. The IACG-MA endorsed the Strategy of the United Nations on Mine Action 2013-2018 which outlines the United Nations approach to mine action and reaffirms the contribution of mine action to the full range of UN responses from peace and security to human rights to humanitarian affairs and development.



For more information on UNMAS and the IACG-MA, go to: <http://www.mineaction.org/>



To read the Strategy of the United Nations on Mine Action 2013-2018, go to: [http://www.mineaction.org/sites/default/files/publications/mine\\_action\\_strategy\\_mar15.pdf](http://www.mineaction.org/sites/default/files/publications/mine_action_strategy_mar15.pdf)

### Other Committees

The list above is not exhaustive. Some committees have been active in the past and others convene as needed. Additional inter-agency committees include the Integration Working Group, the Peacebuilding Contact Group, the Executive Committee on Peace and Security, the New Deal Task Team and the UN-World Bank Working Group.



**Module Completion:** Congratulations on completing Module 3 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).

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# MODULE 4



## Knowledge Sharing and Peacekeeping Training

Module 4 introduces the various mechanisms, processes and services related to peacekeeping knowledge sharing and information management within DPKO-DFS, including training and learning resources. Topics in this module include:

- Knowledge sharing and management concepts and resources
- Information management
- Research resources
- Information classification and sensitivity
- Communications
- Peacekeeping training architecture and learning resources

### A Note on Language:

#### Learning

A search on the internet of the word “learning” will result in a large number of definitions and theories. Here are two descriptions that work well for the purposes of this document:

***Learning** is defined as a process that brings together personal and environmental experiences and influences for acquiring, enriching or modifying one’s knowledge, skills, values, attitudes, behaviour and world views.* UNESCO<sup>cxiii</sup>

***Learning** is the lifelong process of transforming information and experience into knowledge, skills, behaviors, and attitudes.* J. Cobb<sup>cxiv</sup>

#### Organizational Learning

BusinessDictionary.com provides the following definition of organizational learning: *Organization-wide continuous process that enhances its collective ability to accept, make sense of, and respond to internal and external change. Organizational learning is more than the sum of the information held by employees. It requires systematic integration and collective interpretation of new knowledge that leads to collective action and involves risk taking as experimentation.* <sup>cxv</sup>

#### Knowledge Management

The field of knowledge management is a vibrant area in which concepts and definitions continue to evolve. The following description from DPKO-DFS Policy and Best Practices Service is included here to support understanding of the term as used in this context:

***Knowledge management** in general refers to a set of activities an organization engages in to gather, organize, analyse, and share its experiential knowledge, drawing upon and mining unstructured information throughout the organization in order to form a body of institutional knowledge.* <sup>cxvi</sup>

Please note that the terms “knowledge sharing” and “knowledge transfer” are sometimes used interchangeably with knowledge management, most often referring to activities and systems that facilitate sharing and exchange of knowledge.

***Information management:** A discipline that seeks to improve the quality of an organization's information, and how it is captured, stored, accessed, used, moved and destroyed. It achieves this by addressing relevant policies, processes, roles and resources, culture and technology.* <sup>cxvii</sup>

DPKO-DFS Policy Directive on Records Management, 2006

For the purposes of this document, information management includes document handling, information sensitivity, classification and handling, data handling and visualization, records management, digital storage rules, and search tools.



**Important Note:** All United Nations staff members should know that all information they collect or create in the conduct of business, irrespective of its format, is the property of the United Nations.

## 4.1 ORGANIZATIONAL LEARNING<sup>cxxviii</sup>

In the early days of peacekeeping, sharing of experiences across missions was limited and there was a lack of common doctrine and guidance for operations in the field. Recurring problems that peacekeeping missions regularly faced had to be solved over and over again and there was a tendency to reinvent the wheel rather than to build upon previously developed solutions. This resulted in high expenditures of time, energy and resources to perform common or simple tasks in peacekeeping. It also meant that there was little continuity in practice across missions, no standard approach to the challenges missions faced, and frequent confusion about roles and responsibilities. Innovative approaches, good practices and learning in peacekeeping were lost because they were not recorded, stored and shared with future peacekeepers.

Responding to these realities, a Lessons Learned Unit was established in 1995 to assist DPKO in its efforts to improve peacekeeping operations by learning from its experiences. While lessons-learned studies were produced, it became clear that the approach was not generating sufficient impact in terms of changing practice at Headquarters or in the field.<sup>cxxix</sup> The 2000 Brahimi Report noted, *“All are agreed on the need to exploit cumulating field experience but not enough has been done to improve the system’s ability to tap that experience or to feed it back into the development of operational doctrine, plans, procedures or mandates”*.<sup>cxxx</sup>

In 2001, the General Assembly agreed to resource a reconfigured lessons-learning and policy capability in the form of the Peacekeeping Best Practices Unit in the Office of the Under-Secretary-General for Peacekeeping Operations. The Unit became operational in its new form in 2003.<sup>cxxxi</sup> Currently housed with DPET, the Policy and Best Practices Service functions as the custodian of the DPKO-DFS Organizational Learning System, which is managed by the Knowledge Management and Guidance team.

Using a variety of organizational learning methodologies and tools, solutions to recurring problems are now institutionalized and information on common peacekeeping tasks has become increasingly accessible to DPKO and DFS staff. The sharing of experiences across missions and the development of peacekeeping guidance and doctrine contributes to a more common understanding and a shared vision of peacekeeping amongst all staff and stakeholders. A higher level of continuity is promoted through the more systematic approach to organizational learning that incorporates the development of organizational guidance based on identified lessons and good practices. This is resulting in the application of proven solutions to recurring challenges and increased clarity about roles and responsibilities. This is, of course, particularly important in the peacekeeping context, where staff turnover is high.

At the same time, it is recognized that practices from one peacekeeping context at a particular point in time will not necessarily be applicable in another situation. The complex and evolving nature of many of peacekeeping tasks indicates that practices that have proven successful should guide thinking and reflection in other similar situations rather than be copied on a one-to-one basis. Organizational learning initiatives involving the sharing of information and guidance, therefore, need to remain flexible rather than rigid or dogmatic in their approach. The Organization must be able to apply its knowledge to improve future operations, but must continue to do so using innovative and adaptive approaches.<sup>cxxxii</sup>

Peacekeeping missions are full of examples of staff having developed innovative solutions to the problems they face. Ultimately, organizational learning means the establishment of an organizational culture within DPKO and DFS that encourages continuous reflection on what works and should be replicated and what requires improvement to ensure that peacekeeping becomes more efficient and effective.<sup>cxxxiii</sup>

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*Below are some examples of organizational learning affecting practice - i.e. the development of policy and guidance based on identified lessons and good practices:*

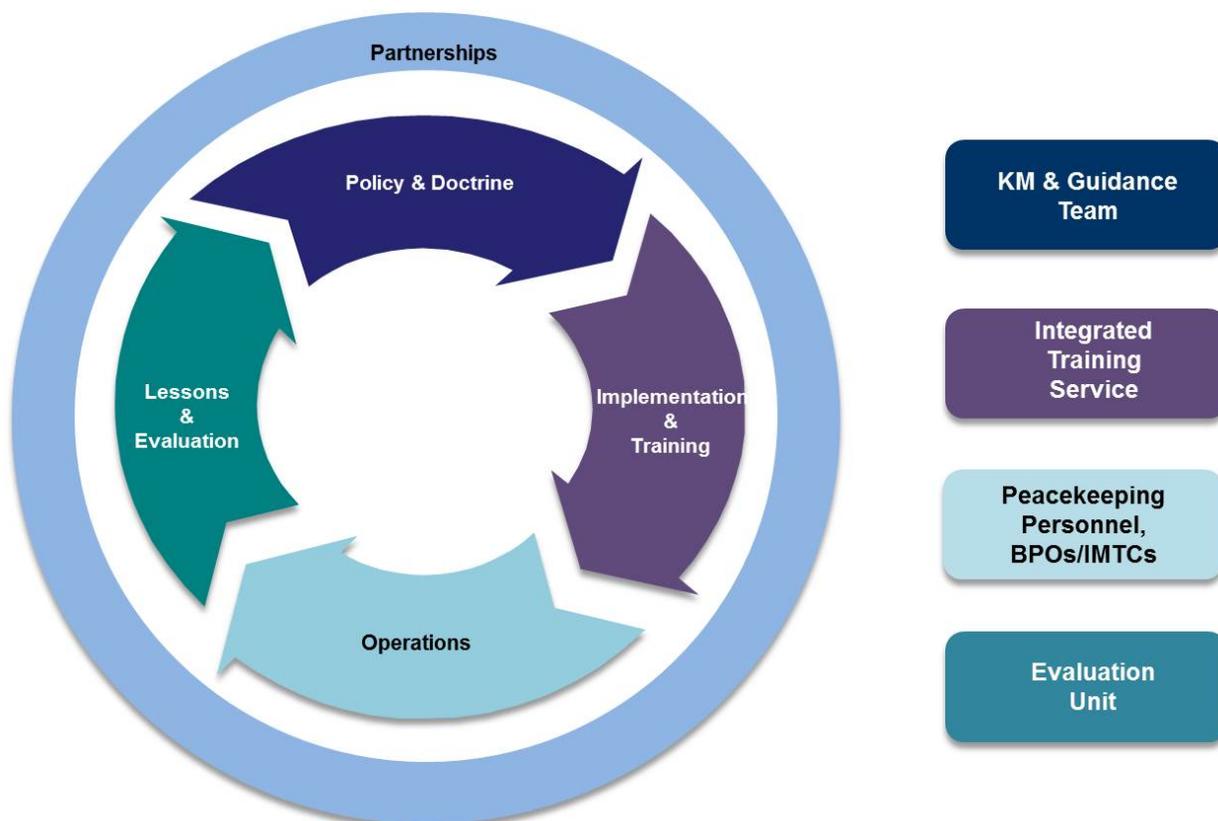
- *UNOCI shared lessons on crowd control tactics learned in riots which led to the revision of the Policy on Formed Police Units. (AAR, January 2006)*
- *The Gender Military Guidelines were drawn from experiences and lessons in the field to develop “how to’s” at strategic, operational and tactical levels.*
- *The Policy on UN Transition in the context of mission drawdown and withdrawal is based on extensive lessons and good practices that were previously identified and captured.*
- *Demonstrating the benefits of learning from the collective experience of other peacekeeping operations, MINUSTAH was able to organize the escort of humanitarian convoys in Haiti using examples of guiding documents from missions in Africa.*

### 4.1.1 DPKO-DFS Organizational Learning Framework

As illustrated in the diagramme below, the DPKO-DFS Organizational Learning Framework takes a holistic, cyclical approach that is based in collaboration and partnerships.

#### Organizational Learning Framework

*DPKO-DFS Policy and Best Practices Service*



Experiences and learning by personnel in field operations is documented through a variety of knowledge sharing tools (e.g. lesson learned exercises, compulsory end of assignment reports, and after action reviews). This information contributes to a body of knowledge that is translated into policy, doctrine and guidance which in turn is disseminated, promulgated and implemented throughout Headquarters and peacekeeping missions in a variety of ways, including training and knowledge management products.

As shown by the arrows in the diagramme, each component of the framework informs the system. Guidance, based on previous lessons, informs operations in the field and at Headquarters, contributing to the execution of mission mandates. For example, the Civil Affairs Handbook describes a common approach to undertaking the work of Civil Affairs Officers in the field and conveys lessons learned from around the world.

Lessons learned from operations feed back into the framework. They help identify areas where improvements are needed to policies, procedures and guidance, or where new guidance needs to be developed to fill a gap.

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### Definitions:

**Policy:** A policy provides an articulation of an institutional position, intent, and/or direction on an issue or activity in UN peacekeeping. A policy is the basis for institutional consistency in managing peacekeeping issues. Compliance is mandatory.

**SOP:** A Standard Operating Procedure (SOP) is a standing instruction on how to implement a specific task, process or activity, or how to achieve a desired result. It provides institutional recognition of best practice methods or steps to be followed unless ordered otherwise. Compliance is mandatory.

**Guidelines:** Any document which is not a Policy or SOP, that provides direction on a specific task, process or activity, shall be deemed a “Guideline”. Guidelines may include manuals, handbooks, toolkits, or other similar instruction. Compliance shall be clearly specified within and throughout the document.

*- Policy on Guidance Development*

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#### 4.1.2 Official DPKO-DFS Guidance Materials

The Under-Secretary-Generals for DPKO and DFS issue standing instructions that range from high-level policies (e.g., the Capstone Doctrine), to detailed and technical (e.g., Standard Operating Procedures on Field Occupational Safety Incident Reporting), to extensive and comprehensive manuals (e.g., the Handbook on Civil Affairs and the Liquidation Manual).

The need to develop new, review or amend existing guidance materials may be based on a number of reasons, including:

- Tasking from USG/DPKO or USG/DFS or the Expanded Senior Management Team (E-SMT)
- Tasking or other requirements from superior sources (e.g. from the Secretary-General’s Bulletins or resolutions of the General Assembly or Security Council)
- Substantive evidence of changing/improved practices, lessons learned, or new ways of handling an issue that necessitates modifications to existing guidance
- A recognized gap in existing official guidance, as identified through needs assessments, evaluations, lessons learned studies, etc.
- The expiration, termination or rescinding of previous guidance on the issue.<sup>cxxxiv</sup>

There are two primary ways that personnel contribute to the development of guidance materials. The first is through the on-going process of documenting and submitting lessons and good practices through the Knowledge Sharing Toolbox (see below). The second is by contributing to development exercises that may be underway, in which case it would involve contacting the relevant staff member in charge of the exercise. The contact person’s information can be obtained through the Policy and Best Practices Service.

All DPKO-DFS guidance is approved by both the USG/DPKO and USG/DFS. Guidance documents are submitted to the Office of the USGs using the guidance approval and promulgation routing slip (see the 2014 SOP on Guidance Development for details). The

DPKO-DFS ASG or Director sponsoring the guidance document certify, in the guidance approval and promulgation routing slip, that due diligence has been applied throughout the drafting and consultation process. USG DPKO and/or USG DFS may decide not to approve any material he/she does not believe is of sufficient quality or has not met clearance requirements. At any time, USG DPKO and/or USG DFS may rescind or suspend a guidance document that he/she believes does not meet these requirements.<sup>CXXXV</sup>

High level policy beyond the authority of USG for DPKO/DFS must be approved with other UN departments or by superior policy sources such as the Secretary-General's Policy Committee or by referral to Member States. Once approved, guidance documents are signed by the USGs. Finalized materials are promulgated in the Policy and Best Practices Newsletter and are disseminated through the Peace Operations Policy and Practice Database. Drafting offices are responsible for dissemination of guidance materials beyond the Database.

DPKO/DFS guidance materials are subordinate to, and must comply with, higher UN Secretariat issuances such as Secretary-General's Bulletin (SGBs) or Administrative Instruction (AIs), as well as UN Rules and Regulations. DPKO/DFS materials are superior to Mission SOPs and other issuances within a mission. Subordinate mission-issued documents should be consistent with DPKO/DFS policies, SOPs or Manuals, where these exist. Guidance materials have a review date. Any major review to the substance of an existing document should follow the same procedure as guidance development.



The Policy and SOP on Guidance Development Materials explains the formal process for guidance development. There are specific templates which have been developed for the each of these guidance materials. These can be accessed at:  
[http://ppdb.un.org/Policy%20%20Guidance%20Database/2014.14%20Revised%20Policy%20on%20Guidance%20Development\\_signed.pdf](http://ppdb.un.org/Policy%20%20Guidance%20Database/2014.14%20Revised%20Policy%20on%20Guidance%20Development_signed.pdf)

### Best Practices Officers

Several missions have Best Practices Officers (BPOs) who provide support for the identification and documentation of practices and lessons learned in the field (UNOCI, UNAMA, UNAMID, UNIFIL, UNMIT and UNMIS). The BPO is a resource servicing all components of a peacekeeping mission. He/she has a dual role: (1) connecting missions with the Departments' Headquarters (vertically) as well as with other missions (horizontally), so that his/her mission can benefit from the institutional memory and collective experience contained in the official guidance and best practices developed system-wide; and (2) collecting lessons learned and good practices from her/his own mission for the reference of colleagues in the same mission or in other missions and to feed such information into policy development projects at Headquarters.

Experience has shown that the temporary, fast-paced nature of peacekeeping operations as well as the high turnover of staff is not conducive to having individuals and teams document their experience without the assistance of a dedicated staff member who can help to create an institutional memory of peacekeeping. The Best Practices Officer facilitates the learning process and ensures that good practices are documented and that the actionable recommendations are forwarded to the mission's leadership for review and action as well as to Headquarters for the reference of other missions and for the development of guidance

materials in the future.<sup>xxxvi</sup> In missions that don't have a BPO, Best Practices Focal Points provide support with the assistance of the PBPS team.

### 4.1.3 DPKO-DFS Knowledge Sharing Tools

#### The Knowledge Sharing Toolbox

The Best Practices Toolbox contains tools developed to capture issues, recommendations, good practices and lessons resulting from operations in field missions and at Headquarters. Toolbox reports include End of Assignment Reports, After Action Reviews, Handover Notes, Surveys of Practice and Lessons Learned Studies. The following table outlines the tools in the Toolbox.

**Knowledge Sharing Toolbox Reports**

<b>End of Assignment Report</b>	End of Assignment Reports are personal accounts by mission staff of lessons learned in the implementation of missions' mandates and on DPKO/DFS' institutional capacity to carryout mandated tasks.
<b>After Action Review</b>	An After Action Review is an analysis of an action, activity or project that allows a team to reflect on what happened, why it happened, what was learned, what follow-up action should be taken and how it can be done better in the future. Ideally, After Action Reviews should be a routine part of any action, activity or project with a view towards making recommendations for improving the efficiency and effectiveness of the organization in the future.
<b>Handover Note</b>	Handover Notes are created by staff members who are about to leave their positions, temporarily or permanently, to assist their successor to carry out their duties. Unlike End of Assignment Reports, Handover Notes are strictly factual and do not contain analysis, assessment or evaluation.
<b>Survey of Practice</b>	Surveys of Practice are snapshots of how peacekeeping practitioners carry out a certain function or activity. They are used to provide options, lessons and good practices to missions on issues that other missions have dealt with before but for which there is no official guidance.
<b>Lessons Learned Study</b>	A Lessons Learned Study is an in-depth study on a specific activity, theme or functional area, undertaken either by DPKO-DFS personnel or by outside experts.

Knowledge sharing materials reflect the personal views of, and are drafted by, field staff, often with the assistance of Best Practices Officers, to transmit their lessons and best practices to colleagues in their mission, other missions, as well as to provide field inputs to policy-makers at Headquarters. These reflections on what works well and what doesn't have not yet been validated and converted into official guidance, and thus do not carry any expectation of compliance. For this reason, they do not require clearance by senior management in missions or at Headquarters. As a complement to existing guidance, staff members are nevertheless encouraged to consult the best practices library to benefit from their colleagues' experience.

There are specific templates for documentation of lessons learned and good practices. Although the knowledge sharing templates are meant to be flexible, they are designed to ensure that reports are (a) structured in a way that facilitates the identification of lessons and good practices, and (b) conscious of information sensitivity by concentrating confidential observations in a separate section that can easily be removed before sharing.



The Knowledge Sharing templates can be accessed at:  
<http://point.un.org/SitePages/bptoolbox.aspx>.

### Policy and Practices Database

Created in 2006, the Policy and Practice Database (PPDB) is an online library of official Peacekeeping guidance, good practices and training documentation. The primary aim of the PPDB is to provide civilian, police and military peacekeepers with user-friendly access to guidance and good practices that are useful and often necessary to their work. Guidance includes approved DPKO, DFS and field mission policies, Standard Operating Procedures, guidelines and manuals. Good practices include a variety of templates and knowledge sharing products including: After Action Reviews, Lessons Learned Studies and End of Assignment Reports.

As an essential element for organizational learning and knowledge management, the PPDB is designed to capture and share good practices, lessons and guidance that peacekeepers can apply to improve the efficiency and effectiveness of peacekeeping activities. The PPDB includes over 3000 guidance and knowledge sharing documents in its easily searchable system.

The PPDB is managed by the Knowledge Management and Guidance Team. As noted earlier, the team is part of PBPS in DPET and is a shared DPKO-DFS service. The team provides knowledge management and guidance support services to both departments and to Peacekeeping field operations.

PBPS conducts a Review of Trends from knowledge sharing reports in support of the guidance development agenda. The Expanded Senior Management Team (E-SMT) frequently tasks offices to develop guidance based on the needs identified through the Review of Trends.

### What information will you find in the Policy & Practice Database?

Typical topics include policing, military planning, rule of law, disarmament, demobilization and reintegration, security sector reform, elections, transitions, integrated operations, field personnel, human resources, environment and sustainability, logistics, transport and information management. There are over 400 guidance documents from Headquarters as well as over 800 End of Assignment Reports and 250 After Action Reviews that capture vital lessons from your colleagues, both in the field and at Headquarters. The following are examples of the document types you will find in the PPDB.<sup>cxxxvii</sup>

<p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>• Policies</li> <li>• Guidelines/Manuals</li> <li>• Standard Operating Procedures (SOPs)</li> <li>• Mission-Developed Guidance</li> <li>• Templates for drafting Policies, SOPs and Guidelines</li> </ul>	<p><b>Knowledge Sharing</b></p> <ul style="list-style-type: none"> <li>• After Action Review (AAR)</li> <li>• End of Assignment Report (EoAR)</li> <li>• Lessons Learned</li> <li>• Survey of Practice/Practice Notes</li> <li>• Mission Projects &amp; Tools</li> <li>• Templates for drafting AARs &amp; EoARs</li> </ul>	<p><b>Additional Reference</b></p> <ul style="list-style-type: none"> <li>• Training Materials</li> <li>• Strategic Peacekeeping Reports</li> <li>• Planning Documents</li> <li>• Progress Reports</li> </ul>
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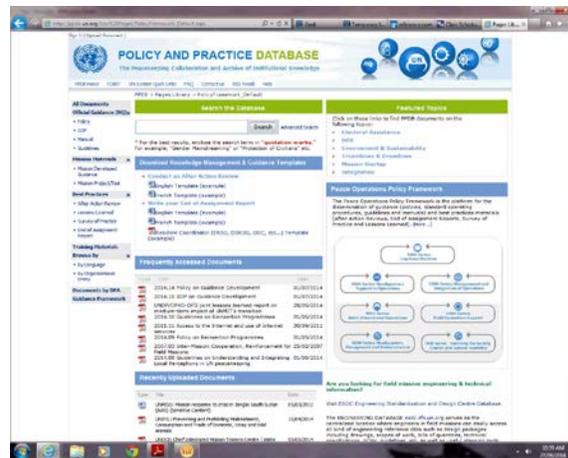
**Policy and Best Practices Newsletter**

The newsletter’s purpose is to disseminate recent and relevant guidance and best practices materials to all peacekeeping staff. It is also a primary method of marketing the team’s information management services, such as the PPDB and POINT.

✉ Please contact [peacekeeping-bestpractices@un.org](mailto:peacekeeping-bestpractices@un.org) with questions or comments.

🖥 To access the PPDB, go to: <http://ppdb.un.org>  
 The PPDB can also be accessed from the POINT: <http://point.un.org>

*Policy and Practice Database  
Main Page*



**Communities of Practice**

The Knowledge Sharing Toolbox and the Intranet environment are complemented by Communities of Practice (CoP). The CoPs are online networks that bring together practitioners around their common area of expertise and are able to enhance collaboration regardless of geographical proximity. In CoPs members can ask each other questions, exchange information, build up a shared library of useful resources, contribute to policy development, and connect with counterparts in field missions and Headquarters.<sup>xxxxviii</sup>

There are over 40 DPKO-DFS online CoPs. The following list gives you a sense of the diversity of CoPs and topic areas.

Best Practices	Logistic Managers
Board of Inquiry	Organizational Resilience and Business Continuity
Civil Affairs	Peacekeeping Training
Child Protection	Peacekeeping HIV/AIDS
Conduct and Discipline	Property Management
Committee on Contracts	Public Information
Disarmament Demobilisation and Reintegration	Rations Unit
Environmental Management	Records Management
Field Procurement and Procurement	Rule of Law
Fuel Management	Security Sector Reform
Gender	Travel
Geographic Information Services	Field Office of Legal Affairs
Information Communication and Technology	Field Contracts Management
Integrated Mission Planning	



For a list of the current CoPs, along with descriptions and emails for more information, please go to: <https://extcop.unlb.org/layouts/CoPBranding/ContactUs.html>



If you are considering initiating a new CoP and need advice, please write to [peacekeeping-bestpractices@un.org](mailto:peacekeeping-bestpractices@un.org)



In addition to the DPKO-DFS CoPs, there are also inter-agency working groups and task forces, as discussed in Module 3.

#### 4.1.4 Other Knowledge Sharing and Briefing Opportunities

##### Town Hall Meetings

Town Hall meetings are an internal DPKO-DFS forum chaired by the DPKO-DFS USGs. The meetings typically begin with a brief from the Situation Centre on the latest developments in peacekeeping missions, followed by updates from the USGs on issues of concern in missions, future plans and other topics of current relevance. Attendance of DPKO-DFS staff is strongly encouraged. The Town Hall Meetings are generally held each month and are organized by Public Affairs Section in coordination with the offices of the USGs.



For more information on DPKO-DFS Town Hall meetings, contact Kate Brandli, [brandli@un.org](mailto:brandli@un.org)

##### Brown Bag Lunches

A Brown Bag Lunch is an information session or training that takes place during the lunch break, with people bringing their own lunches. These events happen at various times and are organized by different programmes and offices. They may be on relevant current events and/or about issues of cross-cutting concern. The Policy and Best Practices Service, for instance, hosts and facilitates regular “Voices from the Field” during lunch hours where senior mission managers can share their experience with staff at Headquarters. Other sections host lunches on an ad hoc basis. For example, the Senior Leadership Appointments Section (SLAS) organized a brown bag lunch with Field Personnel Division on senior

leadership appointments in the field. Another example is the brown bag lunch discussion on the communications landscape and challenges in South Sudan, an event convened by the Public Affairs Section.

### Conferences

Another opportunity for knowledge exchange is through conferences relevant to different sectors in DPKO-DFS. Examples include the Annual Conference of the International Association of Peacekeeping Training Centres and the Biannual Heads of Public Information Component Meeting.

## 4.2 INFORMATION FLOW AND ACCESS

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How information flows between field offices and Headquarters, between offices within DPKO and DFS and between the Departments within the Secretariat is a concern for all staff. The Secretary-General provides key guidance on the topic, there is guidance specific to peacekeeping and there may also be regular practices within each office established by the head of that office.

The three core concepts to understand are: (1) information classification, (2) access and sharing, and (3) retention. The following rules help you to understand what documents and data to protect, who to share information with, and when you can destroy documents and data with confidence.

### 4.2.1 Information Classification and Sensitivity

Records and information are vital UN assets and sound procedures for information sensitivity and security are important prerequisites for the proper management of the Organization's records.

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#### Definitions:

**Classification** refers to the act or process of determining the sensitivity (or non-sensitivity) of information; classification does not equate to sensitivity.

**Information sensitivity** relates to the level of confidentiality of the information within the UN. The appropriate handling of sensitive information is critical to the success of the Organization and its operations throughout the world.

- DPKO Information Sensitivity Toolkit

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The Secretary-General's 2007 Bulletin on information sensitivity, classification and handling notes that *"the overall approach to classifying information entrusted to or originating from the United Nations is based on the understanding that **the work of the United Nations should be open and transparent, except insofar as the nature of information concerned is deemed confidential**"*. The Bulletin goes on to articulate three levels of classification for all documents and data and outlines primary roles and responsibilities. The 2010 Information Sensitivity Toolkit jointly produced by the DPKO Peacekeeping Information Management Unit and the Archives and Records Management Section in the Department of Management, provides further direction and clarity on identifying and handling information at the UN.



This section provides an introduction to information classification and sensitivity, however, it is important to take time to fully acquaint yourself with the UN protocols in the Toolkit: [https://archives.un.org/sites/archives.un.org/files/files/Information\\_sensitivity/Information%20Sensitivity%20Toolkit\\_2010.pdf](https://archives.un.org/sites/archives.un.org/files/files/Information_sensitivity/Information%20Sensitivity%20Toolkit_2010.pdf) The Secretary-General’s 2007 Bulletin on information sensitivity, classification and handling can be found at: [https://archives.un.org/sites/archives.un.org/files/ST\\_SGB\\_2007\\_6\\_eng.pdf](https://archives.un.org/sites/archives.un.org/files/ST_SGB_2007_6_eng.pdf)

### Classifications

The three official UN security classifications are Strictly Confidential, Confidential and Classified. Since the overall approach to classifying information within the UN is that work should be open and transparent, staff are urged not to consider documents or data as sensitive by default. Information should only be classified as Strictly Confidential, Confidential where its disclosure, or leakage, would place another human in harm’s way, be detrimental to the proper functioning of the United Nations, endanger the welfare and safety of its staff or third parties, or violate legal obligations.<sup>cxxxix</sup> The definitions of the UN security classifications are as follows:

**United Nations Security Classifications: At a Glance<sup>cxl</sup>**

Security Classification	Definition	Examples	Declassification
<b>STRICTLY CONFIDENTIAL</b>	The designation that shall apply to information or material whose unauthorized disclosure could reasonably be expected to cause EXCEPTIONALLY GRAVE DAMAGE to or IMPEDE CONDUCT OF WORK at the UN.	<ul style="list-style-type: none"> <li>Secretary-General’s travel records</li> <li>Conduct and discipline report containing personally identifiable details</li> </ul>	<ul style="list-style-type: none"> <li>As determined by originator</li> <li>Never automatically declassified</li> </ul>
<b>CONFIDENTIAL</b>	The designation that shall apply to information or material whose unauthorized disclosure could reasonably be expected to cause DAMAGE TO THE WORK of the UN.	<ul style="list-style-type: none"> <li>Record relating to a contractor or vendor</li> <li>Minutes of a meeting related to a political matter</li> </ul>	<ul style="list-style-type: none"> <li>As determined by originator</li> <li>Automatic at 20 years</li> </ul>
<b>UNCLASSIFIED</b>	The designation that shall apply to information or material whose unauthorized disclosure could reasonably be expected NOT TO CAUSE DAMAGE to the work of the UN.	<ul style="list-style-type: none"> <li>Records relating to upcoming conference</li> <li>Results-Based Budgets</li> </ul>	<ul style="list-style-type: none"> <li>As determined by originator</li> <li>Automatic at 20 years</li> </ul>
<b>PUBLIC*</b>	Information produced expressly for public consumption or that has undergone a declassification process and is now available for public use.	<ul style="list-style-type: none"> <li>Security Council Resolutions</li> <li>SRSB press statements</li> </ul>	<ul style="list-style-type: none"> <li>No required</li> <li>Already declassified</li> </ul>

\* Not an official UN Security Classification

The following checklist provides a list to ask yourself when you're considering the sensitivity of a given piece of material.

#### Classification Checklist

- Is the record already classified by a United Nations office? If so, does it appear to be classified correctly?
- Was it classified by an external source? If so, what is the equivalent United Nations security classification?
- Is it public information (information already in the public domain or which has undergone declassification)?
- Would unauthorized disclosure be expected to cause damage to the United Nations, its Member States or individuals?
- Would unauthorized disclosure be expected to cause exceptionally grave damage to the United Nations, its Member States or individuals, or to impede the work of the United Nations?
- Could unauthorized disclosure in 20 years still potentially cause damage?
- Have you physically or electronically marked the record correctly?

#### 4.2.2 Access & Distribution of Information

Who can see what? To help answer that question, a second key concept in information management is access and distribution.

UN staff are guided to use three principles in determining access:

- the need to know
- the need to share
- the right to know

Most sensitive information should be shared on a need to know basis, for example only providing access to human rights cases, or justice matters, strictly to those who must obtain the materials in order to perform their jobs. As was mentioned before, we are also urged to not automatically classify information as sensitive, and should consider our work in a larger context.

As a secondary consideration, we should also evaluate who can benefit in their jobs by sharing information. For example, if training materials can benefit a new staff member by allowing her/him growth opportunities, the materials may be shared. This guidance is stipulated in [ST/SGB/2007/6](#) and is more fully explained in the [UN Information Sensitivity Toolkit](#) (see Chapter 9 of the Toolkit, entitled "Access to Active Records").

-  Briefings and training are available through the Peacekeeping Information Management Unit (PK IMU) for staff who handle high volumes of sensitive information. For more information contact on briefings and trainings email: [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

## Retention

The final key concept in information management is retention, which refers to how long you must retain records in your offices.

Many documents have limited value to the Organization and can be destroyed after their operational purpose has expired, or our legal obligations have been met. Staff files, for example, must be retained for 30 years after the last end of contract, while many political records are retained forever for the public trust. DPKO-DFS have a Peacekeeping Headquarters Retention Schedule (PHRS), and field operations have a Peacekeeping and Political Operations Retention Schedule (PORS), both available on the Policy and Practice Database. These guidelines allow all offices to review their documents and retain what is necessary, transfer materials to the UN Archives, or to destroy documents in situ. The guidance is meant to be used by trained focal points in all offices.

✉ To obtain training or inquire on the use of the guidance, contact the PK IMU at [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

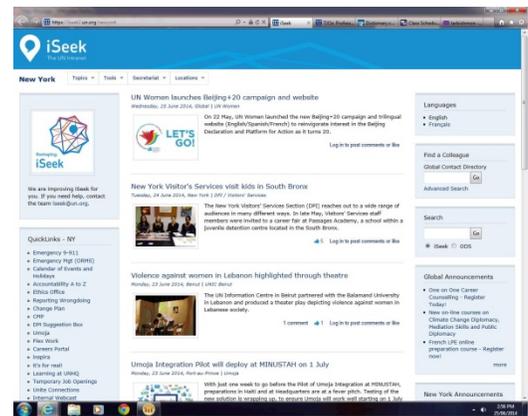
💻 For more information on policies, standards and guidelines related to DPKO-DFS information management and digitization, go to: [http://point.un.org/SitePages/Digitisation\\_Training.aspx](http://point.un.org/SitePages/Digitisation_Training.aspx)

### 4.2.3 Tools to Share Internal Unclassified Information

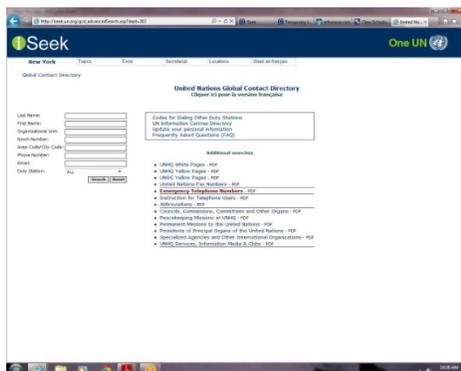
#### iSeek

iSeek was developed to support the UN Secretariat global knowledge sharing and internal communications strategy. It has a blend of internal and externally available information. Internally, the focus is on creating compelling content, stories of interest to everyone, regardless of their duty station. Examples of topic areas include, reform, management, staff issues, policy information, and new technologies.

iSeek also provides a UN-wide global directory of contacts and listing of temporary job openings.



iSeek Main Page



iSeek UN Global Directory



iSeek Temporary Job Opening Listing



For details on iSeek go to: <https://iseek2.un.org/content/about-iseek-and-official-guidelines>

## POINT

The Peace Operations Intranet (POINT) is the DPKO/DFS intranet and is managed by the PK IMU. The POINT intranet provides online access for UN peacekeeping personnel to the Organizational Chart, office descriptions, peacekeeping news and resources, including the Policy and Practice Database, Careers portal and other relevant topics. A separate but connected site has been established for every mission and for DPKO-DFS at Headquarters.

The Peacekeeping Information Management Unit is responsible for the management of the POINT programme globally, with focal points in all duty stations and offices to update content. The KM Guidance team in DPET is responsible for various intranet pages on Guidance (Policies) and Best Practices.



To access the POINT, go to: <https://point.un.org/UNHQ/SitePages/POHome.aspx>. This link is only accessible to UN peacekeeping personnel within the UN network.



*POINT Home Page*



*POINT Maps & Geographic Information*



To access the DPKO-DFS Integrated Organizational Chart go to: <http://point.un.org/SitePages/dpkodfsoffices.aspx> and click on “Extended Org Chart”



To contact the Peacekeeping Information Management Unit with POINT related questions, email: [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

## 4.2.4 Tools to Share Operational Information

### Code Cable Repository

The Peacekeeping Code Cable Repository (CCR) is a secure web-based database of peacekeeping code cables, covering all code cables from 1 January 2009 until the present. New cables are added into CCR on daily basis. Access is provided to users strictly on a need-to-know basis as authorized by the Chief of Staff, DPKO/DFS.<sup>cxli</sup>



For more information on the Code Cable Repository, contact [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

 Registered users can access the Code Cable Repository via the following link: <https://pkcm.un.org/centralfiles>. This link is only accessible to computers on the UN network.

### Operations Reports Repository

The Operations Reports Repository (ORR) is a secure-web based tool for registration, approval, authorized access and storage of the daily and weekly Situation Reports (SitRep) for DPKO and DPA missions. Access for field staff is managed via mission focal points.

 In Headquarters, IOT Team leads or Section Chiefs at the P-5 level (or above) can request access via the system owner, the PK IMU in the Office of the Chief of Staff (OCoS), by contacting [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org).

### Strategic Management System

The Strategic Management System (SMS) is a DPKO-DFS business intelligence initiative managed by the PK IMU on behalf the Chief of Staff. The SMS initiative was established in 2009 to facilitate access to authorized data in order to support decision making, communication, planning, and analysis based on a commonly understood operational picture of field operation. The website offers statistics by missions and is validated by DPKO or DFS. The Data is displayed through graphs, charts, maps on the website.

 In addition, specialized data visualization services in the form of Fact Sheets are available to IOTs on demand by contacting [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org).

 To access SMS, go to: <http://reporting.dfs.un.org/sms/> This link is only accessible to UN peacekeeping personnel P-5 level and above and those authorized by their offices.



SMS Home Page



Example of SMS page



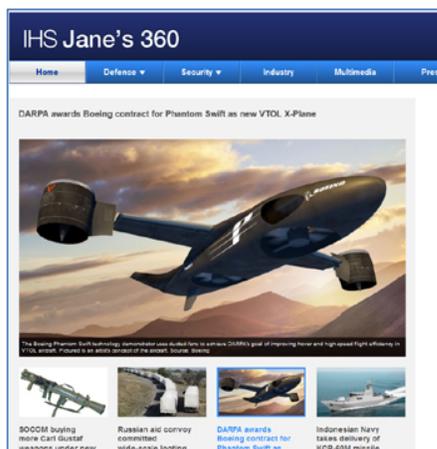
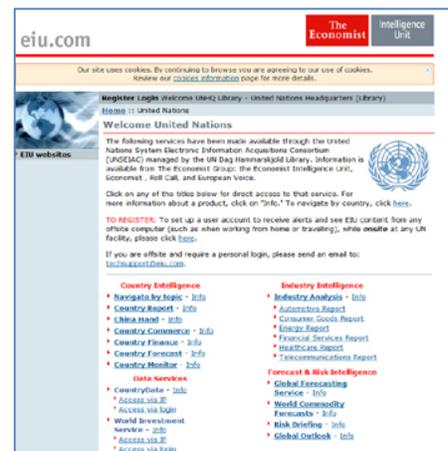
SMS Fact Sheet

## 4.2.5 Tools for Political and Operational Research

### Peacekeeping e-Research Package

The Peacekeeping e-Research Package provides peacekeeping staff at Headquarters and in field missions with access to a common set of online databases for international affairs, global news, country profiles, analysis of geopolitical dynamics, directories, information on governments, NGOs and more. E-Research offers access to an extensive array of popular databases of newspaper, magazine, journal, statistics, E-book, encyclopedia, dictionary and almanac databases such as ProQuest, EIU (Economist Intelligence Unit), HIS Jane's Information Group Online, World Bank E-Library, Oxford Analytica, and Facts of File. STRATFOR, also included, offers free access to hundreds of subscriptions, including the New York Times, Foreign Affairs and others. The e-Research package also includes access to Secretary-General reports, and records, reports and resolutions from the Security Council and General Assembly.

The screenshots below illustrate the extensiveness of the databases that are included in the e-Research Package.



The e-Research Package offerings are free for peacekeeping staff. Subscriptions to the databases in the package are consolidated for missions and Headquarters use.



To access e-Package, go to: <http://point.un.org/SitePages/eresearchpackage.aspx>



For more information, contact: [peacekeeping-imu@un.org](mailto:peacekeeping-imu@un.org)

### Dag Hammarskjöld Library Tools

The Dag Hammarskjöld Library is located at the UN Headquarters in New York, connected to the Secretariat and conference buildings. Named after the second Secretary-General of the UN, it is the main depository for UN documents, publications and book for the use of UN delegates and staff. The Library also maintains a selected collection of materials of the specialized agencies and UN affiliated bodies.

Among other online resources, the Library provides electronic access to a wide array of UN documents, reference databases, maps, an oral history collection, and an index of proceedings of the General Assembly, the Economic and Social Council and the Security Council. The online environment includes the UN Research Guides, an extensive, searchable online research library, and the UN Depository Library System which includes over 365 depository libraries around the world maintaining UN materials.

Functions such as “Frequently Asked Questions” and “Ask Dag”, along with the provision of training, coaching and tutorials make this valuable resource very accessible to users. The following diagramme illustrate the extent of the material available.

The screenshot shows the main page of the Dag Hammarskjöld Library. At the top, there is a header with the United Nations logo and the library's name. Below the header, there is a search bar with the text "Search for..." and a search button. To the left, there is a navigation menu with sections like "Library Research Tools", "About the Library", and "Learn more". In the center, there is a "Training calendar" section for June 2014, which includes a calendar grid and a list of upcoming events such as "OFFICIAL HOLIDAY 'INDEPENDENCE DAY'", "OFFICIAL HOLIDAY 'EID AL FITR'", and "OFFICIAL HOLIDAY 'LABOUR DAY'". On the right, there is a "Tweets" section showing recent tweets from the UN Library.

*The main page of the Dag Hammarskjöld Library*



*Dag Hammarskjöld Library UN Research Guides page*



To learn more about the Dag Hammarskjöld Library and access its resources, go to: <http://www.un.org/depts/dhl/>

The Library also has an active Facebook page with regular postings of current and historical facts, photos, useful resources, events and initiatives. Information queries are responded to, via “Ask Dag”, and posted on the site: <https://www.facebook.com/UnitedNationsLibrary/info>

### Archives and Records Management Section

UN Archives and Records Management Section (ARMS) identifies, preserves and provides access to those records that document the history of the United Nations. ARMS is responsible for policy and programmatic planning for UN recordkeeping, ranging from measures to ensure that UN officials create records in the course of their duties, through the management of records in UN offices, to preserving and making records of continuing value accessible as United Nations archives.

Management of UN records by Secretariat Offices is governed by *ST/SGB/2007/5 Record-keeping and the management of United Nations archives*.

Materials from ARMS, once declassified, are available to the public for research, teaching, legal proceedings, publication, television and radio programmes, and for general interest.<sup>cxlii</sup>



For more information about ARMS and to access records, go to: <https://archives.un.org/content/united-nations-archives-and-records-management-section>

For more information on policies, standards and guidelines related to records management, go to: <https://archives.un.org/content/our-policies-standards-and-guidelines>

For information on archives and management, go to: <https://archives.un.org/>

### **Official Documents of the United Nations**

The Official Documents of the United Nations (ODS) site covers all types of official UN documentation, beginning in 1993. Older UN documents continue to be added to the system on a daily basis. ODS also provides access to the resolutions of the General Assembly, Security Council, Economic and Social Council and the Trusteeship Council from 1946 onwards.



To conduct a search on ODS, go to: <http://documents.un.org/>

## 4.3 COMMUNICATIONS

### 4.3.1 Correspondence

The United Nations Correspondence Manual notes that in order “to contribute effectively to the conduct of the business of the United Nations, the correspondence of the Organization must be concise, clear and accurate in content, direct and dignified in style, correct in form and attractive in appearance.” The manual provides information and guidance on the drafting, processing and dispatching of various types of UN correspondence as well as the format of such correspondence.



The Correspondence Manual can be downloaded at:  
<http://archive.unu.edu/hq/library/resource/UN-correspondence-manual.pdf>

Individual offices may also have specific requirements for communication formats and handling, therefore, it is best to check with supervisors and colleagues on conventions.



The Learning and Development programme at the Office of Human Resources Management also offers specific courses on writing, including writing for the internet. For more information on these courses go to:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=home.asp>



The Department of Public Information has prepared Social Media Guidelines for DPI staff responsible for posting content on social media platforms. This guide makes excellent points, however, DPKO-DFS staff should check their respective offices for specific direction.  
[http://www.un.org/en/webguidelines/pdf/DPI\\_SocialMedia\\_Guide.pdf](http://www.un.org/en/webguidelines/pdf/DPI_SocialMedia_Guide.pdf)

### 4.3.2 Public Communications

For the UN to function successfully, it must have the support of the public. This necessitates UN personnel being well informed, not only on their own part of the organization, but on the United Nations as a whole. Opportunities to provide information to the public can arise anytime.

It is important for UN personnel to use tact and restraint in their discussions and responses about the UN, promoting a positive image of the Organization. The Standards of Conduct for International Civil Service, states that “international civil servants should regard themselves as speaking in the name of their organizations and avoid personal references and views; in no circumstances should they use the media to further their own interests, to air their own grievances, to reveal unauthorized information or to attempt to influence policy decisions facing their organizations. International civil servants are responsible for exercising discretion in all matters of official business. They must not divulge confidential information without authorization. Nor should international civil servants use information that has not been made public and is known to them by virtue of their official position to private advantage. These are obligations that do not cease upon separation from service.”<sup>cxliii</sup>

As a UN staff member, you are representing the Organization in every interaction with the public. The Department of Public Information and the Public Information sections of

individual programmes and offices are able to provide specific guidance on communications with the public.

### Department of Public Information Support and Resources

The Department of Public Information (DPI) plays a lead role in communicating with the public about the work of the UN. It also supports the UN offices in their public information efforts and is active on various task forces and working groups, including providing guidelines for working with the media.

DPI uses various communication tools, including radio, television, print, the Internet, videoconferencing and other new information technologies to communicate the ideas and work of the UN to the world.

The UN publishes approximately 500 new titles a year on a variety of topics from human rights, to the global economy, to international law, and more. UN publications are available in print through a secure ordering system, at the United Nations Bookshop in New York, and through a network of 90+ distributors and agents. They are also available as e-books through major content aggregators, on most popular mobile e-book readers and as smart phone "apps". The UN Publications team also negotiates license agreements with other publishers for translation or reproduction of United Nations content, and with e-book providers.<sup>cxliv</sup>



A series of flagship publications developed by the Department aim to meet the needs of diverse audiences, from those who seek basic facts about the Organization to the readers interested in in-depth or specialized information.

- Basic Facts about the United Nations – a periodically updated book outlining the UN's history, structure, work and purposes.
- Africa Renewal – a magazine focusing on key developments and issues related to the continent.
- The UN Chronicle – a magazine featuring in-depth coverage of a wide array of UN topics and activities.
- The Yearbook of the United Nations – an annual reference work providing a comprehensive and detailed look at a year in the life of the Organization.



The following are examples of information sites supported by DPI:

- United Nations Website: <http://www.un.org/>
- United Nations News Centre: <http://www.un.org/News/>
- United Nations Radio: <http://www.unmultimedia.org/radio/english/>
- United Nations Publications: <https://unp.un.org/>



For more information on the work of DPI and its resources, go to: <http://www.un.org/en/hq/dpi/index.shtml>

An organigramme with links to different sections of DPI is available at: <http://www.un.org/en/hq/dpi/organigram.shtml>

DPI also maintains an active Facebook page for the UN: <https://www.facebook.com/unitednations>



DPI Main Page



United Nations Facebook Page

### 4.3.3 Media Guidelines for UN Officials

The following guidelines on working with the media were developed by the UN Department of Public Information:

#### Policy

It is the UN policy to be open and transparent in its dealings with the press. It is in our interest to work with the media quickly and honestly, and to develop a coherent communications strategy based on those same principles. We should not only react to events but, where appropriate, project the Organization's point of view on important international developments. However, we must sometimes keep confidences--not to mislead or conceal, but to protect a diplomatic process. Our media policy must, therefore, balance the need to be open and the need to respect confidentiality.

#### Speaking to the Press

The principal voice of the Organization is the Secretary-General. He speaks to the media frequently, at Headquarters and when travelling.

Media policy is an integral component of the broader communications and public information work of the Organization, headed by the Under-Secretary-General for Communications and Public Information. The Director of Communications in the Office of the Secretary-General is responsible for coordinating a communications strategy that helps project to the world's media a coherent and consistent message for the Organization.

The Secretary-General's Spokesman and his staff speak to journalists on the Secretary-General's behalf throughout the day. The Spokesman gets his guidance directly from the Secretary-General and senior members of his staff. As the Spokesman's staff cannot be expert in all subjects, they seek the assistance of UN specialists--either to provide them with information that they can pass on to the press or to speak directly to the journalists themselves.

As a matter of principle, every member of the Secretariat may speak to the press, within limits:

- speak only with your area of competence and responsibility;
- provide facts, not opinions or comment;
- leave sensitive issues to officials who are specifically authorized to speak on them (see below)

### Sensitive issues

The number of officials speaking on sensitive issues is necessarily limited to:

- the Spokesman, on the basis of guidance;
- designated members of the Secretary-General's staff and Heads of Department, within their areas of competence;
- staff authorized by their Heads of Department, on the basis of guidance; and
- Directors of UNICs, on the basis of guidance from Headquarters.

For those speaking on sensitive issues, knowing the journalist's particular interest in a story can be useful. Such information can usually be provided by the Director of Communications or the Spokesman.

No staff member should presume or pretend to speak for the Secretary-General or characterize his views without his explicit consent.

### Communications

For the UN to communicate effectively with the outside world, it needs to do the same internally. Senior officials should share information with those under their supervision and should keep each other informed of their media activities. Within DPKO-DFS, the Public Affairs Section coordinates media relations.

### Ground rules

All UN officials should normally speak to journalists on the record--that is, for attribution. Sometimes, though, officials specifically authorized to address sensitive issues can give a journalist a deeper understanding of an issue by speaking on background. However, it is very important that the journalist know on which of the following bases the conversation is being conducted:

**On the record:** *"Everything I say can be attributed to me by name."*

**Not for attribution (on background):** *"Don't attribute this to me by name, but rather to a UN official."*

**On deep background:** *"Use my ideas but not my words; don't attribute to anyone."*

Keeping the Secretary-General's Spokesman informed of important background briefings will help provide an indication of the issues that the media is interested in.

It is unwise, and may sometimes be unethical, to tell one journalist what another is working on, or to suggest that one journalist discuss a pending story with another.

Officials should not feel that they have to answer every question, in particular any hypothetical ones. <sup>cxlv</sup>

### Additional Points Related to Communications with the Media

If you are in a position where you will be speaking with the media, make use of the UN resources, such as DPI, in your preparations. Here are some points to consider.

#### Preparation for media interviews

In order to be strategic in communications, it is important to be as prepared as possible when communicating with the media.

- Begin with the end in mind – what is your goal for the communication (e.g. to inform, to persuade, to actuate).
- Consider all the potentially difficult questions that may be asked and prepare responses that reinforce your key messages. Brainstorm with someone, “what if..” different questions were asked.
- Research your topic – be as certain as possible of the relevant facts and figures and any other aspects of the story (e.g. human dimensions).
- Simplify – work on your presentation/interview to refine it to a few key points (think in terms of what might be quoted). Use short words and simple sentences.
- Use index cards, mind maps or bulleted text with large fonts to ensure you can easily follow your notes.
- Practice what you are going to say and, if possible, have someone ask you some of the questions that may come up.
- Confirm the location and time of the interview or meeting.

#### During the Interview

- Avoid casual remarks that could be taken out of context and misconstrued.
- If you can’t answer a question, avoid saying ‘no comment’. If you can, provide a legitimate reason for not answering the question. When possible, bridge to a point that you do want to make.
- Avoid jargon and acronyms – don’t put people in the situation where they have to decipher what you are saying and thereby lose their attention.
- Pause before answering – give yourself time to consider the question and the implications of your response.
- Indicate the key points you want to emphasize by using phrases like, “the key point is...”, “what’s important to remember is...”, etc.
- Stay on message. If the discussion strays, come back to the key points you want to make.
- Be descriptive – use word pictures that create visuals as a way of illustrating what you are saying.
- Stay professional, avoid blame and personalizing.

- Ensure the interview is officially over. Avoid off-the-cuff remarks until the interviewer has actually departed.

### One UN

As far as the general public and the media go, the UN is one UN. To the vast majority, there is not a distinction between DPKO-DFS, UNDP, UNICEF, etc. – they see “the UN”. Despite the fact that it may be challenging to coordinate messages across the agencies, funds and programmes, it is critical to have a communications plan with agreed upon key messages. Adjustments can be made, as necessary, for different audiences.

- ✉ For information and support in working with the media, contact the UN Department of Public Information.

## 4.4 PEACEKEEPING TRAINING

In General Assembly resolution A/RES/49/37 (1995), Member States recognized their responsibility for the training of uniformed personnel for UN peacekeeping operations and requested the Secretary-General to develop training materials and establish a range of measures to assist Member States in this regard. With the creation of new and more complex missions over time, training requirements for both uniformed and civilian peacekeeping personnel have grown. With the restructuring of DPKO and establishment of DFS in 2007, the Integrated Training Service (ITS) in DPET was created as the responsibility centre for peacekeeping training.<sup>cxlvi</sup>

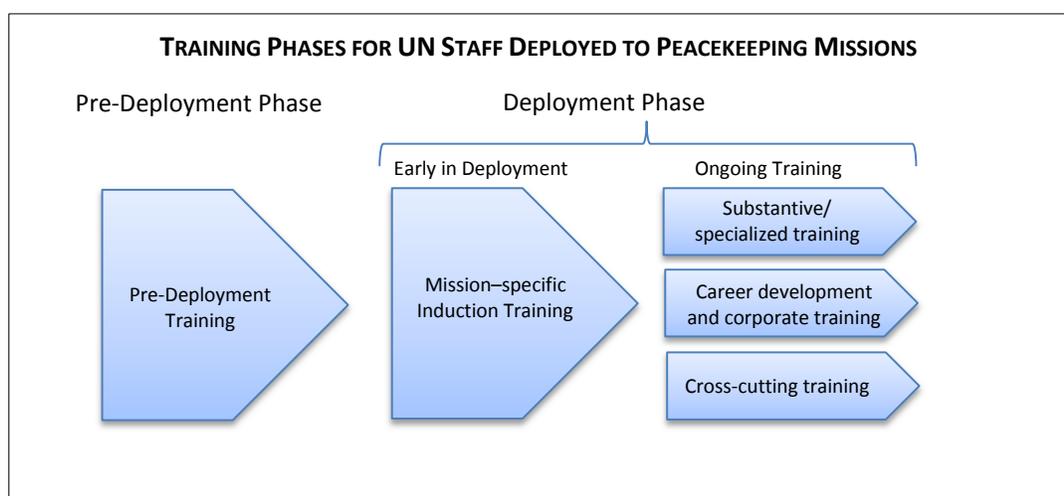
### Definition:

**Peacekeeping training** is defined as any training activity which aims to enhance mandate implementation by equipping UN military, police or civilian personnel, both individually and collectively, with the knowledge, skills and attitudes to enable them to: a) meet the evolving challenges of peacekeeping operations in accordance with DPKO/DFS principles, policies and guidelines, as well as lessons learnt from the field; b) perform their specialist functions in an effective, professional and integrated manner and; c) demonstrate the core values and competencies of the UN.

- DPKO-DFS Policy on Training for all United Nations Peacekeeping Personnel (2010)

The nature of UN peacekeeping is continuously evolving as peacekeeping operations are mandated to perform an ever-growing range of activities. Given the dynamic nature of peacekeeping and the unique challenges that peacekeeping personnel face on an everyday basis, there is a need to ensure that they are adequately equipped with the knowledge, skills, and attitudes required to perform their duties. Peacekeeping training is a strategic investment that enables UN military, police and civilian staff to effectively implement increasingly multifaceted mandates.<sup>cxlvii</sup>

There are three main opportunities for the delivery of peacekeeping training during the pre-deployment and deployment phases of peacekeeping personnel, as shown in the graphic below:



With the exception of pre-deployment training, the training opportunities are similar for staff based in Headquarters in their “deployment phase” (i.e. during their time working at Headquarters).

ITS has been developing and implementing a global training strategy since early 2000. To support Member States and the national and regional peacekeeping training centres, ITS has several programmes in place, including training of trainers’ courses, mobile training teams and training recognition. It also provides technical guidance and assistance to Integrated Mission Training Centres (IMTCs) of all DPKO-led missions on issues related to strategic planning, budgeting, implementation, evaluation, reporting and advocacy of peacekeeping training.

The 2010 Policy on Training for all United Nations Peacekeeping Personnel set by DPKO-DFS, determines that ITS has the responsibility to conduct periodic training needs assessments (TNAs), to identify what priority training is required to implement Security Council mandates. A key area of focus in the DPKO-DFS 2012-2013 Global Peacekeeping Training Needs Assessment was the link between training and mandate implementation. Security Council mandates are becoming more complex and the list of tasks assigned to peacekeepers longer. This reality, coupled with shrinking budgets and the pressure to “do better with less” necessitates a shift in organizational priorities to see training as a strategic investment.<sup>cxlvi</sup>

The TNA notes that if training is used to strategically target performance gaps, it will increase the productivity of staff and enhance mandate implementation. Among other recommendations, the TNA emphasizes the importance of developing a culture of learning “where training is viewed as a strategic investment rather than a budgeted cost. Peacekeeping training should be viewed as a means to an end – improved performance and a resource for mandate implementation – not an end in itself”.<sup>cxli</sup>

#### 4.4.1 Actors and Stages of PK Training

Based on the DPKO-DFS Policy on Training and extensive consultations and assessment, the principal focus of ITS is pre-deployment training and its links to in-mission training (induction and ongoing training). Leadership and specialist training, including for non-uniformed personnel, are also areas of focus, along with the strengthening of senior management training.

The planning, delivery and evaluation of United Nations peacekeeping training entails partnerships between a variety of peacekeeping training actors within and outside of the United Nations. ITS plays a strategic, coordinating role among peacekeeping training actors. To ensure that training has a maximum impact on mandate implementation ITS requires the collaboration and support of DPKO/DFS offices, field operations, the Office of Human Resource Management, training and learning sections of other relevant Secretariat departments, Member States, peacekeeping managers and staff.

The development and delivery of pre-deployment training (PDT) of uniformed personnel is widely dispersed among different entities (national, regional, government and non-governmental), which may serve similar or overlapping clients. These institutions operate under a variety of mandates, draw on a variety of funding sources and reflect a variety of

partnerships. The institutions all make valuable contributions to peacekeeping training and also represent a wide and essential source of expertise and training capacity.

One of the recommendations in the 2012-13 Training Needs Assessment is the enhancement the integration of efforts amongst all actors involved in peacekeeping training. This includes reaffirming the strategic role of ITS in the oversight and management of peacekeeping training and the central role of Integrated Mission Training Centres (IMTCs) in training at the mission level. It also calls for a high level review of the global peacekeeping training architecture with participation from key TCCs, PCCs and Member States.

Training Focal Points (TFPs), in the field and Headquarters, are responsible for the identification and implementation of job-specific and technical training activities in their particular area. In collaboration with their section chiefs, they are responsible for identifying and compiling substantive and specific training needs for mandate implementation. The IMTCs compile and submit the plans in a Strategic Mission Training Plan and Budget. Headquarters-based TFPs submit their training plans to ITS. The TFP Network at Headquarters is a forum for sharing information and collaborating with ITS in the planning and implementation of peacekeeping training.

To learn more about the specific roles and responsibilities of different actors in UN peacekeeping training, please refer to the DPKO-DFS Policy on Training.

The table below provides more information about each of the training phases, including who the actors are in each training opportunity. These are further described on the following pages.

#### TRAINING PHASES IN MISSION AND AT HEADQUARTERS

Opportunity	Description	Delivered By
<b>Pre-Deployment Training (PDT)</b>	<ul style="list-style-type: none"> <li>▪ Takes place prior to deployment to a peacekeeping operation</li> <li>▪ Is based on UN peacekeeping training standards</li> <li>▪ Gives an overview of the UN and core peacekeeping knowledge. Content is outlined in the Core Pre-Deployment Training Materials (CPTMs; available at the Peacekeeping Resource Hub)</li> <li>▪ May include specialized training related to specific function or employment category in peacekeeping operations</li> </ul>	<ul style="list-style-type: none"> <li>▪ Is delivered by Member States to military and police personnel in their home country</li> <li>▪ Is delivered by ITS to internationally recruited civilian personnel at the Global Service Centre in Italy, prior to their deployment</li> </ul>
<b>Mission Induction training</b>	<ul style="list-style-type: none"> <li>▪ Mission- and host country-specific training</li> <li>▪ Targets all new peacekeeping staff - military, police and civilians - upon arrival in the mission area</li> <li>▪ Complements pre-deployment training and other information packages sent prior to deployment</li> </ul>	<ul style="list-style-type: none"> <li>▪ Coordinated by Integrated Mission Training Centres (IMTCs) or Training Officers where there is no integrated training structure</li> </ul>
<b>Headquarters Orientation/ Induction Training</b>	<ul style="list-style-type: none"> <li>▪ DPKO-DFS specific orientation for staff joining departments at Headquarters</li> </ul>	<ul style="list-style-type: none"> <li>▪ DPKO-DFS offices provide their own orientations</li> <li>▪ DPKO-DFS e-Guide</li> <li>▪ ITS E-Learning Programme</li> </ul>

<b>Ongoing training</b>	<ul style="list-style-type: none"> <li>▪ Any learning activity for military, police or civilians, undertaken during their duty assignment, subsequent to induction training or Headquarters orientation</li> <li>▪ Includes substantive/specialised training, career development training, and cross-cutting training</li> </ul>	<ul style="list-style-type: none"> <li>▪ Various components in mission, depending on topic (e.g. Gender, Safety &amp; Security, etc.) and IMTCs</li> <li>▪ Various offices in Headquarters depending on topic</li> </ul>
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## Pre-Deployment Training

### Pre-Deployment Training for Civilian Personnel (UNLB, Brindisi)

The Integrated Training Service of DPET, DPKO-DFS is responsible for delivering UN PDT to eligible civilian personnel selected for service in UN peacekeeping operations. This is delivered through the Civilian Pre-Deployment Training (CPT) Course. The CPT Course is one of the primary tools used by DPKO-DFS to improve preparedness, effectiveness and productivity of civilian peacekeepers. It helps generate competent, institutionally knowledgeable, and ethically aware civilian peacekeepers capable of serving in dangerous and complex peacekeeping environments. This is a general course and does not address the specific mandate and circumstances of each field mission.

ITS has a dedicated team that delivers these courses. The team continuously consults with other DPKO-DFS offices, IMTCs and Mission Training Focal Points as well as course graduates. A mix of general trainers, subject matter experts, and experienced peacekeepers deliver the content in an adult-learning environment. The course management utilizes the extensive knowledge and skills of course attendees as well as peacekeeping experts available in the location where the training courses are conducted.

Note: Only those civilians that are new to UN peacekeeping or have not been employed in a UN peacekeeping operation in the past three years are required to attend the CPT.

### Pre-Deployment Training for Uniformed Personnel (Member States)

DPKO-DFS supports the provision of peacekeeping PDT conducted by Member States and associated Peacekeeping Training Institutions (PKTIs) with a range of measures including: establishing UN peacekeeping PDT standards, training materials and learning tools, providing assistance with the development of PDT plans and curricula, providing training-of-trainers support, facilitating UN peacekeeping information, knowledge sharing and bilateral partnerships between PKTIs, and providing training recognition for eligible military and police peacekeeping PDT courses.

The manner in which these measures are implemented is described in detail on the UN Peacekeeping Resource Hub website and in supporting Standard Operating Procedures.

As noted earlier, Member States are responsible for delivering United Nations PDT to all personnel provided to United Nations peacekeeping operations. The curriculum in each of the institutions is based on UN Peacekeeping Pre-Deployment Training Standards. The Core Pre-Deployment Training Materials available at the Peacekeeping Resource Hub, along with Specialized Training Material (STM) developed for specific categories of personnel and issue

areas. (Note: An update is currently underway and new materials are anticipated to be launched in 2015.)

## Induction Training

### Induction for Military, Police and Civilians in Mission

The aim of the in-mission induction training is to ensure that all military, police and civilian personnel in peacekeeping missions understand the security, cultural and operational complexities of their working environment. The training assists them to perform their tasks safely, responsibly and effectively while observing culturally-sensitive norms and practices. Induction training also prescribes the standards and values expected of all personnel on peacekeeping missions.

All incoming personnel must receive the mandatory in-mission induction training to attain mission readiness as soon as possible/practicable prior to assuming duties within the mission area.

### Induction at Headquarters

Induction at Headquarters can be divided into three levels – Headquarters level, department level and office/team level.

The Office of Human Resource Management (OHRM) organizes 2-day New Staff Orientation Programme for all staff joining the Headquarters. The topics covered are relevant to all staff, for example: performance management, flexi-work arrangement, oversight and accountability, prevention of work place conflicts, learning opportunities and human resources issues and services including allowances, benefits, insurances and pension.

The next level of induction is at the department-level, covering substantive issues that each department works on and is responsible for as well as information about key entities the department works with. This e-Guide is an example of DPKO-DFS induction material. Other departments will have their own specific induction materials and programmes.

Each DPKO-DFS office will have their own induction and staff orientation processes. Depending on the office size and staff turnover rate, the offices will have developed different forms of office-specific inductions on the team's work plan, roles and responsibilities, logistical and administrative issues, i.e. email set up, telephone list, etc. Orientations might include one-on-one briefings and/or formal or informal group presentations.

## Ongoing Training

### Later in Mission or at Headquarters

A variety of job-specific, technical and mission-specific training courses are organized throughout the year, both in the field and at Headquarters. These training activities are intended to provide staff with substantive knowledge and technical skills needed to implement peacekeeping mandates and effectively manage resources and processes related to peacekeeping. Some courses are required; others are optional.

Ongoing training is available to civilians, military and police. Specific topics are dependent on mandated tasks, job functions and other required tasks.

### Updates and Briefings As Needed

Updates and briefings are conducted for personnel in a number of areas, including Safety and Security, Ethics and Integrity and HIV/AIDS. Support functions are offered for those who work in the areas of logistics e.g. Transport, Engineering and Property Management. Procurement, Administration, Human Resources, Security, and Information Technologies are additional areas that are updated and briefed as these areas often have mandatory recertification programs. International Public Sector Accounting Standards (IPSAS) in the areas of budget and finance is one of the main trainings taken by a majority of civilian staff, along with Gender, Child Protection and the Protection of Civilians.

Military personnel are updated and briefed on the substantive functions such as Child Protection, Human Rights, Protection of Civilians, in addition to soft skill updates on Teamwork, Conflict Management, Presentation and Communication and language training.

### Senior Management Training

Currently, ITS runs several courses for senior management, including Senior Mission Leaders Course (SML), Senior Leadership Programme (SLP), Intensive Orientation Course for Heads of Military Components in the field and Senior Mission Administration and Resource Training (SMART).

The SML course is intended to better equip managers with the essential knowledge and skills required in complex and multidimensional missions. This includes strengthening knowledge of peacekeeping, the strategic vision required to effectively oversee mandate implementation and familiarization with the UN system. It provides in-depth information on UN rules and regulations in human resources and code of conduct. It also includes resource management and finance and budget information, including Results-Based Budgeting and procedures. The training also provides skill enhancement related to key strategic challenges that senior managers confront in their missions and information on specific mandates such as Protection of Civilians, Gender, and Children and Armed Conflict.

The Senior Leadership Programme (SLP), is a mandatory five-day course intended to provide newly-appointed senior leaders in field missions with an orientation on peacekeeping issues, such as the main challenges faced by senior leadership and the relationship between field missions and UN Headquarters. The participants are field mission senior managers at the D-2 level and above who are within their first six months of appointment, including Special Representatives of the Secretary-General and their deputies, Force Commanders, Police Commissioners Directors of Mission Support, Directors of Political Affairs and Chiefs of Staff. The course is also available to senior staff in DPA-led Missions. Although operational requirements sometimes delay the participation of some new mission appointees, every effort is made to include them in the SLP as soon as possible.

The aim of the Intensive Orientation Course for Heads of Military Components (HOMC) is to prepare appointed/ designated HOMCs so as to enable them to discharge their duties and responsibilities with maximum proficiency in UN Peacekeeping Operations.

The Senior Mission Administration and Resource Training (SMART) Programme seeks to improve the performance of managers (P.4 and above) in support functions in Missions by using a blended training approach of combining e-learning with face-to-face workshops.

#### 4.4.2 Additional Learning Responsibilities and Options

##### UN Competency Framework

As part of an overall human resource management reform effort, organizational values and competencies were developed in a participatory process and launched in 2002. Additional competencies, required by those who manage others, were subsequently added. Together, these values and competencies provide the foundation for all UN learning and development activities, performance management, and staff selection.

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##### Definitions:

**Competency** may be defined as a combination of skills, attributes and behaviours that are directly related to successful performance on the job. They are important for all staff, regardless of occupation, function, or level.<sup>ci</sup>

**Organizational core values** are the shared principles and beliefs that underpin the work of an organization and guide the actions and behaviour of its staff.

**Core competencies** refer to the combination of skills, attributes and behaviour required of all staff, regardless of their level or function.

**Managerial competencies** are the additional skills, attributes and behaviours required of those who manage other staff.<sup>ci</sup>

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The UN Competency Framework is categorized into three main areas, as shown below:

Core Values	Core Competencies	Managerial Competencies
Integrity	Communication	Leadership
Professionalism	Teamwork	Vision
Respect for Diversity	Planning and Organization	Empowering Others
	Accountability	Building Trust
	Creativity	Managing Performance
	Client Orientation	Judgement/Decision-making
	Commitment to Continuous Learning	
	Technology Awareness	



To read more about the Competency Framework, go to:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=unc.asp>



To download a copy of the Competency Connection Handbook, go to:  
[http://www.un.org/staffdevelopment/DevelopmentGuideWeb/image/OHRM\\_CDG.pdf](http://www.un.org/staffdevelopment/DevelopmentGuideWeb/image/OHRM_CDG.pdf)

## Office of Human Resource Management Courses

The Office of Human Resource Management (OHRM) provides an extensive list of courses that are available to both new and seasoned staff and it is encouraged that all peacekeeping personnel take advantage of these resources. A few examples of the courses offered are Leadership Development Program, Effective Communication, Creative Problem Solving and Decision Making, in addition to Report Writing and Drafting Correspondence. The following programmes are mandatory for all staff.

### Mandatory Programmes

1. Basic Security in the Field - Staff Safety, Health and Welfare Training	▪ Online Learning programme which may be accessed through the internet.
2. Integrity Awareness Initiative Programme	▪ Online Learning programme which may be accessed through the internet. Refer to ST/SGB/2005/17 Sec. 2.2
3. Prevention of Workplace Harassment, Sexual Harassment, and Abuse of Authority in the Workplace	▪ Online Learning programme which may be accessed through the internet. Refer to ST/SGB/2008/5
4. HIV/AIDS Orientation Session	▪ Half-day instructor-led Programme. Refer to ST/SGB/2007/12
5. Working Together: Professional Ethics and Integrity in our Daily Work	▪ Half-day Instructor-led Programme. Refer to A/60/568.

There are additional courses that are mandatory for supervisors, senior leaders, and those participating in interview panels or procurement. Additionally, there are courses that are mandatory for staff going to non-Headquarters duty stations, including Advanced Security in the Field.



For an extensive list of courses and to find out more about career development options, please visit the OHRM website where there are extensive resources that will enrich your tenure in the UN system.

<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=catalog.asp>

The OHRM staff members who are responsible for learning and development programmes are available to assist you with assessing your learning needs, developing training plans and identifying a range of options to meet your learning and development requirements. They can also provide assistance and advice to departments or work units on linking development activities with performance management and career support, within the context of the organizational development framework.<sup>ciii</sup>



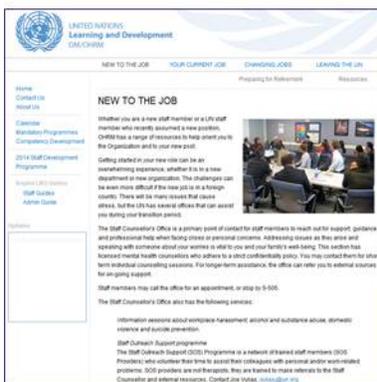
For career development queries, contact [CareerDevelopment@un.org](mailto:CareerDevelopment@un.org).



**Module Completion:** Congratulations on completing Module 4 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).

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# MODULE 5



# Working at Headquarters

The purpose of this module is to provide DPKO-DFS staff with direction on where to go for information related to the following subject areas:

- Offices involved in human resource management
- Staff entitlements
- Career development
- Health and well-being
- Travel and security
- Resources for staff and their families

## 5.1 OFFICES SUPPORTING HUMAN RESOURCE MANAGEMENT

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In addition to the department that you work in, there are two main offices that you will likely interact with on human resources (HR) related issues. These are the Office of Human Resources Management and the DPKO-DFS Executive Office. The functions of these two offices are discussed below. Please note that your first point of contact on HR related issues is the DPKO-DFS Executive Office.

### 5.1.1 The Office of Human Resource Management

The Office of Human Resources Management (OHRM) in the Department of Management is the main office for human resource management in the United Nations. In addition to OHRM's role in training (as was introduced in Module 4), the Office plays a strategic role attracting, developing and retaining UN personnel. It supports UN departments and offices in New York, as well as the Field Personnel Division of the Department of Field Support on all aspects of human resource management. It also provides assistance and advice to departments and work units on linking development activities with performance management and career support, within the context of the organizational development framework.

Human Resources Officers working in HR Services in OHRM administer and monitor a staff member's entitlements and benefits. They can assist staff members with such issues as:

- Initial appointments and onboarding
- Rental subsidies and deductions
- Education grants
- Dependency allowance
- Language allowance
- Mobility and Hardship Benefits
- Administration of special leave (shared responsibility with the EO)
- Assignment grant and repatriation entitlements (shared responsibility with the EO)
- Other entitlements and benefits
- Official status file
- Private legal obligations (shared responsibility with the EO)
- Personal status (i.e. nationality, marital status, dependants)
- Procedure for recruitment, placement, promotion and termination

The following sections provide more information about areas that OHRM and other parts of the UN provide support.



For more information on OHRM and the services and supports they offer, go to:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=newjob.asp>

### 5.1.2 Executive Office

The Executive Office assists Heads of Departments in management of human, financial and other resources allocated to the department for implementation of given mandates. It also represents the department in intergovernmental bodies and maintains contacts with the administrative offices of Human Resource Management, Programme Planning, Budget and Accounts (OPPBA) and Central Support Services (OCSS).

In relation to human resources, the Executive Office deals with the following:

- Contract management, extension of appointments, extensions of temporary assignments from different departments as well as field missions
- Promotion, transfer between departments
- Administration of leave
- Processing of home leave
- Performance management
- Step-in-grade increments
- Approval of learning activities
- Travel on official business, training, home leave, education travel and respective travel claim settlements
- Visa requests
- Employment Letters
- Processing special post allowances
- Time and attendance recording and certification

#### Who to Contact for What

When to Contact OHRM	When to contact the Executive Office
1. Change in name or other personal information	1. Employment verification
2. Change in family status	2. Leave request and balance verification
3. Change in nationality, permanent residency, or place of home leave	3. Special Post Allowance (SPA)
4. Dealing with child support request	4. Getting a salary advance
5. Meeting outside financial obligations	5. Contract extension issues
6. Transferring to/from a UN Agency, Fund or Programme	6. Request for approval of outside activity
	7. Performance management issues
	8. Official travel arrangements
	9. Certification of Visa requests
	10. Staff selection related issues
	11. Request for approval for receiving honors

## 5.2 STAFF ENTITLEMENTS

Staff members are entitled to various benefits and allowances as part of the conditions of their service. Please note, some of the entitlements listed below are not applicable for staff members serving in New York, USA.



Summaries of the terms and condition of selected benefits and allowances are provided on this site: [http://www.un.org/depts/OHRM/salaries\\_allowances/allowanc.htm](http://www.un.org/depts/OHRM/salaries_allowances/allowanc.htm)

The following topics include links for more information:

[Assignment grant](#)

[Non-family duty stations](#)

[Dependency allowance](#)

[Rental subsidy](#)

[Education grant](#)

[Separation payments](#)

[Danger pay](#)

[Travel allowances](#)

[Home leave and family visit](#)

[Rest and Recuperation \(R & R\)](#)

[Language scheme](#)

[Mobility and hardship scheme](#)



The policy documents relevant to a variety of staff entitlements are listed on page 38-40 in “The Roadmap: A Staff Member’s Guide to Finding the Right Place”:

<http://www.un.org/en/ethics/pdf/roadmap.pdf>



For specific queries on entitlements, please contact the DPKO-DFS Executive Office.



Information about the UN Joint Staff Pension Fund can be found at:

[http://www.unjspf.org/UNJSPF\\_Web/page.jsp?role=info&page=Info](http://www.unjspf.org/UNJSPF_Web/page.jsp?role=info&page=Info)

## Relocation and Mobility

### Rental subsidies

[ST/AI/2013/2](#) states that, “The purpose of the rental subsidy scheme is to facilitate the settlement of new staff members and to encourage mobility within the common system by subsidizing the rental costs of eligible staff members whose rental accommodations are of a reasonable standard but cost significantly more than the average for the duty station.”



Information on the rental subsidy for North America can be found at:

[http://www.un.org/depts/OHRM/salaries\\_allowances/allowances/rentalsu.htm#in](http://www.un.org/depts/OHRM/salaries_allowances/allowances/rentalsu.htm#in)

### Mobility Policy

The Secretary-General’s vision is for a dynamic, adaptable and global workforce - both to ensure the Organization can deploy its expertise where it is most needed, and to ensure that we are truly “Serving as One” through providing equity and burden-sharing between tours of duty at Headquarters, regional commissions and the field. Mobility refers to the movement of staff for a period of one year or longer through one of the following: change of duty station (geographical); movement to a post in a different function or in another Department of the Secretariat (functional); or movement to another UN Agency, Fund or Programme (inter-organizational). Mobility could be through a lateral move (at the same level) or through promotion (movement to a higher level). Mobility is also a key feature of career development, providing opportunities for staff to gain knowledge and expertise through exposure to a wide range of experience.

The Secretary-General’s comprehensive mobility policy has recently been approved by the General Assembly. This represents transformational change for the Organization and will

require significant effort. The first round of managed mobility will start in 2016 for selected job families.



For information on various aspects of mobility, including duty station country profiles, go to: <http://unglobalmobility.org/index.html>

Articles, updates and news on new mobility policy are available at: <https://iseek2.un.org/newyork>

### Mobility Related Hardship Allowances

As part of encouraging operationally required mobility between duty stations and to compensate for the degree of hardship experienced by staff assigned by their organizations to difficult duty stations, the UN has a mobility and hardship scheme in place. The main elements of the scheme are an allowance for mobility and hardship and an assignment grant; other benefits include additional education travel, additional reimbursement of boarding costs, the reimbursement of basic medical examinations and extra freight shipment.

For the purposes of the scheme, “assignment” is defined as an initial appointment to a duty station or the reassignment to a new duty station of one year or more, where the staff member’s official travel to the duty station has been paid and assignment grant has been paid.



For further details on the scheme, please download an informal brochure on the Mobility and Hardship Scheme: [http://www.un.org/depts/OHRM/salaries\\_allowances/allowances/mobility/Mobility%20and%20Hardship%20brochure,%202012.doc](http://www.un.org/depts/OHRM/salaries_allowances/allowances/mobility/Mobility%20and%20Hardship%20brochure,%202012.doc)

## 5.3 PERFORMANCE MANAGEMENT

As mentioned in Module 4, there is a set of core competencies that guide UN staff learning, performance and conduct. These competencies and associated values provide the foundation for performance management by clearly laying out the expectations of the Organization, Governed by ST/AI/2010/5. Learning and development programmes have been aligned to support staff in building and strengthening these competencies.<sup>cliii</sup>

Performance management is aimed at ensuring each staff member is performing at their highest potential and meeting the expectations of their position. The performance evaluation cycle is one year from April to March. The process starts with staff member’s Work Plan based on his/her team and office work plans. Upon agreeing with the supervisor (first reporting officer), the staff member creates/uploads the Work Plan in the Inspira system. The mid-term review is important for both staff members and supervisors to make adjustments in the work plan if the priorities have changed, and to raise and address any performance-related issues early on. End-of-cycle evaluation commences in March every year with Self Evaluation and performance discussions. It must be completed by June 30<sup>th</sup>.



All documents related to performance management are available to all staff by logging in to [inspira.un.org](https://inspira.un.org) and clicking on “Manuals” at the top right section of the home page.



Information on e-Performance can be found at: <http://itsforreal.un.org/>



A quick guide to e-Performance can be found at:  
[https://inspira.un.org/FILES/UN\\_EPREF/e\\_Performance\\_Quick\\_Guide.pdf](https://inspira.un.org/FILES/UN_EPREF/e_Performance_Quick_Guide.pdf)



The Secretariat Administrative Instruction ST/AI/2010/5 on the Performance Management and Development System can be accessed at:  
[https://careers.un.org/lbw/attachments/Performance\\_Management\\_Policy.pdf](https://careers.un.org/lbw/attachments/Performance_Management_Policy.pdf)

## 5.4 CAREER DEVELOPMENT

Each staff member ultimately has the primary responsibility for their career planning and development, however, at the UN career development is seen as a partnership between individual staff members, their managers and the organization. The complex mandates at the UN involve a multiplicity of occupations and multidisciplinary teams. This means that staff members are expected to change locations, functions, departments and even fields of work during their tenure with the UN. Such changes can be experienced as opportunities while at the same time requiring steep learning curves that involve time, effort and information. There are a number of excellent resources available to support learning and development at the UN. One of these is the Career Resource Centre (CRC).

The CRC is a resource for staff and managers offering career planning and development information, learning opportunities and mobility support. It is a place for self-study and learning through written, web-based and video resources, individual, confidential career counselling, small group practice sessions and mini workshops which teach concepts and facilitate information exchange between participants in a way that is less formal than a larger, full-day training. Career Counsellors offer the following confidential career services for staff members:

- General Career Counselling
- Preparing Written Applications: Personal History Profiles and Cover Letters
- Effective Job Interviewing for Applicants



To contact the Career Resource Centre, email: [centrec@un.org](mailto:centrec@un.org)



The Office of Human Resource Management has developed an excellent resource called the Career Workbook. You can access it by logging into Inspira, then going to “my learning”. Search "taking" on search catalog and click enroll on LMS1670 (taking control of your career). Click enroll again on the description page and click submit enrolment. Once you are enrolled in the course, go back to my learning, click on the course - notes and attachments and download the career workbook doc version.



As mentioned in Module 4, there are many different kinds of training programmes available to staff – some mandatory and some voluntary. For more information on staff development, go to: <http://www.un.org/staffdevelopment>

For a listing of staff development programmes, go to:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=catalog.asp>

## 5.5 ETHICAL CONDUCT

The United Nations has a commitment to the highest ethical standards guiding all of the Organization's actions and decisions. The purposes and principles guiding the Organization are laid out in the UN Charter, which also stipulates that staff will adhere to the highest standards of efficiency, competence and integrity. As a United Nations staff member, you are expected to take the following Oath of Office at the time of your appointment:

*"I solemnly declare and promise to exercise in all loyalty, discretion and conscience the functions entrusted to me as an international civil servant of the United Nations, to discharge these functions and regulate my conduct with the interests of the United Nations only in view, and not to seek or accept instructions in regard to the performance of my duties from any Government or other source external to the Organization.*

*I also solemnly declare and promise to respect the obligations incumbent upon me as set out in the Staff Regulations and Rules."*

There are several resources to guide staff actions and decisions in their tenure with the United Nations, as outlined below:



The Ethics and Integrity at the United Nations is a new online programme accessible via Inspira. The purpose of the training is to promote ethical awareness and ethical-decision making so that staff are better enabled to fulfill the mission of the UN. The programme is mandatory for all staff. Newly hired staff are to complete the programme within three months of their entry into service. Existing staff who may have participated in past ethics training programmes will find this a valuable refresher opportunity and are expected to also take the course.

Staff may access the programme by searching "ethics" on their Inspira My Learning page. The course number is LMS-1796. While available in English, a French language version is forthcoming.



Questions or feedback concerning the Ethics and Integrity course can be directed to the Ethics Office at [ethicsoffice@un.org](mailto:ethicsoffice@un.org)



The "Staff Regulations" booklet provides essential information about conditions of service and the basic rights, duties and obligations of the UN Secretariat:  
[http://www.un.org/ga/search/view\\_doc.asp?symbol=ST/SGB/2014/2&Lang=E](http://www.un.org/ga/search/view_doc.asp?symbol=ST/SGB/2014/2&Lang=E) and for



Staff Rules: [http://www.un.org/ga/search/view\\_doc.asp?symbol=ST/SGB/2014/1&Lang=E](http://www.un.org/ga/search/view_doc.asp?symbol=ST/SGB/2014/1&Lang=E)

Please note that the two documents above are available in other languages at:

<http://unparty3.rssing.com/channel-3486152/latest.php?q=ST%2FSGB%2F2014%2F2&site=rssing.com>



The “Working Together: Putting ethics to work” booklet provides information on the United Nations Code of Conduct and its application in practice:

[http://www.un.org/en/ethics/pdf/WorkinTogetherGuide\\_en.pdf](http://www.un.org/en/ethics/pdf/WorkinTogetherGuide_en.pdf)



Policies and Procedures related to ethics standards can be found at:

<http://www.un.org/en/ethics/policies.shtml>



The Integrity Awareness Initiative is a self-administered online learning programme with certification mandatory for staff members at all levels:

<http://www.un.org/en/ethics/awareness.shtml>



“The Roadmap: A staff member’s guide to finding the right place” provides information on the various offices and mechanisms and guidance to the appropriate resources to address concerns: <http://www.un.org/en/ethics/pdf/roadmap.pdf>



The Ethics Office provides assistance to staff members, as well as the Secretary-General, in ensuring the highest standards of integrity by UN personnel and the Organization:

[www.un.org/en/ethics](http://www.un.org/en/ethics)



You can also contact the Ethics Office by email at: [ethicsoffice@un.org](mailto:ethicsoffice@un.org)

## 5.6 TRAVEL

The [UN Administrative Instruction on Official Travel](#) provides information on travel for UN staff members and eligible family members. It includes information about authorizations, medical and security clearance, transportation and accommodation entitlements, travel deviations, daily subsistence allowances, travel time, insurance, payment options, and security in the field training.



The Administrative Instruction ST/AI/2013/3 is available at:

[http://www.un.org/ga/search/view\\_doc.asp?symbol=ST/AI/2013/3](http://www.un.org/ga/search/view_doc.asp?symbol=ST/AI/2013/3)

Information on travel allowances can be found at:

[http://www.un.org/depts/OHRM/salaries\\_allowances/allowances/travel.htm](http://www.un.org/depts/OHRM/salaries_allowances/allowances/travel.htm)

The UN Department of Safety and Security (DSS) provides resources such as security clearance requests, travel notification processing and travel advisories for staff members of United Nations departments, agencies, funds and programmes.



Access to further information is provided to traveling staff members by DSS:

<https://trip.dss.un.org/dssweb/WelcometoUNDSS/tabid/105/Default.aspx?returnurl=%2fdssweb%2f>

## 5.7 RESOURCES FOR STAFF AND THEIR FAMILIES

### The UN Ombudsman and Mediation Services

The UN Ombudsman and Mediation Services are neutral services to assist staff in addressing work-related concerns and generating options to resolve disputes.



Email: [ombudsmediation@un.org](mailto:ombudsmediation@un.org)



[www.un.org/ombudsman](http://www.un.org/ombudsman)

### UN Staff Union

All Staff members employed by the UN Secretariat in New York can be members of the UN Staff Union.



For information about the union, go to: [www.u-see.org.unsu](http://www.u-see.org.unsu) or visit the FaceBook page at: <https://www.facebook.com/UNSNY>

### Health and Well-Being

#### Health Insurance and Pension<sup>cliv</sup>

The UN offers its staff a comprehensive insurance scheme under its Headquarters Health & Life Insurance programme. It provides eligible staff members and their eligible dependants with medical, dental, vision and life insurance coverage. Benefits included in this scheme are, routine physicals, inpatient and outpatient services, hospital, pharmacy, vision care and other benefits. Dental benefits include diagnostic and preventative, restorative, and orthodontic care.

There are several different carriers that administer the health & life insurance programme. Staff members have 31 days from their date of employment to sign-up for medical insurance.



For more information on UN Health and Life Insurance, go to: <http://www.un.org/insurance/front>

#### Medical Service

The UN Medical Services Division provides health care services to all its personnel. It has three offices in New York:

Main Clinic - Secretariat Building S-535 -5<sup>th</sup> Floor  
Telephone: 212-963-7080

DC1 Building 1190 - 11<sup>th</sup> Floor  
Telephone: 212-963-8990

UNICEF House H-5F - 5<sup>th</sup> Floor  
Telephone: 212-326-7541

### Staff Counsellor's Office

The Staff Counsellor's Office provides psycho-social assistance to staff members and their families with situations encountered in everyday life that may have an impact on their well-being and productivity. Counselling is available for a number of conditions, including fear and anxiety, trauma, depression, alcohol/substance abuse, loss and grief, personal/family issues and concerns, harassment, HIV/AIDS counselling, financial emergency information, mission-readiness, stress management and resilience.



For more information contact: + 1 (212) 963-7044



OR email: [scolearn@un.org](mailto:scolearn@un.org) or [scohq@un.org](mailto:scohq@un.org)

### Staff Outreach Support Programme

The Staff Outreach Support (SOS) Programme is a network of trained staff members (SOS Providers) who volunteer their time to assist their colleagues with personal and/or work-related problems. SOS providers are not therapists; they are trained to make referrals to the Staff Counsellor and external resources.



For more information, go to:

<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=newjob.asp>

### Flexible work arrangements

Flexible work arrangements may include staggered working hours, compressed work schedule, telecommuting, etc. Please note these arrangements are not an entitlement but rather are up to the individual manager and the nature of work you are performing.



For more information on flexible work arrangements, go to:

<http://iseek.un.org/M210.asp?dept=2105>

### Office of the Focal Points for Women

Office of the Focal Point for Women provides informal counselling to all staff on gender-related issues, including conditions of service, discrimination, staff selection and harassment.



For more information, go to: <http://www.un.org/womenwatch/osagi/fp.htm>

## Information for Spouses and Families

### Visas

The Visa Committee is a standing advisory body that assists staff, who are not U.S. nationals, in obtaining G-4 visas for their family members—other than spouses and children under 21 years of age—and to assist them in obtaining G-5 visas for their household employees, as appropriate.

Other services include:

- U.S. employment authorization documents for eligible spouses and children
- Guidance in the processing of green card applications under the special immigrant provisions for retirees and eligible children

- Advice on DMV issues pertaining to visas
- Advice on obtaining Social Security numbers
- Advice on conversion of status (non-immigrant to and from G-4)<sup>clv</sup>



For more information, go to:

<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=newjob.asp>

### Dependency Status and Dependency Benefits

[ST/AI/2011/5](#) lays out the provisions related to dependency status and dependency benefits.

### Other Resources



New York Local Expatriate Spouse Association was created by UN spouses for UN spouses to support spouses and partners of international UN staff members to settle in and find career support during their stay in New York: <http://www.nylesa.org/>



The Permits Foundation is a not-for-profit organization working to improving work permit regulations to make it easier for partners of expatriate staff to gain employment during an international assignment. Their website provides helpful resources:

<http://www.permitsfoundation.com/>

### Additional Links of Potential Interest

- Pay and Benefits: <https://careers.un.org/lbw/home.aspx?viewtype=SAL>
- Career Support: <https://careers.un.org/lbw/home.aspx?viewtype=CS>
- Job Networks: <https://careers.un.org/lbw/home.aspx?viewtype=JN>
- Job Classifications: [http://www.un.org/depts/OHRM/salaries\\_allowances/classif.htm](http://www.un.org/depts/OHRM/salaries_allowances/classif.htm)
- Young Professional Programme:  
<https://careers.un.org/lbw/home.aspx?viewtype=NCE&lang=en-US>
- The Application Process:  
[https://careers.un.org/lbw/attachments/Inspira/At\\_a\\_Glance/APP1TheApplicationProcess.pdf](https://careers.un.org/lbw/attachments/Inspira/At_a_Glance/APP1TheApplicationProcess.pdf)
- English language opportunities in New York:  
Join the Friends of the United Nations English Club, a free-to-join group that provides opportunities for advanced-level English learners to interact with native speakers - while also exploring New York: [http://www.meetup.com/esl-426/?trax\\_also\\_in\\_algorithm2=original&traxDebug\\_also\\_in\\_algorithm2\\_picked=original](http://www.meetup.com/esl-426/?trax_also_in_algorithm2=original&traxDebug_also_in_algorithm2_picked=original)  
Learn about the United Nations while developing your English language through a free online self-study course: <http://www.unepd.info/>

### Additional Resources for Orientation and Reference



Essential Guidebook for United Nations Secretariat Staff can be obtained from OHRM



Essential Guidebook for Senior Leaders of the United Nations Secretariat can be obtained from OHRM

## 5.8 INSIGHTS AND PERSPECTIVES FROM DPKO-DFS STAFF

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“Joining the Headquarters was exciting yet a bit nerve-racking, to be honest! You constantly hear about how competitive, even fierce, and fast-paced the working environment can be! I knew first impressions count, therefore needed to present myself as a sharp professional. So, I did my homework - read about my section’s work priorities, plans, current projects and the latest reports. Obviously, they won’t ask you to pass the test all over again, but it did boost my self-confidence and that’s all I needed on the first day when I was being presented to and struggled to memorise the names to all those new colleagues so eager to welcome me.”



- DPKO staff member

“I think it’s important that you familiarise yourself with the Staff Rules and Regulations and the Code of Conduct, etc. It makes it easier to ask “informed” questions when talking to HR Officers at the Executive Office. For example, I read about the rental subsidy and thought I might qualify for it, so inquired about it. Without reading about these entitlements, I wouldn’t have asked the “right” questions.”

- DPET staff member

“I realised that it is very easy to get absorbed within own “specialisation” and lose sights on the bigger picture issues. Personally, I took action and set 1 hour a week for my professional development by reading cross-cutting and UN-wide reports and discussion papers. This also renews your sense of belonging to much bigger UN family and its cause.”

- ITS staff member



**Module Completion:** Congratulations on completing Module 5 of the e-Guide. To see your learning progress, please complete the self-assessment text by clicking [here](#).

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## GLOSSARY OF ACRONYMS AND TERMS

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ACABQ	Advisory Committee on Administrative and Budgetary Questions
AU	African Union
BINUB	United Nations Integrated Office in Burundi (renamed BNUB January 2011)
BNUB	United Nations Office in Burundi
C-34	Special Committee on Peacekeeping Operations
CAAC	Children and Armed Conflict
CAF	Country Assistance Framework
CAP	Consolidation Appeals Process
CCA	Common Country Assessment
CEDAW	Convention on the Elimination of All Forms of Discrimination against Women
CERD	International Convention on the Elimination of All Forms of Racial Discrimination
CMIC	Civil Military Coordination Cell
CRC	Convention on the Rights of the Child
DDR	Disarmament, Demobilization and Reintegration
DDRRR	Disarmament, Demobilization, Repatriation, Reintegration and Resettlement
DFS	Department of Field Support
DOCO	Development Operations Coordination Office
DPA	Department of Political Affairs
DPET	Division of Policy, Evaluation and Training, DPKO
DPI	Department of Public Information
DPKO	Department of Peacekeeping Operations
DRC	Democratic Republic of the Congo
DSRSG	Deputy Special Representative of the Secretary-General
DSRSG/RC/HC	Deputy Special Representative of the Secretary-General/Resident Coordinator/Humanitarian Coordinator
DSRSG/HOM	Deputy Special Representative of the Secretary-General/Head of Mission
DSS	Department of Safety and Security
ECHA	Executive Committee on Humanitarian Affairs
ECOSOC	United Nations Economic and Social Council
ECOWAS	Economic Community of West African States
ESRSG	Executive Special Representative of the Secretary-General
EU	European Union
FAO	Food and Agricultural Organization
FC	Force Commander
GA	General Assembly
HC	Humanitarian Coordinator
HOM	Head of Mission
HOMC	Head of Military Component
HOPC	Head of Police Component
IAP	Integrated Assessment and Planning
IAPP	Integrated Assessment and Planning Policy
ICRC	International Committee of the Red Cross
IDP	Internally Displaced Person
IFRC	International Federation of Red Cross and Red Crescent Societies
IMF	International Monetary Fund
IMPP	Integrated Mission Planning Process

IMTC	Integrated Mission Training Centre
IMTF	Integrated Mission Task Force
Interpol	International Criminal Police Organization
ISF	Integrated Strategic Framework
ISG	Integrated Steering Group
ISPT	Integrated Strategy and Planning Team
ITF	Integrated Task Force
JLOC	Joint Logistics Operations Centre
JAM	Joint Assessment Mission
JOC	Joint Operations Centre
JMAC	Joint Mission Analysis Centre
JSJP	Justice and Security Joint Programme
JTP	Joint Transition Plan
M&E	Monitoring and Evaluation
MCDA	Military and Civil Defence Assets
MDG	Millennium Development Goals
MINUSTAH	United Nations Stabilization Mission in Haiti
MLT	Mission Leadership Team
MOB	Mobile Operating Base
MONUC	United Nations Organization Mission in the Democratic Republic of the Congo (renamed MONUSCO in July 2010)
MONUSCO	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo
MoU	Memorandum of Understanding
NATO	North Atlantic Treaty Organization
NGO	Non-Governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs
OHCHR	Office of the High Commissioner for Human Rights
OLA	Office of Legal Affairs
OROLSI	Office of Rule of Law and Security Institutions, DPKO
OSRSG-CAAC	Office of the Special Representative of the Secretary-General for Children and Armed Conflict
OSRSG-SVC	Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict
PAD	Political Affairs Division
PBC	Peacebuilding Commission
PBF	Peacebuilding Fund
PBSO	Peacebuilding Support Office
PCNA	Post-Conflict Needs Assessment
PCC	Police Contributing Country
PDT	Pre-Deployment Training
PKO	Peacekeeping Operation
PPDB	Policy and Practices Database
QIPs	Quick Impact Projects
RBB	Results-Based Budgeting
RC	Resident Coordinator
RCO	Resident Coordinator Office
ROE	Rules of Engagement

ROL	Rule of Law
SA	Strategic Assessment
SC	Security Council
SCR	Security Council Resolution
S/ERSG	Head of a Peacekeeping Operation or Special Political Mission and also applies to Special Coordinators (as per IAP Policy)
SG	Secretary-General
SGBV	Sexual and Gender Based Violence
SMT	Security Manager Team
SLT	Senior Leadership Team
SMT	Senior Management Team
SOFA	Status of Forces Agreement
SOMA	Status of Mission Agreement
SOP	Standard Operating Procedure
SPG	Strategic Policy Group
SPM	Special Political Mission
SMSG	Special Representative of the Secretary-General
SSR	Security Sector Reform
SSSS	Security and Stabilization Support Strategy
SVC	Sexual Violence in Conflict
TAM	Technical Assessment Mission
TCC	Troop Contributing Country
TOR	Terms of Reference
UNAMA	United Nations Assistance Mission in Afghanistan
UNAMID	African Union–United Nations Hybrid Operation in Darfur
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNDSS	United Nations Department of Safety and Security
UNEST	United Nations Electoral Support Team
UNFPA	United Nations Population Fund
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children’s Fund
UNIPSIL	United Nations Integrated Peacebuilding Office in Sierra Leone
UNMAS	Mine Action Service, DPKO
UNMIL	United Nations Mission in Liberia
UNMIS	United Nations Mission in the Sudan (ended July 2011)
UNMISS	United Nations Mission in the Republic of South Sudan
UNMIT	United Nations Integrated Mission in Timor-Leste
UNODC	United Nations Office on Drugs & Crime
UNOPS	United Nations Office for Project Services
UNPOS	United Nations Political Office for Somalia
UNSMIL	United Nations Support Mission in Libya
USG	Under-Secretary-General
UNV	United Nations Volunteers
UN WOMEN	United Nations Entity for Gender Equality and the Empowerment of Women
UXO	Unexploded Ordnance

VTC	Video Conferencing
WFP	World Food Programme
WHO	World Health Organization

## COLLECTION OF USEFUL WEBSITES

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### United Nations - General

- United Nations Main Page: <http://www.un.org/>
- United Nations Structure and Organization: <http://www.un.org/en/aboutun/structure/index.shtml>
- United Nations System Organizational Chart:  
[http://www.un.org/en/aboutun/structure/org\\_chart.shtml](http://www.un.org/en/aboutun/structure/org_chart.shtml)
- United Nations Member States: <http://www.un.org/en/members/index.shtml>
- United Nations Official Document System: <http://www.un.org/en/documents/ods/>
- General Assembly Resolutions: <http://www.un.org/documents/resga.htm>
- Security Council Resolutions: <http://www.un.org/en/sc/documents/resolutions/>

### Public Peacekeeping Websites

- United Nations Peacekeeping Website: <http://www.un.org/en/peacekeeping/>
- United Nations Peace and Security: <http://www.un.org/en/peace/index.shtml>
- United Nations Bodies Involved In Peacekeeping: <http://www.un.org/en/peace/index.shtml>
- United Nations Department of Peacekeeping: <http://www.un.org/en/peacekeeping/about/dpko/>
- United Nations Department of Field Support: <http://www.un.org/en/peacekeeping/about/dfs/>
- United Nations Peacekeeping Fact Sheet:  
<http://www.un.org/en/peacekeeping/resources/statistics/factsheet.shtml>
- Troop and Police Contributing Country Information:  
<http://www.un.org/en/peacekeeping/resources/statistics/contributors.shtml>
- United Nations Peacekeeping Operations: [un.org/peacekeeping/sites](http://www.un.org/peacekeeping/sites)
- Current Peacekeeping Operations: <http://www.un.org/en/peacekeeping/operations/current.shtml>
- United Nations Peacekeeping Resource Hub:  
<http://peacekeepingbestpractices.unlb.org/PBPS/Pages/Public/Home.aspx>

### DPKO-DFS Intranet Entry Points

- The POINT: <http://point.un.org> (includes links to all main DPKO-DFS services)
- Policy and Practice Database: [http://ppdb.un.org/Nav%20Pages/PolicyFramework\\_Default.aspx](http://ppdb.un.org/Nav%20Pages/PolicyFramework_Default.aspx)

### Guiding Documents for Peacekeeping

- Policy and Guidance in DPKO-DFS: <http://www.un.org/en/peacekeeping/resources/policy.shtml>  
(specific policy and guidance documents are also listed throughout the e-Guide)
- Brahimi Report: <http://www.unrol.org/files/brahimi%20report%20peacekeeping.pdf>
- Capstone Doctrine: [http://pbpu.unlb.org/pbps/Library/Capstone\\_Doctrine\\_ENG.pdf](http://pbpu.unlb.org/pbps/Library/Capstone_Doctrine_ENG.pdf)
- New Partnership Agenda: Charting a New Horizon for UN Peacekeeping:  
<http://www.un.org/en/peacekeeping/documents/newhorizon.pdf>

### Learning

- United Nations Competency Framework:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=unc.asp>
- Office of Human Resource Management Course Listings:  
<http://www.un.org/staffdevelopment/viewPage.asp?selMenu=catalog.asp>
- UNSSC Induction Course: <http://www.unssc.org/W2UN/>
- 2009 Core Pre-Deployment Training Materials (CPTMs) (To be updated in early 2015)  
<http://peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/library.aspx?ot=2&scat=393&menuey=452>

- Specialized Training Materials (STMs)  
[http://peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/library.aspx?ot=2&cat=71&level=2&menukey= 4 5 1](http://peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/library.aspx?ot=2&cat=71&level=2&menukey=4_5_1)

#### Working at the UN

- United Nations Careers: <https://careers.un.org/lbw/Home.aspx>
- DPKO-DFS Working for us: <http://www.un.org/en/peacekeeping/about/work.shtml>
- Volunteering with the United Nations: <http://www.unvolunteers.org/>
- Internship with the United Nations: <http://www.un.org/Depts/OHRM/sds/internsh/index.htm>
- For an extensive list of websites related to working in the United Nations (e.g. entitlements, mobility, performance development, family supports, etc.), go to Module 5 in this document.

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