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**Defining Principles of Conflict Prevention and Peacebuilding**



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## **Defining Principles of Conflict Prevention and Peacebuilding**

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## DEFINING PRINCIPLES OF CONFLICT PREVENTION AND PEACEBUILDING

There is no universally agreed definition on conflict prevention and peacebuilding. Perhaps given the uncertain global environment, no one definition could satisfy the evolving nature of international peace and security. The term conflict prevention for one, can be ‘perceived and interpreted in various ways both in theory and in practical use, and there is no clear-cut formulation for an exact definition of this phenomenon.’<sup>1</sup> Moreover, conflict prevention and peacebuilding (CPPB) are often used interchangeably in the literature. Frequently, both areas are referred to in the same way or given the same meaning rather than as separate entities. Several definitions state that;

*‘conflict prevention or peacebuilding can be understood to be a long-term process involving a variety of activities. This approach seeks to encourage the development of the structural conditions, attitudes and modes of political behaviour that may permit peaceful, stable and ultimately, prosperous, social and economic development. Peacebuilding activities are designed to contribute to ending or avoiding armed conflict, and may be carried out during armed conflict, in its wake, or as an attempt to prevent an anticipated armed conflict from starting.’<sup>2</sup>*

While conflict is always context specific and changes over time, the link between conflict prevention and peacebuilding is also acknowledged by the Organisation for Economic Co-Operation and Development (OECD). In 2007 the OECD classified CPPB as encompassing a wide variety of activities such as; ‘efforts that adopt goals and objectives aimed at preventing conflict or building peace; they are usually (but not always) focused on a particular conflict zone – an area threatened by, in the midst of a recovering from serious intergroup violence.’<sup>3</sup> The OECD defined conflict prevention as:

*‘Actions undertaken to reduce tensions and prevent the outbreak or recurrence of violent conflict. Beyond short term activities, it includes the notion of long-term engagement. It consists of operational prevention i.e. immediate measures applicable in the face of crisis, and structural prevention, i.e. measures to ensure that crises do not arise in the first place, or, if they do, that they do not recur’.<sup>4</sup>*

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<sup>1</sup> Kazanský, Rastislav. 2015. *The Theory of Conflict*. Matej Bel University, Banská Bystrica. p.137

<sup>2</sup> EPLO (European Peacebuilding Liaison Office) 2006. ‘Five Years after Göteborg: the EU and its conflict prevention potential’. Conflict Prevention Partnership Report. p.17

<sup>3</sup> OECD. 2007. ‘Encouraging Effective Evaluation of Conflict Prevention and Peacebuilding Activities. Towards DAC Guidance.’ A Joint Project of the DAC Network on Conflict, Peace and Development Co-operation and the DAC Network on Development Evaluation. OECD Journal on Development 2007: Vol.8. No.3. p. 9

<sup>4</sup> Ibid.



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The characterisation and definition of CPPB as a multi-dimensional phenomenon means that it comprises of many activities and maintains an extremely varied approach in peace operations. The Stockholm International Peace Research Institute (SIPRI) follows the United Nations Department of Peacekeeping Operations (DPKO) description of peacekeeping ‘as a mechanism to assist conflict-afflicted countries to create conditions for sustainable peace.’ SIPRI claims that a peace operation must have the stated intention of; (a) serving as an instrument to facilitate the implementation of peace agreements already in place, (b) supporting a peace process, or (c) assisting conflict-prevention or peacebuilding efforts.<sup>5</sup>

However, even with these descriptions of peace operations, there is constant blurring of lines between conflict prevention, crisis management and preventive diplomacy. As Michael Lund argues, ‘conflict prevention has been distinguished from other approaches to conflict mainly by when it comes into play during a conflict, not how it is done.’<sup>6</sup> Using preventive measures such as ‘preventive diplomacy’ during a conflict is necessary to bring the parties to a peaceful resolution of the conflict. Lund also ascribes the coining of the term ‘preventive diplomacy’ to UN Secretary - General Dag Hammarskjöld in 1960. In the Cold War context, preventive diplomacy was as an instrument to ‘keep localized international disputes from provoking larger confrontations between the superpowers.’<sup>7</sup> In recent years, preventive diplomacy as a tool for conflict prevention has been applied in numerous ways through a broad range of activities including mediation. ‘The basic logic of preventive diplomacy seems unassailable. Act early to prevent disputes from escalating or problems from worsening. Reduce tensions that if intensified could lead to war. Deal with today’s conflicts before they become tomorrow’s crises.’<sup>8</sup> While preventive diplomacy often refers to active diplomatic techniques to prevent conflicts in the first instance, conflict prevention refers to the wider set of preventive measures engaged in before, during and in post-conflict situations.

According to Niklas L.P. Swanström and Mikael S. Weissmann, conflict prevention is often divided into two categories: direct prevention and structural prevention. This distinction is important for a greater

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<sup>5</sup> Jair Van Der Lijn, Xenia Avezov. Stockholm International Peace Research Institute. (SIPRI) 2015. ‘The Future Peace Operations Landscape.’ SIPRI. Final Report of the New Geopolitics of Peace Operations Initiative.

<sup>6</sup> Michael S, Lund. 2008. ‘Conflict Prevention: Theory in Pursuit of Policy and Practice.p.288. (Originally from the Sage Handbook on Conflict Resolution.)

<sup>7</sup> Bruce W. Jentleson. 2000. *Opportunities Missed, Opportunities Seized. Preventive Diplomacy in the Post-Cold War World.* Carnegie Commission on Preventing Deadly Conflict. Rowman and Littlefield; New York.. p.9-10

<sup>8</sup> Ibid.p.3



comprehension of what conflict prevention can achieve. Consequently, 'direct conflict prevention refers to measures that are aimed at preventing short-term, often imminent, escalation of a potential conflict,' while 'structural prevention focuses on more long-term measures that address the underlying causes of a potential conflict along with potentially escalating and triggering factors.'<sup>9</sup>

Although there is no set of rules or standardised format for CPPB, there are many contributing factors as well as country specific indicators. This can vary from country to country, depending on shape, size and longevity of a conflict. 'Countries coming out of conflict vary in their state capacity, economic potential and social capital and in the degree to which these have been destroyed.'<sup>10</sup> While theoretical debates will continue within the academic literature on the merits and nature of conflict prevention and peacebuilding and what is necessitates, it must be remembered that CPPB cannot be a 'one size fits all' approach. Naturally, there is considerable diversity in CPPB activities.

## THE CONCEPT OF PEACEBUILDING

The concept of peacebuilding first emerged in the 1970s in the work of Johan Galtung. Galtung advocated for the creation of 'peacebuilding structures' to promote sustainable peace. In essence, the 'root causes' of violence needed to be addressed by 'supporting indigenous capacities for peace management and conflict resolution.'<sup>11</sup> The concept continued to gain ground in the field of peace studies among practitioners of conflict transformation but only came to its widespread acceptance in the post-Cold War era. Typical formations and principles of peacebuilding almost always commence with UN Charter definitions or the 1992 UN Secretary-General Boutros Boutros-Ghali's Report entitled; *An Agenda for Peace; preventive diplomacy,*

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<sup>9</sup> Niklas L.P. Swanström Mikael S. Weissmann. 2005. 'Conflict, Conflict Prevention and Conflict Management and beyond: a conceptual exploration.' Concept Paper. Central Asia-Caucasus Institute & Silk Road Studies Program – A Joint Transatlantic Research and Policy Center Johns Hopkins University, Washington, D.C. and Uppsala University, Sweden.

[http://www.mikaelweissmann.com/wp-content/uploads/2014/12/051107\\_concept-paper\\_final.pdf](http://www.mikaelweissmann.com/wp-content/uploads/2014/12/051107_concept-paper_final.pdf)(Accessed 18 October 2016)

<sup>10</sup> Hugh Miall. 2007. 'The EU and the Peacebuilding Commission'. *Cambridge Review of International Affairs*. Vol 20. No.1. pp.29-45. p.35-36. Miall argues that the task of peace building is conflict resolution and that a range of theoretical debates have developed on around peacebuilding. These range from 'institutional-building; relationship-building and level of interventions; SSR; DDR; spoilers; economic development; and political transitions. But the basic issue to be dealt with remains how to transform or accommodate incompatible interests.' p.35

<sup>11</sup> Johan Galtung. 1976. 'Three Approaches to Peace. Peacekeeping, Peace-making, Peacebuilding,' in *Peace, War and Defence: Essays in peace research: Vol. 2*. Ejlers: Copenhagen



*peace-making and peacekeeping*. This defined peacebuilding as ‘an action to identify and support structures which will tend to strengthen and solidify peace in order to avoid a relapse into conflict.’

The first ever UN Mission on peacekeeping was deployed in 1948, when the UN Security Council authorised military observers to the Middle East under UNTSO, (UN Truce Supervision Organisation). However, large scale UN missions and peacekeeping duties mushroomed in the post-1990 period with an ever-increasing amount number of troops leading to more multi-functional and multidimensional peacekeeping. These included; the UN Iraq-Kuwait Observation Mission, UN Observer Mission in El Salvador, the UN Advance Mission in Cambodia, UN Missions in Somalia, Uganda-Rwanda, Liberia, Angola, Haiti, Tajikistan, a UN Confidence Restoration Operation in Croatia, a UN Preventive Deployment Force and a UN Mission in Bosnia and Herzegovina among others.<sup>12</sup>

Consequently, peacebuilding and peacekeeping has dramatically changed, developed and advanced during this period. Subsequently as peacekeeping gained momentum, different parts of the UN revised their operations often as the result of failed peace agreements, peace operations and the evolving nature of contemporary conflicts. ‘The emergence of multidimensional peace operations, the creation of new conflict units such as the UN Development Programme and the design of new service lines (e.g. SSR (Security Sector Reform), DDR (Disarmament, Demobilisation and Reintegration) and the rule of law) demonstrated the converging interest among humanitarian, development, political, security and human rights actors to help prevent and resolve conflict and build sustainable peace.’<sup>13</sup> Rather than defining peacebuilding, several UN and EU documents now list the type of activities undertaken or actions that peacebuilding may encompass. Most activities that relate or may incorporate peacebuilding are also listed as activities dedicated to conflict prevention such as;

- support to electoral processes;
- DDR
- strengthening the rule of law

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<sup>12</sup> See List of Peacekeeping Operations 1948-2013. <http://www.un.org/en/peacekeeping/documents/operationslist.pdf> (Accessed 10 October 2016)

<sup>13</sup> UN Peacekeeping: An Orientation. 2010. [http://www.un.org/en/peacebuilding/pbso/pdf/peacebuilding\\_orientation.pdf](http://www.un.org/en/peacebuilding/pbso/pdf/peacebuilding_orientation.pdf) (Accessed 18 October 2016)



- SSR
- governance
- refugee return and reintegration
- basic service provision
- rehabilitation of basic infrastructure and
- support to economic revitalisation <sup>14</sup>

Under International law, the responsibility to maintain international peace and security rests within the UN system. Peace-making, peacekeeping and peacebuilding is one of the many instruments available to the UN DPKO. Peacekeeping Operations (PKO) are described as a mechanism to support conflict-afflicted countries build sustainable peace. 'While missions with different characteristics have emerged, peacekeeping has most commonly been used in recent years to preserve and build the conditions necessary for sustainable peace where a ceasefire or peace agreement is already in place and where the parties to a conflict have consented to the deployment of a peacekeeping mission.<sup>15</sup> In a testament to the diversification of CPPB, the 2006 European Commission's Directorate General for External Relations (DG Relex) stated that its support for peacebuilding included;

*'peacekeeping operations, peace processes, peace negotiations and reconciliation efforts; Demobilisation, Disarmament, Reintegration and Rehabilitation (DDRR); anti-mine action; SSR; civilian administration and good governance; democratisation: strengthening of the rule of law; justice reform; ensuring respect for human rights; children-related post-conflict assistance; institution building; independent media and truth commissions; facilitation of the transition from crisis situation to normal cooperation; addressing degradation and exploitation of natural resources; tackling proliferation of small and light weapons; targeted economic and other measures such as relief, rehabilitation,*

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<sup>14</sup> Vanessa Wyeth. 2011. 'Peacebuilding at the UN over the last 10 Years'. Essay Series 06/11. International Peace Institute. p.3

<sup>15</sup> See United Nations Department of Peacekeeping Operations and Department of Field Support. Civil Affairs Handbook. 2012. [http://www.un.org/en/peacekeeping/documents/civilhandbook/Civil\\_Affairs\\_Handbook.pdf](http://www.un.org/en/peacekeeping/documents/civilhandbook/Civil_Affairs_Handbook.pdf) (Accessed 20 October 2016)



*reconstruction operations and development assistance. Trade –related measures have also played a critical role in tackling post-conflict challenges.’<sup>16</sup>*

In May 2007, the UN Secretary- General’s Policy Committee agreed on the following conceptual basis for peacebuilding to inform UN practice; ‘Peacebuilding involves a range of measures targeted to reduce the risk of lapsing or relapsing into conflict by strengthening national capacities at all levels for conflict management, and to lay the foundations for sustainable peace and development.’<sup>17</sup> The Peacebuilding Palette from the International Peace Research Institute (PRIO) in Oslo reinforces the political and security framework of peace and development, along with the socio-economic foundations and reconciliation and justice platforms, all interconnected themes and functions within peacebuilding. The following section looks at UN definitions of CPPB and principles of UN peacekeeping in particular.

## UN DEFINITIONS OF CONFLICT PREVENTION AND PEACEBUILDING

The 1990 edition of *‘The Blue Helmets: A review of United Nations Peacekeeping,’* defined peacekeeping as an ‘operation 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. These operations are voluntary and are based on consent and co-operation.’ The *Capstone Doctrine of 2008* which looked at Principles and Guidelines of UN peacekeeping operations, identified UN peacekeeping as ‘a technique used to preserve the peace, however fragmented, where fighting has been halted, and to assist in implementing peace agreements.’ Definitions on conflict prevention, peace-making, peacebuilding and peace enforcement are also defined in the *Capstone Doctrine* as follows:

**Conflict prevention** ‘involves the application of structural or diplomatic measures to keep intra-state or inter-state tensions and disputes from escalating into violent conflict. Ideally, it should build on structured early warning, information gathering and a careful analysis of the factors driving the conflict. Conflict prevention

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<sup>16</sup>European Commission (2006) Directorate-General for External Relations, Supporting Peacebuilding. An Overview of European Community Action, Brussels, 1 June. Quoted in Hughes, J. 2009. ‘Introduction: The Making of EU Conflict Management Strategy- Development through Security? *Ethnopolitics*, 8:3, pp.275-285.

<sup>17</sup> Ibid.



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activities may include the use of the Secretary General’s “good offices,” preventive deployment or confidence-building measures.’

**Peace-making:** ‘generally includes measures to address conflicts in progress and usually involves diplomatic action to bring hostile parties to a negotiated agreement. The United Nations Secretary-General, upon the request of the Security Council or the General Assembly or at his her own initiative, may exercise his or her “good offices” to facilitate the resolution of the conflict. Peacemakers may also be envoys, governments, groups of states, regional organizations or the United Nations. Peace-making efforts may also be undertaken by unofficial and non-governmental groups, or by a prominent personality working independently.’

**Peacekeeping:** ‘Over the years, peacekeeping has evolved from a primarily military model of observing cease-fires and the separation of forces after inter-state wars, to incorporate a complex model of many elements – military, police and civilian – working together to help lay the foundations for sustainable peace.’

**Peace enforcement** ‘involves the application, with the authorization of the Security Council, of a range of coercive measures, including the use of military force. Such actions are authorized to restore international peace and security in situations where the Security Council has determined the existence of a threat to the peace, breach of the peace or act of aggression. The Security Council may utilize, where appropriate, regional organizations and agencies for enforcement action under its authority.’

**Peacebuilding** ‘involves a range of measures targeted to reduce the risk of lapsing or relapsing into conflict by strengthening national capacities at all levels for conflict management, and to lay the foundation for sustainable peace and development. Peacebuilding is a complex, long-term process of creating the necessary conditions for sustainable peace. It works by addressing the deep-rooted, structural causes of violent conflict in a comprehensive manner. Peacebuilding measures address core issues that affect the functioning of society and the State, and seek to enhance the capacity of the State to effectively and legitimately carry out its core functions.’<sup>18</sup>

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<sup>18</sup> All of these definitions, conflict prevention, peace-making, peacekeeping, peace enforcement and peace building are taken from the *Capstone Doctrine*; ‘The Evolving Role of the United Nations Peacekeeping Operations in *United Nations Peacekeeping Operations. Principles and Guidelines*. 2008. p.17-19





## FUNDAMENTAL PRINCIPLES OF UN PEACEKEEPING

The United Nations was established to ‘save succeeding generations from the scourge of war’. The UN Charter signed on 26 June 1945 is the foundation document for all UN activities. Although the document does not directly refer to peacekeeping, the UN is given the task of maintaining international peace and security, as such, the UN Security Council ‘may adopt a range of measures, including the establishment of a UN peacekeeping operation.’<sup>19</sup> Peacekeeping, therefore, has become an essential tool of UN work and the cornerstone of many UN actions.

While there are no clear -cut definitions of conflict prevention and peacebuilding activities, as previously stated, there are however, certain basic and fundamental principles that govern UN peacekeeping. Even though there are many principles associated with peace and security, there are three central and inter-related themes in UN peacekeeping. The **principles of consent, impartiality and non-use of force** (except in self-defence and defence of the mandate) have traditionally been applied to UN peace operations. The *principle of consent* in UN peacekeeping, means that UN peacekeeping operations are deployed with the *consent of the main parties to the conflict*. ‘This requires a commitment by the parties to a political process and their acceptance of a peacekeeping operation mandated to support that process.’

*‘The consent of the main parties provides a United Nations peacekeeping operation with the necessary freedom of action, both political and physical, to carry out its mandated tasks. In the absence of such consent, a United Nations peacekeeping operation risks becoming a party to the conflict; and being drawn towards enforcement action, and away from its intrinsic role of keeping the peace. In the implementation of its mandate, a United Nations peacekeeping operation must work continuously to ensure that it does not lose the consent of the main parties, while ensuring that the peace process moves forward.’<sup>20</sup>*

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<sup>19</sup> ‘The legal basis for such action is found in Chapters VI, VII and VIII of the Charter. While Chapter VI deals with the “Pacific Settlement of Disputes”, Chapter VII contains provisions related to “Action with Respect to the Peace, Breaches of the Peace and Acts of Aggression”. Chapter VIII of the Charter also provides for the involvement of regional arrangements and agencies in the maintenance of international peace and security, provided such activities are consistent with the purposes and principles outlined in Chapter I of the Charter. See *United Nations Peacekeeping Operations. Principles and Guidelines*. 2008.

[http://www.un.org/en/peacekeeping/documents/capstone\\_eng.pdf](http://www.un.org/en/peacekeeping/documents/capstone_eng.pdf) (Accessed 19 October 2016)

<sup>20</sup> ‘The Basic Principles of United Nations Peacekeeping’, in *United Nations Peacekeeping Operations. Principles and Guidelines*. 2008. p.31-32. This document is more commonly referred to as the Capstone Doctrine.

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However, consent requires constant analysis and awareness of any changing circumstances in post-conflict environments. UN peacekeeping operations (PKO) naturally face many challenges. Given the unpredictable nature of many conflict situations, peacekeeping personnel should have a ‘thorough understanding of the history and prevailing customs and culture in the mission area, as well as the capacity to assess the evolving interests and motivation of the parties. The absence of trust between the parties in a post-conflict environment can, at times, make consent uncertain and unreliable.’<sup>21</sup> Consent, may not be given willingly and can be ‘withdrawn in a variety of ways when a party is not fully committed to the peace process. For instance, a party that has given its consent to the deployment of a United Nations peacekeeping operation may subsequently seek to restrict the operation’s freedom of action, resulting in a de facto withdrawal of consent.’<sup>22</sup>

In addition to this, there may be internal division within parties who initially gave consent, while there may not be consent at a local level. This poses many questions for UN personnel operating on a peacekeeping mandate where the potential for volatility and withdrawal of consent serves only to stall the process. Questions also arise for the international community when uncertain and unreliable circumstances prevail, whether a UN peacekeeping operations should be deployed in the first instance. Given that UN PKOs are deployed with the consent of the main parties to support the implementation of a cease-fire or peace accord, they are neither designed nor equipped to enforce the peace against the will of the parties.

As Patrice Sartre contends, the ‘UN’s firm attachment to preserving the consent of the parties demonstrates not just its own determinedly peaceful orientation, but also and most importantly, an essential part of the organization’s crisis-management technique. This commitment distinguishes peacekeeping from peace enforcement, because the coercive nature of an operation is not determined by the authorisation to exercise force but by the fact of acting while disregarding the consent of the host state’... However, ‘by definition, consent cannot be imposed. The single word “consent” excludes the exercise of force by the international

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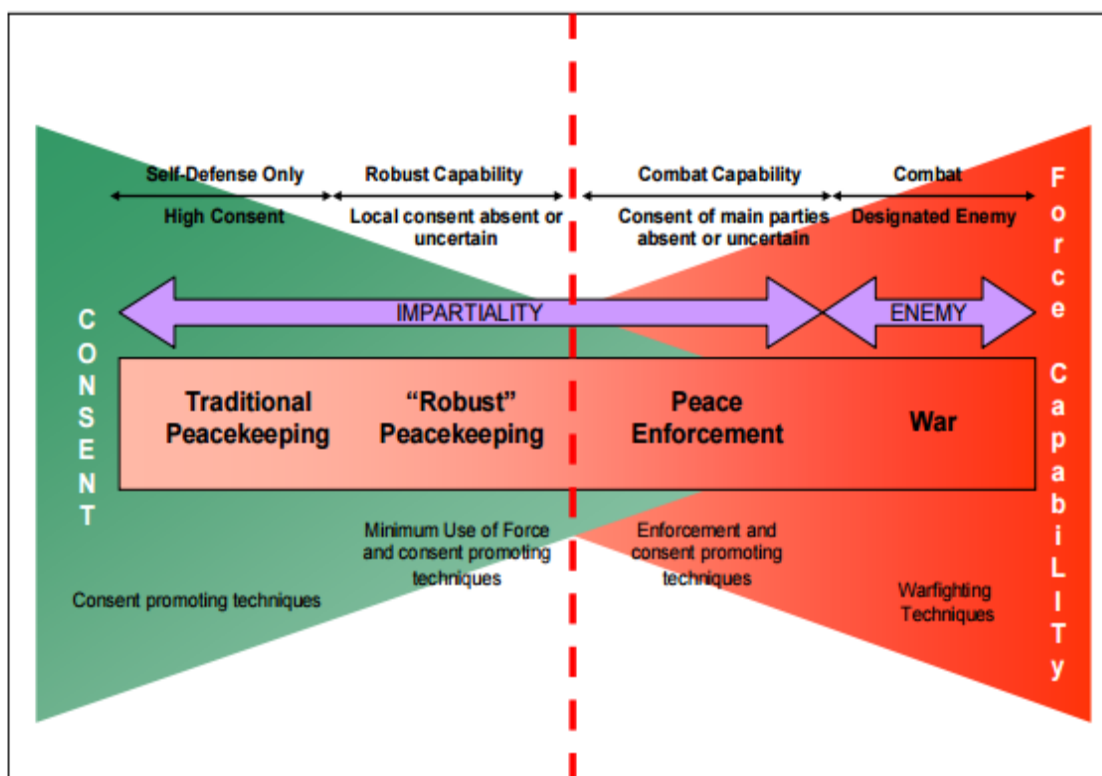
<sup>21</sup> Ibid.p.32

<sup>22</sup> Ibid.p.32



community to settle disputes. It limits the scope of peacekeeping solely to those crises where it can be obtained.<sup>23</sup> Naturally, there are restraints within peacekeeping, as the following diagram illustrates:<sup>24</sup>

### The Limits of UN Peacekeeping



The *principle of impartiality* within UN peacekeeping implies that UN peace operations must implement their mandate without favour or prejudice to any party. ‘Impartiality is crucial to maintaining the consent and cooperation of the main parties, but should not be confused with neutrality or inactivity. United Nations

<sup>23</sup> Patrice Sartre. 2011. ‘Making UN Peacekeeping More Robust: Protecting the Mission, Persuading the Actors.’ International Peace Institute. [https://www.ipinst.org/wp-content/uploads/publications/ipi\\_epub\\_robustpeacekeeping.pdf](https://www.ipinst.org/wp-content/uploads/publications/ipi_epub_robustpeacekeeping.pdf) (Accessed 25 October 2016)

<sup>24</sup> Workshop on the Fundamental Principles of UN Peacekeeping. Stockholm. 26-28 September 2006. <http://www.challengesforum.org/Global/Reports/Seminar%20Reports/Saltsj%C3%B6baden%202006/Summary%20of%20Seminar%20Draft%20Saltsj%C3%B6baden%202006.pdf> (Accessed 25 October 2016)

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peacekeepers should be impartial in their dealings with the parties to the conflict, but not neutral in the execution of their mandate.<sup>25</sup> Principles of neutrality and impartiality are often used interchangeably but there are differences. For one, while neutrality is seen as more acceptable to parties in dispute, impartiality is seen to embody greater elements of fairness. For example, when peacebuilding involves levels of negotiation and mediation, mediators themselves are expected to ‘resist the impulse to agree or disagree with one party or the other, to refute or support positions, to challenge and contradict, or to bolster and confirm.’<sup>26</sup>

In addition, a key lesson drawn from peacekeeping in the mid-1990s was that for UN peacekeepers ‘impartiality should not be confused with neutrality and that clear violations of the peace by any party must be dealt with accordingly. Nevertheless, recent experience suggests that managers and staff in the field still find it difficult to distinguish between impartiality and neutrality and have, in some cases, been reluctant to denounce spoiler behaviour, particularly when it involves one of the main parties.’<sup>27</sup>

UN PKO require avoidance of any activity that may seem to compromise its image of impartiality. This is necessary also to thwart any undermining of the operation. At the same time, ‘a mission should not shy away from a rigorous application of the principle of impartiality for fear of misinterpretation or retaliation, but before acting it is always prudent to ensure that the grounds for acting are well-established and can be clearly communicated to all.’<sup>28</sup>

The third central theme or principle in traditional UN peacekeeping operations, is that of *non-use of force except in self-defence and defence of mandate*. UN PKOs are not an enforcement tool, but it is widely understood ‘that they may use force at the tactical level, with the authorization of the Security Council, if acting in self-defence and defence of the mandate.’<sup>29</sup> However, UN peacekeeping operation should always

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<sup>25</sup> Ibid.p.33

<sup>26</sup> Scott Jacobs. 2002. ‘Maintaining neutrality in dispute mediation: managing disagreement while managing not to disagree.’ Journal of Pragmatics. Vol.34. [pp.1403-1426]p.1406

<sup>27</sup> ‘Workshop on the Fundamental Principles of UN Peacekeeping. Stockholm. 26-28 September 2006.

<http://www.challengesforum.org/Global/Reports/Seminar%20Reports/Saltsj%C3%B6baden%202006/Summary%20of%20Seminar%20Draft%20Saltsj%C3%B6baden%202006.pdf>

<sup>28</sup> ‘The Basic Principles of United Nations Peacekeeping. ’p.33

<sup>29</sup> Ibid. p.34



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exercise force as a means of last resort, 'when other methods of persuasion have been exhausted, and an operation must always exercise restraint when doing so.'<sup>30</sup>

Consequently, "robust" peacekeeping, has been seen in volatile conflict situations. 'Robust peacekeeping involves the use of force at the tactical level with the authorization of the Security Council and consent of the host nation and/or the main parties to the conflict.' This represents a shift away from the traditional principle of non-use of force except in self-defence. Increasingly, there is an expectation that peacekeepers will not only use force to defend themselves but will also use force in "defence of the mandate", or to physically protect civilians. While a distinction can still be made between peacekeeping, which is a consent based conflict management technique and peace enforcement, the boundary between the two has become increasingly blurred.<sup>31</sup>

Other factors that govern principles of UN peacekeeping include: legitimacy, credibility and the promotion of national and local ownership outlined below.

Legitimacy: *'International legitimacy is one of the most important assets of a United Nations peacekeeping operation. The international legitimacy of a United Nations peacekeeping operation is derived from the fact that it is established after obtaining a mandate from the United Nations Security Council.'*

Credibility: *'United Nations peacekeeping operations are frequently deployed in volatile, highly stressed environments characterized by the collapse or degradation of state structures, as well as enmity, violence, polarization and distress. Lawlessness and insecurity may still be prevalent at local levels, and opportunists will be present who are willing to exploit any political and security vacuum. In such environments, a United Nations peacekeeping operation is likely to be tested for weakness and division by those whose interests are threatened by its presence, particularly in the early stages of deployment.'*

National and local ownership: *'Multi-dimensional United Nations peacekeeping operations are increasingly involved in efforts to help countries emerging from protracted internal conflict re-build the foundations of a functioning State...In some instances, state and local capacity may be so weak that the mission is required to*

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<sup>30</sup> Ibid. p.35

<sup>31</sup> Workshop on the Fundamental Principles of UN Peacekeeping. Stockholm. 26-28 September 2006.

<http://www.challengesforum.org/Global/Reports/Seminar%20Reports/Saltsj%C3%B6baden%202006/Summary%20of%20Seminar%20Draft%20Saltsj%C3%B6baden%202006.pdf>



*temporarily assume certain functions, either directly, as in the case of transitional administration, or in support of the State. Other situations require less intrusive support to state authority, and sometimes no such support at all. The nature and scale of a particular United Nations peacekeeping operation's role will depend on its mandate, the gravity of the situation on the ground, the resources the international community is willing to invest and an assessment of the availability of capable, credible and legitimate partners within the host nation.*<sup>32</sup>

In addition to describing the basic principles of UN peacekeeping, there are several important factors that help to drive success in UN peacekeeping, including, inter alia:

- Genuine commitment to a political process by the parties to work toward peace
- Clear, credible and achievable mandates, with matching resources
- Unity of purpose in the Security Council, with active diplomacy in support
- Supportive engagement by neighbouring countries and regional actors
- Host country commitment to unhindered operations and freedom of movement
- Integrated UN approach, effective coordination with other actors and good communication with host country authorities and population.<sup>33</sup>

Therefore, given the evolving nature of peacekeeping today, traditional concepts or core principles of 'consent of the parties, impartiality and non-use of force', have not been adequate to deal with the ever-changing landscape of UN peace operations. Just as consent of *all* parties has proven difficult to achieve, peacekeepers are now expected to use 'all necessary means' in defence of their mandates. Conventional peace operations and objectives matured into complex and robust mandates that were no longer expected to monitor a peace deal, but to enforce fragile peace agreements, disarm rebel groups, train police forces, protect civilians and reform law and order.

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<sup>32</sup> The Basic Principles of United Nations Peacekeeping', in *United Nations Peacekeeping Operations. Principles and Guidelines*. 2008. p.36-39

<sup>33</sup> See 'A New Partnership Agenda. Charting a new horizon for peacekeeping. Department of Peacekeeping Operations and Department of Field Support. New York. July 2009. <http://www.un.org/en/peacekeeping/documents/newhorizon.pdf>



While UN peacekeeping missions still require permission from the host governments, their mandate has sufficiently evolved and progressed to include other significant principles. Without UN policy developments and ‘lessons learned’ approach, addressing the success or failures of peace missions, it would be difficult for personnel to operate in unpredictable situations and post-conflict environments. Given that the protection of civilians is paramount, the concept of ‘responsibility to protect or R2P has become a central issue where states have a duty to protect citizens from war crimes, genocide, ethnic cleansing and crimes against humanity. Concepts such as ‘do not harm’ first developed by NGOs states that crisis work should be shaped in a way sensitive to conflict and its negative effects should be minimized.<sup>34</sup> In addition, human security, defined as ‘protection from (physical) force – freedom from fear – and as protection from hardship and deprivation’ has also advanced into UN official documents on crisis prevention.<sup>35</sup> Local ownership is also an important principle and a ‘prerequisite for the sustainability of peace consolidation, it is a key ingredient in the exit strategy of a peacekeeping mission.’<sup>36</sup>

Precisely due to the expansive nature of conflict prevention and peacebuilding and its very multifarious characteristics, definitions and principles of peacekeeping may prove too restrictive at times. In reality, there are several overlapping concepts to describe CPPB. This must be considered for the overall comprehension of peace making, peacekeeping and crisis management operations.

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<sup>34</sup> Eva Gross (Editor). ‘Preventing Conflict, Managing Crisis. European and American Perspectives’. [https://www.swp-berlin.org/fileadmin/contents/products/sonstiges/PreventingConflict\\_ks.pdf](https://www.swp-berlin.org/fileadmin/contents/products/sonstiges/PreventingConflict_ks.pdf) (Accessed 28 October 2016)

<sup>35</sup> Ibid

<sup>36</sup> Ibid.