

**ENHANCING THE PROTECTION  
OF CIVILIANS IN PEACE OPERATIONS:  
FROM POLICY TO PRACTICE**

**24–26 May 2011**

**The Q Theatre  
253 Crawford Street  
Queanbeyan  
Australia**

**A BACKGROUND PAPER PREPARED FOR THE  
Australian Government's  
Asia Pacific Civil-Military Centre of Excellence**

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## **LIST OF ACRONYMS**

AOR – Area of Responsibility  
C34 – UN General Assembly Special Committee on Peacekeeping  
CASEVAC – Casualty Evacuation  
CPA – Child Protection Advisor  
CONOPs – Concept of Operations  
DFS – United Nations Department of Field Support  
DPKO – United Nations Department of Peacekeeping Operations  
FPU – Formed Police Units  
IASC – Inter-Agency Standing Committee  
ICRC – International Committee of the Red Cross  
IMPP – Integrated Mission Planning Process  
OCHA – United Nations Office for the Coordination of Humanitarian Affairs  
PCWG – Global Protection Cluster Working Group  
POC – Protection of Civilians  
T/PCCs – Troop and Police Contributing Countries  
UNFPA – United Nations Population Fund  
UNGA – United Nations General Assembly  
UNHCR – United Nations Refugee Agency  
UNICEF – United Nations Children's Fund  
UNIFEM – United Nations Development Fund for Women  
UNITAR – United Nations Institute for Training and Research  
UNMIS – United Nations Mission in Sudan  
UNPOL – United Nations Police  
UNSC – United Nations Security Council  
UNSCR – United Nations Security Council Resolution

## 1) INTRODUCTION

*The protection of civilians is intrinsic to UN peacekeeping missions. Missions are presumed to deploy to protect civilians, which is an enduring, implicit goal of operations (Holt and Taylor with Kelly 2009:210)...*

The seminal report of the *Panel on United Nations Peace Operations* (the “Brahimi Report”) found that “no failure did more to damage the standing and credibility of United Nations’ peacekeeping in the 1990s than its reluctance to distinguish victim from aggressor,” and to protect civilians in conflict and post-conflict environments (United Nations 2000). Recognizing that the protection of civilians was intrinsic to peacekeeping, the United Nations Security Council (UNSC) began to explicitly mandate peacekeeping missions to protect civilians in 1999. At the same time, the UNSC began to issue thematic mandates on the protection of civilians (POC) and specific civilian populations, including women and children, which are expected to be implemented (in part) by peacekeeping missions.

During the ensuing decade, the UNSC augmented its focus on preventing and responding to violence against civilians by mandating the majority of new UN peacekeeping operations to protect them, and by strengthening thematic mandates. However, UNSC aspirations for POC and the expectations of communities at risk on the ground have largely outstripped the capability of the UN system to deliver on these mandates. ***The striking gap between the mandated intentions of the UNSC and the ability of UN peacekeeping missions to deliver protection on the ground has continued to risk undermining the United Nations’ as well as the international community’s credibility and legitimacy—foundational factors of success for UN peacekeeping operations (United Nations DPKO/DFS 2008:36-38). In 2009, the UN Secretariat and UN Member States recognized these limitations and catalyzed a number of reform initiatives to help bridge the capability and implementation gap. While progress has been made, a number of reforms have not been completed, and other challenges have emerged.***

The United Nations is not alone in its efforts to make peace operations more effective in the protection of civilians. In 2009–2010, the African Union (with the support of the Australian Government, the Asia Pacific Civil-Military Centre of Excellence, and in consultation with the UN Secretariat) developed *Draft Guidelines for the Protection of Civilians by African Union Peace Support Missions*. This was the first initiative of a regional peace and security organization to create strategic and operational-level guidance on the protection of civilians for peace operations. In 2010, the Council of the European Union also approved revised guidelines on the protection of civilians in EU-led crisis management missions and operations (Council of the European Union 2010). In addition to regional organizations, individual states also took steps to develop guidance and training on the protection of civilians – as stand-alone doctrine or in the revision of existing peacekeeping and stability operations doctrine.

This background paper seeks to provide participants of the ***Enhancing the Protection of Civilians in Peace Operations: From Policy to Practice*** workshop with an overview of progress on the

latest reforms since 2009 to improve peace operations' ability and willingness to fulfill their POC mandates, and how these developments could impact the security and rights of women and children in conflict and post-conflict environments. The paper focuses on developments undertaken by the United Nations in recognition of the notable efforts to close the capability gap.

This builds on previous research and workshops, including the background paper and resulting conference report of the Third International Forum for the Challenges of Peace Operations (Challenges Forum), 27–29 April 2010, hosted in Queanbeyan, Australia, by the Asia Pacific Civil-Military Centre of Excellence. The Challenges Forum and the papers provide an overview of the evolution of the POC concept and offer detailed observations and recommendations aimed at making POC in UN and regional peace operations more effective (Durch and Giffen 2010:21-84; Wilmot 2010).

This paper does not address many of the laudable steps taken by the UN and regional organizations in the past year to enhance the prevention of and response to violence against civilians outside of the context of peace support operations. Further, it does not examine protection in practice during the last year and how the POC concept is evolving. Recent crises in the Ivory Coast, Libya, and Kyrgyzstan and ongoing instability in the Democratic Republic of Congo (DRC) sparked widespread, targeted violence against civilians and raised new questions about the prospects and limitations of UN action to prevent and respond to such threats to civilians. In particular, these protection crises reminded communities at risk and stakeholders around the world that such violence occurs both within and beyond the response envelope of UN peacekeeping operations. Although it is beyond the scope of this paper to address such issues, it is critically important that UN Member States and other stakeholders understand what peacekeeping can and cannot do well to prevent and respond to violence against civilians.

## **2) PROGRESS ON POLICY REFORMS FOR THE PROTECTION OF CIVILIANS (POC) IN UN PEACEKEEPING OPERATIONS**

As mentioned above, the UNSC issued its first resolution (UNSCR 1270) authorizing the UN peacekeeping operation in Sierra Leone (UNAMSIL) to use force to protect civilians under imminent threat of physical violence in 1999. Since then, 10 peacekeeping missions have been given POC mandates (Holt and Taylor with Kelly 2009) and today there are seven active UN peacekeeping missions mandated to protect civilians.<sup>1</sup> In 2008, the UN Department of Peacekeeping Operations (DPKO) and the Office of Coordination of Humanitarian Affairs (OCHA) commissioned an independent study, *Protecting Civilians in the Context of Peacekeeping: Successes, Setbacks, and Remaining Challenges* (hereafter referred to as the DPKO/OCHA independent study). The study reviewed UN peacekeeping's track record of protecting civilians and concluded that there were gaps between UNSC aspirations to protect civilians and UN capability to meet them:

*...The presumed chain of events to support protection of civilians – from the earliest planning, to Security Council mandates to the implementation of mandates by peacekeeping missions in the field – is broken (Holt and Taylor with Kelly 2009:5).*

In particular, the study noted gaps in policy, planning, and preparedness. Following the study's release, in late 2009, the UNSC adopted resolution 1894, which outlined a number of specific measures that the Secretary General should take to strengthen POC in UN peacekeeping operations. In early 2010, the UN General Assembly's Special Committee on Peacekeeping Operations (hereafter referred to as "the Special Committee" or "C34") also took immediate steps to address these gaps. The requests of the UNSC and C34 included requesting the UN Secretariat to:

- Gather best practices and lessons learned;
- Develop guidance and training materials;
- Identify critical asset and resource requirements;
- Establish benchmarks to measure progress; and
- Improve information gathering and reporting on protection to inform UN Security Council monitoring and decision making.<sup>2</sup>

*(For additional detail on Member State requests to the Secretary General from 2009–2011, please see [Protection of Civilians in UN Peacekeeping: Reform Requests and Initiatives of the Secretariat.](#))*

In the time since these requests were made, the UN Secretariat has made laudable progress toward closing the gaps in guidance and training in consultation with UN Member States and UN peacekeeping personnel. In late 2009, the UN Secretariat drafted the "DPKO/DFS Lessons Learned Note on the Protection of Civilians in UN Peacekeeping Operations: Dilemmas, Emerging Practices, and Lessons Learned," (hereafter referred to as the Lessons Learned Note) and the "Draft DPKO/DFS Operational Concept on the Protection of Civilians in UN Peacekeeping Operations," (hereafter referred to as the Operational Concept), which sought to clarify what POC encompassed in the context of peacekeeping.

Drafts of these products were shared with Member States in 2009 and finalized in the first quarter of 2010. Subsequently, DPKO and DFS have focused on five tracks to enhance POC in peacekeeping operations:

- "The development of a strategic framework to provide guidance for missions in elaborating comprehensive strategies for the protection of civilians;
- Pre-deployment and in-mission training modules that include a range of scenario-based exercises for all mission components;
- An evaluation of the resource and capability requirements necessary for the implementation of protection of civilians mandates;
- A thorough examination of protection planning processes, both pre-deployment and within the mission; and, lastly,
- Capability development efforts, including addressing capability standards for military units to better articulate the performance requirements to meet this task as

well as the other modern mandated peacekeeping tasks” (United Nations Security Council 2010).

DPKO and DFS initiatives within these tracks begin to address linchpin capability gaps and are important first steps. However, they do not yet fully respond to the UNSC and Special Committee requests of 2009 and 2010, or address all of the critical liabilities that were identified in the DPKO/OCHA independent study and subsequent research. For example, many of the recommendations and reforms must be undertaken by Member States, and troop- and police-contributing countries (T/PCCs). Sections 2.1 through 2.6 provide an overview of progress along each track and suggest additional steps that Member States and the UN Secretariat could consider for further reform. The tracks are reviewed in the following order:

- The Operational Concept on Protection of Civilians (defining POC);
- POC in mission planning;
- The “Framework for Drafting Comprehensive Protection of Civilian Strategies in United Nations Peacekeeping Operations;”
- Resource requirements for effective implementation of POC; and
- POC training modules and scenario training.

Please note that this paper primarily reviews requests made by the UNSC and C34 in 2009 and 2010. Due to the late release of the 2011 C-34 annual report, these recommendations have not been considered fully in the framing of this background paper.

## **2.1) Defining the Protection of Civilians in the Context of Peacekeeping**

*The lack of one meaningful definition of [POC in the context of] peacekeeping missions overall, and for the uniformed component of UN operations, has only heightened confusion and crosstalk (Holt and Taylor with Kelly 2009:26).*

The concept of POC is evolving, and has different meanings for different stakeholders in conflict and post-conflict settings. For example, the ICRC has led efforts over the last decade to clarify what the term means and encompasses for humanitarian actors; the Inter-Agency Standing Committee (IASC) adopted a definition in 1999.<sup>3</sup> However, prior to 2010, a similar exercise had not been undertaken to determine the meaning of POC in the context of peacekeeping, with its great diversity of actors frequently working within integrated operations. Peacekeeping operations include many civilian (human rights, development, rule of law, and sometimes humanitarian) components as well as uniformed police and military personnel.

The Operational Concept was the UN Secretariat's first effort to clarify the meaning of POC in the context of peacekeeping operations. Although the Operational Concept does not provide a single declarative definition of the term, it describes how peacekeeping operations could provide protection in a conflict or post-conflict environment. The Operational Concept is organized around a three-tiered approach to protection:

- Protection through a political process;
- Protection from physical violence; and
- Contributing to a protective environment.

Although the Operational Concept begins to flesh out what POC encompasses within UN peacekeeping operations, further guidance would be needed to address how to implement POC. For example, the Operational Concept asserts that the three tiers are mutually reinforcing, but does not discuss the dilemmas and trade-offs that are likely to arise during planning and implementation of the three tiers. Further, the Operational Concept does not apprise mission leadership of the need to provide guidance on how to approach the prioritization of mission resources: a) between protection objectives and other priority objectives, such as monitoring a peace agreement's implementation, or b) between protection threats in the mission's area of responsibility.

Another critical issue in the operationalization of POC that is not addressed in the Operational Concept includes how missions should identify and manage risks inherent to POC activities. For example, if a mission is working closely with a host-state government that is also engaged in abuses, how does the mission protect civilians from physical violence and also manage the strategic consent of the host state? Moreover, how should mission leadership better understand whether, when, and how the mission should use force to protect civilians?



### TEXT BOX A: THE UN DPKO/DFS OPERATIONAL CONCEPT ON THE PROTECTION OF CIVILIANS

#### Summary of the three-tiered approach to protection:

- **Protection through a Political Process:** Protection through a political process has two components: a) ensuring peace negotiations, processes, and implementation take into account justice and accountability, and b) through conflict management and reconciliation.
- **Protection from Physical Violence:** The Operational Concept asserts that protection from physical violence “includes preventive measures, such as political engagement with parties to the conflict by senior mission leadership, preventive tactical deployments of the peacekeeping force in areas where civilians are potentially at risk, as well as direct use of force in situations where serious international humanitarian law and human rights violations are underway, or may occur.” The Operational Concept outlines four phases of action: assurance and prevention, pre-emption, response, and consolidation.
- **Contributing to a Protective Environment:** Environment building includes the promotion of legal protection, facilitation of humanitarian assistance and advocacy, and support to national institutions.

Finally, further guidance would be needed to define terms often used in UNSC resolutions authorizing peacekeeping operations to use force to protect civilians, which are not defined in the Operational Concept. Mandate language that authorizes the use of force to protect civilians often include four standard phrases, which are reflected in the mandate of the UN Mission in Sudan (UNMIS) as provided by resolution 1590 (2005):

*Acting under Chapter VII of the Charter of the United Nations, (i) Decides that UNMIS is authorized to **take the necessary action, in the areas of deployment** of its forces and as it deems **within its capabilities**, [ . . . ] and, **without prejudice to the responsibility of the Government of Sudan, to protect civilians under imminent threat of physical violence (United Nations Security Council 2005).***

These phrases, and other variations such as “use all necessary means,” have not yet been defined by the UN Secretariat and the lack of clarity has caused some peacekeepers to question what their responsibilities and authorities are (Holt and Taylor with Kelly 2009:44).

There are likely practical and political reasons that these issues were not addressed in this initial guidance document. These issues are some of the most politically sensitive issues at the strategic level, making it difficult to clarify them in guidance. However, these grey areas have been raised by practitioners as some of the most difficult to tackle in theatre, and as such would need further clarification (Holt and Taylor with Kelly 2009:43-47). The UN Secretariat has begun to address these issues in the Lessons Learned Note and in subsequent initiatives to close the capability gap, including the POC Framework and POC training modules discussed below.

Another opportunity to address these grey areas is through subsequent policy guidance for the strategic, operational and tactical level. Following the development of the Operational Concept, it was envisioned that DPKO and DFS would develop POC guidance specific to each component of a peacekeeping operation, such as the military and police. The UN Police Division has been working with DPKO and DFS to draft guidelines on the role of UN Police (UNPOL) in POC. Because international police peacekeeping is intended either to increase civilian security or to build host state capacity to do so (depending on the mandate), it is easy to confuse all policing activities as POC activities. While police have unique skills to contribute to POC, it is important that UNPOL understand a) how the threats and vulnerabilities faced by civilians in the mission area differ from common criminality; b) the responsibilities and limitations of UNPOL if they are working as advisors without executive authority; and c) how UNPOL can contribute to comprehensive approaches to protection.

For example, the type or the scale of violence targeted at civilians may be unique to a conflict or post-conflict dynamic. Depending on the UN's determination of the police role in POC, police officers and advisers may need to be adequately trained and/or capable of training others on:

- monitoring and transmitting protection-related information to joint mission analysis centers and joint operation centers;
- how to determine whether the relevant information is helpful for identifying patterns of attacks and potential escalations of violence;
- the means of gathering, sharing, and protecting information that could put vulnerable individuals and populations at greater risk (especially related to sexual and gender based violence);
- the skills required to work in joint protection teams or in other combined initiatives that may include civilian and military components; and
- the mechanisms and skills required to work effectively with host state governments and security forces, particularly in situations where these elements may be unable or unwilling to protect the population or be perpetrators of abuse.

UN Formed Police Units (FPUs) would require similar training. They face additional challenges in learning how to adjust their posture for optimal prevention and response in different situations; whether and when to use force in each situation; and when and how to work well with military peacekeepers in joint operations or when threat/violence levels exceed FPUs' capacity to manage. The US Institute of Peace recently partnered with the Centre of Excellence for Stability Police Units (CoESPU) in Vicenza, Italy to hold a workshop with former UN Police Commissioners with experience of protection crises, including Darfur and Haiti. The workshop sought to create an inventory of FPU tasks and tactics applicable to the three tiers of protection outlined in the Operational Concept. FPUs' contributions to and dependence on accurate intelligence and situational awareness were dominant themes at the workshop. Without situational awareness, FPUs can neither prevent nor respond effectively to threats against civilians.

Regardless of whether UNPOL serve as individuals or as members of FPUs, notable gaps remain in police understanding what protection of civilians means. These gaps include how aspects of

POC differ from other international police peacekeeping functions and how this affects UNPOL planning and training. Particular care is needed in defining the roles and responsibilities of UNPOL, ensuring that roles are determined in relation to the form of threat and in relation to other mission components. Development of the draft guidelines on the role of police in protection and additional efforts to gather lessons learned and best practices could help narrow this gap.

Similar guidance will also be needed for other peacekeeping components, in particular the military component, which can play a critical and unique role in providing protection from physical violence. Existing TCC military doctrine does not address how planning and training for or executing POC differs from other military objectives, nor does it explain how POC objectives in peacekeeping operations differs from other stability or military operations that may also include POC. Although some TCCs are now considering developing such doctrine, the development of guidance for the military component could be useful to distinguish how military planning, tactics, techniques and procedures differ in POC in UN peacekeeping operations.

## **2.2) Mission Planning**

*[I]f the planning process is silent or unclear about what kinds of ‘protection’ will be offered to whom, from what, and within what limits, and the capabilities the mission requires to undertake POC-related tasks, then those in the field are left to sort it out for themselves (Holt and Taylor with Kelly 2009:90) ...*

The UN’s Integrated Mission Planning Process (IMPP) is used to plan the deployment of new – or to transition from existing – peacekeeping operations. The DPKO/OCHA independent study recommended that POC considerations be included from the earliest planning stages through deployment. This includes the Technical Assessment Mission, the Secretary General’s (or Under-Secretary-General’s) Strategic Planning Directive, drafting of the Mission Concept or Plan (which includes the Operational Estimate and CONOPs for the police and military components), Secretary General’s report to the UNSC, the UNSC mandate, and the review, revision, finalization and implementation of mission planning documents.

Among other things, the IMPP helps determine the size and capacities of the various civilian, military and police components of the mission (force generation and recruitment), what scenarios and situations should be included in pre-deployment training, and the content of the memorandums of understanding with T/PCCs (which may include caveats or limitations on capabilities). If the planning process doesn’t anticipate and plan for existing and potential threats to and vulnerabilities of civilians (including worst case scenarios), the operation could be hamstrung from the start.

The UN Secretariat undertook two initiatives over the last year to better integrate POC into planning. First, the C34 requested detailed information on existing CONOPs to assess their adequacy in achieving POC mandates (United Nations General Assembly 2010a). The UN Secretariat answered this request by reviewing existing CONOPs to see whether and how POC

was addressed. Second, the Secretariat produced a memo for IMPP stakeholders on ways to address POC within the IMPP process.<sup>4</sup> While these are positive steps forward, they do not ensure that POC is addressed at each critical step of the IMPP.

The follow-on operation in South Sudan that is currently under consideration will be one of the first operations planned since the production of the Operational Concept, the review of CONOPs and development of the IMPP stakeholder memo. The new operation will serve as a barometer for the new guidance and for the integration of POC into mission planning. Further work is needed within the IMPP to address transitions. As the experience of MINURCAT (former UN peacekeeping mission in Chad) has shown it is important to look at planning for mission drawdown and the transfer of responsibilities from UN peacekeeping operations to the UN Country Team (UNCT).

But planning for POC must not end with the IMPP. Peacekeeping operations must be ready and able to adapt to, if not shape, evolving field situations, including worst-case scenarios. A comprehensive protection strategy, discussed below, is one planning tool that can help operations set goals for shaping the environment and identify and plan for contingencies.

### ***2.3) The Framework for Drafting Comprehensive Protection of Civilian Strategies in United Nations Peacekeeping Operations***

Best practices for civil-military cooperation in POC emerged as early as 2006, when the peacekeeping operation in the DRC, MONUC (now MONUSCO) began producing a joint protection concept with the UNCT that involved UN civilian, police, and military actors and external humanitarian stakeholders (through the DRC Protection Cluster). However, the joint concept was primarily a strategy of mitigation (Holt and Tayler with Kelly 2009:267). It wasn't until 2008, when the peacekeeping mission in Sudan (UNMIS) was urged to develop an integrated strategy to protect civilians that the idea of comprehensive politico-military strategies emerged (Holt and Taylor with Kelly 2009:324-332).<sup>5</sup> As will be explored in Section 3, comprehensive strategies have also been recommended for the protection of women and children in peacekeeping operations.

The DPKO/OCHA independent study and subsequent research found that effective protection requires a “whole of mission” or comprehensive approach that leverages resources vertically, from the tactical to the operational (and, when needed, the strategic) level; horizontally, across the operation (including the UNCT); and with protection actors external to the UN peacekeeping operation. The same research recommended comprehensive POC strategies as a way to overcome a number of planning and implementation challenges and to move beyond reaction and mitigation to proactive prevention and resolution of protection threats.

UNSC resolution 1894 on the Protection of Civilians in Armed Conflict (2009) called on all missions mandated to protect civilians to develop comprehensive protection strategies. Subsequently, the C34 asked the UN Secretariat to develop a template for such a strategy (United Nations General Assembly 2010a). DPKO responded by developing, in close consultation

with other UN entities, the **“Framework for Drafting Comprehensive Protection of Civilian Strategies in United Nations Peacekeeping Operations,”** (hereafter referred to as “the POC Framework”)<sup>6</sup> to provide guidance to mission leadership on development of the strategies. The POC Framework is built around the three-tiered approach to protection defined by the DPKO/DFS Operational Concept. It defines a protection planning template that should:

- “Articulate actual and potential POC risks in the mission area;
- Identify activities to be undertaken by the mission directly, or in coordination with other protection actors, to address those risks;
- Analyze the resources and capacities required to implement the POC mandates;
- Provide an overview of the protection actors, including the host government's will and ability to fulfill its responsibility to protect civilians, and the capacity of the local population to protect itself;
- Clarify roles and responsibilities within the mission and with key partners;
- Detail POC coordination mechanisms within the mission and with partners;
- Ensure that the monitoring and reporting mechanisms are in place to ensure accountability and measure progress towards the achievement of the strategy's objective; and
- Ensure that there is a system to conduct reviews and lessons learned exercises when missions fail to protect civilians” (United Nations DPKO/DFS forthcoming).

The POC Framework is notable both for its content and the process that the UN Secretariat undertook to develop it, which was based on extensive consultation with UN peacekeeping missions and other UN entities through the global Protection Cluster Working Group (PCWG).<sup>7</sup> The content encourages mission leadership to grapple with many of the issues that the Operational Concept did not address for political reasons or that are better left to operational and tactical-level leadership, such as managing risk and balancing priorities.

Peacekeeping missions and Member States were engaged in developing the POC Framework, which could increase their sense of ownership and willingness to implement it. In May 2010, DPKO, OCHA, and the PCWG, with the Norwegian Institute of International Affairs (NUPI) and the African Centre for the Constructive Resolution of Disputes (ACCORD), brought together, in Addis Ababa, 50 participants from peacekeeping operations with POC mandates to consider an initial outline of the POC Framework. After additional consultations within the UN, the subsequent draft was shared with Member States (including the C34) in early 2011<sup>8</sup> in New York and again at a DPKO, NUPI and Indian Center for United Nations Peacekeeping workshop held in April 2011 in Delhi for UNSC members and T/PCCs.

Even before the POC Framework was finalized, five peacekeeping operations mandated for POC were in the process of developing and/or finalizing comprehensive protection strategies. As of April 2011, comprehensive strategies had been finalized in UNMIS, UNAMID (the AU/UN hybrid mission in Darfur), UNOCI (the mission in Côte d'Ivoire) and MONUSCO, and UNIFIL (the mission in Lebanon) was in the process of developing its own (Security Council Report 2011). Some of

these missions will need to revise their existing strategies to conform to the finalized POC Framework.

#### **2.4) Capacity to Deliver: Resources and Assets**

*The diversity of mission mandates stretches the UN's capacity to deliver on all tasks. Personnel, logistics, finance and administration systems are struggling to support operations in some of the world's most inhospitable terrain. The necessary military capabilities are increasingly scarce in the face of rising global demand. New peacekeeping tasks require high numbers of police and civilian specialists, experts that are in limited supply both at home and abroad (United Nations DPKO/DFS 2009a).*

Since the end of the Cold War, UNSC and international expectations of peacekeeping regularly outstripped the ability of the UN Secretariat and Member States to always meet those expectations in full. POC is no exception, and failure to deliver on protection has highlighted broader capability gaps within peacekeeping. As DPKO and DFS stated in the *New Horizon* non-paper, "Simply put, the scale and complexity of peacekeeping today are mismatched with existing capabilities. The demands of the past decade have exposed the limitations of past reforms and the basic systems, structures and tools of an organization not designed for the size, tempo and tasks of today's missions" (United Nations DPKO/DFS 2009a).

New Horizon outlined these broad challenges and a plan for addressing them. Among the central foci of the New Horizon agenda is building capacity and moving toward a capabilities-based approach to generating resources and assets through improved and new partnerships with Member States, in particular T/PCCs. Progress on POC may hinge on the success of this agenda. As explored elsewhere in this paper, protection is most effective when implemented through a comprehensive approach that leverages civilian, police and military capabilities. Yet these assets were in short supply in 2009 (United Nations DPKO/DFS 2009a; United Nations 2011). DPKO and DFS have undertaken a number of reforms to address these gaps, of which three are highlighted below.

First, civilian capacity is critical to effective protection.<sup>9</sup> The Office of the High Commissioner for Human Rights, which has offices integrated in peacekeeping operations, provides qualified experts to monitor and report on human rights concerns and advise as appropriate. Civil affairs officers are often on the front line monitoring and reporting on protection threats and civilian vulnerabilities; mediating to prevent or de-escalate conflict; and coordinating or liaising with protection actors within and external to the mission. Civilians may also lead and/or contribute to joint planning and operation centers and mission analysis centers that are critical to situational awareness and effective prevention and response. The civilian component also includes field specialists and advisers critical to the third tier of protection, contributing to a protective environment. These include specialists in disarmament, demobilization and reintegration, police, security sector reform, governance, justice, corrections, criminal justice and judicial and

legal reform. These are core capacities that have been identified as lacking (United Nations DPKO/DFS 2009; United Nations 2011).

Last year the former Under-Secretary-General for Peacekeeping, Jean-Marie Guéhenno, led a senior advisory group in a study to look at civilian capacity in the aftermath of conflict. The group presented the “OPEN,” framework to bridge the gap including *ownership* (emphasizing national capacity), *partnership*, *expertise* and *nimbleness*. The framework emphasized ways to partner with others to recruit and field this expertise without relying solely on career UN personnel (United Nations 2011). New Horizon also looked specifically at gaps in police peacekeeping capacity. The UN Secretariat is working with Member States, in particular PCCs and donor states to define core tasks and operational requirements and better align training and equipment. These efforts have included the development of an INTERPOL-UN Action Plan for International Police Peacekeeping, a non-binding plan intended to raise awareness and understanding of international police peacekeeping and its challenges and to enhance international support therein. The Action Plan was adopted with more than 94% support at INTERPOL’s 2010 General Assembly in Doha.

Second, similar to UN Police, the UN Secretariat is working with Member States to define critical requirements for the military component for current and future peacekeeping operations and to revise the handbook that delineates what a general infantry battalion should look like. The exercise is expected to be completed by 2015 and could increase the likelihood that TCCs are ready to deploy battalions with greater flexibility, mobility and intelligence capacity – factors that are critical to contemporary peacekeeping operations and specifically to effective protection of civilians. *(Please see Text Box B for a list of proposed critical requirements for civil-military protection activities.)*

Third, DPKO and DFS is looking specifically at what civilian and military assets are needed to deliver on protection mandates. DPKO and DFS developed a draft matrix entitled, “Resource and Capability Requirements for the Implementation of Protection of Civilian (POC) Mandates in UN Peacekeeping Operations” (United Nations DPKO/DFS 2011). The matrix requests mission leadership to identify what resources and capabilities are needed to carry out specific protection activities. The matrix is just one tool among many -- including the POC Framework -- that exist or should be developed to ensure missions undertake assessments of what assets they have and need to fulfill their POC mandate. However, the matrix could help missions prioritize resources and capabilities for POC objectives, identify gaps that headquarters may be able to help address and clarify limits and constraints of the mission to manage expectations. Conversely, such a matrix could also increase accountability by eliminating blanket assertions that peacekeeping operations do not have the appropriate assets and resources for POC-related initiatives. Finally, the matrix could help the UN Secretariat and Member States better understand what resources and capabilities are needed for specific types of threats and vulnerabilities going forward.

### TEXT BOX B: PROPOSED CRITICAL REQUIREMENTS FOR EFFECTIVE CIVIL-MILITARY PROTECTION

(Source: *Considerations for a New Peacekeeping Operation in South Sudan: Preventing Conflict and Protecting Civilians. Working Paper, Alison C. Giffen, Future of Peace Operations Program, Stimson Center, April/May 2011*)

#### Communication, Information, and Intelligence:

- **Information-Gathering Systems and Protocols:** These seek to ensure collection procedures do not increase the vulnerability of communities at risk or the individuals/organization providing the information, and that appropriate information is shared with external protection actors.
- **Intelligence Resources and Assets:** At minimum, UN combined and/or military presence should have human intelligence (HUMINT) capabilities. Signal intelligence (SIGINT) and other intelligence capabilities (e.g., UAVs) are highly desirable.
- **Intelligence Cells:** Once information has been gathered, it must be analyzed. Intel cells and JMACs are responsible for ensuring that intelligence is moving vertically between the tactical, operational, and strategic levels, and horizontally across the operation. Ideally, cells and/or JMACs would exist at the sector and battalion levels (and company level in high-risk areas).
- **Communication Capability:** Communication technology and systems are particularly important when conducting long-range patrols, fixed company operating bases, and temporary operating bases.
- **Community Engagement:** Interpreters and community liaisons are critical to engaging the community in prioritizing protection threats, understanding the conflict, and managing expectations.
- **Public Information Operations:** Not to be confused with information gathering and analysis, these operations should have information dissemination strategies at the operational and tactical level to raise awareness about the role and limits of the UN, to dispel inaccurate rumors, name/shame bad actors (when appropriate), or inform of other tacit threats. Information operations may also include strategies to deter armed actors posing a threat to civilians (e.g., broadcasting DDR opportunities).
- **Early Warning Systems:** Peacekeeping operations could use cell phones, satellite phones, and radios distributed to communities at risk to create early warning systems.

#### Flexibility and Mobility for High-threat Environments:

- Teams should have the ability to operate 24 hours a day.
- Airlift and other air assets are critical for optimum mobility, but in high demand and low supply.
- TCCs should be prepared to deploy fixed company operating bases that can be self-sustaining for an appropriate amount of time, temporary operating bases, and long range company or platoon sized patrols within their AOR.
- It's desirable that TCC battalions are configured to allow flexible deployments, extensive patrolling, and/or deployment in support of civil-military protection teams, and detachments of smaller units for extended periods of time.
- Battalions in high-threat/risk areas should task organize (for example, have one company that is able to act as) a quick, reaction force within the battalion AOR.
- Special forces that are able to respond quickly to high-threat/risk areas also have proven useful in MONUSCO and MINUSTAH.
- Adequate medical support and CASEVAC would be needed to support UN military and civilian personnel, and, where appropriate and feasible, treat civilians injured in violent conflict.



## **2.5) Training**

Prior to 2010, POC training by UN agencies was confined to humanitarian protection standards and mechanisms that were unrelated to POC-mandated peacekeeping missions. DPKO had not produced training standards for POC. Although some existing training material did address the concept, the issue was often limited to respect for international humanitarian law and human rights law, support for the rule of law in general, or may have been confused with training on sexual exploitation and abuse.<sup>10</sup> The lack of training standards limited consistency both within UN modules and training materials as well as in peacekeeping training programs and institutes around the world. In response to a request in the C34's 2010 annual report, the UN Secretariat began developing a framework for POC training.<sup>11</sup>

Ideally, training (especially for uniformed components) is derived from doctrine or similar guidance. In the absence of POC-related doctrine at the United Nations and in other regional peace and security organizations and individual nations, the UN Secretariat drew on the Operational Concept and other best practices and lessons learned documented in UN and external research. The training framework was designed with four objectives in mind:

- Establish a common understanding of POC;
- Clarify the UN's POC institutional standards;
- Clarify POC roles and responsibilities; and
- Support more effective protection planning by improving awareness of threats and vulnerabilities.

Initial training packages have been developed by DPKO, comprising four training modules and twelve scenario exercises that can be adapted for civilian or uniformed components of a peacekeeping operation and for operational or strategic-level stakeholders. The training framework addresses many of the grey areas not covered in the Operational Concept. For example, the modules discuss the standard POC phrases used in UNSC resolutions that authorize peacekeeping operations to use force to protect civilians (discussed above), such as "to protect civilians under *imminent threat*...."<sup>12</sup> Moreover, the modules discuss and/or deal with issues of strategic consent of the host state, impartiality and the rights and obligations of peacekeeping operations, including the use of force.

Similar to the Operational Concept, the UN Secretariat has undertaken a consultative process in the development of the modules. In partnership with NUPI, DPKO hosted a pilot of the training modules in April 2011 in Uganda. DPKO is currently consulting Member States and plans to run additional pilots, finalize the training framework, and disseminate the training modules through the "training of trainers" program in 2012.

In addition to the overarching POC training framework, UNIFEM (now UN Women) and DPKO, on behalf of Stop Rape Now/UN Action Against Sexual Violence in Conflict (hereafter referred to as UN Action), have been developing training specific to conflict-related sexual violence. In 2008, DPKO and UNIFEM<sup>13</sup> developed an inventory of peacekeeping best practices in preventing and responding to sexual violence. The initiative resulted in the publication, "*Addressing Conflict-*

*Related Sexual Violence: An Analytical Inventory of Peacekeeping Practice,*” (hereafter referred to as the Analytical Inventory) (UNIFEM 2010). The Analytical Inventory provides guidelines and information for uniformed UN personnel, including background on the changing dynamic of conflict and the risk of sexual violence, an inventory of tasks and tactics and a checklist of emerging elements of effective response.

Based on the Analytical Inventory, DPKO and UNIFEM developed training modules and scenarios to generate awareness in military decision-making and planning circles and to support pre-deployment training of uniformed personnel. The training modules and videos include background on conflict-related sexual violence, and scenarios based on DRC, Haiti, Cote D’Ivoire and Darfur (the latter two country scenarios are under development). The modules can be used by different levels of military command and have four goals depending on the level of uniformed personnel. Generally, the modules aspire to improve:

- The understanding of military command measures;
- Command decisions;
- Planning and coordination;
- Understanding of a “comprehensive,” or integrated approach to POC; and
- Evaluation of situations.

The training modules focus on engaging the trainees in complex scenario exercises that require participants to apply the mandate, rules of engagement, and other policy and guidance in planning prevention and response options. The plan for rolling out the modules is noteworthy. First, they were piloted in 2010–2011 with TCCs. Second, mobile training teams have begun visiting major TCCs to share the initiative with senior commanders and officials. Third, visits to additional TCCs are planned in 2011 and 2012. Finally, there will be a review and evaluation period in 2012 to assess the impact of the training on personnel deployed on peacekeeping missions.

OCHA has also begun to address POC in training. Because of the civil-military implications of the protection of civilians, OCHA is in the process of integrating the issue in the civil-military coordination trainings that it provides to a wide range of humanitarian and military actors, including UN peacekeepers. The training focuses on established principles and guidelines on civil-military coordination in natural disasters and complex emergencies. The United Nations Institute for Training and Research (UNITAR), an autonomous body within the UN system, is also developing POC training modules.

## ***2.6) The POC Reform Agenda through 2020: A Long Road Ahead***

The five tracks detailed above are initial steps to close the capability gap. There are additional steps needed within the existing tracks and through other reforms that were called for by the UNSC and/or C34 and identified in the DPKO/OCHA independent study.

Principal among these is the need to identify benchmarks for success and indicators to monitor impact as was requested in UNSC resolution 1894. The POC Framework asserts that each

mission should establish indicators for monitoring POC performance, but does not currently provide guidance on what these indicators should include. For example, each peacekeeping operation should at minimum report on:

- effort/performance: number, type and quality of POC activities undertaken;
- efficiency: what resources were leveraged and how, was there overlap within the mission, and did the UN have the comparative advantage to external actors; and
- effectiveness: whether the mission's activities had a positive or negative impact on the level of threat to and/or vulnerability of civilians at risk.

More broadly, the Secretary General, in his last report on the protection of civilians issued in November 2010, requested the Emergency Relief Coordinator to develop a set of indicators to measure progress on the protection of civilians, including but not restricted to, peacekeeping contexts. Without appropriate benchmarks, it will be difficult to evaluate whether the reforms outlined in this paper should be revised.

The tracks do not adequately address the need for greater accountability. The POC Framework provides guidance to improve accountability within the operation but does not address how the peacekeeping leadership (and other stakeholders at headquarters) will be held accountable for their performance on this issue. This could be addressed by a) appointing senior mission leaders proficient in POC requirements, and b) including protection objectives and indicators in the performance review of senior mission leaders. For example, compacts between the Secretary General and the Special Representative of the Secretary General (SRSG) could include specific POC objectives (Holt and Taylor with Kelly 2009).

There is also the need to strengthen coordination on the protection of civilians both within peacekeeping missions between the different military, police and civilians components and externally with other protection actors. The issue of better coordination was recognized in the 2011 annual report of the C34 and the DPKO/OCHA independent study. For its part, OCHA will be working with the PCWG to develop guidelines for ensuring a coordinated approach to protection by humanitarian organizations and United Nations peacekeeping missions.

As noted in resolution 1894, greater consistency and coherence is needed to clarify how peacekeeping operations and the Secretary General report on protection concerns to the UN Security Council and to T/PCCs. The POC Framework lists existing reporting requirements to assist the Secretary General in reporting POC progress and risks. However, if assessments and reports are censored or nuanced to exclude important protection concerns for political purposes, or simply poorly crafted due to capacity and training issues, the UNSC and T/PCCs cannot effectively monitor and respond to developments on the ground. Further to resolution 1894, OCHA and DPKO have begun to develop guidance to improve POC reporting in the Secretary General's country reports.

Furthermore, OCHA has introduced and leads two initiatives that have proven effective in ensuring that the UNSC receives accurate and diverse information on protection issues, is aware

of the breadth and history of the concept as defined by the UNSC and reminds the UNSC what issues it should consider in decision-making per previous UNSC decision.

First, OCHA developed the Aide Memoire in 2002, which provides a list of issues for consideration by the UNSC when taking decisions on country-specific or thematic issues pertaining to POC, particularly the mandating of UN peacekeeping and other missions. The Aide Memoire is now in its fourth iteration. The latest version, adopted as part of a Statement by the President of the Security Council in November 2010, (United Nations 2010b) includes previous and recent decisions taken in UNSC resolutions relevant to POC, including:

- Protection of, and assistance to the conflict-affected population:
  - Displacement,
  - Humanitarian access and safety and security of humanitarian workers,
  - Conduct of hostilities,
  - Small arms and light weapons, mines and explosive remnants of war,
  - Compliance, accountability and the rule of law
  - Media and information;
- Specific protection concerns arising from Security Council discussions on children affected by armed conflict; and
- Specific protection concerns arising from Security Council discussions on women affected by armed conflict (United Nations OCHA 2011).

Second, OCHA also continues to provide briefings to the informal Security Council Expert Group on POC, which was created in January 2009 and is chaired by the United Kingdom, to foster frank conversations about protection issues and concerns among UNSC members. The Informal Experts Group usually meets prior to decisions on peacekeeping operation mandate renewals or before country-specific discussions and debates held at the UNSC. The Expert Group has met 21 times since 2009. While these informal mechanisms are useful, questions remain about how the UNSC can and should reform policies and practices to formalize more frequent and frank consideration of protection issues and threats.

Moreover, the steps taken within each of the four tracks thus far account for only the initial phases of each reform. Current and future reforms will need to be implemented and evaluated over at least six phases:

- UN Secretariat drafting/development of policies, guidance, processes and systems for reform;
- Consultation with UNSC Member States and troop and police contributing countries (T/PCCs);
- Dissemination and internalization of reforms;
- Implementation;
- Monitoring and evaluation of impact; and
- Review and revisions to reforms.

Although some of the reforms could have immediate impact (e.g. improved planning for a possible follow-on operation in South Sudan), this multi-phase process will likely take years to translate into systematic progress on the ground.

### **3) ENSURING COHERENCE: THEMATIC POC MANDATES AND UN PEACEKEEPING**

Before the UNSC recognized that the “protection of civilians,” broadly speaking, was a concern to international peace and security, it began to highlight concerns related to specific civilian populations. The first UNSC mandate recognizing protection, UNSC resolution 1261 (1999), addressed the protection of children in armed conflict as a “fundamental concern for peace and security” (United Nations DPKO/DFS 2009b). A year later, the UN Security Council recognized that, “the protection of and full participation [of women] in peace processes would contribute significantly to the promotion and maintenance of international peace and security,” in UNSC resolution 1325 (2000) (United Nations Secretary General 2010a).

In subsequent resolutions, the UNSC has issued language to ensure that these thematic mandates are being integrated in and implemented by peacekeeping operations. For example, the UNSC has called for the inclusion of protection issues as they relate to women and children in all peace processes and the mainstreaming of these thematic mandates across the UN system, including peacekeeping operations (United Nations DPKO/DFS 2009; United Nations 2010a). Although the record of implementation by and integration of these thematic mandates varies, in many ways the development of policies, guidance, training and mechanisms to protect women and children in armed conflict have outstripped that of the broader category of POC discussed above. The success of these efforts may provide best practices or lessons learned in the development and implementation of forthcoming POC guidance.

This section reviews progress on the implementation of thematic resolutions related to the protection of children in armed conflict and women, peace and security over the last decade, with a particular focus on recent steps forward. It is important to note that these protection agendas converge in contexts other than peacekeeping situations and by actors other than peacekeeping missions. However, this section focuses on the role of peace operations in implementing these mandates.

#### ***3.1) The Protection of Children in Armed Conflict: the Role of Peacekeeping Operations***

There have been a number of UNSC thematic resolutions on children in armed conflict since 1999<sup>14</sup> and a number of provisions specific to child protection within specific peacekeeping operation mandates. To ensure these mandates are implemented, Child Protection Advisers (CPAs) have been deployed in peace operations to advise SRSGs and mission leadership. DPKO's Best Practices Section published a review of the impact of CPAs in May 2007 that found CPAs

had a positive impact in mainstreaming child protection concerns (United Nations DPKO/DFS 2009).

In June 2009, DPKO issued the policy, “Mainstreaming the protection, rights and well-being of children affected by conflict within UN Peacekeeping Operations,” which indicated that child protection issues should be integrated into the technical assessment missions for mission planning and facilitated by a child protection expert (United Nations DPKO/DFS 2009). The policy reminds mission leadership of their responsibilities and accountability as outlined in UNSC resolution 1539 (2004) and 1612 (2005) and requires the leadership to ensure that peacekeeping operations take a “mission-wide,” or comprehensive approach. Further, the policy requires DFS to develop guidelines for the recruitment of qualified child protection personnel. Finally, the policy outlines core activities including pre-deployment and in-mission training, monitoring and reporting, and engaging in dialogue with armed forces and advocacy, and ends by outlining strategic partnerships with UNICEF and the Office of the Secretary General for Children and Armed Conflict (United Nations DPKO/DFS 2009). In March 2010 and May 2011, the C34 encouraged the Secretariat to develop and share an implementation plan for this policy. The policy is scheduled for review in June of this year (United Nations DPKO/DFS 2009).

In 2009, the UNSC issued resolution 1882, which was viewed as a, “major step forward,” in deterring and holding those that perpetrate crimes against children in armed conflict accountable (United Nations General Assembly 2010b). The resolution expanded the “triggers” that determine which parties are listed in the annex of the Secretary General's report. The triggers now include, “those who kill and maim children as well as commit rape and other forms of sexual violence against children,” and the UNSC reiterated its commitment to use this list to determine action, including sanctions. The resolution also called for appropriate members of the UN system to engage with parties to the conflict in the development of “time-bound,” action plans to end such abuses (United Nations General Assembly 2010b).

An October 2010 statement of the SRSG on Children in Armed Conflict called for Peacekeeping contingents and national armies to finalize rules of engagement (ROE) for the protection of children during military operations including: conducting joint military-civilian assessments of the security risk for populations, refraining from using heavy artillery in densely populated areas, protecting schools and hospitals, and developing procedures for reception, treatment and rapid handover of children to UN child protection partners (United Nations 2010a). Another notable initiative of 2010, was the launch of the “Zero Under Eighteen” campaign that works toward universal signing and ratification of Optional Protocol 10, which establishes the minimum age of 18 for participation in hostilities and compulsory recruitment.

It is not yet clear whether and how recent advances at the strategic level can be integrated successfully into the work of peacekeeping missions at the field level. The POC Framework may assist senior mission leaders by emphasizing that the comprehensive POC mission strategy should serve as the overarching strategy for all protection-related activities, including those related to children in armed conflict. In other words, the comprehensive approach to addressing the challenge of children in armed conflict mentioned in the 2009 policy could be integrated in

or coordinated with the comprehensive POC strategy. For example, the POC Framework includes monitoring and reporting on the thematic resolutions within the comprehensive strategy. The forthcoming review of the 2009 “Mainstreaming the protection, rights and well-being of children affected by conflict within UN Peacekeeping Operations,” may provide additional insight into the specific expectations of and success thus far of peacekeeping operations in contributing to these recent developments.

### **3.2) Women in Peace and Security: the Role of Peacekeeping Operations**

*Despite an apparent firm foundation and promise, 10 years after the adoption of resolution 1325 (2002), significant achievements are difficult to identify or quantify. The conditions that women and girls face in situations of armed conflict continue to be abhorrent and effective methods for monitoring their impact are lacking (United Nations 2010a).*

2010 marked the ten-year anniversary of UNSC resolution 1325 and included a number of initiatives and UNSC discussions and debates to mark the anniversary and assess progress. There have been a number of thematic resolutions on women, peace and security since 2000.<sup>15</sup> Some of the most recent resolutions reflect increased UNSC attention to these issues (United Nations 2010a). However, the extent to which these issues have been integrated into and implemented by peace operations is difficult to measure.

The UNSC called for the development of a UN System Wide Action Plan in 2004 which included five pillars, prevention, participation, protection, relief and recovery, and normative.<sup>16</sup> UN peacekeeping operations have a role in each of these pillars and, according to a recent report of the Secretary General, the contribution of peace operations to their implementation has been “particularly noteworthy” (United Nations 2010a). Peacekeeping missions have supported women's participation in peace processes and provided support to host-state governments to enact laws protecting women's rights. This section (3.2) focuses on the prevention and protection of conflict-related sexual violence (which also concerns men and children). UNHCR, UNICEF and UNFPA have all been active in this area, including in the development of guidance and training for peacekeeping operation personnel and support to survivors. UN Action has focused on providing strategic support to UN peace operations and country teams to develop comprehensive strategies to prevent conflict-related sexual violence (United Nations 2010a).

Overall, the Secretary General's report on implementation noted that although many activities have been implemented over the last decade, the activities “lack a clear direction or time-bound goals and targets that could accelerate implementation and ensure accountability” (United Nations 2010a). However, the UN Secretariat and Member States took three steps in 2010 to accelerate progress in this area.

First, as discussed above in Section 2.5, DPKO joined with UNIFEM and UN Action to produce “Addressing Conflict-Related Sexual Violence: An Analytical Inventory of Peacekeeping Practice” and the related training modules for uniformed military personnel (UNIFEM 2010).

Second, the UN Secretariat developed and the UNSC supported the implementation of a “comprehensive set of indicators,” for the implementation of UNSC resolution 1325. These indicators designate who is responsible for achieving and reporting on them (Member States, specific offices of the UN Secretariat, or UN agencies or programs), and provide a description of how the indicator should be measured to encourage consistency. The first four goals deal with prevention of and/or monitoring and reporting on sexual violence, broader violations of women's rights and early warning and conflict prevention. Other goals include but are not limited to operational mechanisms for ensuring physical security, livelihoods and access to justice. Many of the goals designate DPKO, DPA, UN Women or other UN programs and agencies – which are often represented at the field level in UN peacekeeping missions and country teams – as responsible for monitoring and reporting on indicators. The Secretary General has called for a review of progress on implementation of UNSC resolution 1325 in five years.

Third, similar to steps taken by the UNSC in regard to children in armed conflict in 2009, the UNSC took actions in resolution 1960 (December 2010) to better monitor, deter and sanction perpetrators of conflict-related sexual violence. UNSC resolution 1960:

- Encouraged the Secretary General to include in his annual reports on UNSC resolution 1820 and 1888 detailed information on parties to armed conflict that are credibly suspected of committing or being responsible for acts of rape or other forms of sexual violence and to list them in an annex;
- Expressed the UNSC's intention to use said list as a basis for UN engagement with those parties, including possible sanctions;
- Requested the Secretary General to track and monitor implementation of these commitments by parties to armed conflict on the UNSC's agenda;
- Reiterated the intention of the UNSC to consider including designation criteria pertaining to acts of rape and sexual violence when adopting or renewing targeted sanctions;
- Requested the Secretary General to establish monitoring, analysis and reporting arrangements on conflict-related sexual violence;
- Welcomed the elaboration of scenario-based training materials (discussed above) on combating sexual violence for peacekeepers;
- Requested the Secretary General to include gender expertise in technical assessment missions; and
- Requested that the Secretary General submit his next annual report on 1820 and 1888 by December 2011.<sup>17</sup>

### **3.3) Common Themes**

Some common themes emerge when reviewing the implementation of the thematic mandates on women and children through peacekeeping operations. First, there are a number of innovative initiatives occurring in peacekeeping operations that contribute to mandate implementation, but these may lack coherence and strategic direction. Second, policies, guidance and training have been or are being developed to assist peacekeeping operations in



understanding how they can best contribute to the implementation of these mandates. Third, there have been inadequate frameworks identifying benchmarks of success or comprehensive indicators and mechanisms to monitor the contribution of peacekeeping operations to these mandates and the impact of their activities. Finally, the UNSC has emphasized its commitment to monitor and possibly sanction armed actors that perpetrate abuses against women and children and peacekeeping operations will likely be expected to facilitate monitoring and reporting on abuses, engagement with perpetrators and possibly enforcing resulting sanctions.

In February of this year, Brazil, as the president of the UNSC, convened an informal consultation on the three thematic POC mandates to ensure that the Council was addressing the themes in a coherent manner (Security Council Report 2011). Although participants seemed satisfied with the way the Council was considering and addressing the issues, they acknowledged the need for more coordination, particularly in the field (Security Council Report 2011). Successfully integrating benchmarks of success, comprehensive strategies and mechanisms for monitoring the impact of these specific mandates on women and children within the broader protection of civilians objectives will remain a challenge. Comprehensive protection strategies could provide a useful framework to ensure these mandates are receiving adequate attention.

#### **4) CONSIDERATIONS FOR FURTHER PROGRESS**

The last two years witnessed a resurgence of interest and investment in reforms to enhance the protection of civilians in UN peacekeeping operations. The reform efforts demonstrate a notable commitment by Member States and the UN Secretariat to better protect civilians. If implemented, the content of the reforms could narrow the capability gap that has previously undermined peacekeeping mission efforts to fulfill their mandates to protect civilians. And the process by which the UN Secretariat is developing and disseminating reforms – which includes the consultation of peacekeeping leadership and personnel and Member States – increases the likelihood that the reforms will be implemented, despite the current environment of fiscal constraint and many other parallel reform agendas. However, recent protection crises have tested the limitations of UN peacekeeping operations and reminded stakeholders of the thresholds of capability and consent that can only partially be overcome with the current reform agenda. In addition to enhancing peacekeeping operations, additional strategic partnerships will be needed to prevent and respond to violence against civilians.

Considerations for protection stakeholders:

- The implementation of current POC-related reforms will likely take five to ten years. For example, as discussed in section 2.1, additional guidance is needed for the strategic, operational and tactical level of each component of a peacekeeping operation, including the police and military. As discussed in section 2.2, additional work is needed in mission planning for transition, drawdown and exit.
- Moreover, current tracks have a number of phases to go, including dissemination and internalization, implementation, monitoring and evaluation of impact, and

review and revision of reforms. Some of these phases will primarily need to be owned and led by T/PCCs.

- Once the current tracks have moved to the dissemination and implementation phase, UN Member States will need to work with the UN Secretariat to undertake additional reforms to identify benchmarks and indicators of success; improve mission leadership and accountability in the implementation of POC mandates; strengthen the coordination of POC actors within and external to the peacekeeping operation; and review the consistency and quality of reporting on protection concerns to the UN Security Council.
- While many milestones can be identified during the translation of policy to practice, the ultimate benchmark of success for these reforms would be a systematic decrease in threats to and vulnerabilities of civilians in the AORs of peacekeeping operations, the transfer of protection-related activities and responsibilities to host-state governments and the responsible exit of the peacekeeping operation.
- While the UN Secretariat is rightly focused on consolidation in a time of fiscal constraints and overstretch, the UN Secretariat and the UN Member States will need to continue to invest diplomatically and financially in the realization of the new POC reform agenda.
- Progress in broader, but related reform agendas such as the New Horizon agenda and the DFS Global Field Support Strategy are critical to the success of POC-specific reforms.
- It remains unclear the extent to which thematic mandates related to women, peace and security and the protection of children in armed conflict are integrated in and being implemented by peacekeeping operations. The UN Secretariat and Member States should ensure that new steps to improve monitoring of progress on these mandates are implemented.
- Moreover, there needs to be a more coherent approach to address and implement thematic mandates within peacekeeping operations. Comprehensive protection of civilian strategies could be one way to achieve this and should include lines of effort, beyond monitoring and reporting, to implement thematic mandates on women and children. For example, engagement and advocacy with armed actors, including non-state actors, that pose a threat to women and children has resulted in some successes and should be augmented by appropriate actors.
- Although the UN Secretariat can and should continue to develop guidance, training, leadership capabilities and monitoring and accountability mechanisms specific to the protection of civilians and vulnerable populations in peacekeeping operations, the ability and willingness of peacekeeping operations to fulfill protection of civilian

mandates will largely hinge on UN Member States and T/PCCs. While policy and planning are linchpins to effectiveness, UN Member States and T/PCCs are ultimately responsible for ensuring that these reforms are implemented – that UN peacekeeping operation mandates are appropriate and achievable, that budgets are appropriate to achieve objectives identified in the mandate and mission planning documents, that uniformed components are adequately trained and equipped (per new guidance), that they are investing in the development of civilian components, and that resources and assets are available to deploy.

- Finally, additional work is needed to determine when a peacekeeping operation is appropriate and has a comparative advantage to contribute to protection of civilians and when and how to leverage complementary multinational, regional and bilateral initiatives (at the tactical, operational and strategic level), as was done in Côte d'Ivoire and other protection crises. This includes the need to consider further how a peacekeeping operation should partner and/or position itself with a host state government when the host state government is not yet willing or able to fulfill its responsibility to protect, and particularly when host state security forces may be perpetrating abuses. For example, further policies and guidance may be needed on vetting national security forces and/or imposing conditionality clauses on other forms of bilateral or multilateral support should a host state government fail to demonstrate willingness to fulfill its responsibilities related to the protection of civilians.

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<sup>1</sup> Active peacekeeping missions mandated to protect include Côte d'Ivoire (UNOCI), Darfur (UNAMID), Democratic Republic of Congo (MONUSCO), Haiti (MINSUTAH), Lebanon (UNIFIL), Liberia (UNMIL), and Sudan (UNMIS).

<sup>2</sup> These requests were made in UN Security Council Resolution 1894 on the Protection of Civilians in Armed Conflict and the Special Committee on Peacekeeping's 2010 Annual Report.

<sup>3</sup> The Inter-Agency Standing Committee (IASC) is the primary mechanism for inter-agency coordination of humanitarian assistance at the United Nations, involving UN and non-UN humanitarian stakeholders. See <http://www.humanitarianinfo.org/iasc/> for more information.

<sup>4</sup> The author did not have access to the outcomes of these processes.

<sup>5</sup> UNMIS had previously dedicated civilian resources to identifying threats, planning, monitoring and reporting, but did not demonstrate whether/how it was coordinating with civilian and military components. A Technical Assessment Mission in 2008 recommended that the mission develop a strategy to better leverage resources across the operation. Initial integrated strategies were developed within an UNMIS security concept as early as 2008/9, but these were not implemented.

<sup>6</sup> This document is also referred to as the "Strategic Framework." However, to avoid confusion with the Integrated Strategic Framework, this paper uses the shorthand, "POC Framework."

<sup>7</sup> The global Protection Cluster Working Group (PCWG) is the main coordination forum at the strategic level for protection activities in humanitarian action. See <http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=79> for more detail.

<sup>8</sup> The Draft POC framework was initially shared by DPKO via a power point presentation at a roundtable on POC held by the Permanent Mission of Australia and the Permanent Mission of Uruguay to the UN, on December 6, 2010 in New York City.

<sup>9</sup> UN humanitarian agencies that may operate within a fully structurally integrated mission or alongside peacekeeping mission provide tremendous civilian capacity and resources, but are not mentioned here. This paragraph specifically refers to civilian capacity that is recruited and fielded by DPKO and DFS (or an integrated component like OHCHR) within a peacekeeping operation.

- <sup>10</sup> The prevention of and response to sexual exploitation and abuse by UN personnel is an important component of protection of civilians, but only deals with the conduct and actions of UN personnel, whereas protection of civilians extends to the conduct and action of other actors in the area of responsibility.
- <sup>11</sup> At the same time as DPKO was developing the Operational Concept and the training modules to provide guidance for other efforts, the United Nations Institute for Training and Research (UNITAR) began developing protection training modules.
- <sup>12</sup> According to representatives of DPKO, the modules have been vetted by the UN Office on Legal Affairs.
- <sup>13</sup> The document was written by Letitia Anderson, Advocacy and Women's Rights Specialist, UN Action, Office of the Special Representative with the expert input of Major General (Ret) Patrick Cammaert, former Military Adviser to the Secretary General and former force commander of MONUC Division East and Anne-Marie Goetz, UNIFEM Chief Advisor on Governance.
- <sup>14</sup> Following UNSC resolution 1261 (1999), the UNSC issued 1314 (2000), 1379 (2001), 1460 (2003), 1539 (2004), 1612 (2005) and 1820 (2009).
- <sup>15</sup> These include UNSC resolution 1820 (2008), 1888 (2009), 1889 (2009) and 1960 (2010).
- <sup>16</sup> DPKO developed an action plan for the implementation of UNSC resolution 1325 in 2006.
- <sup>17</sup> The UNSC asked that the December 2011 report include: detailed coordination and strategy plan on the timely and ethical collection of information; information on progress made in the implementation of monitoring, analysis and reporting arrangements; detailed information on parties to armed conflict that are credibly suspected of committing these crimes; and updates on efforts by the UN Mission focal points on sexual violence to coordinate with other stakeholders in mission. See UNSC resolution 1960 for more detail.