

# INTRODUCTION TO CRISIS MANAGEMENT OPERATIONS

Fall 2017

How has this necessitated and changed crisis management operations?

# Changes in the nature of crises

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- more **complex**
- militias, paramilitaries or mercenaries
- interconnectedness of **war and economy** and of **security and development**
- less direct violence; poverty, famine and migration
- failing and failed states
- terrorism, drug and human trafficking, corruption and organized crime
- crisis management has changed in **three dimensions**:

# Expanding the spectrum of tasks (1)

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- first, the **spectrum of tasks has expanded**
- from **traditional peacekeeping** (containment and reduction of military escalation) to **social, political, and economic transformation** (conflict resolution)
- **tasks:**
  - ▣ humanitarian aid
  - ▣ physical protection
  - ▣ rule of law
  - ▣ functioning of political institutions
  - ▣ stable and self-sustainable social and economic structures

# Expanding timelines of CM (2)

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- the increasing set of tasks coincides with **expanding timelines** of crisis management
- from **conflict prevention**, the actual **crisis management** (humanitarian intervention, peace building and peacekeeping) to **post-conflict management**
- need to handle the junctions between the different phases

# Increasing number of actors (3)

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- **number of actors** involved has **increased** significantly (broadened spectrum of tasks)
- no single actor is able to supply specific instruments and expertise on its own
- the more actors, the higher the **political legitimacy**
- **local actors** increasingly involved:
  - e.g. local government and administration; political, religious, ethnic, and other social groups; private sector, the media, militias, organized crime, forces from neighbouring regions

# Comprehensive Approach

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- conceptual answer to these challenges = “**Comprehensive Approach**”
- = **all-encompassing response** to the demands in crisis management
- **external and internal coordination** of policy instruments and the **coherence of common objectives** between different actors
- adopted by all main international organizations
- recent efforts to implement it - **mixed results**

Mölling, Ch. – Major, C. (2009): *Comprehensive Approaches to Crisis Management. Analytical perspectives and operative concepts of international organisations*, p. 38.

	<b>UN</b>	<b>EU</b>	<b>NATO</b>
Hallmark documents	"In larger Freedom" (2005) Brahimi Report (2000)	EU security strategy (2003)	Comprehensive political guidance (2006)
Core concepts and Instruments at strategic level	Capstone doctrine (2008) Integrated missions (2006)	CMCO (2003) Crisis Management Procedures CMP (2003) <b>EU comprehensive approach - 2013</b>	CA Action plan (2008) Effects Based Approach to Operations - EBAO (2006)
Concepts and instruments theatre level	UN special representative	EU special representative / CIMIC	CIMIC/PRTs



# UN crisis management

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- **most active** in the area of peacekeeping → **most affected** by the changes of crises
- from traditional monitoring of ceasefires and patrolling buffer zones towards **highly complex scenarios** (interstate, ethnic or tribal conflicts and civil wars)
- UN PKOs became **multidimensional**
  - = military, police, political, civil affairs, rule of law, human rights, humanitarian, reconstruction, public information and gender components
- increased **demand for personnel and expertise** and **complexity** of missions
- need to develop a **comprehensive doctrine**

# UN crisis management

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- UN's adaptation efforts have culminated in the so called **Integrated missions (IM) concept** (2006)
  - = specific type of operational process and design, where the planning and coordination processes of the different elements of the UN units are integrated into a **single country-level UN system**
- **in a high number** of multidimensional peacekeeping operations
- **tension among various actors**
  - e. g. the “Department for Political Affairs” and the “Department for Peacekeeping Operations” rival over the overall control of operations
- still in a **starting phase**
- need for better **channels of communication** between the different agencies

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# EVOLUTION OF UN PEACEKEEPING AND ITS PRINCIPLES

Fall 2017

# Content



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- Definition & principles of UN peacekeeping
- Generations of UN peacekeeping
- Peacekeeping and related UN activities
- UN peacekeeping challenges

# Defining UN peacekeeping

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- **no mention in the UN Charter**
- peacekeeping was **not anticipated** (strong principles of sovereignty and non-intervention)
- Cold War → the Security Council blocked → necessity of **other ways of dealing with conflicts**
- between **chapter VI and VII of the UN Charter**
  - ▣ VI - “**peaceful settlement of disputes**”
  - ▣ VII - “**actions with respect to threats to the peace, breaches to the peace, and acts of aggression**” (Articles 41 vs. Article 42)
  - “**chapter six-and-a-half**” initiatives (Dag Hammarskjöld)
- practical implications:
  - ▣ peacekeeping as an **ad hoc response** to crises
  - ▣ key concepts **developed through practice**
  - ▣ gradual **reinterpretation of UN Charter provisions**

# Chapter VII

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- **Chapter VII trigger – Article 39:**
  - The Security Council shall determine the **existence of any threat to the peace, breach of the peace, or act of aggression** and shall make recommendations, or decide what measures shall be taken in accordance with Articles 41 and 42, to maintain or restore international peace and security.
- **Responses:**
- **Article 41:**
  - The Security Council may decide what measures **not involving the use of armed force** are to be employed to give effect to its decisions, and it may call upon the Members of the United Nations to apply such measures. These may include **complete or partial interruption of economic relations** and of rail, sea, air, postal, telegraphic, radio, and other means of communication, and the severance of diplomatic relations
- **Article 42:**
  - Should the Security Council consider that measures provided for in Article 41 would be **inadequate or have proved to be inadequate**, it may take such action by air, sea, or land **forces as may be necessary to maintain or restore international peace and security**. Such action may include demonstrations, blockade, and

# Principles of UN peacekeeping

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## □ United Nations Emergency Force as a precedent

### → set of principles:

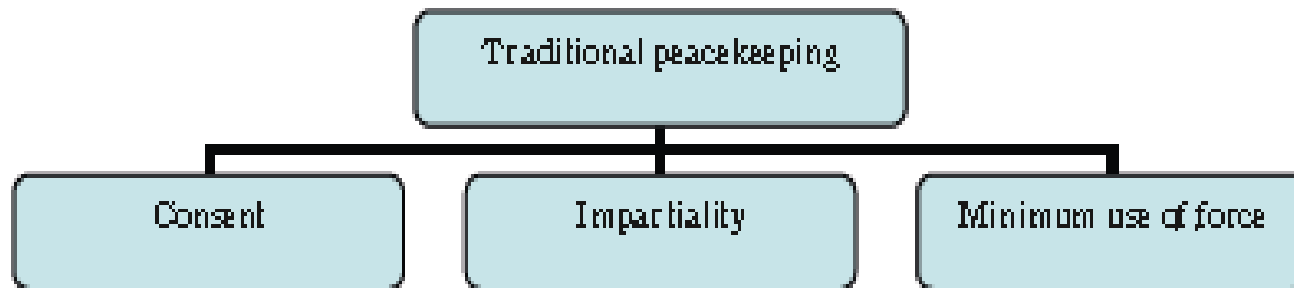
- **consent** for the establishment of the mission
  - **non-use of force** except in self-defense
  - **voluntary contributions** from small, neutral countries
  - **impartiality**
  - **control by the secretary-general**
- 
- Marrack Goulding: “*field operations established by the United Nations, with the **consent** of the parties concerned, to help **control and resolve** conflicts between them, under United Nations command and control, at the expense collectively of the member states, and with military and other personnel and equipment provided voluntarily by them, **acting impartially** between the parties and using force to the minimum extent necessary*”



# Principles of UN peacekeeping

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- “**holy trinity**” of traditional peacekeeping:
  - **consent**
  - **impartiality**
  - **non-use of force**
- over time, traditional principles of peacekeeping have changed more or less



# Impartiality vs. neutrality

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- 1948 – UNTSO – observer force in Israel as first PKO ever
- 1956 – UNEF I – Egypt, first MCMO
  
- Guided by aforementioned principles
- Impartiality = not forcing a specific solution
- Neutrality = not tipping the local balance of power
  
- impartiality = neutrality – only when required action is at the behest of target country demands

# Impartiality vs. neutrality

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- 1990s
  - ▣ Gradual loss of neutrality
  - ▣ Impartiality = equal implementation of measures
  - ▣ Hostile parties begin to be named
  
- 2000 Brahimi Report
  - ▣ Impartiality = loyalty to mission mandate and UN Charter
  - ▣ Neutrality being substituted by humanitarian protection
  
- 2008 Capstone Doctrine
  - ▣ Impartiality = loyalty to mission mandate and UN Charter without prejudice
  - ▣ Neutrality – not possible any longer except for Buffer Zones

# First generation

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- **traditional or classical** PKOs
- **Cold War** (not exclusively!)
- Ramsbotham – Woodhouse: *“operations involving military personnel, but without enforcement powers, undertaken by the United Nations to help maintain or restore international peace and security in areas of conflict”*
- **Chapter VI** of the UN Charter
- between the deployment of UN Emergency Force (**UNEF I**) in 1956 and the UN Transitional Assistance Group (**UNTAG**) in Namibia in 1988
- e. g. operations in the **Middle East, Cyprus, Dominican Republic, on the border of India and Pakistan, Yemen**

# First generation

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- **lightly armed or unarmed** forces
- **to monitor a truce, troop withdrawal or buffer zone**
- principles of:
  - **consent**
  - **neutrality** (troops from neutral countries)
  - **impartiality** (not taking sides)
  - **minimum use of force** (given the consent of the parties)
- exception = the **operation in Congo** (ONUC, 1960-1964)
  - characteristics of a **second generation peacekeeping**
  - force far beyond self-defense
  - prevention of secession by Katanga
  - first robust force (up to 19 000 troops)

# Second generation

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- end of the CW → expansion of the use of peacekeeping → attempts to **redefine peacekeeping**
- **traditional peacekeeping not applicable** in post-Cold War conditions
- collapsing state authority, warlords not respecting negotiated agreements → **consent uncertain**, danger of an **attack on UN forces**
- traditional formula of non-use of force except of self-defence ineffective / life-threatening
- → requiring something **between classical peacekeeping and full-scale war**

# Second generation

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- “multidimensional operations”, “wider peacekeeping”, “peace support operations” – adding especially **DDR, SSR, post-conflict reconstruction**
- strengthening the **military capabilities**, better **cooperation between military and civilian actors**
- examples:
  - ▣ **Namibia** (UNTAG, 1989-90)
  - ▣ **El Salvador** (ONUSAL, 1991-95)
  - ▣ **Cambodia** (UNTAC, 1992-93)
  - ▣ **Mozambique** (ONUMOZ, 1992-94)
- 1<sup>st</sup> generation PK = **conflict management** X 2<sup>nd</sup> generation PK = **conflict resolution**
- next to military tasks also **police and civilian tasks**

# Functions of peacekeeping operations

(Ramsbotham – Woodhouse 1999)

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<b>Military functions (1<sup>st</sup> + 2<sup>nd</sup> G)</b>	<b>Political functions (2<sup>nd</sup> G)</b>	<b>Humanitarian functions (2<sup>nd</sup> G)</b>
Cease-fire observation and monitoring	Upholding law and order	Protecting aid convoys
Maintaining buffer zones	Election administration	Protecting relief workers
Disarming warring factions	Exercising temporary authority	Providing humanitarian aid
Regulating the disposition of forces	Helping to establish viable government	Establishing safe havens
Clearing mines	Training police forces	Assisting in refugee repatriation
Preventing infiltration	Confidence-building measures	Verifying human rights agreements
Verifying security agreements	Management of local disputes	Logistical support for humanitarian projects



# Third generation

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- = **peace enforcement**
- to protect the delivery of humanitarian assistance, to enforce ceasefires, to assist in rebuilding “failed states”
- **lack of consent** by one or more of the parties
- **Chapter VII** of the UN Charter → allows for the **use force beyond self-defence**
- examples:
  - ▣ **former Yugoslavia** (UNPROFOR, 1992-95)
  - ▣ **Somalia** (UNOSOM II, 1993-95)

# Peacekeeping and related UN activities

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- several forms of UN activities in the field of crisis management and conflict resolution, mutually **interconnected**
  
- **conflict prevention**
  - ▣ mainly diplomatic measures to keep tensions and disputes from escalating
  - ▣ early warning, information gathering, analysis
  - ▣ Secretary-General's "good offices", preventive deployment, confidence-building measures
  
- **peacemaking**
  - ▣ measures to address conflicts in progress
  - ▣ diplomatic action to bring hostile parties to a negotiated agreement
  - ▣ Secretary-General's "good offices"
  - ▣ envoys, governments, groups of states, regional organizations, non-governmental groups, prominent personalities

# Peacekeeping and related UN activities

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## □ **peace enforcement**

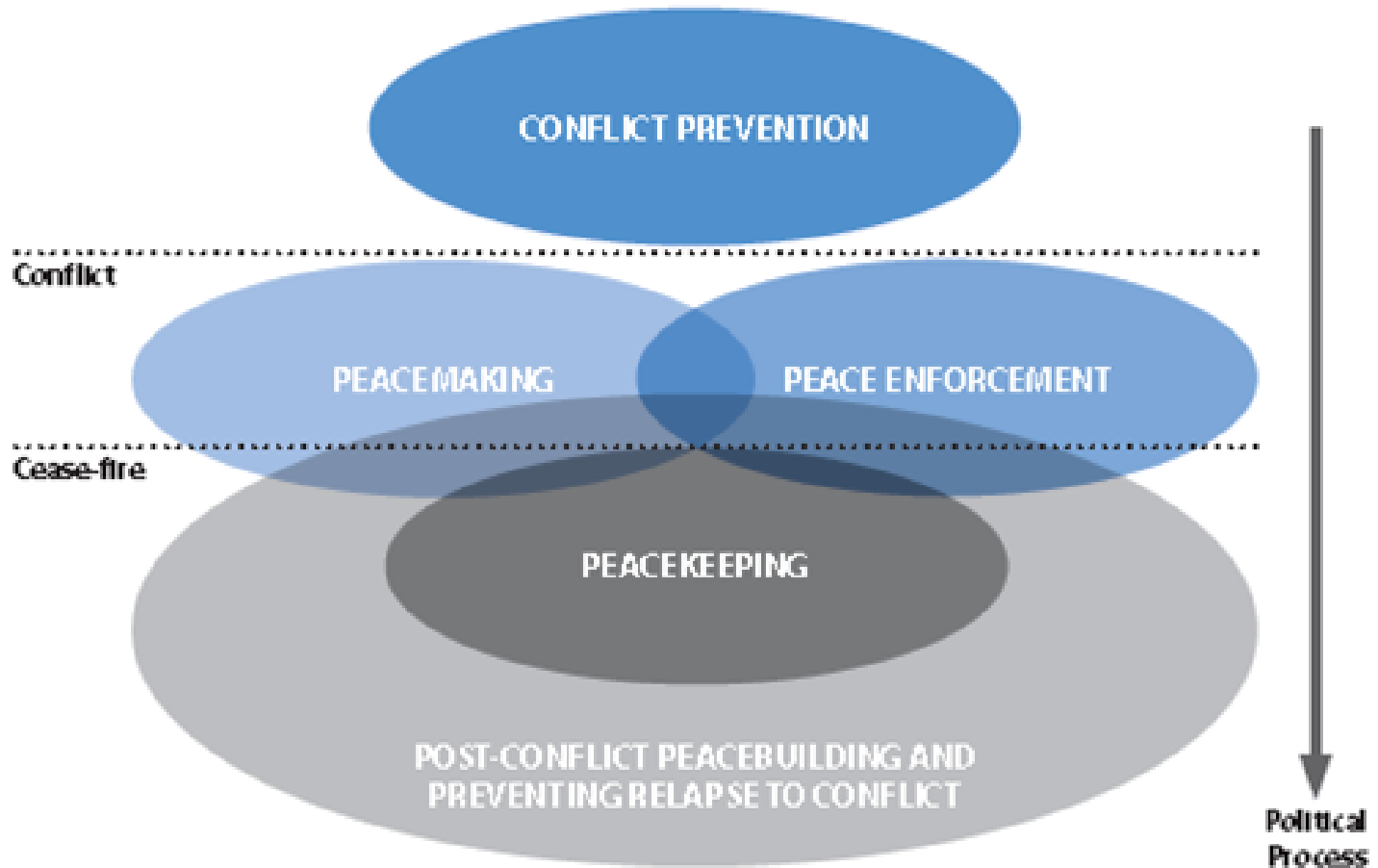
- the application of coercive measures
- authorized by the Security Council
- also regional organizations and agencies

## □ **peace building**

- to reduce the risk of (re)lapsing into conflict by strengthening national capacities for conflict management
- complex, long-term process of creating the necessary conditions for sustainable peace; addresses the deep-rooted causes of a conflict

# Linkages of UN crisis management activities

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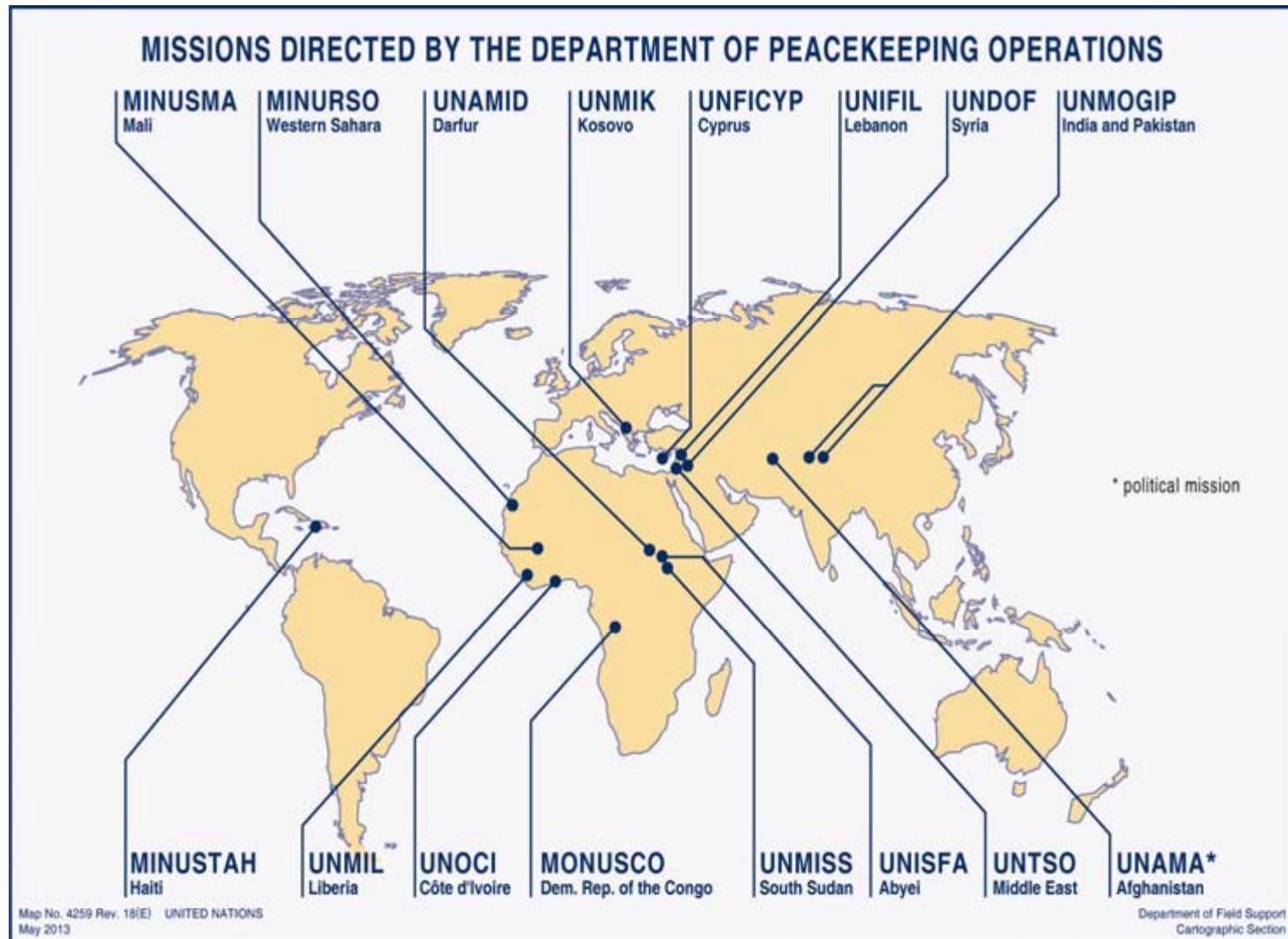
# UN peacekeeping in numbers

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- **68 UN PKOs** from 1948 till 2014
- **currently 15 operations** in total
- **personnel aspects** (as of 2014):
  - 96,877 of **uniformed personnel**
    - from **116 countries**
    - **82,127 troops**, **12,930 police** and **1,820 military observers**
  - 5,032 people as **international civilian staff**
  - 11,693 people as **local civilian staff**
  - 1,980 people as **UN volunteers**
  - 117,404 people in all **15 current UN PKOs**
  - up to **one million** people in UN PKOs since 1948
- **financial aspects:**
  - Approved resources for the period from 1 July 2013 to 30 June 2014: about **\$7.54 billion**

# Current peacekeeping operations

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