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**Implementation of the Comprehensive Approach. Leadership  
factors that influence the respect of Human Rights and  
International Humanitarian Law**

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TESIS DOCTORAL

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September 2020



# Declaration of Authorship

I, Roberto GRAVILI, declare that this thesis titled, “Implementation of the Comprehensive Approach. Leadership factors that influence the respect of Human Rights and International Humanitarian Law” and the work presented in it are my own. I confirm that:

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*“There are three methods to gaining wisdom. The first is reflection, which is the highest. The second is imitation, which is the easiest. The third is experience, which is the bitterest.”*

Confucius

# Abstract

Roberto GRAVILI

*Implementation of the Comprehensive Approach.  
Leadership factors that influence the respect of Human  
Rights and International Humanitarian Law*

The respect of Human Rights and International Humanitarian Law is linked to conflict resolution and recent experiences show that is not possible to prevent, manage or resolve a conflict only with military means, a Comprehensive Approach is essential and in this context leadership assumes a crucial role. The purpose of this study is to determine the leadership factors influencing the respect of Human Rights and International Humanitarian Law. The first research question focuses on the relevance of the Comprehensive Approach, while the remaining questions examine why it is so difficult to implement it and how its implementation could improve the respect for Human Rights and the cooperation between the various organizations involved. Furthermore, the research will seek to discover the leadership factors that influence the implementation of the Comprehensive Approach. The study is a mixed methods design. In stage one of the research, a preliminary on-line survey was administered to two groups of civilian and military personnel with a return rate of 40 percent using the Cultural Transformation Tools. The survey participants were selected for a semi-structured interview. Based on the results of the survey a focus group was conducted in order to deepen the investigation. Results of the preliminary survey and the analysis done with the focus group were then used to carry out a survey on universal values using the methodology developed by Shalom Schwartz. The study findings suggest that institutional factors and human values play a prevalent role in influencing international leaders decisions on the implementation of the Comprehensive Approach.



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Dedicated to my beloved wife  
Ofelia Santiago who shared this  
journey with me ...





## **Part I**

# **Literature review**



# Chapter 1

## Introduction

### 1.1 Background

Conflicts have marked the existence of humanity since its beginnings and despite mankind progress in many scientific fields they continue to undermine peaceful coexistence, a problem that seems without solution despite numerous efforts. In the world of animals, different species are forced to fight because of lack of food, for reasons of reproduction or simply because one of them belongs to the other's food chain. As humans we cannot compare our situation to that one of the animal: it's not the lack of resources that causes the struggle but possibly their inadequate distribution, nowadays technology and science could provide humanity sufficient means to guarantee a good quality of life for all.

Unfortunately the resources are not distributed equally, the division of the territory into States guarantees a competitive advantage to some. States seem more committed to preserving their advantages by building walls and much less in solving problems related to the survival of the entire population. This selfishness does not concern only our generation but will involve the next ones who will inherit a world stripped of natural resources.

The Universal Declaration of human rights is a very important result to eliminate the existing discriminations and inequalities giving equal dignity to all human beings : *Whereas recognition of the inherent dignity and of the equal and inalienable rights of all members of the human family is the foundation of freedom, justice and peace in the world* (UN, 1948, p.1). In a world dominated by the inequalities caused by the social organization that we have developed, people are the problem

and the solution of the problem, while context, laws and procedures define the possibility of action.

In a conflict, therefore, international humanitarian law and international human rights law are essential to determine the limits in which it is possible to move but we will never find all the answers to the many problems that afflict the populations involved in a war. Humanitarian workers, mediators, politicians, soldiers and policemen, to indicate some of the people involved in these contexts, will find insufficient laws, rules, organizations and procedures to solve the innumerable problems. Finding shared solutions that are not based only on the imposition of force therefore requires people with a very different mental, cultural and educational openness, people able to find solutions where it seems that there are none, able to create high-level human and professional relationships with people who have different education, culture, procedures and belong to organizations with different objectives and structures. People involved in conflict resolution need specific skills that go beyond the technical and procedural capabilities and human values that can guide their decisions in an extremely complex environment.

There are many inequalities and clashes of interest, and while within the States there are systems and mechanisms capable of regulating peaceful coexistence there is no effective and efficient supreme authority in the international sphere. The United Nations, created at the end of the Cold War with the aim of guaranteeing peaceful coexistence has not always lived up to its assigned role. Numerous international organizations address the problem of armed conflicts and in this context the United Nations with the participation of 193 States represent the world's largest intergovernmental organization with the objective to maintain peace and security<sup>1</sup>. Created at the end of the Second World War the UN had the task of maintaining world peace (preserving the power acquired by the winners) but in reality this organization was unable to be faithful to its main purpose and principle: maintain international peace and security (UN, 1945, p.3).

The UN was incapable to prevent and remove the threats to the peace and on the contrary a negative peace (Galtung, 2009, p.164) was maintained by two superpowers on the basis of the Nuclear Mutual Assured Destruction (MAD) threat

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<sup>1</sup>The participation of member states in the organization is subject to the acceptance of the obligations contained in the Charter of the United Nations "Membership in the United Nations is open to all other peace-loving states which accept the obligations contained in the present Charter and, in the judgment of the Organization, are able and willing to carry out these obligations."(UN, 1945).

(Sokolski, 2004, p.3). The balance of power between superpowers since the 1950s has been maintained with the terror of mutual destruction. During the Cold War this situation was justified by mutual threats with the fall of the Berlin Wall a new era could begin:

*"the dissolution of the Soviet Union quietly and peacefully ended the Cold War. While that era saw the Cuban Missile Crisis, proxy wars, and policies of mutual assured destruction, it was also a period when people on both sides of the conflict looked for ways to bridge differences and increase the chances for peace and resolution."*(Turekian and Neureiter, 2012, p.1).

Mutual Assured Destruction (MAD) is based on a theory as absurd as dangerous, since no pre-emptive attack would be able to completely destroy the opponent retaliation skills, thus leaving it the ability to destroy completely the first attacker. Doctrine that is based on scientific basis but does not take into account possible human errors or the possibility that the opponent can change this balance by creating an impenetrable defensive shield or on the contrary reaching an offensive capacity that completely destroys the opponent already with the first strike.

In this context, militarily or economically stronger States often try to impose their will instead of finding shared solutions by relying on International Justice, indeed some of the States that have a prominent role in defending international peace and which sit on the **United Nations Security Council (UNSC)** have not ratified the Rome Statute of the International Criminal Court (ICC, 2011). The idea to impose a "*Roman Peace*"<sup>2</sup> and not to solve the causes of the conflicts is always present in the international politics following the national interests. The geopolitical divisions between the block led by the United States of America and the Soviet Union effectively prevented the application of these fundamental principles indispensable for achieving a just and lasting peace. Cold War frozen these principles to safeguard the national interests. The progresses in the legislative and organizational fields carried out internationally were not sufficient to prevent conflicts and peacekeeping interventions in many cases were ineffective or even disastrous.

The experience I acquired by participating in various peacekeeping operations led me to reflect on the possible causes of this ineffectiveness being aware that

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<sup>2</sup>Peace imposed and maintained by force of arms.

any organization is made up of people and they have a responsibility to find effective solutions while laws, procedures and organizational structures outline only the framework in which they operate. Military personnel is accustomed to work in very difficult environments and situations, so they give always great importance to leadership and military values to successfully complete their operations. However the new social and operational context probably requires a different style of leadership and new values capable of aggregating substantially different people and organizations.

Leadership represents the natural or learned ability that we humans have of letting others follow us to achieve certain goals, once we thought that this ability was innate. In fact, there are people who have the capacity to be followed and for a long time scientists have tried to understand what are the characteristics that distinguish these natural leaders. Leaders are able to satisfy the needs of a group of individuals and these needs may be different depending on the group taken into consideration or the situation in progress. Therefore a good leader must be able to understand people's needs by mastering the hard and soft skills necessary to deal with a specific situation. Soft skills are essential to establish good relationships with all interested parties, evaluate the cultural climate of the organization and the alignment of personal and organizational values with the organization's objectives. In essence, a good leader needs skills that may already be present in him or that can be developed with specific training. At the same time, there are people who can never be leaders of certain types of groups, for example a fearful person can hardly be the leader of a group of raiders.

The aim of the research is to identify a new style of Leadership capable of overcoming the difficulties currently encountered cooperating with the various stakeholders involved in a crisis. The implementation of the "Comprehensive Approach" is one of the most important problems for many international organizations such as NATO, the European Union, the United Nations and at the same time a key factor for operating in modern and complex operational environments. The resolution of the current crises is possible only if address their root causes involving all the actors present in the area of operations, besides the interaction between civil and military organizations is essential and in this context, leadership plays an crucial role.

The **objective of the research** is to identify which leadership could facilitate

the application of the comprehensive approach improving respect for human rights and international humanitarian law. The study should also help to identify which leadership factors are most important, helping leaders to find effective solutions and strategies, increasing the success of stabilization operations and contributing to international security. The selection of personnel is currently based above all on the qualifications acquired through study and experience, data that are easily quantifiable and understandable. However, the knowledge is the basis of any activity but do not appear sufficient to establish and maintain the human relationships necessary to overcome difficulties in very complex operating environments and often without a defined organizational structure. Military personnel used to operate in highly structured and hierarchical organizations find themselves particularly uncomfortable in these situations. Soft skills and human values, which are the basis for creating relationships of trust are of fundamental importance in these situations.

The comprehensive approach is a conflict resolution methodology that appears rational and takes into account all the factors that directly or indirectly are the main or secondary cause of armed conflicts. However, the methodology proposed by the United Nations at the end of the nineties (with the end of the Cold War) did not achieve the expected results and in many cases it was not applied. The many unresolved conflicts in the Middle East temporarily frozen by ceasefires guaranteed by the international community with the use of blue helmets are proof of this ineffectiveness. The need for a holistic approach to conflict resolution and the defence of human rights was already present at the time of the constitution of the United Nations *"faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women"* (UN, 1945).

In 1989, the Cold War was at the end (Halliday, 1990, p.5), the United Nations General Assembly (UNGA) included in its provisional agenda of the forty-fourth session the *"Comprehensive Approach to strengthening international peace and security in accordance with the Charter of the United Nations"* (A/44/822, UNGA, 1989). The Cold War blocked the dialogue for more than forty years but in 1992 a historic meeting was held at the United Nations General Assembly (UNGA), it was a time of change: *"This meeting takes place at a time of momentous change. The ending of the Cold War has raised hopes for a safer, more equitable and more humane world, towards Democracy and responsive forms of government, as well as towards achieving the Purposes set out in the Charter."*(S/23500, UNSC, 1992, p.2). This declaration in some way implicitly admitted the failure of UN objectives

and at the same time set out a new engagement in the implementation of the UN Charter. The UN had the possibility to implement the Democracy in the World. The dismantling of apartheid in South Africa (E/CN.4/1995/L.9, ECOSOC, 1995) and the capacity of UN to intervene in Kuwait (S/RES/660, UNSC, 1990) were positive indicators of the UN ability to implement its mission to maintain peace and security. There was the conviction that UN had the capacity to achieve the purposes and the principles defined in the article 1 of the UN Charter<sup>3</sup>.

The new international situation allowed a renewed hope in the international action conscious that the respect of human rights<sup>4</sup> and the application of the law is behind any durable peace process. In 1993 the Secretary General of UN Mr. Boutros-Ghali in a general meeting of the 1st Committee declared that the number of conflicts were increasing but at the same time the *"Greater transparency in military-related matters is now more acceptable than before. The prospects of diverting much needed resources away from military purpose are now better than ever."* (A/C.1/47/PV.43, UNGA, 1993, p.6) there were many possibilities to create a better world and many expectations.

After the Cold War (Baldwin, 1995, p.117) for about thirty years the UN have tried to implement the comprehensive approach with poor results. Many failures (some of them dramatically ended) reduced the confidence in the UN organization and later caused the reform of the UN peacekeeping system. In 2001 the war on terror changed radically the scenario and the conflicts in Afghanistan and Iraq

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<sup>3</sup> **Article I**

*The Purposes of the United Nations are:*

- a. *To maintain international peace and security, and to that end: to take effective collective measures for the prevention and removal of threats to the peace, and for the suppression of acts of aggression or other breaches of the peace, and to bring about by peaceful means, and in conformity with the principles of Justice and International Law, adjustment or settlement of international disputes or situations which might lead to a breach of the peace;*
- b. *To develop friendly relations among nations based on respect for the principle of equal rights and self-determination of peoples, and to take other appropriate measures to strengthen universal peace;*
- c. *To achieve international cooperation in solving international problems of an economic, social, cultural, or humanitarian character, and in promoting and encouraging respect for human rights and for fundamental freedoms for all without distinction as to race, sex, language, or religion; and*
- d. *To be a centre for harmonizing the actions of nations in the attainment of these common ends.*

" (UN, 1945)

<sup>4</sup>The importance to respect the human rights was written in the preamble and in articles 13, 55, 62, 68, 76 of the Chart. (UN, 1945)



demonstrated that successful military interventions were unable to bring sustainable security. At tactical level it was important "*winning the hearts and minds of the population*" (Gentile, 2009, p.9) limiting support to insurgents by the local population, but sustainable security could be achieved only promoting Democracy, Human Rights, Justice and Good Governance. In the last three decades UN, NATO and the EU, for different reasons, have invested time and efforts in a generic idea of "*comprehensive approach*" unsuccessfully as it is evident in Afghanistan (A/HRC/34/NGO/55, UNGA, 2017), Iraq (S/PV.8271, UNSC, 2018) and Libya (S/PV.8306, UNSC, 2018) wars. The numerous reforms of the UN peacekeeping are evidence of these difficulties and many conflicts seem to be without solution. The UN are forced to carry out interposition missions in many areas for decades, some missions have been so disastrous and ineffective as to lead to the reform of the entire peacekeeping system. To understand the reasons and possible solutions it is necessary to carry out an in-depth analysis of the approaches used by the aforementioned organizations, highlighting the centrality of human resources to find innovative solutions to otherwise unsolvable problems.

## 1.2 Scope of the literature review

The literature review will examine the evolution of the peacekeeping during the last thirty years in order to adapt their operations to the international situations and to the difficulties encountered on the ground. That exam will underline the reasons that are behind any change, the new forms of war developed by States and Non State Actors (NSA) and the importance of re-establishing the primacy of politics (S/PV.7837, UNSC, 2016). The consequent reform of the peace operations system has changed the role and the procedures applied by the peacekeeping unit that operate in a difficult environment where implementing the human rights and international humanitarian law is essential and at the same difficult.

The aim of the research is to identify through the examination of the existing literature which of the different approaches developed respectively by NATO, the European Union and the United Nations to resolve current conflicts better guarantees respect for human rights and international humanitarian law. Subsequently a further analysis will be carried out to identify which style of leadership best fits to carry out this methodology. The idea behind the study hypothesizes that leadership has a essential importance in the development of this complex methodology and at

the same time it is necessary to identify which are the fundamental factors of this new leadership.

The basic idea of the research is that the implementation of the comprehensive approach is possible if we change our focus, instead of trying to integrate structures, organizations and establish new procedures we have to change the culture of our organizations, improving the values of the personnel involved in this process. The contribution that the research wants to give to conflict resolution is an in-depth analysis in which the rule of law and human rights are central. Besides, the complexity of the problem requires highly trained people with excellent human values. It is not possible to live peacefully by looking only at one's own personal interest and endangering the survival of this and future generations.

The research will examine the level of consciousness and the values of the personnel involved in the implementation of the comprehensive approach because we need leaders able to influence but often we only found managers able to use their authority. The mere application of laws and procedures is not enough to involve organizations that have such different objectives and organizational structures. These instruments even though essentials have to be complemented by leader who have the ability to find a common ground through the emotional intelligence.

The resolution of complex situations of crisis is possible only if we step back onto the root causes and involve all the stakeholders and in this context the interaction of military and civilian organizations is essential (Kasselmann, 2012, p.23). **NATO** lessons learned in Afghanistan have shown that military actions were not able to create a stable and secure environment. **Non-Governmental Organizations (NGOs)**, **International Organizations (IOs)** and military unit share the same area of operation but sometimes their inevitable cooperation is very difficult. Military personnel in operations deal with human rights issues daily, all activities performed can violate them. The application of human rights protection need an accurate training and a good leadership. The present research has the objective to identify which are the leadership factors that could enhance the comprehensive approach improving the respect of human rights and international humanitarian law.

All the different organizations are aware of the importance of the coordination of the efforts but the results are seldom successful. The challenge lies in how cooperation can be possible when there is no common goal among the different

organizations and the NGOs defend their principles<sup>5</sup> while States and IOs in fact have many explicit or implicit political interests.

Another problem is linked to the disinterest of many international organization to the human rights protection: *"There is a lack of commitment on the part of many countries to protect human rights not only domestically but also in international institutions. As a consequence non-governmental political movements are becoming more and more active in the Field of human rights enforcement in the late 20th century"*(Spini and Doise, 1998, p.609)

To understand the complexity of the situation two organizations, the *"International Committee of the Red Cross (ICRC)"* and *"Médecins Sans Frontières (MSF)"* that operate according to widely held principles of humanity, neutrality and impartiality do not operate together (Brauman, 2012, p.1535). In this context leadership plays a vital role because leaders have the capacity to influence and persuade people to follow them and this is very important in complex situations in order to protect civilians respecting human rights and international humanitarian law. Besides, it is very difficult to coordinate the efforts of military units and NGOs because their structures, organizations and procedures are very different:

*"The organizational structures of peacekeeping forces and NGOs are typically polar opposites. Command structures in the military are centralized and vertical with clear and well defined lines of authority flowing hierarchically from top to bottom. The chain of command is typically structured so that it can respond quickly and promote fast and efficient decision making... By contrast, the organizational structure of most NGOs is horizontal and fluid based on a consensus approach and allowing for considerable decision authority left to field operatives."* (Franke, 2006, p.15).

As Chief of the stability Branch in **NATO Rapid Deployable Corps-Spain (NRDC-ESP)** I was in charge of the implementation of the comprehensive approach from

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<sup>5</sup>The core of and rationale behind all humanitarian work is the principle of **humanity**: *"Human suffering must be addressed wherever it is found. The purpose of humanitarian action is to protect life and health and ensure respect for human beings."* To do so, humanitarian assistance must be carried out **impartially**, on the basis of need alone, to all people regardless of their nationality, race, gender, religious beliefs, class, or political opinion. Humanitarian actors must act **neutrally** and not take sides in hostilities or engage in controversies. To ensure humanitarian actors' ability to act in accordance with these three principles humanity, neutrality, impartiality a fourth principle of operational independence was formulated, to highlight that humanitarian assistance must be delivered autonomously from military, political or economic objectives.(UNOCHA, 2014, p.7)

2013 to 2017. During this period I attended numerous seminars and meetings trying to improve the cooperation with IOs and NGOs. The interaction with civil organizations required specialized personnel and my Civil Military Cooperation (CIMIC) specialists attended specific courses refining their capacity to engage civil local and international actors in a complex operational environment. Some of the subjects covered were: cross cultural competences, civil military interaction (CMI), communication / negotiation principles and techniques applied to the civilian and military interaction context, gender awareness, international humanitarian law and human rights training. This background allowed me to ascertain that CIMIC personnel on the average was better prepared and shared more cultural values with civilian personnel, but at the same time I discovered a lack in the scientific research on leadership, an investigation that I think is essential to succeed in these complex environments.

The research will help to understand which knowledge, skills and values we have to enhance in the personnel involved in the comprehensive approach in order to ameliorate the cooperation among the leaders of civilian and military organization improving the respect of human rights and international humanitarian law. The study will be useful in order to start a transformation having individuate the cultural values to improve and it will give useful information to select and train the personnel involved.

In a complex environment the most important factor is the human capital and the capacity of the personnel involved to establish trustfulness relationships based on mutual recognized values. We need leaders able to conciliate the interests of different organizations. It is not possible to comply this difficult task only from one organizational and procedural point of view, values guide our decisions, and people who share the same values will be able to find innovative solutions to complex problems.

### **1.3 Statement of the research problem**

Peacekeeping operations once limited to the interposition of blue helmets between the contending parties to guarantee a truce or a previously agreed cease-fire have turned into multinational and multidimensional operations with the participation of numerous actors. Currently in the same operation military units, civil police and civil representatives participate with the task of following political affairs, the rule

of law, human rights, reconstruction, public information and gender. These areas regardless of the mandate are essential to guarantee the support to the mission and the safety of personnel. In this context, coordination and cooperation is of fundamental importance (DPKO, 2003, p.11).

Attempts to implement the comprehensive approach at an organizational and procedural level have so far been ineffective. Cooperation between organizations with different structures and objectives is possible only if the leaders of the same are empowered for this difficult task *"A Comprehensive Approach cannot be based on command and control. It requires facilitative leadership that balances the need to respect the independence of the participating agencies while at the same time manages their interdependencies"* (Rintakoski and Autti, 2008, p.31). There is a vast literature on leadership and the comprehensive approach, however no study has been carried out to identify the values of the personnel involved in its implementation. Personal values constantly influence our decisions and obviously if the people involved in a common project do not share them, it is very difficult to cooperate and to reach an agreement.

## 1.4 Objective of the study

The research will analyse which leadership values are essential for leaders in this complex operational environment in order to implement the comprehensive approach and improve the respect of international humanitarian law and human rights. This aspect has not been deeply investigated *"we will use the term Comprehensive Approach for this cooperation between military and civilians actors. Surprisingly, seeing the military's preoccupation with leadership, little has been written on what kind of leadership fits such an approach best"* (Olsthoorn and Soeters, 2016, p.237).

The objective of the thesis is to be found in the leaderships factors that leaders need in order to implement the comprehensive approach improving the respect of human rights and international humanitarian law. A leader that emphasizes the different values and morals of the actors involved in the peacekeeping process encourages everybody to work in a collaborative way interacting and exchanging their knowledge. Besides, the study has to contribute to identify the leadership factors that help leaders to find out solutions and to design more effective strategies

improving the success of stability operations and contributing to the international security. The research will:

- a. Analyse the leadership factors that improve the success of the comprehensive approach and influence the respect of human rights and international humanitarian law;
- b. Determine whether personnel who participate in **CIMIC** training program and have **CIMIC** experience are better prepared than those who did not participate in this training program;
- c. Evaluate which are the values that can improve the cooperation among the different actors.

A qualitative and quantitative method will be employed in the investigation, analysing primary and secondary data sources, using questionnaire, interview and observation of the researcher in order to examine:

- a. Which leadership factors are needed;
- b. How we can improve the cooperation among the leaders of the different organizations;
- c. The criteria of selection of the personnel;
- d. How to train our future leaders;
- e. How to start a transformation;
- f. Which knowledge, values, skills, abilities and behaviours we have to enhance.

## **1.5 Research questions and assumptions**

The thesis aims to verify the importance of implementing the comprehensive approach by identifying the factors of leadership that influence respect for human rights and international humanitarian law. The research is guided by four questions that are considered of fundamental importance.

### 1.5.1 Questions:

- a. Which are the strengths, weakness, opportunities, threats of the comprehensive approach model regarding the respect of human rights and international humanitarian law?
- b. Which typology of comprehensive approach developed respectively by UN, EU, NATO respect more the human rights and international humanitarian law?
- c. Which leadership style is appropriate for the comprehensive approach model that better respects the defence of human rights and international humanitarian law (model identified by answering the previous question)?
- d. Which values and training are essential for this new model of leadership?

### 1.5.2 Leadership strategic planning issues:

Research is intended to address the following strategic planning issues in the context of leadership:

- a. How important is the leadership in order to improve the respect of international humanitarian law and human rights?
- b. What typology of leadership we need?
- c. What benefit or inconvenience the leadership styles have?
- d. What leadership we need in the new operational environment?
- e. What mechanisms we need in order to implement the new leadership?
- f. How do we evaluate, train and monitor our leaders?
- g. What main challenges leaders face in the new environment?
- h. Which improvement we will have in the respect of international humanitarian law and human rights?

### 1.5.3 Assumptions:

This research will be guided by the assumption that comprehensive approach requires leaders able to work in complex environment where the use of force is the last resort and the success of the mission is connected with their capacity to:

- a. Address the roots causes of conflicts;
- b. Respect international humanitarian law and human rights;
- c. Ensure environmental sustainability;
- d. Set the bases for accountable institutions;
- e. Perform reconciliation efforts;
- f. Start disarmament processes;
- g. Protect civilians and non combatants;
- h. Ensure that gender perspectives are integrated into all elements of policy development;
- i. Respect cultural diversity;
- j. Cooperate with all the different organizations (IOs, NGOs, Governmental Organizations (GOs)).

The thesis tries to demonstrate that respect of human rights and international humanitarian law will:

- a. Empower leaders;
- b. Comply with international law;
- c. Improve the acceptance of the operations;
- d. Create coherence with the NGOs organizations objectives;
- e. Improve morale authority;
- f. Promote the rule of law;
- g. Strengthen democracy;
- h. Prevent humanitarian crisis.

The success of a operation is influenced by the capacity of the leaders to obtain:

- a. Political support;
- b. Economic resources;
- c. Skilled personnel;



- d. Vehicles and materials;
- e. Media coverage.

The improvement of leadership is essential because it affects all the aspects of a mission and it has a significant influence on:

- a. Morale of the personnel and his cohesion;
- b. Respect from the different parties involved in the conflict;
- c. Conduct and discipline of the personnel involved in the operation;
- d. Functioning of the organization;
- e. Credibility;
- f. Trust.

## **1.6 Rationale of the study**

The research will examine which leadership factors are essential to enhance the comprehensive approach, contributing to fill a gap in the literature review. Numerous studies have been conducted on leadership but none on this specific issue. The scientific investigation will contribute to solve the problem of the implementation of the comprehensive approach detecting the leadership factors that are essential in order to carry out it and at the same time improve the respect of human rights and international humanitarian law. Lastly the research will contribute to enhance my knowledge on the relation among comprehensive approach, human rights and leadership.

## **1.7 Methodology**

The method used in gathering data for the study is based on library research, focus group, working group, interviews with leaders and personnel that have participated or could be involved in peacekeeping operations, with specific attention to the existing legislation on the matter was examined. The study is only intended for statistical purposes, to gather different points of view and it will not evaluate/judge the personnel interviewed. The scope of the interviews is to gather new and in-edited material. The work will be developed in two phases:

- a. Classification of the information collected from the different sources: documents, interviews, focus groups, working groups;
- b. Study, analysis and evaluation of the documentation in order to identify:
  - Values and leadership factors that improve the cooperation;
  - Which leadership style improve the respect of human rights;
  - Which are the most important values in this context;
  - How leadership could improve the respect of human rights.

## **1.8 Arrangement of chapters**

The thesis is divided into two parts, the first analyses the comprehensive approach and the its importance for the defence of human rights and international humanitarian law, trying to identify which leadership styles best fit its implementation. The second part of the thesis analyses the results obtained in the first part and with the help of experts identify the Leadership factors that influence the respect of human rights and international humanitarian law. Below is a summary of the various chapters:

1. Chapter 1 (Introduction);
2. Chapter 2 (Comprehensive Approach);
3. Chapter 3 (Leadership Styles);
4. Chapter 4 (Leadership Values Assessment);
5. Chapter 5 (Focus Group Assessment);
6. Chapter 6 (Portrait Values Questionnaire Assessment);
7. Chapter 7 (Results);
8. Chapter 8 (Conclusions).

### **1.8.1 Chapter one (Introduction)**

Chapter 1 introduces the research issues, the objectives of the study and the questions that guide the research. It provides an overall view of the thesis and its development in the various chapters. In particular, the first section "background" briefly

summarizes the chronology of the problem to highlight the relevance and importance of the topic. The section on the research problem has the aim to identify and outline the research problem. Chapter 1 includes:

1. Background;
2. Scope of the literature review;
3. Statement of the research problem;
4. Objective of the study;
5. Research questions and assumptions;
6. Rationale of the study;
7. Methodology;
8. Arrangement of chapters.

## 1.8.2 Chapter two (Comprehensive Approach)

Chapter 2 examines the importance of the comprehensive approach for the defence of International Law, the examination of the relevant literature is carried out on the basis of the research questions. The introduction of the review explicit the purpose and how the exam of the existing literature will be considered. The comprehensive approach background will examine the historical evolution highlighting its relevance for the respect of the human rights and international humanitarian law and the conflict resolution.

States and IOs have developed different forms of comprehensive approach, sometimes utilizing different names "A starting point challenge is the simple lack of a common terminology and understanding within and between individual governments. It may literally be the case that potential Comprehensive Approach partners do not speak the same language" (Schmorrow and Boiney, 2010, p.3). The lack of a shared definition derives from the evolution that the approach has had over the almost 30 years but in some cases it also derives from a precise strategy that allows participants to have greater freedom of action "while NATO's official documents on the Comprehensive Approach, the COPD<sup>6</sup> and the AJP 3.4.9 on Civil-Military Cooperation, contain dozens of definitions on all kinds of concepts,

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<sup>6</sup>Comprehensive Operations Planning Directive (COPD).

*no definition is included on what the Comprehensive Approach exactly means.*" (Rietjens, 2014, p.23-2). Apart from that the main differences among the different comprehensive approaches are related to types of relationships ranging from a competition among the different actors to their unity<sup>7</sup>. The section 2.4 will analyse the different forms of comprehensive approach developed from NATO, UN, EU and draws attention to their similarities and differences. The aim is to identify which approach is best suited for the respect of human rights and international humanitarian law. Chapter 2 develops according to the following scheme:

1. Introduction: purpose of the review;
2. Characteristics of current conflicts;
3. comprehensive approach and the respect of international human rights law and international humanitarian law;
4. Different forms of comprehensive approaches;
5. Comparative Analysis.

### 1.8.3 Chapter three (Leadership Styles)

Chapter 3 examines the the different leadership styles trying to identify which leadership styles best fit the implementation of the comprehensive approach and their relationship with the defence of the human rights and international humanitarian law. The structure of the chapter 3 is as follows:

1. Introduction: purpose of the review;
2. Leadership Styles;
3. Comparative analysis;
4. Leadership factors that influence the respect of human rights and international humanitarian law;
5. Summary.

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<sup>7</sup>"Six different types of relationships: (i) actors are united, (ii) actors are integrated, (iii) actors cooperate, (iv) actors coordinate, (v) actors coexist, and (vi) actors compete." (De Coning and Friis, 2011, p.257).

### **1.8.4 Chapter four (Leadership Values Assessment)**

Chapter 4 highlights the results of the leadership values assessment carried out using the Barrett Value Centre methodology. The assessment utilizes a qualitative and a quantitative methodology; the qualitative methodology is used in order to direct the quantitative one. The research is conducted through the interview of expert in the implementation of the comprehensive approach. The structure of the chapter 4 is the following:

1. Methodology;
2. Assessment purpose;
3. Location, participants, and sample size;
4. Structure of the questionnaire;
5. Data analysis;
6. Results;
7. Summary.

### **1.8.5 Chapter five (Focus Group Assessment)**

Chapter 5 summarize the result of the focus group arranged in order to elaborate a personal value assessment. This is a very useful methodology of investigation in order to test or to develop quantitative studies because the discussion generated broaden the theme of the research. The interaction among the members of the focus group is a fundamental part encouraging the participation of the most reluctant. The structure of the focus group, the selection of the participants and the choice of the moderator are crucial for its success and efficacy (Morgan, 1996, p.5). The focus group is a qualitative methodology useful to collect data from a group of participants relying on a structured interview developed with the help of a moderator. This methodology is very popular in sectors like the marketing, politics and health-care research. It represent a semi-structured interview where the participants are asked to discuss a limited number of questions developed in advance. These questions helps the researcher to deepen some areas but also to diverge from the predefined questions if interesting new areas arises (Gill P. et al., 2008, p.291). The advantages of the focus groups are evident when is necessary to deepen new areas of the research, even if it is difficult to organize and develop

them because the large amount of data collected have to be analysed and interpreted (Pope, Ziebland, and Mays, 2000). The structure of the chapter 5 is the following:

1. Focus Group;
2. Methodology;
3. Purpose;
4. Assessment purpose;
5. Location, participants, and sample size;
6. Structure of the questionnaire;
7. Data analysis;
8. Results;
9. Summary.

### **1.8.6 Chapter six (Portrait Values Questionnaire Assessment)**

Chapter 6 is directly related to the achievement of research objectives and examines the personal values of two samples: the first of civilian leaders and the second of military leaders involved in humanitarian and peacekeeping operations. A survey is carried out utilizing the Schwartz theory on values "*These theorists view values as the criteria people use to select and justify actions and to evaluate people (including the self) and events.*" (Schwartz, 1992, p.1) in order to find the leadership factors the influence the respect of human rights and international humanitarian law. Chapter 6 develops according to the following scheme:

1. Methodology;
2. Personal Values Assessment;
3. Assessment purpose;
4. Location, participants, and sample size;
5. Structure of the questionnaire;
6. Reliability of the sample;
7. Verification of the null or alternative hypothesis;

## 8. Results.

### 1.8.7 Chapter seven (Results)

Chapter 7 summarize the results of the research developed through a qualitative and a quantitative data analyses. Results for ease of understanding are provided by answering the questions that guided the research. In particular, the answer to the first three questions is provided in the first part of the same through the examination of the existing literature and the last question in the second part. The results will be presented according this scheme:

1. comprehensive approach literature review results;
2. Leadership Styles literature review results;
3. Leadership Values Assessment;
4. Focus Group Assessment;
5. Portrait Values Questionnaire Assessment.

### 1.8.8 Chapter eight (Conclusions)

Chapter 8 synthesize the conclusions of the study: It is a summary of the possible effect on human rights and international humanitarian law of the leadership factors and values individuated, their implications and some recommendations for future research. The conclusions of the research will be presented according this scheme:

1. Main steps of the research;
2. Importance of the comprehensive approach implementation;
3. Improving selection and training;
4. human rights and international humanitarian law knowledge are the fundamental basis;
5. The essential factors of the leadership: human values.





## Chapter 2

# Comprehensive Approach

### 2.1 Introduction: purpose of the review

The comprehensive approach is a methodology for the resolution of armed conflicts that involves all the actors present, mediating between the different visions and objectives to meet shared solutions. It was developed for the first time by the UN in 1989 (A/44/822, UNGA, 1989, p.1) and over the years has undergone methodological changes being developed with different goals by many organizations. Even the name has changed, for example the UN and the EU now speak of "Integrated Approach" but the fundamental concept remains the same: jointly solve the problems that are at the basis of a conflict. The current chapter analyses the different types of approaches used by three large international organizations to highlight the differences. The objective is to analyse the importance of the comprehensive approach for the respect of international humanitarian law and international human rights law. The exam of the relevant literature is carried out analysing its background in order to put into evidence the reasons of this conflict resolution methodology. The different forms of comprehensive approach utilized by UN, EU and NATO are then examined and compared on the basis of the research questions. The analysis is made utilizing the strengths, weakness, opportunities and threats of each of them <sup>1</sup>. This type of analysis allows to determine the **Strengths** and **Weaknesses** that an organization has internally to achieve a goal and relate them to the **Threats** and **Opportunities** that arise from the external environment.

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<sup>1</sup>SWOT: S=Strengths, W=Weakness, O=Opportunities, T=Threats.

In particular, this chapter will examine the first two questions that guide the research, respectively in the first and second sections of the chapter (see section 1.5.1 questions):

- a. Which are the strengths, weakness, opportunities, threats of the comprehensive approach model regarding the respect of international human rights law and international humanitarian law?
- b. Which typology of comprehensive approach developed respectively by UN, EU, NATO respect more the international human rights law and international humanitarian law?

The Strengths, Weakness, Opportunities, Threats (SWOT) analysis was carried out to identify the internal factors (Strengths and Weaknesses) and external factors (Opportunities and Threats) which help the three organizations examined to comply with international human rights law and international humanitarian law. The aforementioned organizations are involved in the comprehensive approach implementation project with different strategies and this type of analysis allows to identify the pros and cons, the stated and non-declared objectives of the different organizations.

### 2.1.1 Comprehensive Approach objectives

The main idea of the comprehensive approach in conflict resolution concerns the cooperation between the different actors involved in a peace operation, but there are no commonly accepted definitions (Rintakoski and Autti, 2008, p.9) and substantial differences on its implementation. The purpose of the review on the comprehensive approach literature is to understand which comprehensive approach typology best respects human rights and international humanitarian law. The first international organization to identify the need of a new approach to conflict resolution was the UN and the **United Nations General Assembly (UNGA)** decided to include the item "*Comprehensive Approach to strengthening International Peace and Security in accordance with the Charter of the United Nations*" in the agenda of the 44th session of the first committee (A/RES/43/89, UNGA, 1989). The rationale behind this idea was that a full and universal implementation of the UN Charter required the concerted efforts and close cooperation of all States "*in order to resolve issues of crucial importance in the following spheres: disarmament, peaceful settlement of disputes and conflicts, international economic cooperation*

and development, protection of the environment, and human rights and fundamental freedoms" (A/RES/43/89, UNGA, 1989). Starting from this idea, the comprehensive approach has developed over the years and it has also been adopted by other international organizations and States, unfortunately with not yet adequate results. The cooperation of organizations with different structures and objectives is extremely difficult despite the obvious opportunities and needs. The examination carried out in this chapter aims to answer the first two questions that guide the research precisely what the comprehensive approach brings in the defence of human rights and the international humanitarian law and which of the three types of comprehensive approach examined (UN, EU, NATO) is more respectful of human rights and international humanitarian law.

### 2.1.2 Importance of the Comprehensive Approach

Conflict resolution and the maintenance of international peace have been the subject of study for decades and many authors relate conflict resolution to respect for human rights, not by chance the human rights declaration was written at the end of the Second World War. Analysing the amount of literature on the subject one wonders why a research on a subject is so inflated. The first reason, the most obvious, is that no one has found a solution yet and in recent years the maintenance of international peace is more difficult. The international situation is worsening, in recent conflicts international humanitarian law and international human rights law are violated while deliberate attacks to civilian and humanitarian personnel happen on daily basis. Furthermore, in many cases the UN interventions for the maintenance of world peace have been carried out as a reaction to a conflict and their preventive role has often been underestimated, while it would be advisable to switch from a reactive mode to a proactive one (S/PV.7857, UNSC, 2017, p.3). The first preventive intervention by the UN in a crisis took place in the former Yugoslav Republic of Macedonia in 1992 (Ackermann and Pala, 1996, p.83). The need for an approach of this type is accepted by all at an international level and there are many studies on the same, although unfortunately it is not clear how to implement it "*The issue is not whether to take a Comprehensive Approach, but how to do it.*" (Faria, 2014, p.2). The above considerations are evident if we consider the international situation. The problems summarized above exist not only at the strategic and diplomatic level, in fact at an operational and tactical level as chief

of the civil military cooperation, officer responsible for implementing the comprehensive approach in a NATO headquarters, I have identified enormous difficulties in improving cooperation with organizations that have different goals, structures and organizational values. Although these barriers are real, it is essential to overcome them in order to face conflicts in all their complexity "*Political, humanitarian, security, socio-economic, legal, and other issues cannot be separated into watertight compartments and are inextricably linked.*" (Abiew, 2003, p.11). The problems described above are evident and the organizations most interested in defending human rights and a multilateral approach to security problems, such as the EU, are looking for new strategies that are aware that only the combination of the efforts of all the stakeholders can lead to positive results (EC/HRVP, 2016, p.1). The use of force, sometimes necessary to create the minimum security conditions, does not solve the existing conflicts and problems that must be addressed with a global perspective:

*En la actualidad, los Estados son conscientes de que el poder y la fuerza por sí mismos no se traducen en seguridad, por lo que su aproximación a esta se realiza, o trata de realizarse, a través de una perspectiva integral y multifuncional. Esta perspectiva se refiere, de una parte, a la necesidad de llevar a cabo acciones conjuntas y coordinadas por parte de los Estados, (González Cussac and Flores Giménez, 2017, p.18).*

Only this type of approach allows to solve problems and guarantee long-lasting safety. Freezing conflicts by imposing one's will does not solve the problem, it only moves it over time, and the same will recur when the power relations change.

### 2.1.3 Comprehensive Approach analysis

The purpose of this chapter is to analyse the existing literature on the comprehensive approach in order to understand how the implementation of the comprehensive approach could ameliorate the respect of international human rights law and international humanitarian law.

The chapter will be divided in five sections:

- a. **Introduction: purpose of the review;**

- b. **Characteristics of current conflicts:** The section 2.2 summarizes some characteristics of contemporary conflicts that increase violations of international human rights law and international humanitarian law;
- c. **Comprehensive Approach background:** The section 2.3 is an historical overview, it examines the evolution of the comprehensive approach and how it could improve the respect of international human rights law and international humanitarian law;
- d. **Different forms of comprehensive approach:** The section 2.4 examines how UN, EU, NATO developed the comprehensive approach and which form is the best in order to respect international human rights law and international humanitarian law;
- e. **Comparative analysis:** The section 2.5 is a comparative analysis, it compares the three different comprehensive approach highlighting the differences to identify which of them best respects human rights and international humanitarian law.

In the last section the results are compared, highlighting the strengths, the weakness, the opportunities and the threats of the different methodologies to answer the above-mentioned questions that guide the research. In summary the purpose of the literature review presented in this chapter is to understand the importance of the comprehensive approach in the new environment focusing on the advantages and disadvantages of the different approaches developed by three important international organizations (UN, EU, NATO). The effectiveness of the different approaches will take into account the research question underlining the differences. The last section focuses on the opportunities and the challenges, identifying the common ground where is possible to maximize the positive aspects and minimize the negatives ones.

## 2.2 Characteristics of current conflicts

In recent times there has been an increasing involvement of the civilian population and humanitarian actors in the conflict, it is necessary to understand the reasons behind this involvement. Understanding the new types of conflict will allow us to analyse the consequences and difficulties in the implementation of international humanitarian law and human rights. The complexity of conflicts has increased

and after the Cold War the nature of them has turned from inter-state to intra-state (Regan, 2002, p.3). In the last 20 years there has been a change in the typology of conflicts, in many cases we face intra-state conflicts *"One hundred and one armed conflicts occurred between 1989 and 1998, and 93.5 per cent of those were intra-state conflicts"* (Castellan, 2012, p.17). The presence of Non State Actors (NSA) increases the level of complexity of modern armed conflicts because they use non conventional methods, tactics and weapons (Ravichandran, 2011). International humanitarian law in many cases proves inadequate as the civilian population and non-combatants have taken on a new role in the conflict. The deliberate involvement of the population in the conflict is evident only by measuring the numbers *"mientras en la Primera Guerra Mundial se calcula que el porcentaje de víctimas militares fue de en torno al 95%, en los conflictos armados más recientes este índice se ha invertido absolutamente, siendo los civiles no combatientes la inmensa mayoría de las víctimas, ya sean desplazados, exiliados, atacados, torturados, heridos, asesinados o desaparecidos."* (Lara and Carrillo, 2012, p.55). This radical change in the percentage of civilian victims obviously cannot be attributed to the greater lethality of the weapons, which in some cases are defined as "intelligent" and capable of hitting with surgical precision. If so, the percentage of civilian casualties would have to remain the same or even decrease. We must therefore ask ourselves why the number of civilian casualties is increasing, if the weapons are more precise, the attacks are conducted with surgical precision (Bissett, 2003) and there are specific Security Council resolutions (such as the (S/RES/1325, UNSC, 2000) resolution) that protect women. The answer to this question is very complex and in the course of the present investigation I will try to highlight some changes that have occurred, however it is evident that the rules that have been introduced so far (Lara and Carrillo, 2012, p.56) by themselves are not able to guarantee adequate protection. The very high number of civilians involved therefore appears to be the result of a precise strategy and not of human error, especially when it comes to attacks on health and medical facilities which are largely protected by international humanitarian law *"Entre los incidentes, cabe mencionar la destrucción de hospitales, los ataques contra transportes médicos, el uso militar de instalaciones médicas y la retirada de artículos médicos de los convoyes humanitarios."* (S/2020/366, 2020, p.7).

The defence of international law becomes increasingly difficult because the role of States in the conflict is not clear, sometimes it is a matter of wars inside the

State, at times States hide their role. For many centuries war has been the main means of conflict resolution among States and the international law regulate it. The development of nuclear weapons has radically changed the rules on solving international disputes because a nuclear war could literally annihilate the humanity (Ramsbotham, Miall, and Woodhouse, 2011, p.7). The concept of **Mutual Assured Destruction (MAD)** is based on the assumption that a nuclear State is unable to destroy all the opponent's nuclear weapons with a pre-emptive attack, the opposing retaliation would therefore be able to completely destroy the attacker. The result of the nuclear attack is therefore transformed into a mutual destruction, the complete destruction of both is the basis of the nuclear balance and of the arms race. The nuclear powers are in fact trying to have sufficient armament to be able to always respond to a nuclear attack. For many years only two nuclear States, USA and Russia, had this capacity, nowadays probably also China is **MAD** (Mulvenon, 2004, p.255). The consequences of this doctrine are many and they are not part of this research, but the reference is important because it underline that in this context is impossible for any nuclear power to win a nuclear conflict and consequently "traditional" war is not a means for conflict resolution.

### 2.2.1 New typologies of conflicts

This section summarizes some categories of conflict that are particularly harmful for the respect of human rights and international humanitarian law.

#### **Intrastate conflicts**

Since the end of the Cold War there has been an increasing number of intrastate conflicts which has led to the opening of a debate on the causes that led to this transformation. If we take as reference the UN peacekeeping mission still active we can see that after the 90s we have only intrastate wars. After the Cold War all the peacekeeping missions still active are related to Intrastate conflicts (see table 2.1 Peacekeeping missions in progress).

From the Table 2.1 we can infer that until the end of the Cold War mostly of the missions were established to secure ceasefires, after the focus was in the protection of civilians, the stability missions and the monitoring of elections "*traditional peacekeeping focused on containing military escalation, contemporary crisis management aims at a social, political, and economic transformation*" (Koops, 2009,

<b>Acronym</b>	<b>Mission</b>	<b>Start date</b>	<b>End date</b>
UNTSO	United Nations Truce Supervision Organization	May 1948	Present
UNMOGIP	United Nations Military Observer Group in India and Pakistan	January 1949	Present
UNFICYP	United Nations Peacekeeping Force in Cyprus	March 1964	Present
UNDOF	United Nations Disengagement Observer Force	June 1974	Present
UNIFIL	United Nations Interim Force in Lebanon	March 1978	Present
MINURSO	United Nations Mission for the Referendum in Western Sahara	April 1991	Present
UNMIK	United Nations Interim Administration Mission in Kosovo	June 1999	Present
UNAMID	African Union-United Nations Hybrid Operation in Darfur	July 2007	Present
MONUSCO	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	July 2010	Present
UNISFA	United Nations Organization Interim Security Force for Abyei	June 2011	Present
UNMISS	United Nations Mission in the Republic of South Sudan	July 2011	Present
MINUSMA	United Nations Multidimensional Integrated Stabilization Mission in Mali	April 2013	Present
MINUSCA	United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic	April 2014	Present

TABLE 2.1: Peacekeeping missions in progress (DPKO, 2020)



p.21). There is without doubt an increasing complexity due to the environment and the number of tasks to accomplish (Bar-Yam, 2003, p.6). The current inability to resolve conflicts is evident by examining the duration of missions in some cases of more than 70 years or the repetition of missions in the same area.

In intrastate conflict carried out by militias and armed civilians there are no front lines (Bulos, Hennigan, and Bennett, 2016) or defined chains of command (Dhanoa, 2003, p.2) and also the fight among the different factions are more cruel. One of the reasons for this proliferation of inter-state conflicts can be found in the search by the Great Powers to avoid a direct confrontation and therefore use the territory of a third country. This type of conflict often leads to the presence of irregular forces operating and fighting aided by states. The presence of irregular forces obviously increases the risk of violation of human rights and international humanitarian law *"Many governments worldwide make use of unofficial armed groups. This practice substantially increases the risks for civilians, as the activities of such pro-government militias (PGMs) are usually accompanied by a higher level of human rights violations"* (Carey and Mitchell, 2016, p.2). In a regular military unit the responsibility lies with the commander who ordered the operation, who acts in the name and on behalf of the state, respecting the laws in force. Military units are clearly identifiable by their uniforms and, therefore, any crime dates back to the command line. If there is a violation, the commander of a military unit can alternatively take responsibility or decide to punish the culprits who have transgressed the orders received. In any case, the State is responsible for the crimes committed by its military units. Irregular forces, on the other hand, are not recognized by the State of origin, which therefore does not assume responsibility for their actions, often do not have a clear command line and are not easily identifiable because they normally do not use uniforms. In summary, the responsibility for crimes committed by military units goes back to the country of origin and through the command line the perpetrators are easily identifiable and punishable. Instead, in the case of irregular combatants, it is necessary to identify the material perpetrators of the crimes in order to intervene. This explains the major difficulties in identifying those responsible. As for the increase in crimes committed, the reasons may derive from the poor control that is exercised on these forces. Violence generates violence, in the absence of responsible commanders and disciplined personnel, in this case I speak for what I have seen directly, there are no limits to human cruelty. In addition, military units are trained (or should be) in

compliance with human rights and international humanitarian law, irregular forces often receive only summary training on the use of weapons. Another factor that I consider important is that not wearing a uniform, not belonging to a regular unit, not being easily recognizable increases the perception that in the end they will not be identified and punished for the crimes committed.

### **Asymmetric War**

Asymmetric wars are a new typology of conflict that has developed over the past three decades, where one of the parties has an evident military superiority and for that reason the weaker party tries to avoid direct confrontation "*enemies attempt to evade or neutralize overwhelming military superiority*" (Perla, Nofi, and Markowitz, 2006, p.1). The conflicts have never been symmetrical because obviously there is always a disparity between the forces in the field however, these differences became more pronounced especially in the nineties when the United States of America remained for a long period of time the only military power with a global capacity: "*With only one remaining superpower and more generally the considerable and predictably widening technological divide, an imbalance in the military capacity of warring parties has become a characteristic feature of contemporary armed*" (Geiß, 2006, p.757). To accentuate this difference are the new methods of struggle that see States confronting Non State Actors (NSA), which obviously do not have the same technological, financial and logistical resources. In these cases the weaker party tries to neutralize the opposing superiority through irregular forms of struggle such as guerrilla warfare. These war tactics are very old, however in recent times the overwhelming military superiority of some countries has spread their use. The need of the weaker party to seek the support of the population at all times or to get confused with it has harmful effects for civilians who are directly involved in the conflict. In the guerrilla war the support of the population plays a fundamental role since the guerrillas without it cannot logistically support their action or find a safe refuge. The conquest of the support of the population can be obtained through the distribution of humanitarian aid, psychological warfare or in extreme cases with direct violence. War does not eliminate the causes of conflicts, it only imposes the will of the winners and when the weaker party decides not to bend and submit to the will of the strongest, often the only possibility that remains is to raise the barbarism level: "*direct attacks against civilians, hostage-taking and the use of human shields - practices that have long*

*been outlawed in armed conflicts - have seen a revival in recent conflicts in which the far weaker party has often sought to gain a comparative advantage over the militarily superior enemy by resorting to such practices as a matter of strategy.*" (Geiß, 2006, p.758).

The consequences for the civilian population are obviously devastating and violations of human rights and international humanitarian law are very frequent *"when Western critics chastised Israel for its conduct in the Lebanon war in 2006, the political scientist Herfried Munkler responded that Israel could not be expected to apply the rules of IHL to a conflict in which the other party violated IHL as a means of combating the superior forces of a regular army"* (Paulus and Vashakmadze, 2009, p.96). Unfortunately, the disparity of forces on the field is bound to increase and with it this form of struggle, which is certainly not new, will increase. Consequently, acts of terrorism, violations of human rights and international humanitarian law will also be more frequent, but above all civilians will pay the consequences *"The fundamental aim of asymmetrical warfare is to find a way round the adversary's military strength by discovering and exploiting, in the extreme, its weaknesses. Weaker parties have realized that, particularly in modern societies, to strike "soft targets" causes the greatest damage. Consequently, civilian targets frequently replace military ones"* (Pfanner, 2005, p.156). On the one hand we will have armed drones that guided comfortably from a safe bunker launch remote-controlled bombs after making flights of thousands of kilometres and on the other heinous scenes where all kinds of brutalities are carried out. The scenes of violence and the massacres that we have seen in the last conflicts are therefore not causal events but are part of a specific strategy that seeks to maximize the violence of the conflict and the duration of the same:

*"Once that decision is made, a plan is put in place and the matter ends quickly because they know that they and their troops do not have the patience for a long battle, regardless of the extent of their numbers and size. This lengthens the duration of the battle and puts the enemy under another, more severe kind of pressure, which is the massacre of enemy individuals, especially in large numbers."* (Naji, 2006, p.190).

States that have a powerful army try to limit human losses by using all available technologies, reducing the number of soldiers on the ground and using highly trained elite troops, while those who do not have these resources increase the level

of violence and use the fanaticism.

### Hybrid war

Another type of conflict that has appeared recently are the so-called Hybrid Wars. This terminology was used for the first time during the war in Chechnya to define the fighting techniques used in this context. The concept developed further during the 2006 war between Lebanon and Israel (Corn, 2007) and in the Crimean war. However, despite the terminology being fairly recent, it seems more like a return to the past when there was no clear distinction between fighters and non-fighters than a step towards the future. In the past we refer to a similar type of conflict with the term a different term **Compound Wars (CWs)**: *"CWs are conflicts with regular and irregular components fighting simultaneously under unified direction"* (Hoffman, 2009, p.3). In "modern wars" States usually were the real owners of military power and the armies fought following precise rules which were subsequently formalized in international humanitarian law. In essence, the violence of the war was limited in space and time, civilians and non-combatants were indirect victims of the same. In the hybrid war it is not clear which sides are in conflict and the fighting methods also vary from propaganda to cyberwarfare, the consequence is a generalized increase in violence *"unique characteristics, in particular extensive refugee flows, sexual violence, and transnational criminal aspects underpinning recent wars"* (Hoffman, 2007, p.17). Hybrid wars last much longer than normal, sometimes there is no real fight and the conflict goes unnoticed. The consequences for the population are in any case disastrous. In asymmetric wars one of the parties is forced into irregular forms of struggle by necessity, conversely in hybrid wars it is often only a matter of convenience. States avoid to be engaged directly in a war and use limited violence to force a situation, while Non State Actors (**NSA**) use terrorism to destabilize and change the *"status quo"*. The hybrid warfare concept not only contain elements of conventional, irregular asymmetric and compound warfare, it adds the cyberwarfare and activities in the information sphere (Bachmann and B. Munoz Mosquera, 2017, p.25). Stabilization operations seek to remedy the destabilization created by hybrid wars and irregular forms of struggle.

## 2.2.2 Tactics that affect Human Rights

The development of the aforementioned strategies is implemented through a series of tactics of which I take into consideration only the most important ones for their implications on respect for human rights.

### Irregular warfare

The Cold War was fought mostly indirectly utilizing the political influence and the economic power, in many cases some military powers supported opponents in third countries without being directly involved in the war while modern war are characterized by the presence of Non State Actors (NSA) conducting irregular warfare. The reasons behind these strategies are many, but more important from the point of view of this study are the consequences, because in the irregular warfare conducted by NSA the violation of international human rights law and international humanitarian law are more frequent. NSA often have not enough military power and in order to circumvent their opponent adopt irregular warfare methods (Williamson, 2009, p.4). In conventional warfare the focus is on the military forces that have to defeat the opposing army, in irregular warfare vice versa the focus is on gaining or eroding the support of the population (DoD, 2007, p.8). The opposing parties need to influence and maintain the control over the population using political, economic or even psychological methods (DoD, 2007, G-3). In this context it is necessary to gain the legitimacy of the local reducing the drivers of instability and increasing the capacity of the local institutions (CALL, 2010, p.2).

Humanity's efforts to regulate a primitive form of conflict resolution between different communities seem to disappear and all contenders try to influence the population "*Irregular warfare is a violent struggle among state and Non State Actors for legitimacy and influence over the relevant population(s)*" (FM 3-24, US Army, 2014, p.1-1). In this struggle regular armies often try to coordinate the efforts made by their units with civilians to solve the problems that underlie the conflict or at least gain the support of the population "*Counterinsurgency (COIN) is the blend of comprehensive civilian and military efforts designed to simultaneously contain insurgency and address its root causes. Unlike conventional warfare, non-military means are often the most effective elements, with military forces playing an enabling role*" (Kilcullen, Porter, and Burgos, 2009, p.2). The problem of how to deal with this type of struggle was studied in depth by a French officer

engaged in the Algerian war and at the time the key to success had been identified in the isolation of the guerrillas *"the rebels knew that their guerrilla forces would be lost if we ever succeeded in isolating them from the population"* (Galula and Hoffman, 1963, p.63). The military therefore specialized in understanding all the social phenomena that influence relationships within a society *"Irregular warfare is about people, not platforms. Irregular warfare (IW) depends not just on our military prowess, but also our understanding of such social dynamics as tribal politics, social networks, religious influences, and cultural mores"* (DoD, 2007, p.1).

### **Terrorism**

The defence of human rights is fundamental in the fight against terrorism since social unease is the ideal environment for its development. The goal is to eliminate the root causes of it. This form of irregular war is very dangerous and difficult to eradicate without a comprehensive approach *"The Security Council stresses that terrorism can only be defeated by a sustained and Comprehensive Approach involving the active participation and collaboration of all States, as well as international and regional organizations, to impede, impair, isolate and incapacitate the terrorist threat"* (S/PRST/2014/20, UNSC, 2014). The comprehensive approach is not limited to adopting security measures, but seeks to bring together all the major organizations to find shared solutions.

The impact of terrorism on human rights is very high because terrorists indiscriminately target the civilian population to create panic, confusion and destabilize society (OHCHR, 2008, p.7). Terrorism has the capacity to undermine pacific cohabitation, peace and security and for that reason UN has developed a specific plan: *"The Plan of Action constitutes the inaugural basis for a Comprehensive Approach to this fast evolving, multidimensional challenge"* (A/70/674, UNGA, 2015, p.22).

Terrorist attacks often target the civilian population and violate human rights, but anti-terrorist measures in some cases also limit or violate them. The problem is evident and in 2004 the United Nations General Assembly (UNGA) reaffirmed some principles *"Reaffirms that States must ensure that any measure taken to combat terrorism complies with their obligations under international law, in particular international human rights, refugee and humanitarian law"* (A/RES/59/191,

UNGA, 2004). Combating terrorism undermines the fundamental rights of citizens, since counter-terrorism measures are not always proportional to the real threat and significantly limit freedom *"From 2001, the terrorist attacks have created in the Western World a new perception of vulnerability that crystallized, especially in the United States, into a genuine necessity to increase homeland security through the fight against international terrorism which led to the adoption of measures which have generated considerable limitations to many rights and freedoms."* (Serra Cristóbal, 2015, p.19). Indeed, it is necessary to measure the security measures adopted to the real threat so as not to deprive citizens of their rights. Unfortunately, the fight against terrorism is often based only on its repression and these measures often harm citizens' rights *"The problem is that, for reasons of domestic security, many governments adopted measures that, although designed to safeguard such interest, were not innocuous. Such measures simply resulted in the erosion and in some cases the infringement of fundamental rights."* (Serra Cristóbal, 2015, p.18). Furthermore, in this context, governments normally reduce fundamental rights and freedoms considerably, justifying this decision with the need to preserve security *"en las respuestas que hemos dado a muchas de las amenazas a las que se enfrentan los Estados, se visualiza un cambio muy significativo en lo que se refiere a la limitación de los derechos fundamentales"* (Serra Cristóbal, 2020, p.11). Counter-terrorism measures must be commensurate with the extent of the danger in progress and avoid violations *"The breadth of Governments' counter-terrorism measures have resulted in significant gender-based human rights violations."* (A/64/211, UNGA, 2009, p.11).

Another problem related to terrorist attacks is that the military response in some cases could be considered disproportionate and in this case it would be necessary to examine its legitimacy from the point of view of international law. In particular, the terrorist attacks of 11 September 2001 were considered an act of war *"La cuestión a elucidar es, por tanto, cómo calificar ese ataque, es decir, si se trata de una declaración de guerra - como ha interpretado EEUU, o bien un ataque terrorista"* (Ramon Chornet, 2001, p.277), which justified the subsequent military operations in Afghanistan and the application by NATO for the first time in its history of article 5 of the Treaty which provides collective defence.<sup>2</sup>

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<sup>2</sup>"ARTICLE 5

*The Parties agree that an armed attack against one or more of them in Europe or North America shall be considered an attack against them all; and consequently they agree that, if such an armed attack occurs, each of them, in exercise of the right of individual or collective self-defense recognized by Article 51*

### Win hearts and minds

The last two decades have shown new forms of warfare, word as "*Guerrilla warfare*", "*Counterinsurgency*", "*Asymmetric war*" have began to fill our vocabulary. The intervention of the occidental powers in countries as Iraq, Syria, Afghanistan have degenerate in conflict were well armed unit have been faced by irregular forces. Asymmetric warfare is a extremely violent conflict between regular military units and less equipped insurgency or resistance movement militias.

In this type of increasingly common conflicts, the population is not at the edge of the struggle but at the centre, it becomes the so-called "*Center of Gravity*"<sup>3</sup>, the point where to apply the efforts to be able to win "*The people of Afghanistan represent many things in this conflict an audience, an actor, and a source of leverage but above all, they are **the objective**. The population can also be a **source of strength and intelligence** and provide resistance to the insurgency.*" (McChrystal's, 2009). The need to gain the support of the population arises in the mind of the British Sir Gerald Templer during the Malaya war (1948–1955) "*These strategies were largely successful and were continued and improved upon in Phase III under the policies of Sir Gerald Templer. Along with efforts to win the "hearts and minds" of the population, Templer's focus on improved intelligence*" (Paul et al., 2013, p.51). In an effort to conquer the "*hearts and minds*" of the population, armies have therefore begun to use civil and military cooperation to distribute humanitarian aid to populations, sometimes raising criticisms "*such manipulation of humanitarian assistance runs counter to fundamental principles of international humanitarian*" (Williamson, 2011, p.1035).

Strategies to fight this kind of warfare were also developed by a French officer "*David Galula*" who fought in Algeria with the French Army. The strategy developed by him was based on this imperative: "*we isolate the rebels from the population and that we gain the support of the population*" (Galula, 2002, p.71). The problem in guerrilla warfare is that even if the regular forces are superior, the rebel forces are able to gain support from the population. The strategy focuses on reinforcing the legitimacy of own forces and delegitimize the adversary. In this

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*of the Charter of the United Nations, will assist the Party or Parties so attacked by taking forthwith, individually and in concert with the other Parties, such action as it deems necessary, including the use of armed force, to restore and maintain the security of the North Atlantic area.*" (NATO, 1949, p.829)

<sup>3</sup>Center of gravity - The source of power that provides moral or physical strength, freedom of action, or will to act. Also called COG. See also decisive point. (JP 5-0) (Gortney, 2016, p.29)



struggle the opposing forces use all the instruments that have in order to gain the consensus of the population.

### **Stabilization operations**

The causes of a conflict are many and complex and the solution requires diplomatic, military, civilian, humanitarian and development instruments in a comprehensive approach. Military action is not the correct answer to a complex crisis, because only the intervention on the root causes of a conflict can achieve a durable and enduring peace. At the same time is not possible to operate in an area without security and humanitarian actors need the support of military units. The international human rights law violation are one of the 21st century threats and challenges to NATO security because the resulting tensions could affect the Alliance security (AJP-01, NATO, 2017, p.2-6). The importance of the comprehensive approach was evident after the end of the Cold War and the UN started to speak of it in 1989, in the General Assembly resolution 43/89 of 7 December 1988 in order to strengthening international peace and security. (A/RES/43/89, UNGA, 1989). NATO did an extensive use of this concept in 2008 after its summit in Bucharest when it was facing a lot of difficulties trying to stabilize Afghanistan and to improve the governance in the country.

### **2.2.3 Consequences**

The consequences deriving from the new fighting methodologies are particularly disastrous for the population that is now directly involved in the conflicts. In the new scenarios nobody can be considered safe and even NGOs that try to bring assistance respecting humanitarian principles become targets.

### **Population as center of gravity**

The defence of human rights and international humanitarian law has become a pressing need in recent years as the new forms of struggle adopted in modern wars have transformed the population into their Centre of Gravity (CoG). In the past armies fought openly and the involvement of populations was an extreme and often unwanted event. Armies were looking for an open battlefield far from population centres. Today the huge disparity of capacity of the forces in the field compels

the weaker party to fight using different forms of guerrilla warfare and in this context the population becomes indispensable to guarantee activities such as logistical support, protection or information search. Such support can be obtained with more or less lawful means through cooperative or psychological warfare activities, however history teaches that force and terror are often used indiscriminately in order to have the support of civilians. The new forms of war have generated the creation of new doctrines that highlight the violence and the need to obtain the support of the population *"Irregular warfare is a violent struggle among state and non-state actors for legitimacy and influence over the relevant population(s)"* (FM 3-24, US Army, 2014, p.1-1). It is evident that the international norms that regulate international humanitarian law in some cases appear obsolete in the face of these radical changes in the methodology of struggle. The legislation is also often insufficient to protect humanitarian personnel who are sometimes deliberately hit in a new strategy of war without rules. In these cases, only an enlightened leadership can serenely analyse the current situation and find solutions to otherwise unsolvable problems. Therefore international legislation becomes only the framework that defines the limits not to be exceeded and cooperation becomes indispensable to guarantee the safety of humanitarian workers. In the new forms of war utilize it in different ways in order to gain the war. All the actors of the new forms of war States, Non State Actors (NSA) and terrorist groups try to gain control of the population with legal means or not (Lovelock, 2002, p.71).

### **Attacks to civilian and humanitarian personnel**

Attacks on civilians, non-combatants and humanitarian personnel are prohibited by international humanitarian law which minutely details all the different cases and of course the first rule to apply is: *"the parties to the conflict must at all times distinguish between civilians and combatants. Attacks may only be directed against combatants. Attacks must not be directed against civilians."* (Henckaerts and Doswald-Beck, 2015, p.3). However, in recent years the involvement of civilians in the fighting is frequent, involvement becoming normal or perhaps even a brutal terrorist strategy. The reasons for this escalation of violence are different. The first, perhaps the most banal, is linked to the difficulty of distinguishing between civilians and combatants. In hybrid and guerrilla warfare irregular fighters use the population to protect themselves or shield themselves. However, the

amount of civilians victims of the fighting cannot simply be explained by this difficulty. A second reason can be found in the difficult coordination of regular military units with humanitarian workers. On the one hand, military units often cannot (due to the confidentiality of the information) or do not have enough time to share all the information related to the ongoing fighting, the positions of the recently discovered units or minefields. Humanitarian organizations, on the other hand, often do not want to get in touch with military units in order to remain neutral and keep their humanitarian principles:

*"Humanitarian assistance is provided in adherence to humanitarian principles. The delivery of humanitarian assistance must be based on needs alone (impartial), non-discriminatory, and must not take any sides (neutral). Humanitarian organizations must also remain independent from political or military objectives. Failing to adhere to humanitarian principles can have an impact on the organization's credibility and acceptance, which, in turn, can compromise the delivery of assistance."* (UNOCHA, 2018, p.19).

Another problem of cooperation is related to the continuous search for information carried out by the military units. In fact, military units are never neutral and in most cases the only security of the personnel belonging to the NGOs is precisely their neutrality. In any case, security based on neutrality today is insufficient because of the strategy of some NSA. In any case, security based on neutrality is insufficient today because some NSA have decided to deliberately increase the level of violence as part of their strategy:

*"We are now in circumstances resembling the circumstances after the death of the Messenger (peace and blessings be upon him) and the outbreak of apostasy or the like of that which the believers faced in the beginning of the jihad. Thus, we need to massacre (others) and (to take) actions like those that were undertaken against the Banu Qurayza and their like."* (Naji, 2006, p.75).

Recent conflicts have reached a level of violence never seen before, hospitals and the humanitarian personnel were bombed in Syria (Maurer, 2016) and in Afghanistan (Stokes, 2016). The gravity of the situation requested the intervention of the Security Council to ensure the respect of the international humanitarian law (S/2016/380, UNSC, 2016). The deliberate attack of humanitarian personnel

appears to be a consequence of the extreme polarization of conflicts, which pushes the struggle to the limit (Krähenbühl, 2004, p.505). One of the organizations operating in high-risk situations is definitely "Médecins Sans Frontières" which has suffered numerous attacks, including one by the United States Air Force in 2015 "On Oct 3, 2015, a US airstrike hit Médecins Sans Frontières' (MSF's) Kunduz Trauma Centre in Afghanistan" (Trelles, Stewart, and Kushner, 2016). It must be remembered that the protection of sanitary installations is absolute and the fourth Geneva Convention states: "ART. 19. - *The protection to which civilian hospitals are entitled shall not cease unless they are used to commit, outside their humanitarian duties, acts harmful to the enemy. Protection may, however, cease only after due warning has been given, naming, in all appropriate cases, a reasonable time limit, and after such warning has remained unheeded*" (Pictet, 1958, p.176). Obviously these types of attacks, whether accidental or not, are conducted on all sides (Graham-Harrison, 2020).

### **Sexual violence as tactic of war**

Sexual violence in conflicts is not a recent problem, there is documented evidence of the violence perpetrated by the Soviet army in Germany during the Second World War and by the Japanese in Manchuria (the rape of Nanking) and recently in the war in Bosnia and Herzegovina (Wood, 2004, p.2). The victims of this violence are mainly women (Milillo, 2006, p.196), however there are well-documented cases of violence suffered by men who became public only a few years ago like the sexual humiliations inflicted in the prisons of Guantanamo or Abu Ghraib (Wood, 2006, p.309).

In some cases it is isolated violence, committed by individuals or limited groups of people, however when it is found the systematic nature and the spread of violence, it is clear that the violence is part of a very precise pattern (Skjelsbaek, 2001, p.213) and turns into an aberrant tactic of war. Sexual violence does not occur in all conflicts and when it exists it varies greatly in terms of extent, modality and selection of the victims. In some cases, women from a particular ethnic group are affected, sometimes men are also targeted (Wood, 2010, p.4).

Civilians are increasingly at the centre of conflicts, not only as victims of hostilities but above all used as a weapon of war " *In 2016, sexual violence continued*

*to be employed as a tactic of war, with widespread and strategic rapes, including mass rapes, allegedly committed by several parties to armed conflict, mostly in conjunction with other crimes such as killing, looting, pillage, forced displacement and arbitrary detention" (S/2017/249, 2017, p.5).* This type of violence obviously cannot be considered as a secondary effect of the violence of the war as part of a precise strategy with lucid brutality *"La violencia sexual ha venido asociada a los conflictos armados desde la más lejana antigüedad. Durante demasiado tiempo ha sido percibida como un efecto colateral de las guerras, un crimen olvidado, cuya erradicación se daba prácticamente por imposible "* (Cebada-Romero, 2014, p.49). The reasons for this strategy of violence currently adopted above all by terrorist groups are different and related to the need to control the friendly population and terrorize the opposing population *"la violencia sexual contra las mujeres sirve para desmoralizar, castigar, intimidar y humiliar al adversario"* (Vanyó Vicedo, 2013, p.46). Moreover, often the story written by the winners forgets this abominable crime (Messerschmidt, 2006, p.706).

These crimes have long-term effects on societies that can keep hatred alive for several generations *"The victim is raped in an effort to dehumanize and defeat the enemy, leaving an entire society with long-term suffering as victims cascade across generational divides."* (Clifford, 2008, p.4). The intention to hit families and society in the long term, keeping alive the memory of these brutalities (as unfortunately I had the opportunity to verify directly in some missions that I carried out in the Balkans) in some cases was achieved by embarrassing them in others inflicting visible mutilations. The destructive effects of such practices can be easily understood. Violence against women and mass violations are a disruptive factor for the affected populations, especially if they are of a different religion *"Children conceived as a result of rape are rarely accepted by society. (S/2017/249, 2017, p.13).* Women and children are the fundamental elements of a population to be able to reproduce and continue in the struggle and to strike or subjugate them to their will constitutes a strategic advantage in a struggle without rules or law. The war in Bosnia and Herzegovina is perhaps the archetype of this type of conflict, born after the end of the Cold War right here in old Europe, where the civilian population becomes a weapon of war (Chiodi and Rossini, 2011, p.241).

The numerous attacks on women and children led to the issuance of Resolution 1325 by the Security Council *"to respect fully international law applicable to the rights and protection of women and girls, especially as civilians," (S/RES/1325,*

UNSC, 2000, p.3). On the one hand, therefore, we try to protect women and children from these repeated attacks, but at the same time we identify the need to involve women more in the peace processes *"una mayor participación femenina en todas las etapas del proceso de paz (tanto como antes, en la prevención del conflicto, durante, en el desarrollo de las misiones de paz, como después, en las negociaciones y acuerdos formales de paz)"* (Vanyó Vicedo, 2016, p.334). It is therefore not only a question of giving them special protection, but also of seeing them actively involved in all phases of the conflict in order to resolve it peacefully *"Es decir, por una parte se establecen medidas de protección y, por otra, se plantea el escaso papel político que han jugado tradicionalmente las mujeres, y la necesidad de aumentar su presencia en la resolución política de conflictos como una garantía de que el género será considerado de forma efectiva una cuestión prioritaria y evitar las situaciones de extremo riesgo de las mujeres en zona de conflicto"* (Lara and Carrillo, 2012, p.56). In fact, women bring together some peculiar characteristics that make them more suitable in very complex scenarios such as peace processes *"Women's leadership styles have been shown to be more transformational, participative, and inclusive than the leadership styles of their male counterparts."* (Chandler, 2011, p.1). The involvement of women in all phases of a peace process therefore allows them to be adequately represented in a context where they are directly involved as victims, it is coherent with gender laws and allows to use the skills that women have in the resolution of conflicts.

The comprehensive approach is very useful when the crimes committed by gravity and extent are numerous and the countries where they were committed are reluctant to proceed, it is important to involve the main actors and mediate between the different positions. International organizations such as the International Criminal Court (ICC) are in fact unable to deal with all cases *"Though the ICC's ability to successfully prosecute Harun and Kushayb is important for its overall mission in bringing international criminals to justice, the magnitude and complexity of the human rights crisis in Darfur demands a multi-faceted, integrated response."* Besides the jurisdiction of International Criminal Court is limited to the following crimes (ICC, 2011, p.3)

1. The crime of genocide;
2. Crimes against humanity;
3. War crimes;

#### 4. The crime of aggression;

while crimes committed always embrace a wide variety of cases. In the case of sexual violence which, as already mentioned, involves women more than punishing the guilty, it is necessary to guarantee some essential services such as sex education, promote reproductive health, guarantee legal advisory services, prevent abuse and sexual exploitation, guarantee the neonatal and emergency care services (Leaning, Bartels, and Mowafi, 2009, p.193). Furthermore, from direct experience I had in areas of operations such as Bosnia and Herzegovina, women who have suffered from this type of abuse need psychological support and physical security to help them overcome the tragic experience.

### **Forced migrations**

Wars have always led to the migration of civilian populations who sought a safe haven, at least temporarily, until the end of hostilities. However, in recent years the situation has worsened because as mentioned above the civilian populations are no longer on the sidelines of the struggle, but find themselves directly or indirectly involved in the struggle. Forced migrations are mainly used to ethnically clean an area but also sometimes to put pressure on neighbouring states that see their social system so destabilized. Also in this case, the part of the population that suffers the most violence and is defenceless are the women and children who are forced to make long movements in extremely difficult conditions. To provoke these mass movements, the tool that is used is violence towards the weakest part of the population with the generalized violation of human rights. One of the main causes of these population movements are the sexual violence mentioned in the previous section "*Widespread and often very brutal rapes also accompany the disruption of society and extensive forced migration that are close concomitants of these recent wars.*" (Leaning, Bartels, and Mowafi, 2009, p.174).

In the new form of war, populations are not only the needle of balance because their support is fundamental, but they themselves become a weapon used by guerrillas (Hannah, 2015) and in some cases also by States to force "diplomatically" the neighbouring countries (Russia Today, 2020). Civilians are not only victims of deliberate war tactics but are used as an instrument of pressure, terrified and subject to constant violations. The destabilization of an area therefore can be not only the consequence of a conflict but also a way of creating a human bomb of refugees

who destabilize the surrounding areas. As in the domino effect, the fall of a card generates the next creating a series of events linked to the chain, in the new forms of struggle it is possible to destabilize an area to provoke a mass of refugees who in turn destabilize a neighbouring country. In this context it is difficult to distinguish between the cause and effect of things and the real motivations. It is in fact necessary to think that modern wars will not be fought with traditional armies but with an increasingly complicated set of methodologies, tactics and resources *"Effects-based operations are operations conceived and planned in a systems framework that considers the full range of direct, indirect, and cascading effects, which may with different degrees of probability be achieved by the application of military, diplomatic, psychological, and economic instruments."* (Davis, 2001, p.7).

Unfortunately, the perverse use of civilian populations as a tool of pressure does not stop here and in recent times political parties have sprung up in Europe too, using the fear generated by these forced migratory flows for electoral purposes *"Esa tentación de utilizar a inmigrantes y refugiados como argucia electoral dio paso a políticas que considero propias de xenofobia institucional"* (De Lucas, 2015, p.357). Obviously the difference between immigrant and refugee from the point of view of law is substantial but public opinion is rarely able to recognize the difference.

The result is that many immigrants or even refugees are forced to spend long periods of detention before being allowed to enter a State as happens for example in the United States of America: *"Immigration detention can be an important tool employed by States in exercising their sovereignty, as they ensure public safety and remove as expeditiously as possible individuals who may pose a threat to the security of the country or the safety of its citizens and lawful residents."* (CIDH, 2010, p.7).

### **Unilateral coercive measures**

Economic sanctions are part of the coercive measures that States use in order to force other politically other States or sometimes to destabilize them as part of a more complex strategy. The Security Council has the power to take these measures in order *"to give effect to its decisions"*<sup>4</sup>. The same measure taken unilaterally by

<sup>4</sup>*"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 UN to apply such measures. These may include complete or partial interruption of economic relations and of rail,*



a member state could be considered as an inappropriate measure of pressure or a sanction and consequently a violation of the international law. Cuba for example considers the USA economic and financial blockade as a "*massive, flagrant and systematic violation of the human rights of an entire people, which constituted an act of genocide under the terms of the Convention on the Prevention and Punishment of the Crime of Genocide.*" (A/69/97, UNGA, 2014, p.2/5) (see section 2.2.1. These measures affect the economic systems and limit the enjoyment of human right of the population living in these States (A/HRC/19/33, UNGA, 2012). Economic sanctions can be imposed on the basis of a Security Council resolution because the Chapter VII of the Charter (UN, 1945, p.9) but these measures can't be generalized. The idea is that the Security Council or States have to adopt specific sanctions in order to reach determined target "*Smart sanctions*" (A/HRC/19/33, UNGA, 2012, p.3).

#### 2.2.4 Possible remedies

The situation described above obviously requires concrete and urgent solutions, some of which, although obvious, require a great deal of effort. The following paragraphs contain some of the possible remedies identified in reading the literature.

##### Empowerment of women

Women, old people and children are probably the victims who suffer most from the consequences of wars and they rarely actively participate in the conflict. The need to protect this part of the population is evident and Security Council Resolution 1325 seeks to remedy this vulnerable situation "*Some will say that conflict has no gender. Yet conflict does not affect women and men in the same way or in the same proportions. Realities that are experienced differently by women and men are hidden behind the statistics on human and economic losses.*" (S/RES/1325, UNSC, 2000, p.7). In particular the Security Council Resolution 1325 provides an approach based on four activity levels:

##### 1. An analysis of the political, economic and cultural context

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*sea, air, postal, telegraphic, radio, and other means of communication, and the severance of diplomatic relations.*" (UN, 1945)

2. *The design of political and strategic frameworks based on gender equality*
3. *The design, planning and implementation of gender equality programmes*
4. *The management and evaluation of gender equality programmes*

(S/RES/1325, UNSC, 2000, p.10)

The aim is basically to solve the gender problems that exist in society and actively involve women in decision process. This is certainly an objective in line with the defence of human rights although in some cultural contexts it can be ambitious enough to achieve, in fact *"Historically, the UN has rarely intervened in a country's internal affairs to enforce international human rights laws, because that body is legally obligated to recognize the self-determination of a sovereign nation."* (Platiner, 1995, p.1251).

In any case, the legislation in force only seeks to achieve equality for men and women while probably in conflict resolution women have greater skills:

*"the capacity for envisioning that which may not yet exist, combined with strong listening and nurturing skills, which as Boulding points out are not in greater supply among women for biological reasons but rather because womens's role in society have given us ample practice skills, make women uniquely qualified to help people turn their conflicts from problems to be overcome, or even worse, hidden, to opportunities to improve society and enhance relationships."* (Dugan, 1996, p.18).

## Cooperation

As we have seen, international humanitarian law can be imposed on States that have signed international treaties, but unfortunately at times it is not adequate for the new context characterized by the presence of NSA or States that move to the limits of legality by trying to camouflage their intervention. The new types of war are increasingly complex, when for example a state attacks a terrorist group, each party interprets the law differently for instance, *"los prisioneros de Guantánamo no son considerados inicialmente prisioneros de guerra, ni se les aplican las*

*Convenciones de Ginebra 24: en el colmo de la paradoja, el Secretario Rummsfeld alega, para justificar esa decisión, que no son combatientes formales, sino terroristas, y se refiere a ellos como detenidos.*" (Ramon Chornet, 2001, p.286). Human rights have a generalized application, however it is the single State that must guarantee respect in their territory and sometimes this is not done for internal or external policy reasons. To these objective difficulties we must also add that the different organizations participants in a complex crisis always have conflicting interests because of the different individual objectives.

Military units have the interest to give humanitarian assistance because in modern conflicts characterized by irregular warfare the support of the local population is fundamental. Besides, military forces have unique capabilities to move in areas normally interdicted to civilian units. These intervention, sometimes indispensable, mine the relationship with the NGOs involved in the same actions because military unit normally are part of the conflict and as consequence is not possible to clearly distinguish who is part in the conflict (UNOCHA, 2017, p.2). The respect of humanitarian principles (see section 2.2.4) are the principal security measure for humanitarian organizations and when organization that do not share these principles appears in an area everybody is at risk *"Humanitarian principles are central to establishing and maintaining access to affected populations whether in the context of a natural disaster, an armed conflict or a complex emergency"* (UNOCHA, 2017, p.1). Military forces are obliged by the international humanitarian law to give assistance to affected population (UNOCHA, 2014, p.13) but their intervention has to be limited.

The assumption that we always address the root causes of a conflict and respect the international humanitarian law and the international human rights law is limited by the transitional justice. In fact the relationship between Peace and Justice sometimes create a *"dilemma"* because the prosecution of international human rights law and international humanitarian law violations in the long term is the important initiative in order to eliminate one of the root causes of conflicts, but at the same time in the short terms very often it is not viable. The protection of civilians and non combatants is tampered by the new forms of wars in which the population is the main objective and the centre of gravity (CoG) of the conflicts. Terrorist groups, NSA and States with different methods and strategies seek its support (terror, propaganda, humanitarian aids..). The cooperation with all the different organizations (IOs, NGOs, GOs) is often limited by the national interests.

## Mediation

In the context of the comprehensive approach, mediation appears to be of fundamental importance because its application requires the coordination and cooperation of numerous organizations which often enjoy a large autonomy and independence. At the same time, the protection of human rights also requires good negotiating skills. International humanitarian law is constituted a defined set of international rules, established by treaty or custom and to which the States that have joined must be subject. The application of human rights, on the other hand, falls specifically within the competences of the States which are sovereign in their territory and therefore may also decide to limit them. Getting the application of the same therefore often also requires negotiation skills. In recent times, peace operations have been carried out in some States that have committed serious violations of human rights, as in the case of Libya and Syria for example (Thakur, 2013, p.61), however the primary responsibility for protecting their own population falls on the States. The negotiation option seems to be the best option in a world where the traditional forms of war among states have been substituted by never ending traditional conflicts or new kind of conflicts using irregular warfare. Finding a "win-win" solution is not only more rational and intelligent, sometimes it is also more effective (Webel and Galtung, 2007, p.36). The importance of mediation in conflict resolution and in peace processes in general is underlined by the presence at the UN level of a specific team of experts readily available and employable (DPPA, 2020).

## Finding a common ground

Human rights violations are one of the main causes of conflicts but rarely we are able to see the connection among them. According to some authors there is no evidence that absolute poverty or human rights violations could provoke conflicts because "*Groups threatened with subsistence crises are, in fact, the least likely to be politically active.*" and "*the most autocratic countries experience less conflict than intermediate states.*" (Thoms and Ron, 2007, p.1). Violation of political and civil rights, inequalities in access basic needs can be tolerated for a long time in repressive states "*Although different in scope, international human rights law and international humanitarian law offer a series of protections to persons in armed conflict, whether civilians, persons who are no longer participating directly in hostilities or active participants in the conflict.*" (OHCHR, 2011, p.1).

The protection and promotion of human rights is fundamental in order to build a lasting peace and often human rights violations are the main causes of a conflict (Parlevliet, 2009, p.5) because they undermine the rule of law (Peerenboom, 2004, p.7). In the last years the violence of the conflicts is increased and the respect of the human rights is decreased *"the actual protection of human rights faces increased challenges"* (Forsythe, 2012, p.1). In order to reach human rights respect practitioners sometimes use a different approach on the field (Lutz, Babbitt, and Hannum, 2003, p.173). Police and Security forces play a key role in protecting and enforce human rights and humanitarian law, an essential role in any situation of conflict or violence and at the same time this stabilize the area of operation *"Peace, stability and security in a country are largely dependent on the capacity of its law enforcement agencies to enforce national laws and effectively maintain public order"* (De Rover and ICRC, 1998, p.179). In law enforcement always the use of force has to be lawful because any breach of the rules could be harmful (De Rover and ICRC, 1998, p.139).

### **Creating a new culture**

The promotion of a culture of peace that takes cultural and religious diversity into account is on the agenda of the UN due to the importance it has for resolving the numerous conflicts *"The promotion of a culture of peace, intercultural and inter religious dialogue is also at the heart of the Organization's renewed focus on conflict prevention and mediation"* (A/71/407, UNGA, 2016, p.2). Extremism and xenophobia are one of the causes that contribute to violence and provoke the movement of masses of immigrants further increasing social problems. Leaders involved in integrate missions need a Comprehensive Culture able to understand the different aspects of the problem: political, development, humanitarian, human rights, rule of law, social and security (see section 2.4.1) *"Achieving a functioning culture of co-operation is much more important in relations between international organisations than formal structures are"* (Rintakoski and Autti, 2008, p.17). In this context, it is important to improve the education of personnel involved in peacekeeping missions, so that they can understand existing problems. Organizations such as NATO consider educational improvement essential in order to achieve a cultural change and NATO is deeply involved in the **Defence Education Enhancement Programme (DEEP)** to face the actual and future challenges (NATO, 2019a).

## Protecting the people

In the new operating environment, the population is the most vulnerable since it is the centre of gravity (CoG) of the struggle, therefore it is necessary to protect it in a special way *"From its traditional focus on the protection of sovereignty and state territory against external and internal threats, security began to evolve as a concept that placed individual security as a top priority"* (Chiarello, 2015). In this context it is necessary to coordinate the efforts of all the actors present on the ground and in particular the security forces play a leading role *"Security and law enforcement agencies, police, and military and peacekeeping forces play an important role in ensuring the physical security of people. When appropriate and safe to do so, alert police or law enforcement or military actors to violations of human rights."* (SPHERE, 2018, p.42). Where possible and convenient it is necessary to use the capabilities of the armed forces *"The military has particular expertise and resources, including those associated with security, logistics, transport and communication. However, any association with the military must be in the service of and led by humanitarian agencies and according to endorsed guidelines"* (SPHERE, 2018, p.72). The problem of cooperation is linked not only to the cultural and organizational problems that make interaction difficult, there is also a competition to obtain economic and material resources *"at both the vertical and the horizontal levels of interaction, problems result not only from functional or cultural differences, but also from particular interests and competition between the different entities for resources and influence."* (Koops, 2009, p.23).

However, to weigh these differences and problems in order to protect the population, cooperation between military forces and NGOs is essential *"Dialogue and interaction between humanitarian and human rights actors and UN peacekeeping operations and other internationally mandated military and police forces are often necessary to secure protection outcomes. The Professional Standards provide guidance on upholding a principled approach in these interactions."* (SPHERE, 2018, p.46). The cooperation between military forces and NGOs is essential although difficult because their security has always been based on their neutrality:

*"From the perspective of NGOs, a major concern is the loss of neutrality, with the consequences this entails for the credibility of their*

*operations. Perception of involvement with actors that undertake military activities can lead to severe problems in dealing with local actors and the care of civilians if being involved in “military activities”. The fear of being used as a tool for NATO in order to acquire relevant information should also be considered a primary problem, and source of divergence. Another problem includes the different organizational culture and structure that is typical of several NGOs (which, by the way, can vastly differ among themselves in this aspect). When dealing with NATO, different perceptions of “hierarchy” can constitute a problem, and so does the perception of risks of being “commanded” and controlled by armed forces ” (Lucarelli, Marrone, and Moro, 2017, p.9).*

Cooperation between civil and military units is accepted in exceptional cases, limiting it over time and in the activities that can be carried out. Military units have the task of ensuring security in the area of operations avoiding directly protection of humanitarian aid convoys and if it is necessary logistically supporting humanitarian organizations:

*“Civil–military cooperation and coordination should be carefully considered for humanitarian organisations, particularly in conflicts. Perceptions of neutrality and impartiality may affect community acceptance. Humanitarian organisations may have to accept military help in some situations, for example in transportation and distribution. However the impact on humanitarian principles must be carefully considered and efforts made to mitigate protection risks” (SPHERE, 2018, p.95).*

In modern operational scenarios, NGOs cannot think that it is sufficient to adhere to the humanitarian principles of neutrality and impartiality to be protected and immune from attacks. Safeguarding the population cannot be guaranteed only by military forces and therefore cooperation is indispensable:

*“An overarching matter in humanitarian action is protection, which in humanitarian terminology has different meanings and implications to military usage. For humanitarian agencies, protection is a concept that encompasses all activities aimed at obtaining full respect for the rights of an individual, regardless of ethnic, political, or religious*

*background, in accordance with human rights and Refugee Law, and international humanitarian law (IHL)." (OCHA, 2017, p.7).*

Beyond these considerations, to think that the interventions of the NGOs are neutral is impossible, any intervention any decision in the absence of unlimited resources requires a choice that is never neutral: "*While many NGOs recognise that their interventions are not neutral, some still subscribe to the belief that operationally, in terms of facilitating actual programming, NGOs must present themselves as neutral actors.*" (Brubacher, 2004). Even when it is not possible to cooperate it is necessary to coordinate as we share the same territory "*humanitarian and military actors share the same operating space, but not the same mission. They are likely to have very distinct roles and mandates.*" (OCHA, 2017, p.5).

### **Training and education**

Training is fundamental in any type of operation and the military staff normally prepare adequately, but in this case some studies have shown that in peacekeeping operations training activity has sometimes been insufficient (Grant-Waddell, 2014, p.290). The coordination of the various activities during an operation is of critical importance, just think of the need to inform the civilian personnel of the ongoing war activities. The development of shared safe procedures must be carried out in peacetime during the development of training activities (Flanagan, 1954, p.23) to avoid dangerous accidents in operations. Recent studies on Afghanistan war have showed that military education and training in many cases was inadequate (McNerney, 2007, p.180). Activities developed during post-conflict stabilization operations require trained personnel and specific education in order to support the process of rebuilding the state's organizational structure (Reveron and Mahoney-Norris, 2009, p.62).

Moreover education and training opportunities not only permit to develop the indispensable skills to work in a complex and dangerous environments, these events permit also to improve the civil-military relationship fostering respect and trust (Piasentin, 2013, p.2). In order to reach an agreement is essential to select the right persons involved in the mediation and to train them:

*"Careful attention should be given to the composition of this structure, including selection of the most appropriate local and international actors. To ensure that such structures are effective, there is often a need*



*to develop the capacities of those involved for collaborative leadership, consensus building and constructive negotiation." (Peck, 2010, p.53).*

### **Humanitarian principles vs national interests**

Internationally there is no a judicial system capable of guaranteeing the respect for human rights, in fact, one of the main body that could do so worldwide is the International Criminal Court created with the Rome Statute. Unfortunately this institution has not been universally accepted by all states that are members of the UN and in particular three permanent members of the Security Council did not ratify it. This obviously in some way delegitimizes the same Court, which in any case can only judge four categories of crimes. The reason of this reject are various, but mainly it is clear the Roma Statute reduce the power of the Security Council and create a form of International Justice: *Under the UN Charter, the UN Security Council has primary responsibility for maintaining international peace and security. But the Rome Treaty removes this existing system of checks and balances, and places enormous unchecked power in the hands of the ICC prosecutor and judges* (Grossman, 2002, p.153). In essence, some members of the permanent council want to maintain the power relations created at the end of the Second World War unchanged and to prevent the existence of an independent international judicial system capable of judging crimes against human rights. This seems to contradict the principle of independence of the judiciary adopted by the main democracies currently existing. In essence, the international system still bases its functioning on the basis of the power relations of the different states and not on the law.

Respect for international security is therefore delegated all over the world mainly to the decisions of the Security Council which may or may not be implemented since the five permanent members have the right of veto. Furthermore, since participation in these missions is voluntary, we can say that military interventions are never neutral, but are carried out according to national interests. The defence of one's interests is normally paramount:

*"The surest way to prevent war is to be prepared to win one. Doing so requires a competitive approach to force development and a consistent, multiyear investment to restore war fighting readiness and field a lethal force. The size of our force matters. The Nation must field*

*sufficient, capable forces to defeat enemies and achieve sustainable outcomes that protect the American people and our vital interests. Our aim is a Joint Force that possesses decisive advantages for any likely conflict, while remaining proficient across the entire spectrum of conflict." (DoD, 2018, p.5).*

### **2.3 Comprehensive Approach and the respect of International Human Rights Law and International Humanitarian Law**

The previous sections have framed the complexity and difficulties encountered in modern scenarios, in this context the implementation of the comprehensive approach could be an effective solution because all the actors involved are present. The implementation of the comprehensive approach in all its variants is essential in order to solve the root causes of many conflicts. Implementation of comprehensive approach is one of the most important issues for many international organizations as **NATO**, **EU**, **UN** and a *key factor* in order to succeed in complex operational environments. Afghanistan, Syria, Iraq and Libya are some examples of conflicts where applying this approach could improve the respect of international human rights law and international humanitarian law, these laws are complementary and sometimes their application overlaps, although there are numerous and important differences (Oberson, Croix-Rouge, and Bugnion, 1998, p.35). In general terms, civilian personnel have a better knowledge of international human rights law, while military personnel are trained to use international humanitarian law and this could be a first difficulty in the cooperation of military and civilian personnel. Only **CIMIC** personnel are specifically trained on the application of the international human rights law.

The result of these first differences in knowledge is that even if it is very easy to understand the importance to cooperate and the necessity to share all the resources that are available, it is very hard to implement it when the stakeholders have different objectives, culture and organizations. The term comprehensive approach is used with different meanings, but the idea is to enhance the cooperation among all the organizations implicated in a crisis in order to restore security, governance and development. The essence of comprehensive approach is to get involved all

the organizations and share all the resources available. Nowadays States and international organizations use different terminology<sup>5</sup> but in a nutshell the idea is the same (Faleg, 2018, p.15). The causes of a conflict are many and it is impossible to address all of them without the involvement of all the actors. This first section will examine the importance of the comprehensive approach, why the protection and promotion of human rights is fundamental in conflict resolution and why the comprehensive approach is relevant for the respect of international human rights law and international humanitarian law.

### **2.3.1 Why the Comprehensive Approach is relevant for the respect of Human Rights and International Humanitarian Law**

The idea of the necessity of a comprehensive approach in conflict resolution started after the Cold War when the international situation changed and it was possible to foresee a new world order where the rule of international law could promote global peace and prosperity "*Whereas recognition of the inherent dignity and of the equal and inalienable rights of all members of the human family is the foundation of freedom, justice and peace in the world*" (UN, 1948, p.1). Peace needs cooperation, unity of efforts and must adhere to the fundamental principles of the International Law, such as respect for human rights and fundamental freedoms (A/43/914, UNGA, 1988, p.4). The idea gained wide acceptance, nevertheless after about thirty years its implementation is still very difficult. The importance of the comprehensive approach could be derived from some considerations:

- a. Complex crisis need an **Holistic Approach** (Brahimi, 2007, p.3);
- b. Military Forces can only achieve a **Negative Peace**<sup>6</sup>;
- c. The roles of **GOs, NGOs, IOs** and military unit are distinct and complementary, but the protection of civilian in the new forms of war is responsibility

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<sup>5</sup>terms like: "Multidimensional Approach", "Integrated Approach", "Whole of Government Approach", "Inter-agency Approach", "Networked Security", "Multi functional Approach" and "3D Concept (Diplomacy, Development, Defence)".

<sup>6</sup>Negative peace is what we see in a world dominated by one nation or a **UN** who are equipped with coercive power and readiness to use it (Grewal, 2003, p.1)

of everybody because they are the centre of gravity (CoG)<sup>7</sup> of new forms of wars (see section 2.2.3).

The importance of the comprehensive approach is accentuated by the consideration that new forms of war (see section 2.2.1) carried on by States and NSA cannot end with the victory of a party (Webel and Galtung, 2007, p.35). The military terminology has enriched its vocabulary and increased the difficulties to reach a **positive peace** that include: *"improved human understanding through communication, peace education, international cooperation, dispute resolution, arbitration, conflict management"* (Grewal, 2003, p.2). The new situation extends the duration of wars, confine the possibility to reach a peace agreement and elevates the level of violence. The humanitarian situation of the affected population is worsening and often it is impossible to guarantee the fundamentals human rights and the medical assistance. In the last years the attack toward medical facilities (MSF, 2016, p.11) has increased considerably. The respect of the humanitarian principles (Humanity, Neutrality, Impartiality, Independence (UNOCHA, 2017)) therefore no longer appears sufficient to guarantee their protection, since terrorist organizations and some NSA deliberately attack humanitarian workers as this is part of their strategy *"There were threats and attacks deliberately targeting aid organizations and their personnel,"* (Krähenbühl, 2004, p.505). Obviously when we talk about violence we do not refer only to direct violence but also to structural violence which is often the premise of the second one (Galtung, 1990, p.292).

The implementation of the comprehensive approach as a consequence is important for all the organizations that want the international justice to prevail as underlined by the UNGA *"Expressing the firm conviction that ensuring international peace and security requires concerted efforts and close co-operation among all States on the basis of the Charter of the UN in order to resolve issues of crucial importance in the following spheres: disarmament, peaceful settlement of disputes and conflicts, international economic co-operation and development, protection of the environment, human rights and fundamental freedoms,"* (A/43/914, UNGA, 1988, p.4).

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<sup>7</sup>*"In identifying COGs it is important to remember that irregular warfare focuses on legitimacy and influence over a population, unlike traditional warfare, which employs direct military confrontation to defeat an enemy's armed forces, destroy an enemy's war-making capacity, or seize or retain territory to force a change in an enemy's government or policies. Therefore, during irregular warfare, the enemy and friendly COG may be the same population."* (JP 5-0, US Joint Chiefs of Staff, 2017, p.IV-23)

### **2.3.2 Protection of Human Rights and International Humanitarian Law is fundamental in conflict resolution**

In order to understand the importance of the comprehensive approach it is necessary to put in evidence some changes in the international context and the new forms of war. These changes in most of the cases make impossible for any State to resolve a conflict using the military power and for that reason the only rational way is the application of International Law and the comprehensive approach. The cooperation among the different IOs, GOs and NGOs is the more rational and intelligent solution to the problems afflicting the humanity. The violation of human rights is one of the root causes of conflicts and at the same time their protection set the bases for a positive peace process (UN, 1948). Besides, human rights violations "*undermine prospects for sustainable peace and reconciliation*" (S/PV.7926, UNSC, 2017) and for that reason have to be protected before, during and after the conflict. The inefficiency of the international system towards new forms of struggle such as terrorism or hybrid war prolongs the duration of conflicts, increases their violence and increases the probability that the anti-terrorist struggle will be used on a wide spectrum:

*"Finalmente, habría que apuntar como riesgo y, por tanto, como una objeción también en términos de eficacia y legitimidad, la posible expansión de la guerra antiterrorista, más allá de la campaña en Afganistán, a terceros países* (Ramon Chornet, 2001, p.288).

The problems from the legal point of view are many because while the war, with its brutalities, over the centuries has been "regulated", the international humanitarian law and the International Human Right Law in fact establish very precise rules on the conduct of hostilities. On the contrary, the inability of the States to respond adequately to terrorism allows them to an unjustified reduction of the fundamental rights of civilians and combatants. The comprehensive approach does not solve all these problems, especially if it is used after a "preventive war", but it allows finding concerted solutions between all the actors, avoiding the increase in the level of violence and, above all, removing space for unilateral interventions.

### **2.3.3 Positive or Negative Peace**

The concept of positive and negative peace assumes a fundamental importance to understand the difficulties encountered in resolving conflicts. The comprehensive

approach in fact requires the collaboration of numerous organizations in order to stabilize the conflict and achieve lasting peace, however the significant differences in the vision of the objectives to be achieved often leads to an instrumental collaboration *"Stability efforts require contributions from a variety of partners outside the United States and the U.S. Government, including military and police forces, NGOs, international organizations, host-nation organizations, news media, and businesses. Many have no formal relationship with Army units but are, nevertheless, instrumental in achieving the desired outcomes."* (FM 3-07, US Army, 2014, p.3-19). On the one hand we have the notion of peace associated to absence of direct violence (terrorism, war, personal assault) while according to the Galtung's idea of peace we need to eliminate also the **structural violence** related to poverty, discrimination, social injustice, etc. *"peace is absence of violence"* (Galtung, 1969, p.167). In general terms the idea of structural violence is linked to the social injustice that affect large areas of our planet, even if it differs because it goes also beyond the concept of inequality *"we shall sometimes refer to the condition of structural violence as social injustice."* (Galtung, 1969, p.171). It is difficult to understand the structural violence because there is no direct violence and sometimes it is hard to discriminate the offender. The causes of structural violence are not immediately visible and often are underestimated or ignored. The protection of international human rights law is essential to maintain the stability of a Country and vice versa their denial could bring to protest even if many regimes try to stop these protests with *"reprisals against victims, human rights defenders and non-governmental organizations who cooperate with the United Nations"* (Schlein, 2019).

### 2.3.4 Relation among International Human Rights Law and International Humanitarian Law

The relationship among International Human Rights Law (**IHRL**), International Humanitarian Law (**IHL**) and peace is clear and there are a lot of discussions about the possibility or the opportunity to reach a peace agreement amnestying some crimes. **IHL** and **IHRL** anyway do not grant the same protection, in fact while **IHL** is applicable in armed conflict binding all the actors and it must be observed by State and Non State Actors (**NSA**), **IHRL** has binding rules only for Governments in their relations with individuals (see table 2.2) (ICRC, 2016). There is no doubt that States are primarily responsible for applying and respecting human

rights "According to the norms of international law, the notion of responsibility refers primarily to the State. The State is responsible for the promotion, protection and fulfilment of all human rights for all persons." (UNHRC, 2012, p.8). Nevertheless, Governments could derogate from the application of certain human rights if the situation is threatening the life of the nation as is written for example in the article 15 of the **European Convention on Human Rights (ECHR)** <sup>8</sup> and in the article 4 of the International Covenant on Civil and Political Rights <sup>9</sup>. In any case it is very difficult to interpret the article 15 of the **ECHR** in order to understand to which extent it is possible to derogate from **IHRL** (Loof, 2010, p.35) because after the 9/11 attacks in New York many government have similar legislations in order to ensure public safety. The need to limit these security measures over time and space is of fundamental importance, because otherwise the supposed defense of citizens turns into an erosion of their rights "The problem is that, for reasons of domestic security, many governments adopted measures that, although designed to safeguard such interest, were not innocuous. Such measures simply resulted in the erosion and in some cases the infringement of fundamental rights." (Serra Cristóbal, 2015, p.18).

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<sup>8</sup>"ARTICLE 15 Derogation in time of emergency: 1. In time of war or other public emergency threatening the life of the nation any High Contracting Party may take measures derogating from its obligations under this Convention to the extent strictly required by the exigencies of the situation, provided that such measures are not inconsistent with its other obligations under international law." (ECHR, 1950, p.15)

<sup>9</sup>"Article 4 1. In time of public emergency which threatens the life of the nation and the existence of which is officially proclaimed, the States Parties to the present Covenant may take measures derogating from their obligations under the present Covenant to the extent strictly required by the exigencies of the situation, provided that such measures are not inconsistent with their other obligations under international law and do not involve discrimination solely on the ground of race, colour, sex, language, religion or social origin." (A/RES/2200A, UNGA, 1966)

Law	Who	When	Where	Why
IHL	It binds States and also the Non State Actors	During armed conflict	Extraterritoriality	To protect persons who are not or are no longer taking direct part in hostilities
IHRL	It binds State and persons	All times (even if governments could derogate from certain obligations during public emergencies)	Extraterritoriality it is subject of controversy	It applies to all persons

TABLE 2.2: International Human Rights Law (IHRL) and International Humanitarian Law (IHL)

### 2.3.5 Military and Civilian roles

The cooperation among civilian organizations and military units is essential because the military units create a secure environment where the IOs and NGOs can operate safely. Military units normally accept and respect the neutrality required by NGOs, in any case trying to coordinate with them in some aspects of fundamental importance "Some partners, such as many NGOs, prefer not to be known as partners of Army forces. NGOs that maintain neutrality perform an important role in stabilization and reconstruction, and Army units should not compromise their neutrality" (FM 3-07, US Army, 2014, p.3-19). In fact, in the case of military operations in progress, it is essential to be able to at least exchange information relating to each other's activities in order to avoid security problems. For example in Kosovo operation the Security Council decided to clearly delimit the task and the functions of the *International Security Presence* and of the *International Civil Presence* (S/RES/1244, UNSC, 1999). A clear definition of the different roles is important because in the attempt to gain the support of the local population (see



section 2.2.2) often the military units performs the roles of the humanitarian organizations: *"The military role is to provide secure conditions for other actors to create a durable peace. These efforts cannot occur in isolation. An overall transformation is necessary to take a society from a negative peace, imposed by military force and not amounting to much more than stopping the shooting, towards a positive peace. This involves changing human conditions so peace can be self-sustaining until all conflict can be managed non violently."* (Lovelock, 2002, p.71). This cooperation and coordination can assume different forms and have different level of integration and an *"overarching political goal"* (NATO, 2010, p.i) is very useful in order to create a good plan of intervention: *"A Comprehensive Approach demands unity of effort across the political, military and civil pillars embodied in military unity of command, where all actors share a unity of purpose realized by harmonizing efforts, sharing burden and sustaining political will in order to achieve an overarching political goal that is shared by the host nation and external actors."* (NATO, 2010, p.i). A clear definition of the different roles, a common political goal and and trained civil-military leadership can contribute to the implementation of the comprehensive approach *"Operations in Afghanistan demonstrate the need for effective civil-military leadership across the spectrum of the IC."* (NATO, 2010, p.10).

## 2.4 Different forms of Comprehensive Approach

This section has to clarify the conceptual similarities among the different typologies of comprehensive approach developed by three important IOs: the UN, the EU and NATO. These organizations use a different terminology to define in a common concept the importance of involving all civil, military and police actors present in the resolution of crises. There are evident differences in the application of this concept by the various organizations and this conceals important consequences, strategies (Faleg, 2018, p.15) and the desire to achieve different goals. Differences and similarities depend on the different structures, values and objectives of these organizations. The analysis will try to evidence which typology of comprehensive approach best suite the respect of international human rights law and international humanitarian law and also how this respect could improve the cooperation among the different organizations fundamental questions of the research (see section 1.5.1). This analysis is important because although the concepts are similar

there are substantial differences that hide a substantial disagreement. Traditional peacekeeping was limited to the use of weak military units only with the consent of the different parties involved to monitor the conflict. The current operations are much more incisive and some consider the same as a way to transform the situation coherently to their own partisan interests (De Coning, Detzel, and Hojem, 2008, p.1). The analysis of the different forms of comprehensive approach is limited to the UN, EU and NATO, highlighting their evolution, doctrine, organization structure, their declared values and objectives. Subsequently these factors are compared to highlight the differences.

### 2.4.1 The United Nations

#### United Nations Comprehensive Approach evolution

UN have been the first organization to develop the concept of comprehensive approach (A/RES/43/89, UNGA, 1989, p.108) (nowadays Integrated Approach) and in order to understand the actual situation is important to recapitulate the evolution of peacekeeping operations. The evolution of the missions derives from the changed context and increased difficulty of intervention "*The failures of missions to provide security in complex crises such as Somalia, and to protect civilians from mass atrocities in Rwanda and Bosnia, tested the fundamental principles and capabilities of UN peacekeeping operations and demonstrated that reform was urgently required*" (Holt and Taylor, 2009, p.2). In the past, peacekeeping missions normally started following an agreement to end hostilities and with the consent of the parties, the contenders were also almost always regular armies. The control of the situation by the way was quite simple. Currently the above conditions do not always exist.

The narration is divided in three periods because the international situation influenced the role of UN and also the peacekeeping was affected by it. The UN are the second attempt, after the League of Nations, to create an organization able to maintain the peace and also in this case the national interests can limit its capacities. In synthesis the Security Council procedures do not overcome the political impasse that in the League of Nations was caused by the unanimity vote required for the approval of any decisions "*decisions at any meeting of the Assembly or of the Council shall require the agreement of all the Members of the League represented at the meeting*" (League of Nations, 1919, article 5).

It is important to recapitulate some important milestones in order to understand the present situation but also the future scenarios. The idea of using a comprehensive approach to conflict resolution came about at the end of the Cold War when the clash between the Soviet Union and the United States ended. The opposition between the two blocks prevented the action of the United Nations Security Council because the five permanent members blocked any resolution that could endanger their own interests. Unfortunately, it is necessary to foresee that new international political scenarios could influence this type of integrated approach again.

International peace, however absurd it may seem, is still based on the concept of Mutual Assured Destruction (MAD) or on the certainty that any preventive nuclear attack launched by the United States of America or Russia will in any case lead to the complete destruction of the counterpart (Rubin, 2011, p.55). Any change in this delicate balance involves an arms race in an attempt to preserve the capacity for mutual destruction and maintain the balance of terror (Blix, 2006, p.88). There are international treaties that establish precise limitations to strategic weapons, but compliance with these rules is not always easy to interpret (Woolf, 2019, p.46). A new arms race is started with the withdrawal of U.S.A. (Pompeo, 2019) and Russia from the Intermediate-Range Nuclear Forces Treaty (INF) and its consequences are obvious.

### **From 1948 to 1990**

From its foundation until the end of the Cold War, the UN has limited its interventions almost exclusively to the interposition of Blue Helmets with the consent of all parties involved. The veto power possessed by the United States of America and the Soviet Union has severely limited the possibilities of intervention and the possibility of facing the problems that have been the root causes of the conflicts even when an agreement was reached for the intervention (Berdal, 1996, p.72). In fact the period from the 1948 to 1990 was characterized by the extensive use of the veto power *"During its first 45 years bipolarity and the veto power of its permanent members rendered the Security Council largely ineffective"* (Mendez, 1999, p.398). The UN was able to stop another world war but the decolonization process and the indirect confrontation between USA and URSS<sup>10</sup> caused many proxy wars (Kalyvas and Balcells, 2010, p.416). The UN missions were limited

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<sup>10</sup>Union of Soviet Socialist Republics

mainly to observing ceasefire with the consent of the parties. This particular form of intervention has been categorized as traditional peacekeeping.

### **From 1990 to 2000**

The first change was due to the international situation because during the Cold War peacekeeping operations were limited in their objectives partly due to Soviet or United States of America vetoes in the Security Council (Doyle and Sambanis, 2006, p.25). The Soviet Union collapse generated a vacuum, causing instability and a new of power balance. The Cold War was at the end and UN had new opportunity to implement its mandate. The item "*Comprehensive Approach to strengthening international peace and security in accordance with the Charter of the United Nations*" was included in the agenda of the 44th UN General Assembly session (A/55/305-S/2000/809, UNGA-UNSC, 2000). The international changes needed a radical shift to a more complex interventions on the ground: "*Given the new threats emanating from weak states, asymmetric conflicts, organized crime, and terrorism, traditional peacekeeping has frequently given way to complex peace building in protracted conflicts.*" (Adebahr, 2011, p.5).

The change added new tasks like:

- a. Demobilization of armed forces;
- b. Disarmament;
- c. Demining programmes;
- d. Implementation of the return of refugees and displaced persons;
- e. Humanitarian assistance;
- f. Support for implementation of constitutional, judicial and electoral reforms;
- g. Training of new police forces;
- h. Monitoring respect for human rights;
- i. Economic rehabilitation and reconstruction.

Such operations required collaborative efforts among the different stakeholders: military units, IOs, NGOs, parties involved in the conflict and local population. This first period was characterized by numerous failures and some tragedies are still in our memory like the operations in Somalia, Bosnia or Rwanda (Schmidl,

1999, p.1). The necessity of this approach is related to the complexity of the root causes of a conflict that requires a collaborative effort *"there is a close connexion between the strengthening of international security, disarmament and the economic development of countries, so that any progress made towards any of these objectives will constitute progress towards all of them"* (A/RES/25/2734, UNGA, 1970). Peace processes imposed by force do not require all these coordination efforts. The end of the Cold War determined also a change in the vision of the peace process reinforcing the hope in long lasting solutions to many conflicts.

### **From 2000 up to now**

The second change was determined by the ineffectiveness of the peacekeeping missions carried in the period 1990 - 2000. In 2000 Lakshmi Brahimi, as Chairman of the Panel on the United Nations Peace Operations, submitted his assessment on the comprehensive review of the whole question of peacekeeping operations in all their aspects (A/55/305-S/2000/809, UNGA-UNSC, 2000) in order to face all the challenges of the operational environment. The Brahimi Report underlined the importance of leadership and the women role: *"Defining the specific qualities needed for leadership positions is a challenging task and selection will in most cases remain a highly sensitive and ultimately political question. As a further issue in mission leadership, there are still relatively few women in top decision-making positions."* (Durch et al., 2003, p.67). In 2001 the Security Council discussed the following agenda *"Peace-building: towards a Comprehensive Approach "* in order to *"to examine and assess the various responsibilities of the Organization for achieving a joint vision and arriving at concrete proposals in the field of maintaining international peace and security"* (S/PV.4272, UNSC, 2001, p.2). During the discussions emerged the necessity to perform a long list of activities like:

- a. Disarmament, demobilization and reintegration of former combatants;
- b. Human rights education;
- c. Repatriation of refugees;
- d. Promotion of conflict resolution;
- e. Reconciliation techniques.

All these activities directed by the UN entities needed a better internal coordination and therefore the necessity to go beyond, in this reunion started the idea of the integrated approach: *"This exemplifies the need for a comprehensive and integrated approach. We believe that such coordination has to be borne in mind from the very beginning of planning a peacekeeping operation"* (S/PV.4272, UNSC, 2001, p.11).

### **United Nations Comprehensive Approach Doctrine**

The Department of Peacekeeping Operations (DPKO) in 2008 published the first handbook with the task of defining the doctrine of peacekeeping operations carried out by the UN (DPKO, 2008) collecting the experience developed by the UN in the last sixty years. The legislation underlying the handbook is clearly indicated in the first chapter: The Charter of the United Nations, human rights, international humanitarian law and Security Council mandates. The creation of this directive by the department in charge of directing and coordinating peacekeeping missions is of fundamental importance to bring order to the numerous existing directives, guidelines, operating procedures, manuals and training materials. The need to write a coherent doctrine stemmed from the enormous increase in peacekeeping operations and their complexity, which required the involvement of civil, military and police personnel. The role of capstone doctrine places all the documents produced so far in a subordinate role. IHRL is not only part of the regulatory framework of this publication, it is clearly stated that violation of human rights is one of the root causes of conflicts (DPKO, 2008, p.27).

The peace operations doctrine evolved with the experience from 2000 when was clear that military units needed a comprehensive response cooperating with police units and operating among the civilian population (Lovelock, 2002, p.67). On the other hand UN is trying to reform its system because is aware of that: *"systemic failure in meeting UN responsibilities to prevent and respond to serious violations of human rights and humanitarian law and to protect people at risk."* (IASC, 2019). In this context a Human Rights up Front (HRuF) action plan was developed in order to achieve three changes:

- a. A cultural change;
- b. An operational change;
- c. A change to UN political engagement.

### United Nations Integrated Missions

According to the "Note of guidance on Integrated Missions" (Annan, 2006, p.1) in complex post conflict situations UN operations need to be integrated, in order to link the different dimensions of peace building : political, development, humanitarian, human rights, rule of law, social and security aspects. An integrated mission requires a strategic plan that foresees the different actions and interventions along the time-line in order to utilize the various capacities in a coherent, coordinate and mutually supportive manner. However, despite the changes made in recent years, the difficulties associated with its implementation remain significant:

*"A pesar de que más del 90% de los conflictos activos o latentes hoy día, son de naturaleza asimétrica y de que organizaciones como NNUU no han logrado controlarlos en la medida necesaria. Esta organización sigue siendo en teoría la mejor dotada para hacerlos frente, ya que se trata de conflictos que requieren una aproximación integral (comprehensive approach) de capacidades militares y civiles de carácter multidisciplinar. (Ballesteros Martín, 2011, p.1).*

### United Nations Structure

The Charter of UN establishes six main organs (UN, 1945, p.4):

- a. The UN General Assembly;
- b. The UN Security Council;
- c. The Economic and Social Council;
- d. The Trusteeship Council;
- e. The International Court of Justice (ICJ);
- f. The UN Secretariat.

The Security Council is in charge to maintain international peace and security and its responsibilities are written in the chapters VI, VII, VIII and XII<sup>11</sup> of the UN Chart (UN, 1945, article 24). The Security Council structure and the veto power are among the main causes that limit the implementation of the measures written

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<sup>11</sup>CHAPTER VI pacific settlement of disputes; CHAPTER VII action with respect to threats to the peace, breaches of the peace, and acts of aggression; CHAPTER VIII regional arrangements; CHAPTER XII International Trusteeship System

in the Chapters VI and VII of the Chart. The Security Council could be considered the less democratic organism of the UN because of its composition, where five members are permanent (France, GB, USA, Russia, China) *"Most of the other 186 Member States, as well as numerous scholars and blue ribbon commissions, have criticized the veto provision for being inequitable, undemocratic, and debilitating to the capacity of the Council to fulfil its core responsibility for the maintenance of international peace and security"* (Luck, 2003, p.14). These members have the veto power and for that reason very often it is not possible to reach an agreement and to intervene. The veto power has been utilized in many occasions and the longest period without the application of the veto goes from May 31, 1990 to May 11, 1993 (Dag Hammarskjöld Library, 2018). Besides, in the UN structure the Security Council has a preeminent role and even the General Assembly, probably the most democratic UN organism, can't make any recommendation to the Security Council if a dispute occurs: *"While the Security Council is exercising in respect of any dispute or situation the functions assigned to it the present Charter, the General Assembly shall not make any recommendation with regard to that dispute or situation unless the Security Council so requires"* (UN, 1945, art.12).

The Security Council, the only UN body that has the capacity to issue binding resolutions to member States, has five permanent members with veto power and for that reason it is not possible to reach an agreed solution when it involves the interests of a permanent member. The primary responsibility for the maintenance of international peace was given to the Security Council not to the General Assembly where all the nations are represented. The idea to review the membership of the Security Council began in 1992, at the end of the Cold War, when the international situation changed radically. The United Nations General Assembly justified this necessity also with the increasing membership that had reached 179 members (A/RES/47/62, UNGA, 1993). In 1993 the United Nations General Assembly decided *"to include in the provisional agenda of its forty-ninth session an item entitled "Question of equitable representation on and increase in the membership of the Security Council and related matters."* (A/RES/48/26, UNGA, 1993). The reasons behind this decision are in the 24th article of the UN chart where is written that the Security Council acts on behalf of the UN members *"in order to ensure prompt and effective action"*<sup>12</sup> and obviously the *"national interest"* rarely

<sup>12</sup>Article 24 1. *In order to ensure prompt and effective action by the United Nations, its Members confer on the Security Council primary responsibility for the maintenance of international peace and*



is common interest. The UN members delegate their power to the Security Council *"In order to ensure prompt and effective action"*, because it is not possible to have members with different powers in an organization that affirms in its principles *"sovereign equality"*<sup>13</sup>

In the report of the open-ended working group on the question of equitable representation on an increase in the membership of the Security Council many delegations criticized the use of the veto as: *"anachronistic, discriminatory and undemocratic"* (A/58/47, UNGA, 2010, p.30) because often is utilized to protect the national interests. This procedure *"de facto"* give an enormous power to the five permanent representatives, during the discussion on the use of the veto.

The Department of Peacekeeping Operations (DPKO) has the task of directing peacekeeping operations. Their complexity has led to various restructuring of the Department. In particular, in 2007 the United Nations General Assembly approved the establishment of a Field Assistance Department separate from the DPKO. The new department is headed by an Under Secretary General. The need for the creation of the new department derives from the growing complexity of operations. The reform was elaborated taking into account the need to guarantee the command unit and the political and strategic coherence, promoting the effectiveness and the command and control of the operations (A/RES/61/279, UNGA, 2007).

### United Nations Values

The Preamble of the UN Chart sums up the fundamental principles of the organization in order to *"save succeeding generations from the scourge of war"* to *"reaffirm faith in fundamental human rights"*, *"to establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained"* and *"to promote social progress and better standards of life in larger freedom"* (UN, 1945, Preamble). In this short paragraph there is already the idea of the comprehensive approach. Nevertheless, for many years, the organization was unable to implement this concept and the first peace operation **United Nations Truce Supervision Organization [Middle East] (UNTSO)**

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*security, and agree that in carrying out its duties under this responsibility the Security Council acts on their behalf."* (UN, 1945)

<sup>13</sup>Article 2

*The Organization and its Members, in pursuit of the Purposes stated in Article 1, shall act in accordance with the following Principles.*

*The Organization is based on the principle of the sovereign equality of all its Members."* (UN, 1945)

started in 1948 in order to supervise the truce between the Israelis and the Arab States (S/RES/66, UNSC, 1948). Peacekeeping operations, at the beginning, had only the objective to maintain a ceasefire or a truce and only after the end of the Cold War the UN started to implement more comprehensive operations.

### United Nations Objectives

The objectives of the UN can be drawn from the goals that they have given themselves with the Charter of the United Nations. The organization is composed of sovereign and independent states and is regulated by its Charter. The purposes of the UN are defined in Article 1 of the UN Charter (UN, 1945), and in summary they are:

- a. To maintain international peace and security;
- b. To develop friendly relations among nations;
- c. To achieve international co-operation in solving international problems of an economic, social, cultural, or humanitarian character, and in **promoting and encouraging respect for human rights and for fundamental freedoms** for all without distinction as to race, sex, language, or religion;
- d. To be a center for harmonizing the actions of nations in the attainment of these common ends.

The Article 2 of the UN Charter defines the principles that inspire the organization, which can be summarized as follows:

- a. All Members have sovereign equality;
- b. All Members shall fulfil in good faith the obligations assumed by them;
- c. All Members shall settle their international disputes by peaceful means;
- d. All Members shall refrain in their international relations from the threat or use of force;
- e. All Members shall give the UN every assistance;
- f. The states which are not members of the UN, should also act in accordance with these principles for the maintenance of international peace and security;
- g. No Member State shall interfere into the domestic jurisdiction of any State.

Even if the United Nations General Assembly is the largest and most representative UN body, the international security is decided by the Security Council where five nations can veto the approval of important decisions in order to protect their national interests (Kia, Ojie, and Kidi, 2010, p.2). The veto power creates a differentiation among the States represented in the Security Council in small or great powers (Chapnick, 1999, p.77), in order to protect their interest the first have to establish good relations, while the second ones need only military and economic power. Behind this procedure there are many criticism and a lot of proposals in order to eliminate this privilege or to increase the number of permanent member and reforming the Security Council (Okhovat, 2012, p.4).

### **United Nations Internal Analysis**

The analysis was carried out to identify the internal factors (Strengths and Weaknesses) and external factors (Opportunities and Threats) that help or not to respect human rights and international humanitarian law.

### **United Nations Strengths**

- a. Huge experience on the implementation of the comprehensive approach;
- b. Committed to maintaining international peace;
- c. The organization promotes and encourages respect for human rights and for fundamental freedoms for all without distinction as to race, sex, language, or religion;
- d. Multinational organization worldwide represented.

The UN was the first organization to identify the need to have a comprehensive approach to issues related to conflict resolution and its commitment to the defence of human rights appears unquestionable. The worldwide participation of almost all states gives it considerable authority.

### **United Nations Weakness**

- a. Theoretically, all member States are sovereign and equal, but the members of the Security Councils, the only body that really has executive powers has different status;

- b. The UN is funded by member States on a voluntary basis;
- c. States with veto rights, therefore with greater responsibilities in the maintenance of world peace, are poorly involved in UN peacekeeping missions (Thakur, 2016, p.72);
- d. Three permanent members with veto rights have not signed the Rome Statute of the International Criminal Court.

The UN weakness in defending international order and international law stems from some internal inconsistencies. Firstly, mention should be made about the veto power attributed to permanent members (often used to protect their national interests) and their low participation in peacekeeping operations (apart from China see table 2.3). Theoretically, the great power attributed to permanent members should correspond to greater responsibility and commitment to solving international crises. In reality, it appears that the same nations that want to maintain veto power within the UN to protect world peace often act unilaterally. Besides, the most representative organ of the UN, the General Assembly is subject to the decisions of the Security Council for the main objective of the UN *"The Purposes of the United Nations are: 1. To maintain international peace and security, "* (UN, 1945). In fact, subsequently article twelve of the UN Charter quotes: *"Article 12 1. While the Security Council is exercising in respect of any dispute or situation the functions assigned to it in the present Charter, the General Assembly shall not make any recommendation with regard to that dispute or situation unless the Security Council so requests."* This contrasts with the democratic principle of equality of the member States expressed in article two of the aforementioned UN Charter: *"Article 2 The Organization and its Members, in pursuit of the Purposes stated in Article 1, shall act in accordance with the following Principles. 1. The Organization is based on the principle of the sovereign equality of all its Members."*

In essence, a body that should be executive (the Security Council) for some fundamental issues has greater powers than a widely representative body (the General Assembly). These inconsistencies were understandable at the end of the Second World War in order to stabilize a situation still full of unknowns appear unrealistic after 75 years and with a completely changed geopolitical situation. Another internal problem is the voluntary participation and contribution to peacekeeping missions, which implies that nations participate in missions according to their interests and not to defend the law (it is as if the police decide to intervene or not

according to whether the thief steals to his home or to a neighbor and not to defend the law). The UN has not achieved its goals of maintaining world peace and respect for human rights. The cause is to be found in the lack of adequate tools, such as:

- a. An international justice body recognized by all (and in particular by the members of the Security Council);
- b. An army and a permanent police able to enforce the decisions of the Security Council and the International Tribunal;

Up to now the guarantee of respect for human rights therefore falls mainly on countries that are sovereign in their territory.

In fact the International Criminal Court established with the Treaty of Rome, in addition to having a jurisdiction limited to the signatory States of the same, can only judge four crimes:

- a. The crime of genocide;
- b. Crimes against humanity;
- c. War crimes;
- d. The crime of aggression.

Numerous members of the UN, including three members of the Security Council (Russia, China and the United States of America), have never signed or withdrawn their signature *"United States opposition to the International Criminal Court (ICC), which began its legal life on July 1, 2002, is widely seen as a manifestation of America's deeper and growing antipathy toward multilateral institutions."* (Orentlicher, 2003, p.415). The United Nations Security Council does not democratically represent the will of all nations but is an organization that still remembers the power relations of the victorious countries of the Second World War.

Furthermore, participation in peacekeeping missions is in fact a voluntary contribution, therefore States participate only if they have an interest in doing so. The lack of an international tribunal recognized by all States that adhere to the UN organization is a severe limit to the the action of international justice. In the event of crimes against humanity, countries such as China, Russia and the United States of America members of the Security Council are practically immune because the right of veto in their possession could block any decision against them.

The fall of the Berlin wall in 1989 could mark a new historical period unfortunately the UN proved unable to face the new challenges and the winning States of the Cold War only tried to exploit the new situation by gaining the so-called peace dividend by reducing military spending but keeping the balance of terror. The UN, leaving aside some clamorous failures (Somalia, Bosnia, Rwanda) guaranteed peace, international peace and security by doing valuable work and contributing greatly to the process of decolonization and the defence of human rights. It should also be noted that this institution grants some significant privileges to the restricted circle of countries that are the permanent representatives of the Security Council. The right of veto is a clear example of the inequality that exists at the international level and of the logic of the strongest, which in some cases seventy years after the constitution of the UN does not have a real correspondence. In today's world there are nuclear and demographic powers that are not permanently seated on the Security Council.

### **United Nations External Analysis**

This analysis tries to identify external factors that can affect the functioning of the UN in a positive or negative sense.

### **United Nations Opportunities**

- a. High representativeness;
- b. UN international role;
- c. Civilian and military organizations can work without problems under the UN umbrella. The blue helmets meticulously comply with the UN mandate and are specifically prepared to respect and enforce the international human rights law.

The UN Charter reaffirms the need to guarantee respect for human rights and the collaboration of the member States. These principles are shared by the 193 countries (UN, 2020b) that are currently part of the organization.

### **United Nations Threats**

- a. Veto power;

- b. Lack of confidence and funds. Peacekeeping missions are mainly attended by countries with less international influence (see table 2.3).

The UN certainly represent the organization with the greatest international participation and the greatest powers for the defence of human rights. At the same time within them the Security Council does not apply a basic principle of democracy equality:

*"Clearly, the veto power held by the five permanent members of the UN Security Council goes against all traditional principles of democracy. Within the International Monetary Fund (IMF) and the World Bank, the voting rights of member states are undemocratically measured on the basis of financial contributions." (Archibugi, 2004, p.449).*

Not taking into account the aforementioned veto power by the five permanent representatives of the Security Council, it must be remembered that the participation and financing of peacekeeping missions is voluntary and therefore a failure to contribute is sufficient to arrest them and all missions have a political purpose (Martin, 2010, p.8). At the same time, it is clear that peacekeeping missions are mainly attended by countries with less international influence while the major powers participate only if interested. In the first ten position there are no countries with veto power (DPKO, 2019).

Member State	Female	Male	Total
1. Ethiopia	631	6028	6659
2. Bangladesh	256	6181	6437
3. Rwanda	401	5912	6313
4. Nepal	257	5398	5655
5. India	93	5340	5433
6. Pakistan	82	4380	4462
7. Egypt	65	3120	3185
8. Indonesia	162	2694	2856
9. Ghana	419	2365	2784
10. China	86	2452	2538
11. Tanzania (United Republic of)	202	2093	2295
12. Morocco	47	2099	2146
13. Senegal	132	2007	2139
14. Chad	43	1424	1467
15. Burkina Faso	90	1371	1461
16. Togo	120	1325	1445
17. South Africa	187	963	1150
18. Uruguay	82	1044	1126
19. Cameroon	121	966	1087
20. Italy	50	1005	1055

TABLE 2.3: United Nations peacekeeping contributing Nations  
(UN, 2020a)

## 2.4.2 The European Union

The EU represents one of the great political actors in the world despite the undoubted internal difficulties, highlighted in recent times, the exit of Great Britain represents the most striking example. This chronic weakness is sometimes highlighted and criticized by those who believe that military strength is essential *"On the other hand, some critics assert that on the whole the EU remains an economic power only, and that its foreign and security policies have little global impact"* (Mix, 2013, p.1). Participation in the EU implies a set of standards to which all member States must comply which characterize its identity: *"España es un país*



*abierto al mundo, que respeta el Estado de derecho, el valor del consenso constitucional, defensor de los derechos humanos, de la legalidad internacional y del multilateralismo, que son señas de identidad de la Unión Europea.*" (Ballesteros Martín, 2017, p.6). Respect for human rights is one essential condition and all states that join the Union are signatories to the European Convention on Human Rights (ECHR) (ECHR, 1950).

The need for an autonomous European defence capability took shape in the 1990s after the tragic war of the Former Yugoslavia which demonstrated the European inability to intervene effectively to stop the tragic conflict. It was evident that no European State alone was able to act individually in the global context. The EU needed autonomous and credible military forces to face the new security challenges that resulted from the political instability following the fall of the Soviet Union. The only military response seemed already insufficient to resolve these complex crises (Drent, 2011, p.3).

### **European Union Comprehensive Approach evolution**

The awareness that the use of force alone is insufficient to resolve the current crises and the inability to reach shared political decisions has led Europe to create a security model that is not based solely on the use of force *"Il modello di sicurezza inclusiva a cui l'UE s'ispira mira non solo a gestire i conflitti, ma anche a prevenirli."* (Greco, Pirozzi, and Silvestri, 2010, p.2). In this context, it is interesting to see the evolution of this concept. Attempts to establish a common European security and defence policy begin in 1954 with the foundation of the Western European Union (WEU) (WEU, 1954, p.1) however it is only in 1992, with the signing of the Maastricht Treaty, that the common foreign and security policy of the EU begins *"The Union shall in particular ensure the consistency of its external activities as a whole in the context of its external relations, security, economic and development policies."* (EU, 1992a, p.4). The subsequent treaties of Amsterdam (EU, 1997) and Nice (EU, 2002) have expanded and improved the decision-making mechanisms of the Union. Initially, the European solution was based on Civil and Military Cooperation, which guaranteed coordination with civil organizations at a tactical level, while at the strategic level it was based on Civil-Military Coordination. It was a fairly similar approach to that used by NATO. This similarity is understandable considering that most of the states belonging to the EU also belong to NATO (Faleg, 2018, p.15).

### **European Union Comprehensive Approach doctrine**

The need to implement a comprehensive approach to new challenges and instability was widely shared. Numerous European documents highlight the need to coordinate the efforts of all the bodies involved and the close inter-relationship that exists between development, security and peace (Faria, 2014, p.2).

The doctrine of the EU to intervene in crisis situations involves the following measures (EC/HRVP, 2013, p.5):

- a. Develop a shared analysis;
- b. Define a common strategic vision;
- c. Focus on prevention;
- d. Mobilise the different strengths and capacities of the EU;
- e. Commit to the long term;
- f. Linking policies and internal and external action;
- g. Make better use of EU delegations ;
- h. Work in partnership.

### **European Union Structure**

The EU has a structure that has changed over time with successive treaties. It was born in 1957 with the Treaty of Rome signed by six countries Belgium, France, Germany, Italy, Luxembourg and the Netherlands (CEE, 1957):

1. The Assembly;
2. The Commission;
3. The Court of Justice;
4. The Council.

The European Economic Community (EEC) in 1992 was transformed into the European Community (EC) with the Maastricht Treaty, deleting the Assembly and adding to its structure the European Parliament and the Court of Auditors (EU, 1992b, p.6). The last change to the structure of the EU occurred in 2007 with the Lisbon Treaty of 2007:

**Article 9**

1. *The Union shall have an institutional framework which shall aim to promote its values, advance its objectives, serve its interests, those of its citizens and those of the Member States, and ensure the consistency, effectiveness and continuity of its policies and actions. The Union's institutions shall be:*

- *The European Parliament;*
- *The European Council;*
- *The Council;*
- *The European Commission (hereinafter referred to as “the Commission”);*
- *The Court of Justice of the European Union;*
- *The European Central Bank;*
- *The Court of Auditors.*

*(EU, 2007)*

The inclusion of the a High Representative and the **European External Action Service (EEAS)** is also very important <sup>14</sup>.

**European Union Values**

The fundamental values of the **EU** are gathered in the consolidated version of the Treaty of the European Union and in particular article 2 reads:

**"Article 2**

*The Union is founded on the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities. These*

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<sup>14</sup> "The Treaty of Lisbon sets out the principles, aims and objectives of the external action of the **EU**. In the pursuit of these objectives, the Treaty calls for consistency between the different areas of EU external action and between these and its other policies. Following the entry into force of the Treaty and the new institutional context it created, including the creation of the post of High Representative of the Union for Foreign Affairs and Security who is also Vice-President of the Commission as well as the establishment of the European External Action Service (EEAS)," (EC/HRVP, 2013, p.2).

*values are common to the Member States in a society in which pluralism, non-discrimination, tolerance, justice, solidarity and equality between women and men prevail" (EU, 2016a, p.17).*

It is possible to find the European values also in the preamble of the Charter of Fundamental Rights of the European Union that protect the fundamental human rights for EU citizens *"Conscious of its spiritual and moral heritage, the Union is founded on the indivisible, universal values of human dignity, freedom, equality and solidarity; it is based on the principles of democracy and the rule of law."* (EU, 2012, p.395).

### **European Union Objectives**

The objectives of the EU are outlined in the Lisbon Treaty, in particular article two of the treaty states: *"The Union's aim is to promote peace, its values and the well-being of its peoples"* (EU, 2007, p.11). With regard to the defence of human rights and the maintenance of international peace, Article 2 of the Lisbon Treaty always states that:

*"It shall contribute to peace, security, the sustainable development of the Earth, solidarity and mutual respect among peoples, free and fair trade, eradication of poverty and the protection of human rights, in particular the rights of the child, as well as to the strict observance and the development of international law, including respect for the principles of the United Nations Charter."*

The EU therefore appears as an example in the defence of peace, human rights and international law which are repeatedly mentioned in its treaties.

### **European Union Internal Analysis**

#### **European Union Strengths**

The EU is one of the examples of how economic and social integration can reduce conflicts. In fact, after devastating wars conducted worldwide, for about seventy years it has enjoyed peace and social well-being, placing itself at the forefront in the defence of human rights. One of the aims of the EU is to promote greater social, political and economic harmony. Europe in its long and slow journey, after

centuries of devastating wars, has achieved important objectives, such as the unification of European markets, the use of a single currency, the creation of a series of legal standards. EU has always identified international human rights law and rule of law as one priority (EC/HRVP, 2013, p.5). EU has been determined to carry on this security policy being aware of the necessity and also of its capacity to employ the humanitarian dimension of international missions defending the rule of law and international human rights law (Driver, 2010, p.136).

### European Union Weakness

The EU is convinced of the effectiveness of the comprehensive approach, the problem however is how to tackle it properly *"The issue is not whether to take a Comprehensive Approach, but how to do it"* (Faria, 2014, p.2). EU like UN is an organization with a wide array of political and economic instruments but often EU lacks of unity of purpose and the Member States are divided on the foreign and security policy. Difficulties in cooperation have also been encountered recently in the face of the threat of a pandemic due to the coronavirus with a divided Europe that has been unable to cooperate effectively *"Mounting a global and comprehensive response to COVID-19 is hugely challenging, yet indispensable to address the pandemic at scale"* (Jones et al., 2020, p.1). Once again we have seen the internal interests of each country prevail over common interests. Unfortunately, these divisions are not recent and embrace the main sectors, such as trade (Dür and Zimmermann, 2007, p.774) or foreign policy (Koenig, 2011, p.24).

This internal weakness sometimes is a strength because give the possibility to approach the same problem with different perspectives. Indeed, the EU is an economic giant like USA or China, but without a political union and to some extent it is *"forced"* to promote the multilateralism. In this context it is an organization that *"promote a rules-based global order with multilateralism as its key principle and the United Nations at its core"* (EU, 2016b, p.15). States and international organizations that do not have sufficient military strength to impose their will are more likely to use the comprehensive approach to resolve conflicts. Even NATO in Afghanistan reinvented the comprehensive approach when it realized that military victory would not guarantee peace in the region. The EU emphasizes these concepts in its new Global Strategy (EU, 2016b) and is committed to work closely

with the UN<sup>15</sup>. EU and UN are therefore united in their multilateral vision of international relations and in the use of the comprehensive approach. The migration pressure coming from the south flank is the result of the economic disparities and poor social conditions that still exist in Africa and in the Middle East. Human rights defence is not only a political slogan but also a way to reduce the migration flow (Cstles, 2010, p. 211).

The lack of a strong European Army even if on the one hand has led to the development of multilateral approaches to the problem of security and defence on the other hand it is a serious deficiency. In the first phase of the peacekeeping operations it is almost always necessary to stabilize the situation to allow a partial return to the normal situation before intervening decisively on the causes of the conflict. For some years now, in Europe, we have been thinking about setting up an army (Cîrlig, 2015b, p.2). Indeed, the individual States that make up the EU have excellent armies and capabilities, armies that would be readily usable because they are already trained to interact, being almost all part of NATO. What is missing is a real political will and sometimes a desire to keep the army available to support national rather than European Foreign Policy.

## European Union External Analysis

### European Union Opportunities

European multilateralism is a forced choice because after centuries of wars fought on its territories, Europe has greatly reduced its military expenditure and does not have its own army of sufficient size. However, this weakness from a military point of view pushes Europe to seek cooperation and reach shared solutions. The wide availability of political, economic, diplomatic instruments and the numerous relations allow to intervene effectively in numerous situations. In 2003, Europe began to actively cooperate with the UN by carrying out a joint UN-EU declaration on UN-EU cooperation in crisis management. Subsequent declarations and action plans strengthened this cooperation which has a solid foundation based on common values and principles (Cîrlig, 2015a, p.5), such as the defence of human rights and democracy.

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<sup>15</sup>"The European Union's new global strategy entitled *Shared Vision, Common Action: A Stronger Europe* emphasizes the importance of acting promptly on prevention. It also emphasizes the importance of an integrated and comprehensive approach to conflict, and the EU's commitment to working through the multilateral system, with the United Nations at its core" (S/IPv.7857, UNSC, 2017)

### European Union Threats

In recent years, in a Europe unable to achieve true political and not just economic and financial union, euro sceptics have begun to make headway. In 2016, Britain decided to convene a referendum to decide whether or not to stay within the Union. The result with 52% of the results in favor of leaving showed the difficulties that the dream of a united Europe still faces despite the considerable expansion of the last few years. The reasons for this vote are many and complex and will probably be studied in the coming years, certainly an important role has been played by the fight against immigration. The economic difficulties of European countries and the inability to meet concrete solutions pushes politicians to demonize immigration as the main cause of all problems (Riley and Ghilès, 2016, p.61). Xenophobia towards immigrants is not a new problem and has become more extreme over time, resulting in general more widespread among men and increasing with age (Díez-Nicolás, 1998, p.15).

Belonging to Europe involves a series of commitments such as respect for democracy and human rights, but also a series of economic measures called "the stability pact" that force States to respect certain economic and financial parameters. Unfortunately, for different reasons, not all the countries are in a position to respect these agreements. Budget restriction policies are hated by politicians who must demonstrate to the population their ability to administer and provide well-being. Crisis caused by a certain structural inconsistency of the EU *"the institutional architecture of the Eurozone, whose member states share a common currency and monetary policy, but retain national control over fiscal and banking policies"* (Belkin and Jackson, 2015, p.2).

The EU remains more an economic union than a political one, and consequently at the level of foreign policy, although there is coordination, each state decides independently. Obviously, it is above all the strongest economically and militarily States that make unilateral decisions *"A powerful state that can achieve its policy goals using its own resources without the need of international support can pursue a foreign policy that would not follow accepted international norms."* (Tago, 2017).

### 2.4.3 The North Atlantic Treaty Organization (NATO)

#### North Atlantic Treaty Organization Comprehensive Approach evolution

The distinction between peace and war becomes increasingly difficult, the state of war is often not declared, in addition to national States there are often terrorist organizations that start armed conflicts and often it is very difficult to distinguish legitimate combatants from civilians. The result is that nations with powerful armies are forced into endless conflicts that often involve civilians who are no longer involuntary victims of the conflict but an important part of it. Since all the belligerents need the support of the civilian population in order to win conflicts they are more and more bloody, ruthless and violent. Examples of this situation are the conflicts in Afghanistan, Iraq, Syria and Libya. Although NATO has a very efficient military organization, it is not able to win the war against organizations that adopt the strategy of hybrid warfare, guerrilla warfare and terrorism. In this context, the adoption of the Comprehensive approach was a forced choice in 2006 to try to stabilize the conflict in Afghanistan:

*"Experience in Afghanistan and Kosovo demonstrates that today's challenges require a Comprehensive Approach by the international community involving a wide spectrum of civil and military instruments, while fully respecting mandates and autonomy of decisions of all actors, and provides precedents for this approach." (NATO, 2006, p.10).*

#### North Atlantic Treaty Organization Comprehensive Approach doctrine

NATO military capabilities need to interact with civilian organization in every phase of an operation because they share the same area and at least have to coordinate the use of the infrastructure present. The CIMIC is a necessity more than an opportunity. In 2002 NATO developed the Military policy on CIMIC that establish the terminology and some aspects of the civil-military relations. According to this document the purpose of CIMIC is to *"establish and maintain the full co-operation of the NATO commander and the civilian authorities, organisations, agencies and population within a commander's area of operations in order to allow him to fulfil his mission"* (MC 411/1, NATO, 2002). The aim and the purpose of CIMIC is clear in its definition *"The coordination and cooperation, in support of the mission, between the NATO Commander and civil actors, including*



*national population and local authorities, as well as international, national and non-governmental organizations and agencies.*" (AJP-3.4.9, NATO, 2013, p.2-1). In this context CIMIC assume a fundamental role in the implementation of the comprehensive approach <sup>16</sup>.

### **North Atlantic Treaty Organization Structure**

**NATO** is a political and military alliance created in 1949 essentially for defensive purposes to respond to the threat of the Warsaw Pact and at the same time to improve European Political Integration in a time of extreme crisis caused by the aftermath of the Second World War. **NATO** has progressively enlarged by incorporating new members from 12 to the current 26. **NATO** continued its activity even after the end of the Cold War and the fall of the Berlin wall, obviously adapting its structure by reducing its staff and welcoming members of the dissolved Warsaw Pact among its ranks. The structure of **NATO** is quite complex and is divided into a civil part, a military part and a series of organizations and agencies (NATO, 2012, p.1).

### **North Atlantic Treaty Organization Values**

The inspiring principles of the Alliance are written in the premise of the Treaty which in turn recalls faith in the principles and purposes of the United Nations Charter (NATO, 1949, p.828). The common values of the organization are (NATO, 2019c, p.1):

- a. Individual liberty;
- b. Democracy;
- c. Human rights;
- d. Rule of law.

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<sup>16</sup>"Three essential aspects of a Comprehensive Approach, therefore also part of CIMIC, are identified:

- (1) Improving the application of the Alliance's own crisis management instruments.
- (2) Improving the Alliance's practical cooperation at all levels with partners, the UN and other relevant international organizations, NGOs and local actors in the planning and conduct of operations.
- (3) Enhancing NATO's ability to bring military support to stabilisation activities and reconstruction efforts in all phases of a conflict." (AJP-3.4.9, NATO, 2013, p.2-2)

## North Atlantic Treaty Organization Objectives

**NATO** is a military alliance of 29th States constituted in 1949, after the II world war, essentially for the collective defence of the European states. The North Atlantic Treaty reaffirms: *"the purposes and principles of the Charter of the United Nations"* (NATO, 1949) and in the first article the Parties undertake to settle any dispute according to the Charter of the UN <sup>17</sup>.

## North Atlantic Treaty Organization Purposes

The organization was born essentially to set up a collective defence system where member States agree to defend any member State if attacked *"The essential purpose of the North Atlantic Alliance is to safeguard the freedom and security of all its members in Europe and North America in accordance with the principles of the United Nations Charter."* (NATO, 2004, p.1). The defence mechanism is described in article 5 of the treaty and provides for the possibility of collective intervention if a member is attacked in one of the territories defined in the treaty *"The Parties agree that an armed attack against one or more of them in Europe or North America shall be considered an attack against them all"* (NATO, 1949, p.829). At first the defence mechanism was used in 2001 after the September 11 attack (NATO, 2004, p.5). Initially it was only a political organization which also had a very complex military structure that opposed the Warsaw Pact. With the fall of the Berlin Wall and the dissolution of the Warsaw Pact it has not stopped working but has continued to reorganize itself and set new goals *"Today, NATO is much more than a defensive Alliance. Indeed, it has reached out to former adversaries and is now working to build and preserve peace and security throughout the Euro-Atlantic area"* (NATO, 2004, p.3). **NATO** is an organization committed to maintaining the security and defence of its members: *"NATO's essential and enduring purpose is to safeguard the freedom and security of all its members by political and military means. Collective defence is at the heart of the Alliance and creates a spirit of solidarity and cohesion among its members."* (NATO, 2019c, p.1).

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<sup>17</sup> *The Parties undertake, as set forth in the UN Charter, to settle any international disputes in which they may be involved by peaceful means in such a manner that international peace and security, and justice, are not endangered, and to refrain in their international relations from the threat or use of force in any manner inconsistent with the purposes of the UN.* (NATO, 1949)

## North Atlantic Treaty Organization Internal Analysis

### North Atlantic Treaty Organization Strengths

The military capabilities of the Alliance are remarkable although they are not always useful in new forms of struggle such as hybrid or asymmetric wars. Multilateralism is certainly one of the major strengths of the Alliance, even if States like the United States of America reserve the right to intervene anywhere in the world, even outside the Alliance. However, starting on 11 September 2011, the United States of America reserved the right to intervene anywhere in the world, even outside the Alliance, reserving the possibility of setting up "ad hoc" coalitions. The change is substantial, since decisions must certainly be shared within an alliance. In a coalition there is one or more States that decide to start an action for a specific purpose or goal. The operations conducted by NATO certainly follow the principles and values written in the Treaty but when the same States operate outside the same coalitions they do not undergo the same obligations (or limitations). Clearly the decision to create coalitions based on a common will and interest increases the freedom of action of the United States of America:

*"We are not going to impose our values on others. Our alliances, partnerships, and coalitions are built on free will and shared interests. When the United States partners with other states, we develop policies that enable us to achieve our goals while our partners achieve theirs."*  
(Trump, 2017, p.37).

### North Atlantic Treaty Organization Weakness

After the end of the Cold War, the military expenditure of all NATO countries fell significantly. The end of direct confrontation with the Warsaw Pact allowed all western countries to reduce their military commitment and enjoy the so-called peace dividend (Gupta et al., 2002). Obviously not all countries reduced expenses in the same quantity and however all took advantage of the umbrella set up by the collective defence. In recent years, the considerable economic resources used in the endless wars conducted in Afghanistan, Iraq, Syria and Libya have created tensions between the member countries that can be perceived in the London declaration of the NATO summit 2019:

*"We are determined to share the costs and responsibilities of our indivisible security. Through our Defence Investment Pledge, we are*

*increasing our defence investment in line with its 2% and 20% guidelines, investing in new capabilities, and contributing more forces to missions and operations. Non-US defence expenditure has grown for five consecutive years; over 130 billion United States of America dollars more is being invested in defence. In line with our commitment as enshrined in Article 3 of the Washington Treaty, we continue to strengthen our individual and collective capacity to resist all forms of attack. We are making good progress. We must and will do more."* (NATO, 2019b, p.1)

## **North Atlantic Treaty Organization External Analysis**

### **North Atlantic Treaty Organization Opportunities**

NATO's cooperation with the UN and the EU represents an excellent opportunity to cooperate on the maintenance of international peace and security. NATO adheres to all the principles of the UN and therefore the possibilities for cooperation exist and are many. In particular, the UN does not have a military capability comparable to that of an organization that has faced the Warsaw Pact for decades. In recent decades, NATO has carried out numerous peacekeeping operations with the consent of the UN, transforming itself from a purely defensive alliance to a global player (Oertel, 2008, p.2). Cooperation with the EU is also obvious because many EU countries are members of NATO and share principles and values. For a long time, cooperation has seen the EU and NATO with two distinct objectives: *"EU remained focused on its political and economic integration goals, leaving NATO to focus on the provision of European continental defence."* (Mesterhazy, 2017, p.2). Over the years, however, new perspectives of cooperation have opened up, on the one hand Europe tries to become independent as regards defence, on the other the new hybrid threats must be tackled jointly (Bendiek, 2016, p.3). This new type of threat requires a new panoply of tools that impose an urgent improvement: *"Boost our ability to counter hybrid threats, including by bolstering resilience, working together on analysis, prevention, and early detection, through timely information sharing and, to the extent possible, intelligence sharing between staffs"* (NATO, 2016, p.1).

### North Atlantic Treaty Organization Threats

Even if **NATO** has been engaged in peacekeeping operations in recent decades and has remained faithful to the principles of the **UN**, it remains a defensive organization and therefore its use in certain operational scenarios could be seen as a challenge. Therefore its use remains particularly conditioned in a period where a new arms race is opening *"Russia's deployment of new intermediate-range missiles, which brought about the demise of the Intermediate-Range Nuclear Forces Treaty and which pose significant risks to Euro-Atlantic security"*. (NATO, 2019b, p.2).

## 2.5 Comparative Analysis

**NATO**, **EU**, and **UN** are obviously organizations with different value structures and objectives therefore also the comprehensive approach is affected by these differences and in the following section I will try to answer two of the questions that guide the research, namely (see section 1.5.1):

- a. Which are the Strengths, Weakness, Opportunities, Threats of the comprehensive approach model regarding the respect of human rights and international humanitarian law?
- b. Which typology of comprehensive approach developed by **UN**, **EU**, **NATO** respect more the human rights and international humanitarian law?

This section represents a comparative analysis of the comprehensive approach developed by **UN**, **EU** and **NATO** trying to answer the research questions (see section 1.5.1) regarding the typology of comprehensive approach that best suit the respect of human rights and international humanitarian law.

### 2.5.1 Internal Analysis

#### Strengths

All three organizations are compromised with respect for human rights and international law, however with some differences. The **UN** has among its objectives the promotion of human rights and not only the obligation to respect them when engaged in peace keeping operations. They also have the task of harmonizing everyone's actions to achieve this common goal. Respect for human rights is also

of fundamental importance for the EU, as well as one of the conditions for admission to it. The importance of this respect is reflected in the Charter of Fundamental Rights of the European Union (EU, 2012). Even NATO like the two previous organizations is committed to the defence of human rights, however this defence is instrumental to the primary objective of the organization: the defence of its member States. All three organizations have a multilateral approach in the way of resolving conflicts and a large number of military, political and economic instruments. The comparison shows that the UN have a greater representativeness, the EU a greater ability to employ economic power and NATO an indisputable military power.

UN	EU	NATO
Committed to maintaining international peace and in promoting and encouraging respect for human rights	Political and diplomatic way to resolve conflicts	Committed to maintaining the security and defence of its members
High representativeness	Economic power	Military power
Multilateralism, wide array of political instruments	Multilateralism, wide array of political and economic instruments	Multilateralism, wide array of military, political and economic instruments

TABLE 2.4: Comparative analysis strengths

### Weakness

The comparison of the weaknesses shows how the UN, despite being by far the most compromised with the application of human rights, maintain within them an organism of fundamental importance, the Security Council which probably should be reformed because the use of the veto power remains tied to the national interest *"Since the establishment of the Security Council, permanent members have used their power of veto in accordance with their national interests."* (Okhovat, 2012, p.3). It is evident that the exercise of the veto power for national interests together with the non-ratification of the Rome Statute by some permanent members of the

Security Council bases international relations on the exercise of inherited power *"Permanent members have not only exerted their prerogatives to shield friendly States from condemnation or economic sanctions, they have also used it to stall peacekeeping or peace enforcement operations."* (Wouters and Ruys, 2005, p.150). Three States with veto rights (United States of America, Russia and China) are not part of the Rome Statute of the International Criminal Court (ICC, International Criminal Court, 2020), which although it has powers limited to only four categories of crimes could mark a first approach to a true international justice system based on the law and not on the power relations.

Even the proposals to reform the Security Council that took place at the end of the Cold War have only sought an expansion of the same to countries that for their economic or military power believe they have the right to a permanent seat. The current voting procedure of the Security Council has not allowed the UN to intervene to prevent or resolve numerous conflicts *"The veto rights of the P-5 has been one reason why the Security Council has been quiet about a number of international conflicts with implications for international peace and security"* (Mahmood, 2013, p.126).

The EU has achieved good economic integration, however at the political and military level it still does not have a clear course of action. The European States often defend their national interests. The internal weaknesses and the lack of cohesion of the European States are evident in numerous sectors, in trade (Bermejo García and Garcíandía Garmendia, 2012, p.54), finance (Buttigieg, 2014, p.199), (Luif, 2003, p.21), etc.

NATO in recent years has shown an internal weakness due to conflicting opinions on the percentage of contribution to be allocated to military expenditure. The difficulties within NATO regarding the percentage of expenses dedicated to defence emerged in the last summits. In fact the United States of America have always allocated a much higher percentage of resources while the other countries after the end of the Cold War reduced their military expenses. These internal difficulties are clearly evident in the last London declaration where in point number 2 of the last London declaration it clearly refers to everyone's commitment to increase military spending up to two percent of the Gross Domestic Product of each State *"We are determined to share the costs and responsibilities of our indivisible security. Through our Defence Investment Pledge, we are increasing our defence*

*investment in line with its 2% and 20% guidelines, investing in new capabilities, and contributing more forces to missions and operations" (NATO, 2019b).*

UN	EU	NATO
Security Council is not democratic	Lack of unit of purpose	Budget problems
Veto Power	Need to reach shared opinions	
Limited participation in the International Criminal Court		

TABLE 2.5: Comparative analysis weakness

## 2.5.2 External Analysis

### Opportunities

The UN has carried out a fundamental task in the maintenance of world peace and security and could improve their worldwide recognition if a reform aimed at strengthening the General Assembly was undertaken and at the same time eliminating the veto power which represents a legacy of the Second World War. A reform of the Security Council would probably be a good opportunity to give new life to this institution which appears too tied to the results of the Second World War and unable to keep its promises, which obviously must be based more on legality and not on power relations *"Eternal seats for the era's great powers - the United States, the Soviet Union, France, the United Kingdom, and China - now known as the Permanent 5 (P-5) with the right to veto decisions of substance, was an essential component of the original 1945 deal."* (Weiss, 2003).

The EU could increase its positive influence in respect for human rights with the creation of a permanent European Army, essential to guarantee the security conditions necessary for the development of the comprehensive approach. In addition, the establishment within itself of the Co-ordinated External Action which follows the lines of the Common Foreign and Security Policy (CFSP), thus constitutes a further step forward *"Apart from its attempts at co-ordinated external*



action through the common foreign and security policy (CFSP), the EU has developed a wide array of external relations which reach from the traditional field of external trade to democracy promotion and co-operation in various policy areas falling under its legislative competence" (Lavenex and Schimmelfennig, 2009, p.791).

Better NATO cooperation with the UN (Oertel, 2008, p.4) and the EU (Latici, 2019, p.83) could improve the efficiency of peacekeeping operations and avoid temptation by some countries to act alone in defence of their national interests.

UN	EU	NATO
A stronger General Assembly	Creation of EU Army	NATO cooperation with UN and EU
Possible reform of the veto power	-	-

TABLE 2.6: Comparative analysis opportunities

### Threats

The successful reforms of the UN have remedied the sensational failures of the 1990s in peace operations. In particular, in 2000 the Report of the Panel of the United Nations Peace Operations (Brahimi, 2000), compiled a list of problems and possible solutions to remedy the disastrous operations in Somalia, Rwanda, Bosnia and Congo to name a few (Jacobson, 2012, p.3). However recent cases of sexual abuse by personnel participating in peacekeeping operations (UN, 2020c) and the chronic lack of funds could limit the capacity for action (Beaumont, 2018).

The main threats to action by the EU stems from its political instability and economic confrontation with other States that undermine the foundations of this organization. The European project after a period of progressive enlargement begins to highlight some difficulties. Europe in recent years has seen a progressive decline of its economic capacities, the creation of strict budget control rules has favoured some economies at the expense of others, creating differences between North and South of Europe *"Economic pundits have proposed splitting the eurozone into a rich north and a poor south, while the neologism 'Grexit' captured the headlines in 2012 to denote Greece's potential departure from the euro. Thus, the obvious*

*question is whether the EU is also on the road to disintegration.*" (Vollaard, 2014, p.1). A political project based on economic integration, very attractive to weaker economies, begins to disintegrate when the economy is not doing well and would need a clear political direction *"The period since World War II has been marked by growing economic and cultural globalization and, in Europe, increasing political integration under the auspices of the European Union"* (Sampson, 2017, p.163). The economic difficulties have favoured the birth of national parties which are against the permanence in Europe. In Great Britain, for example, economic difficulties have led some parties to accuse European immigration policies as the cause of unemployment *"Unlike most other EU member states, Britain opted not to impose temporary restrictions on the inward migration of EU nationals from the so-called A8 states in Central and Eastern Europe that were due to join the EU in 2004"* (Riley and Ghilès, 2016, p.60). Europe has always put the defence of human rights at the forefront, however the birth of these nationalist movements has also had implications for Europe *"The hotly contested referendum was marked by the rise of a populism based on the desire to regain control of immigration and reclaim national sovereignty from international institutions."* (McBride, 2016)

**NATO** is also experiencing considerable difficulties, defence budgets have gradually decreased since the 1990s in almost all European States, which have benefited since the end of the Cold War from the famous peace dividend (Loayza, Knight, and Villanueva, 1999, p.2). The emergence of new global players such as China (Heisbourg, 2020, p.86) on the world stage, the rebirth of Russia and new global tensions push towards a new arms race. While the western economies hit by a deep economic crisis are reluctant to increase defense spending, the United States of America, which instead spend a lot on defence, pretend that the other States that are part of the Alliance do the same. In this context the United States of America have begun to withdraw its troops from Europe and at the same time have suspended the treaty with Russia on the reduction of short-range nuclear weapons, which was created mainly to ward off a war in Europe (Dumoulin, 2020, p.49). All of this is clearly a call to Europeans' responsibility and it could undermine the confidence in an alliance that has survived for more than seventy years. The alliance remains standing for the time being, however, there is a risk that a possible military confrontation with Russia could take place on European soil, which had been averted for thirty years.

UN	EU	NATO
Clamorous failures	Clamorous failures	Military confrontation
Abuses during UN peacekeeping operation	Political disintegration (BREXIT)	-
Lack of funds	Economic confrontation	-

TABLE 2.7: Comparative analysis threats

### 2.5.3 Which typology of Comprehensive Approach developed respectively by UN, EU, NATO respect more the Human Rights and International Humanitarian Law

From the analysis carried out it appears that all the organizations examined have among their objectives the defence of human rights, even if in the case of **NATO** the same appears instrumental for the achievement of its objectives. The comprehensive approach developed by the **UN** appears to be the one most addressed to the defence of human rights and international humanitarian law, however the same structure and organization of the **UN** limit its possibility of action. A possible reform appears difficult to implement, since the **UN** are still tied to mechanisms of force and power, rather than justice. The **EU** adheres to all the principles and values of the **UN**, unfortunately it still appears weak and politically immature to be able to take consistent and lasting initiatives, furthermore it is facing an economic and social crisis in these moments. In this context it is important to create a series of codes of conduct and values that help all the actors involved to cooperate and collaborate *"We need to develop a set of values, perhaps even a code of conduct, that will steer our appropriate use of the comprehensive approach and ensure that ultimately it serves those whom we have been mandated to protect and assist."* (Rintakoski and Autti, 2008, p.26). In fact currently the methodology adopted is to coordinate the various organizations through new work procedures and procedures that do not take into account the characteristics of the people involved.

This problem is connected to the transitional justice dilemma when is not possible to prosecute all the international human rights law violations if we want to continue the peace process. The reconciliation process in this case admit the amnesty

of the perpetrators of international human rights law abuses (Doung and Ear, 2010) and it is very difficult to understand which are the limits of this procedure. After a period of massive and systematic violation, the States often are unable to prosecute the culprits and they have to find different way to address the rights of the victims (Van Zyl, 1999). Other authors believe that this is a false dilemma, a long and stable peace always needs justice because injustice is one of the most important root causes of conflicts (ICTJ, 2011). Transitional justice requires an holistic approach involving all the stakeholders in the process (Annan, 2004):

*"Restoration of or transition to democracy and/or peace. This expression, as used in these principles, refers to situations leading, within the framework of a national movement towards democracy or peace negotiations aimed at ending an armed conflict, to an agreement, in whatever form, by which the actors or parties concerned agree to take measures against impunity and the recurrence of human rights violations." (Orentlicher, 2005, p.6)*

In any case, even if the protection of the international human rights law is not absolute and in some cases could be limited in the attempt to reach a reconciliation process there are limits to this procedure:

*"The UN cannot endorse provisions in peace agreements that preclude accountability for genocide, war crimes, crimes against humanity, and gross violations of human rights, and should seek to promote peace agreements that safeguard room for accountability and transitional justice measures in the post-conflict and transitional periods." (UN, 2010, p.4).*

In this case the international law does not permit any kind of amnesties (A/HRC/12/18, UNGA HRC, 2009, p.16), the victims have the right to reparations and the societies have to know the truth about violation.

#### **2.5.4 Which strategy to adopt**

The concept that peace, security, human rights and sustainable development are mutually reinforcing (S/PV.7926, UNSC, 2017) is at the base of UN action and it plays a fundamental role, obviously its implementation needs a clear and strong cooperation among the different stakeholders. The comprehensive approach is the

tool that makes it operational avoiding the fragmentation of the action coordinating all the efforts. The first problem we need to face is how improve the collaboration among States limiting the national interests which are noteworthy but not prominent. If collaboration is important at strategic level it seems to be essential at the operational level between the civil and military organizations involved. Different objectives and national interests make this collaboration difficult even if it appears to be of fundamental importance to solve the problems at the root. The failure to respect human rights it is at the same time a cause and a consequence of the numerous international conflicts. Guaranteeing respect for human rights therefore plays a fundamental role in the prevention and resolution of these conflicts. The ideal solution would probably be the presence at international level of a court capable of repressing and punishing violations. Unfortunately, the International Criminal Court currently does not have the tools and consent necessary to intervene worldwide and States sometimes violate human rights instead of respecting them. Thus the solution cannot be based only on the application of the law, but must use other tools such as mediation to reach pragmatic and realistic solutions.

### **Strategic objectives**

Based on the considerations made so far, it seems necessary to identify some strategic objectives that can catalyse the action of international organizations:

- a. Strategic Objective 1: Improve trust among institutions, organizations and States involved in peace support operations;
- b. Strategic Objective 2: Find shared solutions that addresses the root causes of a conflict improving the respect of human rights;
- c. Strategic Objective 3: Deconflict the activities developed by the different stakeholders avoiding the fragmentation of the different interventions.

These strategic objectives will be examined and studied in the second part of the research with the contribution of experts in the sector, through specific questionnaires (see Chapter 4) and focus groups (see Chapter 5).



## Chapter 3

# Leadership Styles

### 3.1 Introduction: purpose of the review

After having examined in the previous chapters the different types of comprehensive approaches by UN, EU and NATO highlighting the strengths, weaknesses, opportunities and threats of the different models for the respect of human rights and international humanitarian law. In this chapter we are going to compare the main leadership styles. The aim is to verify which of them best suits the implementation of the aforementioned model. The goal is to identify which leadership style is most appropriate.

Leadership has always been considered of fundamental importance in moments of crisis and difficulty. In military world the role of the leader is fundamental because it is often very difficult to operate in stressing or dangerous environment directing hundreds or thousands of soldiers "*Leadership, the lifeblood of an army, makes a difference every day*" (ADP 6-22, US Army, 2012, p.1). Today there are numerous leadership models that have been developed and used in different contexts. The bibliography in the sector is wide and diversified, an exhaustive analysis would be impossible and beyond the scope of the present research which wants to identify what are the benefits or difficulties of the main typologies, the analysis of which is necessary to give an answer to another question: Which leadership style is appropriate for the comprehensive approach model that better respects the defence of human rights and international humanitarian law?

Some studies have enumerated up to 66 different theories of leadership (Dinh et al., 2014, p.26) and as anticipated it would be impossible in the present study

to examine them all. The aim is to take into consideration the most significant theories to highlight their common characteristics, their differences and above all their importance for the current research. Through this literature review it will be possible to find out which type of leadership best suits the implementation of the comprehensive approach. The objectives are twofold:

- a. Investigate how leadership affects the application of the comprehensive approach;
- b. Examine whether certain leadership styles facilitate respect for human rights.

A leader has the capacity to influence people, enhance morale development and each style is different in its level of consciousness, values and soft skills required. The specific objective is to identify which styles of leadership best suits to respect for human rights and international humanitarian law, which corresponds to the research question number three (see section 1.5.1). The first section will illustrate the characteristics of the different styles of leadership to highlight what they have in common and the major differences, bearing in mind that some are not clearly defined. The comprehensive approach requires the collaboration of organizations characterized by a great diversity of objectives and cultures. In this context, leaders must be able to create a favourable environment in order to find shared solutions and resolve conflicts. Personal relationships are of fundamental importance to create that climate of trust necessary for any form of collaboration. The following sections focus on the characteristics of the different types of leadership to see which one best accomplishes this task.

## 3.2 Leadership styles

This section scans which leadership style best suits the respect of human rights and the implementation of the comprehensive approach. The concept of leadership is linked to the ability of the leader to convince, persuade, influence or force other people to follow him (Paschen and Erich, 2014, p.6). All the different leadership styles need leaders who have the skills to influence their followers, while the importance of personal and human values is highlighted only by certain types. It should also be emphasized that there are toxic leaders who use their skills in a negative or destructive manner. Leaders as Mussolini or Hitler had rhetorical



skills, that used in a negative way (Padilla, Hogan, and Kaiser, 2007, p.181). Basically the soft and hard skills indicate the potential of a person while the values he possesses will guide us on how he will use these qualities. The skills indicate the potential while the values what is important for a person and, therefore, how he will use these skills. A person with excellent abilities but with an exaggerated desire for power could use the former for personal purposes or with negative intentions. In short, there is a dark area that is not always highlighted. There is a form of denial of this reality therefore for some authors historical figures like Mussolini or Hitler have never been true leaders (Padilla, Hogan, and Kaiser, 2007, p.177). In this context some types of leadership better adapt than others to the work of mediation and negotiations to implement comprehensive approach *"it needs a leadership style that fosters the development of horizontal, collaborative practice and mutual trust in every day's reality by staying modestly present and facilitating the ongoing processes of negotiation and collaboration unobtrusively."* (Olsthoorn and Soeters, 2016, p.9).

We live in a world based on competition, the educational system and our society in general is based on competition and the result obtained, having to excel at all costs. Obviously, even in the area of leadership, the models that have developed so far are competitive models *"Regarding socialization, traditional male occupational roles emphasize competitiveness and achievement-related skills"* (De Nmark, 1993, p.345). Competition therefore remains the dominant model and the women who have held leader roles in most cases have had to adapt to this model. However, in the current study it is clear that it is necessary to cooperate in order to reach shared solutions. Competition like war involves winners and losers, while the idea of cooperation leads to identifying win-win solutions, which allow everyone to achieve their objectives at least in part. The leadership styles associated with exercising power are more related to the male gender *"A meta-analysis of more than 160 studies of sex-related differences found that women use a more participative or democratic (communal) style and a less autocratic or directive (agentic) style than men do"* (Hopkins et al., 2008, p.349). The new leadership styles that have been developing in recent times such as transformational leadership are better suited to the female gender although, unfortunately, in many contexts the autocratic style is still the predominant one:

*"women adopt democratic and participative leadership styles in the corporate world and in education. Transformational leadership is*

*the preferred leadership style used by women. The characteristics of transformational leadership relate to female values developed through socialization processes that include building relationships, communication, consensus building, power as influence, and working together for a common purpose.*" (Trinidad and Normore, 2005, p.574).

There are several studies that highlight how the leadership styles developed by women are more cooperative, however there is no one that defines exactly the characteristics of this leadership *"female leaders, compared with male leaders, are less hierarchical, more cooperative and collaborative, and more oriented to enhancing others' self-worth"* (Eagly, Johannesen-Schmidt, and Van Engen, 2003, p.569).

We are used to thinking from an early age that there is a scarcity of resources and that we must compete and safeguard what we have to survive instead of thinking that by cooperating we can live in a world full of well-being for everyone. The scarcity of resources, real or not, is used to direct human behavior towards perpetual conflict: *"El reparto y los conflictos de reparto en torno a la riqueza producida socialmente se encontrarán en primer plano mientras el pensamiento y la actuación de los seres humanos están dominados en los países y en la sociedades (hoy, en grandes partes del llamado Tercer Mundo) por la evidencia de la miseria material, por la dictadura de la escasez."* (Beck, 1998, p.26). We live in a materialistic society where the continuous creation of needs makes us dependent and enslaved, ever-growing needs that transform into a perennial scarcity that pushes us to competition, to the conservation of what we have, to the erection of walls and protective barriers. All human people have needs to satisfy, and according to Maslow they are organized in a pyramid with primaries at the base, such as the need to breathe, drink or eat (Maslow, 1943, p.372). When basic needs are met, a person switches to higher needs such as the need for security or social relationships. These needs have a limit and normally once reached, they are satisfied. In consumer societies this limit does not exist or artificially an attempt is made to increase it *"In the consumer society, consumption is its own purpose and so is self-propelling"* (Bauman, 2001, p.13). This artificial need is sold as the source of our happiness, in reality it is nothing more than a way of making ourselves dependent and stimulating competition.

Only recently the game theory invented by John Von Neumann has shown with

the prisoner's dilemma that the best strategy in case of scarcity of resources is to cooperate and not to compete:

*"The Prisoner's Dilemma itself is well established as a way to study the emergence of cooperative behavior. Each player is simultaneously offered two options: to cooperate or defect. If both players cooperate, they each receive the same payoff, R; if both defect, they each receive a lower payoff, P. However, if one player cooperates and the other defects, the defector receives the largest possible payoff, T, and the cooperator the lowest possible payoff, S"* (Stewart and Plotkin, 2012, p.1).

In recent times this theory has also been used in the field of business, although unfortunately not in a generalized way *"In thinking of business as a game, it is misleading to imagine games such as poker, football, or chess. First, in order to win at those games, someone else has to lose. That rule doesn't always apply in the game of business. Intel's success hasn't hurt Microsoft, and Microsoft's success hasn't hurt Intel."* (Nalebuff and Brandenburger, 1997, p.2).

In the implementation of the comprehensive approach, competition, the defense of individual or particular interests cannot lead to any positive result. In the following paragraphs some of the main types of leadership will be examined to enhance their salient characteristics, differences and common points, taking into account that the style sought should allow cooperation between different actors who belong to different organizations, often without any constraint hierarchical among them.

### 3.2.1 Strategic Leadership

Strategic leadership in itself is not a new leadership model, but highlights the importance that leadership of those in command has on their followers *"leadership theory refers to leaders at any level in the organization, whereas strategic leadership theory refers to the study of people at the top of the organization"* (Vera and Crossan, 2004, p.223). The strategic leader therefore uses one or more leadership models depending on the context to achieve the results of the organization. It is therefore a specific leadership style conceived and studied for CEOs and top management *"The upper echelon perspective suggests that strategic leadership is not limited to the actions of CEOs, highlighting the importance of other top manager"*

(Samimi et al., 2020, p.10). Without neglecting the importance that this level of leadership has on its followers and the repercussions on the lower levels, the same does not highlight any specific characteristic that can be determined to stimulate cooperation and the defence of human rights. The creation of a competitive advantage is almost always presented as the ultimate goal of all types of leadership:

*"Strategic leadership is defined as a person's ability to anticipate, envision, maintain flexibility, think strategically, and work with others to initiate changes that will create a viable future for the organization.3 When strategic leadership processes are difficult for competitors to understand and, hence, to imitate, the firm has created a competitive advantage."* (Ireland and Hitt, 1999, p.63).

Unfortunately, in addition to representing an expenditure of energy, competition is not always suitable for all contexts. In particular, in the application of the comprehensive approach it is necessary to cooperate, because the aim is to achieve shared objectives, perhaps giving up a little on one's interests. Clearly if the aim is to defend human rights, which are universal, we cannot speak of cooperation or instrumental relationships to create a competitive advantage *"External social capital is concerned with the relationships between strategic leaders and those outside the organization with whom they interact to further the firm's interests."* (Hitt and Duane, 2002, p.6). Worthy of mention and very relevant is the extensive study carried out jointly by the "Consejo Superior de Investigaciones Científicas (CSIC)" and the "Instituto Español de Estudios Estratégicos (IEEE)" in the mark of a National project of the Ministry of Economy and Competitiveness above strategic leadership. The study collects the many qualities that a leader needs in order to develop his action *"No obstante, existen muchas relaciones en las que se pretende inscribir los atributos con que debe contar un líder estratégico, de modo que puede decirse que no existen cualidades que le sobren y todas tienen su lugar en él"* (Aznar Fernández-Montesinos, 2017, p.208). It is a very interesting study because it collects the qualities that a strategic leader should have.

### 3.2.2 Natural Leadership

A natural leader is understood as a person who, despite having an outstanding performance in most cases, his figure is not recognized, formally, as such. It is characterized by having great communicative and motivating skills among people,

as well as efficiently satisfying the needs of their work team. It is distinguished from the rest, and especially the autocratic, because it does not impose himself, all decisions are carried out with the consent and participation of all people, being in this case very similar to participative leadership. The concept of natural leadership is very ancient and also much loved because in the end what a leader does influences the others *"leader's influence is mediated through followers perceptions and beliefs."* (Shamir, Dayan-Horesh, and Adler, 2005, p.14). Obviously this is known but it is better accepted if considered as a natural gift, a superior gift given by nature and not learned *"leaders did not have to do anything to become leaders. Leadership was not developed out of struggle and it did not require effort. It was a natural process"* (Shamir, Dayan-Horesh, and Adler, 2005, p.20). A leader who has learned this difficult discipline can pass as a manipulator, while his followers would feel a little stupid. Basically it is better accepted a person that is naturally gifted with superior skills or that they are acquired through a hard life experience. In the end it is a bit the Darwinian concept of the evolution of the species, nature rewards those who best adapt to the environment *"I believe that leadership begins and ends with authenticity. It's being your-self; being the person you were created to be"* (George, 2008, p.3). Concept that is accepted by many but that does not make us evolve as individuals. The concept is particularly appreciated if it is a question of positive leaders, unfortunately, however, in the case of negative leaders, we should thank the nature and the environment that hosted them.

### 3.2.3 Democratic/ Participative Leadership

The democratic leadership came into vogue at the end of the cold war, with the end of the two opposing blocs many dictatorships fell (Gastil, 1994, p.953). This type of leadership is characterized by creating enthusiasm among workers by prioritizing the participation of the entire group. The leader promotes dialogue among his followers to take into account the opinions of the group, although the final decision is taken by the superior: *"They distinguished democratic leadership from autocratic and laissez-faire styles, arguing that democratic leaders relied upon group decision making, active member involvement, honest praise and criticism, and a degree of comradeship. By contrast, leaders using the other styles were either domineering or uninvolved"* (Gastil, 1994, p.955). Leader does not hesitate to consult and evaluate the opinions of the rest of the team of people in the decision-making process. The main motivation is to create a team spirit where

each individual feels important within the organization and above all valued, thus having a positive impact on the motivation of the work group. Experts in the field recommend adopting this type of leadership when it is vitally important to work on equipment and quality is imposed on the speed of obtaining results. The leader is followed by his team because employees contribute to the decision process and they feel empowered. Therefore, employees feel part of the organization improving their affiliation and commitment to it, in the same way that productivity and innovation capacity do. Although there is a certain consensus at the time of affirming that this type of leadership has many advantages, some researchers think that it also has its disadvantages. For example in many cases disagreements between two or more parts of the group can not be overcome or the road becomes slower when reaching a goal, compared to other leadership styles. In addition, the leader needs a great ability to maintain the motivation and collaboration of those who follow him, as well as full confidence in himself. The trust of the group in its leader is essential. There is a relationship between this type of leadership and the development of democratic movements in the world, which in turn are seen as defenders of human rights. Great leaders such as Nelson Mandela or Lech Walesa are examples of this type of leadership (Choi, 2007, p.244). Democratic leadership as well as fostering cooperation and the involvement of all actors has among its values the protection of human rights "*democratic leadership involves a vision for democratic values, human rights, equality, freedom, and welfare.*" (Choi, 2007, p. 250). The involvement of everyone and the possibility of expressing their own ideas freely allows a stimulating work environment, facilitating the exchange of information and participation, despite the fact that the leader maintains control by deciding freely after analysing the situation with the help of all (Bhatti et al., 2012, p.193).

### **3.2.4 Authoritarian / Autocratic Leadership**

Authoritarian leadership is opposed to natural leadership, as well as democratic leadership. Its main feature is the absolute power of the leader in making decisions, giving precise indications of how and when to carry out tasks. He likes to have everything under his control and manages people in an authoritarian way. This leadership style has a negative impact on the motivation of people. It is recommended by experts in those moments of crisis where hard decisions have to be taken for the benefit of the organization. Autocratic leadership allows supervisors

to make decisions and set guidelines without group involvement. The leader concentrates all the power and nobody challenges their decisions. It is a unidirectional leadership exercise, because all the subordinates have to obey the guidelines set by the leader. It can be effective in work environments when decisions need to be made quickly. It also seems to be highly effective with employees who require close monitoring of activities, since, by eliminating the tendency of workers to relax, it can increase productivity and speed in tasks.

The hierarchy found in military organizations favours this style of leadership, which is very effective in emergency situations. Sometimes in fractions of a second you have to make very delicate decisions and everyone has to carry them out. At the same time, abuse of this style can have disastrous consequences for the organization:

*"In an authoritarian institution like the Army, with responsibility passing from the top down through a chain of command and with the formal rules requiring obedience at each echelon, the qualification of leadership are variables of the utmost importance in the success or failure of the organization." (Stouffer et al., 1949, p.362).*

The disadvantages of the autocratic leader are obvious. It does not take into account the opinion of the workers and the followers are simply people who must comply with orders. Some employees may feel undervalued and tend to show little effective commitment towards the organization, and may end up abandoning it or performing less. The authoritarian leader use his the authority to guide people dictating all decision and task. This leadership style is seen as anachronistic and criticised, because the motivation is linked to the rewards and punishment given by the authority (Khan et al., 2015, p.87). This old and classical style anyway is still used in many organizations because in some situations it is very effective. When the leader has a clear vision of the problem, there is urgency and discipline to do the task is still one of the most effective tool. This style has to be utilised by leader with a clear vision and charisma. It is a style of leadership that, little by little, is being banished from the most leading organizations and institutions. Military organizations, that are highly hierarchical, use this leadership some authors judge it as inappropriate for the application of the comprehensive approach where instead it is necessary to interact and negotiate on a par with many external actors (Olsthoorn and Soeters, 2016, p.2).

### 3.2.5 Laissez-faire Leadership

Laissez-faire leadership is a style of non intervention and lack of regular feedback. Although this style of leadership can be seen as poorly productive it is important to remember that any style has to be adapted to the organization (Bhatti et al., 2012, p.193) and in some cases with highly motivated staff can be extremely effective. The name refers to the French word "let go" or "let it be". The laissez-faire leader intervenes only when necessary and with as little control as possible. It is a non-authoritarian style that is based on the theory that highly experienced employees, trained and motivated, need less supervision to be productive, because they are experts and have the skills to perform independently, commuted and little vigilance. This style of leadership has advantages for some employees, because autonomy is liberating, improves creativity and increases the satisfaction of cooperation. It can be used in situations where subordinates are passionate and enjoy high intrinsic motivation. In any case, not all employees have these characteristics. Laissez-faire leadership is not appropriate when working with employees who do not possess the competencies mentioned above. Many people are not effective in assigning their own deadlines, managing their own tasks and solving problems that may arise. In these situations, projects or delivery dates may not be fulfilled when the group members are not managed correctly or do not receive the appropriate feedback. Many studies seem to show that laissez-faire leadership can lead to a lack of control, an increase in the costs of the organization and a poor productivity.

### 3.2.6 Charismatic Leadership

Charismatic leaders have a profound influence on their followers who recognize extraordinary, almost superhuman abilities at the first (Conger and Kanungo, 1987, p.637). The ability of these leaders to influence their followers can be enormous, these abilities can radically change a situation but at the same time, if the leader does not possess the necessary human values they could lead to dangerous deviations. Jesus could be seen as a charismatic leader (Lepsius, 2006, p.176), but even Hitler with his madness was:

*"It is legitimate domination insofar as the followers believe in the virtues of the leader and the value of his or her leadership. Napoleon was a charismatic leader in this sense, and so was Hitler. Charisma*



*as a sociological term thus defines not only a particular quality of an individual but a complex social structure."* (Lepsius, 1986, p.56).

The reasons for this can be deduced from the fact that the charismatic leader does not always stand out for high human values but from the ability to represent the interests or aspirations of his followers:

*It is the shared perspective of the vision and its potential to satisfy follower needs that form the basis of attraction to the charismatic leader. It is the idealized aspect, however, that makes such leaders admirable persons deserving of respect and worthy of identification and imitation by followers.* (Conger, Kanungo, and Menon, 2000, p.749).

The considerations made so far indicate that we have a limited ability to change a charismatic leader and that his skills depend on the context. Hitler was probably a charismatic leader in Germany, after a disastrous First World War because he had obtained the consent of a population that felt unfairly or excessively punished. The charismatic leader can bring all followers to total defeat precisely because of the intrinsic characteristics of this type of leadership. A studied example is that of Enron where the elimination of dissent and the promotion of conformism led to organizational collapse (Tourish and Vatcha, 2005, p.2).

The charismatic leader has similarities with the natural leader because the charisma is considered a gift given by nature. The followers admire the leader's charisma and his personality. At the same time this type of leadership also has similarities with the transformational leader, the latter also has a considerable influence which however derives from his own personal transformation. The major difference between the transformational leader is that the charismatic leader is naturally gifted while the transformational leader normally embarks on a path of personal transformation.

### **3.2.7 Servant Leadership**

Personal values are one of the fundamental characteristics of the servant leadership, its foundations, which differentiates it from other types of leadership. In recent times personal values have acquired a particular relevance and are the subject of studies on leadership (Russell, 2001, p.2). Personal values constitute our

main beliefs and direct our behaviours and our choices. The servant leadership emphasizes the personal growth of the followers by changing the focus of the concept of leadership that is not only the art of influencing but also the service of the leader towards his followers (Van Dierendonck, 2011, p.1229). The servant leadership is very close to authentic leadership although the former is characterized by the leader's desire to serve others (Sendjaya, 2015, p.24). A criticism of the servant leadership is the lack of a clear definition of the attributes that characterize it (Russell and Gregory Stone, 2002, p.146). Another similarity exists with the transformational leadership even if according to some authors the servant leadership tries to transform the followers while the first has the focus on organizational change (Gregory Stone, Russell, and Patterson, 2004, p.349).

### **3.2.8 Transactional Leadership**

Transactional leadership is based on transactions, processes of exchange between leaders and their followers. Followers receive prizes for their job performance and the leader benefits because they fulfil the tasks. It is a type of leadership oriented to the objectives and, therefore, the followers are motivated with rewards for the results achieved. The transactional leader creates clear structures, where he is well defined what he requires from his subordinates and the rewards that they will perceive for it. The follower profile of the transactional leader is a rational individual, motivated by money or other benefits or rewards, whose behaviour is quite predictable. Transactional leaders focus on the present and are adequate to get the organization to function without problems and efficiently. However, although transactional leadership involves following certain rules and works very well in times of stability, in a changing world like the one we find ourselves in today, many times the success of the organizations depends on their rapid adaptation to continuous changes, so we could say that there are much more effective leadership styles. Furthermore, in the application of the comprehensive approach, there are often no possible transactions or rewards between the different actors who must cooperate on the basis of mutual trust.

### **3.2.9 Transformational Leadership**

Communication is fundamental in this type of leadership because the achievement of the objectives is related to the vision of change that is transmitted to employees. Leaders have a great intuition, a high level of consciousness, vision and marked

personality. These are fundamental qualities to guide change within the organization and change the expectations, perceptions and motivations of the team. The joint work of the leader and his team allows to increase the level of consciousness, the energy of the group and the motivation. The leader generates trust, respect and admiration for his followers. The leader does not analyse or control specific transactions, using rules, instructions or incentives, but focuses on the organization's intangible qualities such as raising the level of awareness, achieving a vision and shared values. The goal is to create solid relationships, a shared vision to effectively address and manage the change process.

The leader tries to align the personal values of his followers with those of the organization to achieve consistency in them *"Transformational leaders inspire followers to accomplish more by concentrating on the follower of the values and helping the follower align these values with the values of the organization"* (Givens, 2008, p.4). The need to use this type of leadership has been recognized by the United Nations in order to implement sustainable development:

*"for the implementation of the 2030 Agenda for Sustainable Development, endorsed by United Nations System Chief Executives Board for Coordination (CEB) in April 2016, highlighted the critical importance of transformative leadership across the United Nations system, and that CEB had tasked its high-level committees to develop a shared concept of transformative and collaborative leadership to effectively support the 2030 Agenda."*(CEB/2017/3, 2017, p.15).

The high levels of consciousness of transformational leaders almost always include values associated with the defence of human rights *"Transformational leaders influence followers and drive organizational changes by promoting process values such as honesty, loyalty, and fairness, while emphasizing the end values of justice, equality, and human rights"* (Groves and LaRocca, 2011, p.514).

### **3.2.10 Ethical Leadership**

Ethical leadership has had a significant boost in recent years following numerous scandals that have followed in many corporations. In reality, the behaviour of a leader to be ethical seems almost obvious. The idea is that the ethical leader should create an organizational environment that favours these good practices (Zhu, May, and Avolio, 2004, p.17). Integrity, honesty, reliability, morality, these are some

of the individual characteristics of the ethical leader. Followers of this leader will likely feel that they are emulating their leader's behaviour by creating a healthy and productive work environment (Brown and Treviño, 2006, p.597).

The role of the leader is therefore to have strong moral principles and values to be transmitted also to their followers to serve everyone's interests (Zhu, 2008, p.63). Ethical leadership places importance on the common good, their actions are based on example and communication skills. An ethical leadership not only has positive effects on society but also within organizations, improving internal relations and trust in the leader (Brown and Treviño, 2006, p.596). Ethical values are not the sole prerogative of this style of leadership, as we have seen even the transformational leadership refers to their importance (Groves and LaRocca, 2011, p.513).

### 3.3 Comparative Analysis

This section represents a comparative analysis of the leadership styles trying to answer the Research Question: Which leadership style is appropriate for the comprehensive approach model that better respects the defence of human rights and international humanitarian law (see section 1.5.1). In order to guide the exam we will try to answer the following questions:

- a. How important is the leadership in order to improve the respect of international humanitarian law and human rights (see section 3.3.1)?
- b. What benefits or inconveniences does the leadership have (see section 3.3.2)?
- c. What mechanisms do we need in order to implement the new leadership (see section 3.3.3)?
- d. What main challenge do leaders face in the new environment (see section 3.3.4)?
- e. Which improvement will we have in the respect of international humanitarian law and human rights (see section 3.3.5)?
- f. What type of leadership do we need (see section 3.3.6)?

### **3.3.1 How important is the leadership in order to improve the respect of Human Rights and International Humanitarian Law?**

In the previous chapter, the difficulties encountered in the current operational context were examined in order to implement the comprehensive approach. The importance of the same appears obvious because there is no international system capable of guaranteeing respect for human rights (see section 2.2.4) and also the international treaties that regulate the application of international humanitarian law often are inadequate (see section 2.2.3). In this context, the application and respect of the law appears to be linked to the creation of an atmosphere of mutual trust that allows the cooperation and the collaboration between all the representatives of the various organizations. In fact, there are no States or organizations that deny the importance of respecting human rights, however in the absence of concrete and shared solutions, they can limit their implementation by reason of a superior good such as the maintenance of national security. Leaders are able to overcome these difficulties because they can influence the behaviour of the people with whom they relate.

Although leadership plays an important role, there is no doubt that some styles may be inadequate. For example, in a military organization an authoritarian style can work, but if we need to develop creativity the same is bad, because fear prevents the most shy followers from representing their ideas. In essence each type of leadership has different characteristics and is better suited to certain contexts than to others.

### **3.3.2 What benefits or inconveniences does the leadership have?**

There is no universally valid leadership style, each one can be suitable depending on the context in which we find ourselves. In general, all leadership styles that increase trust, cooperation and adapt to the context can be beneficial for the implementation of the comprehensive approach. Of the selected styles we could discard Authoritarian / Autocratic and Transactional Leadership. For example, in the army, where there is a well-defined hierarchy and clear power relations, authoritarian style, although probably not the best, is frequently used *"To be able to function effectively on the battlefield, the Army and other Services are organized into hierarchies of authority"*(ADP 6-22, US Army, 2012, p.2-1). This type of

leadership can be useful and can be used with excellent results in extreme situations when there is no time to decide or consult with your collaborators, especially if the leader has excellent decision-making skills. On the contrary, the permanent exercise of one's authority to impose decisions is counterproductive and negative because it creates a toxic and uncooperative working environment. In the corporate sector, the transactional style based on the distribution of benefits and rewards based on the work done can sometimes be very effective.

The comprehensive approach requires the collaboration of numerous actors with extremely different characteristics in an environment in which there are no clearly defined hierarchies or power relationships. A situation that greatly penalizes those who have an authoritarian style. Indeed, in this environment there are no clearly defined hierarchies or power relations.

### **3.3.3 What mechanisms do we need in order to implement the new leadership?**

The implementation of a new leadership style begins with the awareness that the styles currently in use are not suitable. The first step is therefore to select the staff that has the best characteristics for this type of environment, however since it is very difficult to meet staff who have all the necessary skills the next important step is to train them. The first challenge these leaders face is to develop their managerial skills to give the right priorities, manage time and decisions. In essence, the mechanisms that need to be implemented are a specific selection mechanism and specific training.

### **3.3.4 What main challenge do leaders face in the new environment?**

The role of a leader is never simple, especially if it is necessary to operate in a very complex international environment. The numerous existing publications on leadership highlight the difficulties and at the same time the intrinsic importance of this role. The leader must interface with governments and international organization and for this reason he need unquestionable managerial skills, these qualities are essential to manage numerous projects with limited material and time resources. Another indispensable quality is the ability to communicate and inspire others. The leaders responsible for implementing the comprehensive approach should have an

excellent knowledge of international law and in particular of international human rights law and international humanitarian law.

Military personnel are normally well trained with regards to international humanitarian law because it is part of their professional background and only a part of this is also specialized in international human rights law. In particular, the legal assistants and the personnel responsible for CIMIC follow courses to deepen some aspects of international law. In contrast, NGOs leaders normally know better international human rights law, while only a few are trained in international humanitarian law. Civilians, on the other hand, are usually better trained in defending human rights. The second part of the investigation will try to confirm or disprove these hypotheses.

### **3.3.5 Which improvement will we have in the respect of Human Rights and International Humanitarian Law?**

The improvements that can be expected by developing a different type of leadership are numerous. Trained leaders can stimulate cooperation by encouraging and motivating others to act. The comprehensive approach requires a completely different leadership style from that which can be applied in highly hierarchical structures, such as military or highly competitive organizations. The first improvement therefore derives indirectly from the possibility of applying this type of approach which is highly advantageous. Furthermore servant, transformational and ethical leadership require high human values and level of consciousness, which obviously cannot be separated from respect for human rights.

### **3.3.6 What type of leadership do we need?**

Leadership styles are neither good nor bad they depend on the context and the contingent situation. A good leader should know all the the styles in order to apply them according to the situation. In specific sectors, only one style is normally adopted because the situation is highly consolidated and without significant changes, therefore it is not necessary to change the style. In organizations operating in contexts subject to rapid changes, it may instead be necessary to adapt the style to the current situation. The evaluation of the different styles will be done taking into account the specific context in which the comprehensive approach is developed:

1. Many organizations with different objectives, structures and procedures;
2. Multicultural environment;
3. Complexity;
4. Difficulties in the implementation of international human right law and the international humanitarian law.

The above characteristics require a leadership style capable of creating the confidence needed to cooperate even when the procedures and objectives are different. Therefore I will examine the various styles trying to identify those that best suit and that could improve respect for human rights.

### **Strategic Leadership**

Strategic leadership does not adopt a specific style, but believes that a good leader with the necessary qualities adapts his style according to external circumstances. However, it seems to underline the importance that is attributed to the function of the leader, especially if he holds positions of particular importance to achieve the general objectives of his organization *"First, leadership theory refers to leaders at any level in the organization, whereas strategic leadership theory refers to the study of people at the top of the organization"* (Vera and Crossan, 2004, p.223). On the contrary, in the specific case of the comprehensive approach leadership skills must be present at strategic, operational and tactical level (AJP-01, NATO, 2017, p.2-4). This style adapts to any context, however, not having its own specificity, it is difficult to identify the factors of leadership that characterize it. Another issue is related to the need to implement the comprehensive approach empowering all levels of leadership.

### **Natural Leadership**

The concept of natural leadership is associated with a person's ability to influence his followers thanks to his innate qualities. The natural qualities of a leader, if it is possible to measure them in a personnel selection phase, are of great importance. Although it can be shared that some people have superior skills in some fields it is obvious that a specific training path must be associated. Basing oneself on natural gifts alone does not allow one to adapt to the situation and progress. Basically, the effectiveness and goodness of a natural leader cannot be ruled out but we should



only rely on an excellent selection process of our leaders and we could not act to improve their performance.

### **Democratic/ Participative Leadership**

Democratic leadership increases the satisfaction of followers because it allows them to work independently and make decisions. However, it can only be applied in an environment where the goal to be achieved is clear and there is a community of interests. In addition, the time needed to make decisions can be very long. Democratic leadership does not adapt to complex situations such as those encountered during application of the comprehensive approach because it is a style suitable for work environments with highly qualified and motivated staff to achieve a common goal. In the specific operational context, people are well prepared but do not have shared goals. This style, therefore, although excellent, is not particularly suitable for the specific situation.

### **Authoritarian / Autocratic Leadership**

The autocratic leader does not involve his followers in his decisions and therefore does not get the necessary cooperation. Followers often fear this type of leader and carry out his orders for the power the organization gives him. Unfortunately, cooperation and trust in leaders are determining factors when there are no hierarchies. Authoritarian leadership obviously based on the leader's absolute power to make decisions cannot be used in an environment where there are no well-defined hierarchies or command lines. This type of leadership is still widely used especially in the military environment and therefore personnel designated for civilian military cooperation must be properly trained to adopt other types of styles. It is a style that works well only in emergency situations and with leaders who have a clear and definite authority.

### **Laissez-faire Leadership**

"Laissez-faire" leadership is used in environments where strict control by the leader is not required and is normally applied when staff are highly motivated and know exactly what to do. Once again it is not a suitable type of leadership because it is necessary to stimulate cooperation between very different organizations. This style does not seem suitable for the above considerations.

### **Charismatic Leadership**

The charismatic leader has a profound influence on the followers, he could be the appropriate type since he would be able to influence everyone by directing them towards a common goal. The problem related to this type of leadership is that the charisma is considered a natural gift and obviously not many have this type of characteristics. Charisma is a very rare gift and the charismatic leader is in specific contexts: *"Charisma is therefore based on a social relationship between a person possessing such a quality and those who believe in it."* (Lepsius, 2006, p.175). The working environment of the comprehensive approach is complex and multicultural therefore we should probably wait for the arrival of a new messiah to find a charismatic leader capable of living up to the situation.

### **Servant Leadership**

The servant leader makes himself available to his followers to help them in their personal growth and to improve the working environment, he is a leader in possession of high human and personal values, which he makes available to help people in their individual growth. He is a leader who has a great deal of experience and very high moral values and makes these skills available to others. He is certainly a type of leadership that helps to cooperate and therefore suitable for implementation to the comprehensive approach.

### **Transactional Leadership**

This type of leadership is based on true transactions, on the exchange of rewards according to the services or benefits provided. It works well in environments with well-defined structures and procedures where there are no major problems and the greatest possible efficiency is sought by following well-established work rules. Certainly a work environment very different from that we have to face. This type of leadership does not appear effective in the present case.

### **Transformational Leadership**

Transformational leader has great communication skills, intuition and a very high level of consciousness that allows him to have a wide-ranging vision. He is able to change organizations motivating his team and increasing the level of consciousness, the goal is to create strong bonds and relationships, sharing a vision that lead

to the achievement of objectives. In addition, in adopting a type of leadership that improves trust and cooperation, the true transformational leader tries to change the organizational culture by inculcating in it some essential values such as the defence of human rights: *"To bring about change, authentic transformational leadership fosters the modal values of honesty, loyalty, and fairness, as well as the end values of justice, equality, and human rights."* (Bass and Steidlmeier, 2006, p.192). This type of leader is probably the most suitable.

### **Ethical Leadership**

The ethical leader has had a significant boost in recent years due to the scandals in numerous companies which required managers with a much higher ethics and morals. The main feature of this new type of leader is the example, morals and values he possesses. Collaborators trust ethical leaders and this has a great effect on the effectiveness and efficiency of organizations. This type of leadership appears suitable as it increases cooperation and collaboration within the organization. Furthermore, in order to be considered ethical, a leader must respect the human rights of his followers: *"Insofar as directive leaders respect the basic human rights, their authoritative style could be considered as being ethical. It is not the case when the basic human rights, are neglected by an authoritarian leader."* (Dion, 2012, p.15).

## **3.4 Leadership factors that influence the respect of human rights and international humanitarian law**

The analysis carried out in the previous paragraphs allows us to select some types of leadership that appear more suitable for the research in progress. As already highlighted, there is no leadership style that adapts to all contexts. Obviously in a static environment and without rapid changes, knowing how to develop a single style could be enough. In the case of the comprehensive approach the leader must adapt to the situation. The examination of the literature has identified that the leadership style to be used must be able to stimulate cooperation between all the different actors involved. Furthermore, this style must improve respect for human rights. These two factors are of fundamental importance therefore the selection will have to take them into account. The examination (see table 3.1 leadership comparative analysis) in some cases allowed to establish if the style has a positive or negative effect, when it was uncertain I preferred to insert **Not Applicable (N/A)**.

Leadership Style	Main Feature	Improve Cooperation	Improve Human Rights
Strategic leadership	Concern leader at the top level of the organization	N/A	N/A
Natural leadership	Leader has innate qualities	N/A	N/A
Democratic/ Participative leadership	Leader promote teamwork	Yes	N/A
Authoritarian / Autocratic leadership	Leader imposes his will	No	No
Laissez-faire leadership	Leader intervenes only when necessary	N/A	N/A
Charismatic leadership	Leaders have a profound influence	N/A	N/A
Servant leadership	Leader serve his followers	Yes	Yes
Transactional leadership	Leader give rewards to the followers that have good performances	No	No
Transformational leadership	Leader tries to align the personal values of his followers with those of the organization	Yes	Yes
Ethical leadership	Leader has strong moral principles	Yes	Yes

TABLE 3.1: Leadership comparative analysis

The comparative analysis of the different types of leadership has led to the selection of those that appear most suitable, specifically, the styles that best fit are:

- a. Servant leadership;
- b. Transformational leadership;

c. Ethical leadership.

These are three positive leadership styles that place the emphasis on ethics, morals and values that must guide the leader. All of them emphasize the importance of values and the trust needed to work in a cooperative environment. Furthermore, creating a climate of trust is important to overcome the barriers that can arise between people with different cultures and belonging to organizations that have little or no interest in cooperating: *"Creating a culture of trust and knowledge among potential Comprehensive Approach actors before deployment to the field can bridge many cultural barriers and false presumptions."* (Rintakoski and Autti, 2008, p.30).

Having reduced the number of styles that seem suitable simplifies the study, however, the aim of the work is not to identify the leadership style that best suits the comprehensive approach but to identify the factors of leadership that influence respect for human rights and international humanitarian law.

In other words, there is the need to identify the factors that differentiate the different styles and, at the same time, a metric to measure them. The use of a metric is important because what cannot be measured cannot be corrected, however there are considerable difficulties behind this apparently simple intuition, the first is what type of meter to use:

*"Because such a process, though vital, is not easy, companies often overrate their ability to measure the right things for the right reasons. For example, many generate piles of reports on senior management attrition instead of considering the actual flight risks of their critical talent; or they measure easy-to-track metrics, such as time to fill jobs or whether a development workshop produced any meaningful change."* (Gandossy and Guarnieri, 2008, p.65).

The study of leadership has fascinated numerous authors over the years and there is a vast literature, however the measurement of the same has been introduced only in the last few by some scientific studies. The three styles selected, although they share some similarities, have different measurement systems.

Servant leadership has at least five different measurement methodologies: (Sendjaya, Sarros, and Santora, 2008, p.411):

1. Servant Leadership Behaviour Scale (SLBS);

2. Organizational Leadership Assessment (OLA);
3. Revised Servant Leadership Profile (RSLP);
4. Servant Leadership Questionnaire (SLQ);
5. Servant Shepherd Leadership Scale (SSLS).

Some of the tools used to measure the transformational leadership are the Multifactor Leadership Questionnaire (MLQ5-X), the Transformational Leadership Inventory (TLI) and the Differentiated Transformational Leadership Inventory (DTLI) (Callow et al., 2009, p.396).

Ethical leadership give importance to the values of the leader and some questionnaires have been developed at this scope like as:

1. Ethical Leadership Survey;
2. Perceived Leader Integrity Scale;
3. Ethical Leadership Work Questionnaire;
4. Authentic Leadership Questionnaire;
5. Servant Leadership Questionnaires.

From the brief analysis on the measurement methodologies of the leadership conducted, it is clear that leadership styles that are similar have different measurement systems. Furthermore, the same style has different measurement systems and it is often difficult to decide its goodness:

*"A few questionnaires have been developed in recent years to measure aspects of ethical leadership, but they differ in important ways and they all have limitations. The question of how to define and measure ethical leadership has not been resolved, and there is substantial conceptual confusion about this construct."* (Yukl et al., 2013, p.39).

The use of different measurement methods and metrics is obviously a further complication, because even if these leadership styles have a lot in common it is impossible to make comparisons among them. The methodologies and metrics described above serve to measure the application of the particular style of leadership, certainly not the usefulness of the same in order to apply the comprehensive approach or the defence of human rights. The selection of the three mentioned

methodologies is therefore only a first approximation which in the second part of the study will be tested with the help of experts.

### 3.4.1 Leadership values

Human values represent the guiding principles of the leader and of all people in general. Their importance is recognized not only on a personal level but also in an organizational context, since if people with conflicting values exist within an organization, it is impossible to work. For the reasons set out above, the study of human values is very important in organizations because it influences the enthusiasm and satisfaction of employees (Alec Cram, 2012, p.708). Human values also influence the effectiveness of leadership and the style they adopt (Bruno and Lay, 2008, p.3). They are the principles that guide us every day in making important decisions, they represent the compass that guides our actions. However, it is not enough to have a clear direction, it is necessary to have the skills to continue the action we have set ourselves. To cooperate and relate effectively in any organizational context beyond the complex skills that represent our knowledge acquired through study, it is necessary to have soft skills. Soft skills and values are two of the most important factors of leadership (Farling, Stone, and Winston, 1999, p.66).

To effectively influence his followers, a leader needs human and personal values that can inspire, at the same time, the relationship between human values and involvement in the defence of human rights is scientifically proven (Spini and Doise, 1998, p.604). Personal and organizational values are very important in the study of leadership because they are the standards that guide our behaviour. Values influence the perception of reality, solutions to problems, define what we consider ethical or unethical and play a major role in our interpersonal relationships (Russell, 2001, p.1). Currently, the defence of human rights falls mainly on States, unfortunately it is not always the case and at the same time there is no legal institution capable of effectively defending human rights worldwide. Consequently, leaders must be directly involved in defending human rights in order to change society. At this point we must ask ourselves how can we verify if you are a person more or less inclined to defend human rights? Theoretically the simplest answer would be to ask those concerned if they believe in defending human rights, unfortunately the reality is very different. Recent studies have found that it is very difficult to understand a person's real implication in defending human rights "*Concerning the applied personal involvement, it is more difficult to produce clear predictions.*"

(Spini and Doise, 1998, p.606). The study of human values appears interesting because on the one hand human values represent specific behaviours that are maintained over time, on the other hand there is a direct relationship between human values and positive attitudes towards the defence of human rights (Doise, Spini, and Clémence, 1999, p.4).

### 3.4.2 Leadership soft skills

Also soft skills play a very important role in leadership, this importance is underlined by a number of development programs, including executive coaching (Baron and Morin, 2010, p.1). Soft skills are part of emotional intelligence and are fundamental to cooperate and work in a team *"basic skills of emotional intelligence will be ever more important, in teamwork, in cooperation, in helping people learn together how to work more effectively"* (Goleman, 2011, p.65). There are numerous studies on the skills needed to be a good leader and it is often difficult to determine which are the most important. Just as there are numerous theories on leadership, even for what concerns skills there are numerous studies and confusion often reigns in a very inflated field. In recent years the distinction between hard and soft skills has been established, the former mainly concern the technical skills that are taught at school while with the latter they relate to emotional intelligence. In our educational system the former are simple to identify and measure while the latter are still being defined. According to Daniel Goleman, hard and soft skills are both essential for success, but what distinguishes successful leaders is emotional intelligence. In particular he identifies five components in the same: *"self-awareness, self-regulation, motivation, empathy, and social skill."* (Goleman, 2000, p.2). Social skills and emotional intelligence allow to create an atmosphere of trust essential to be able to work together *"Trust can be considered as a foundation that enables people to work together, and it is an enabler for social interactions."*(Hakanen and Soudunsaari, 2012, p.39).

## 3.5 Summary

The main objective of the first part of the research was to delimit the vast field of study. Specifically the purpose of this chapter was to examine the main leadership theories identifying their common characteristics and verify how they can affect the comprehensive approach and the defence of human rights. The exam allowed



us to choose three styles that potentially have the best characteristics. At the same time, styles that certainly do not improve cooperation or the defence of human rights were discarded. Other styles will not be taken into consideration because it is not possible to evaluate their positive effects. The three leadership styles selected emphasize the human values of the leader, so there is already a first approximation on the factors of leadership to be considered. Instead, there is no indication on the methodology and metric to be used, the field of investigation remains still too broad to be able to speculate which one to use. The second part of the investigation, based on the results obtained so far, will attempt to limit the field of investigation with the help of experts on the comprehensive approach.



**Part II**

**Research**



## Chapter 4

# Leadership Values Assessment

According to the results of the Part I a **preliminary research** was made in order to clarify the different situations in military and civilian organisations involved in the implementation of the comprehensive approach utilising the the Barrett Value Center Cultural Transformation Tools (CTT). The result of this study had the objective to develop a more direct and specific research later. Survey instruments normally are constructed after searching in the relevant literature but in this case, due to the complexity of the investigation, a preliminary survey was necessary, assuming that the results were not conclusive (Kitchenham and Pfleeger, 2002, p.20). The methodology used by the Cultural Transformation Tools is widely recognised all over the world and has so far obtained good results in various organisational areas, the goal was to find more information on the topic in order to refine the research questions (see section 1.5).

### 4.1 Methodology

The purpose of the assessment was to find which common values were shared by the different groups of civilian and military personnel because their interaction is essential in order to apply the comprehensive approach initiative:

*"The organisational values and operating principles that guide different actors involved in solving a conflict may be contradictory. human rights and humanitarian actors, for instance, may well be in conflict with the values and principles of political and security actors, at least*

*in contexts where some of the international and local actors are hostile to each other. The first step is to be aware of and accept these differences." (Rintakoski and Autti, 2008, p.30).*

The survey was divided in two parts, a qualitative and a quantitative one (see Appendix A). The **first part** of the questionnaire (see section 4.4.1) suggested three possible strategic objectives in order to facilitate the implementation of the comprehensive approach and the respect of human rights (see section 2.5.4).

In the **second part** of the survey (see section 4.4.2) it was made an assessment using the Barrett Values Centre's Cultural Transformation Tools based on the **Seven levels of Consciousness model**. The model, along with the Cultural Transformation Tools, has been utilized in more than 6,000 organizations and in 60 countries (Mink, 2017). The model combine the Vedic philosophy regarding the levels of consciousness and Maslow's hierarchy of needs where specific values and behaviours are associated with a level of consciousness:

*"Looking at one of the classical models of psychology, Maslow's (1943) pyramid model, a hierarchy of human needs places security just on top of the basic physiological needs that build the foundation for human life. Only on the basis of the satisfaction of physiological needs followed by security can the higher levels of social affiliation and achievement be addressed. Taking this into account, it seems very logical that after a setback in satisfaction of security needs, as experienced through 9/11, a shift towards lower levels had to occur. Inglehart (2000, 19), who bases his work on Maslow's ideas and his empirical foundation on the most comprehensive available survey on values, namely the World Values Survey, states that only after the fulfilment of basic societal, economic and security preconditions, which are materialist values, can postmaterialist values emphasizing self-expression, freedom, and quality of life be pursued." (Quosh, 2007, p.47).*

Maslow theory infers that people are motivated to achieve certain needs and they are in a hierarchy (Maslow, 1943, p.370). At the base of this pyramid of needs there are the physiological necessities, while the top is constituted by the self-actualization needs. A person tries to climb the pyramid when the needs that are below are satisfied (McLeod, 2007, p.2).

There are many definitions of "value" but generally: *"human values have been defined as desirable goals, varying in importance, that serve as guiding principles in people's lives"* (Devos, Spini, and Schwartz, 2002, p.481). Values driven our actions, they reflect our needs, desires and what we really care in life *"Values stand at the very core of human decision-making. When we work in an organization whose culture aligns with our personal values, we feel liberated."* (Barrett, 2015, p.1). They influence our behaviour and attitude in all situation and for this reason it is relevant to understand which are the values of people in charge of the implementation of the comprehensive approach.

Despite their relevance most of the studies and research on the comprehensive approach focus on the procedural and organizational aspect of its implementation (De Coning and Friis, 2011, p.267) ignoring the importance of human and cultural aspect. There is a lot of focus on the procedures adopted by the planning teams to improve the processes and integrate the different perspectives as if it were a problem to be engineered (Derbentseva and Lizotte, 2014, p.9). It seems fundamental to create shared situation models, brain-storming procedures or virtual collaboration spaces, when in reality it is sometimes impossible to understand each other for cultural reasons or different values.

The study of culture and human and organisational values has long been used in civil enterprises and organisations to improve performance. One of these methodologies was developed by the Barrett Values Center. In particular we can divide the values in different categories and according to Richard Barret there are four types of values:

***" Individual Values***

*Individual values reflect how you show up in your life and your specific needs-the principles you live by and what you consider important for your self-interest. Individual values include: enthusiasm, creativity, humility and personal fulfilment.*

***Relationship values***

*Relationship values reflect how you relate to other people in your life, be they friends, family or colleagues in your organisation. Relationship values include: openness, trust, generosity and caring.*

***Organisational values***

*Organisational values reflect how your organisation shows up and operates in the world. Organisational values include: financial growth, teamwork, productivity and strategic alliances.*

***Societal values***

*Societal values reflect how you or your organisation relates to society. Societal values include: future generations, environmental awareness, ecology and sustainability." (Barrett, 2019)*

The implementation of the comprehensive approach needs a cultural transformation and leaders able to raise consciousness, to overcome opposing perspectives and serve the common good. This kind of leaders have an high consciousness, values and soft skills. Values are considered as the guiding principles of our life and because they affect our behavioural orientation and choices (Schwartz, 1992, p.1). Personal and organizational values are an important starting point in the evaluation of an organization because they influence the behaviour of leaders and organizational performance. The alignment of personal values with organizational values takes on particular importance, increasing the commitment and performance of an organization (Branson, 2008, p.381).

## **4.2 Assessment purpose**

The purpose of the evaluation was to find out which strategic objectives and values two groups of staff involved in the implementation of the comprehensive approach shared, the first one working in military and the other one in civilians organizations. In every organization is very important to share values and goals and the development of high skills (Bennis and Nanus, 1985, p.3) and in this context is pivotal to align the values of the different organizations. The alignment of personal and organizational value could foster connectivity and contribute to the respect of human rights. The survey had as objectives to determine which are the personal and organizational values of the people in charge of the implementation of the comprehensive approach and to analyse if there are differences on values preferences according to the type of population (civilian and military). The analysis of personal and organizational values is the first step to achieve their alignment and this methodology is consistent with transformational leadership because these leaders try to inspire followers helping them to align their values with the values of the organization (Bass, 1999, p.10). A qualitative questionnaire (see section



4.4.1) and the Cultural Transformation Tools questionnaire (see section 4.4.2) was administered to a total of 16 leaders (7 civilians and 10 military) (see section 4.1). The results showed that there are some differences based on the leadership values between the two samples.

### 4.3 Location, participants, and sample size

The participants were selected due to their experience and potential key knowledge on how they have experienced NATO efforts in relation to establish a comprehensive approach to crisis management. Two samples of 20 people each were selected one of military and another of civilians.

#### Response rates

Despite the efforts made in advance to select the suitable staff and verify the willingness to participate in the questionnaire, the percentage of responses was lower than estimated. This can be explained by the considerable commitments of the aforementioned staff (managers and senior officials) and the limited time available to respond (about two weeks). The response rate was 50 percent for military personnel and 35 percent for civilian personnel (compares Table 4.1: CTT response rate). In any case, the two percentages were judged satisfactory by the Barrett Value Center for the validity of the questionnaire.

Groups	Invitations	Responses	Response rate
Military	20	10	50%
Civilian	20	7	35%

TABLE 4.1: CTT Response rates

### 4.4 Structure of the questionnaire

The questionnaire was divided in two parts, the first part was an analytical interview, the second one was a quantitative survey utilising the Barrett Cultural Transformation Tools (see Appendix A).

In the **first part** I proposed three possible strategic objectives of their organisations useful to implement the comprehensive approach. The participants had to enumerate for each strategic objective the satisfactory and the unsatisfactory current results of the organisations to be achieved by the end of the year.

The **second part** was a test utilising the Barrett Value Center Cultural Transformation Tools.

#### 4.4.1 Questionnaire first part: three strategic objectives

The first part of the questionnaire all participants had to indicate the degree of implementation of three strategic objectives, essential to be able to implement the comprehensive approach. The proposed objectives were the same as those briefly identified at the end of the second chapter to outline a possible strategy (see section 2.5.4):

- a. **Strategic Objective 1:** Improve trust among institutions and organisations involved in peace support operations;
- b. **Strategic Objective 2:** Find shared solutions that addresses the root causes of a conflict improving the respect of human rights;
- c. **Strategic Objective 3:** Deconflict the activities developed by the different stakeholders avoiding the fragmentation of the different interventions.

Participants had the opportunity to indicate the objectives of their organisation or to adopt the proposed ones. None of the participants proposed alternative goals, which could indicate a lack of clearly defined goals within the organisation.

In this section are summoned the current satisfactory and unsatisfactory results of the proposed three strategic objectives. The answers relating to the activities carried out by the various organisations to implement the three strategic objectives proposed are summarised in the following sections.

##### **Strategic objective 1: Improve trust among institutions and organisations involved in peace support operations**

The first question was aimed at verifying which activities were carried out by the various organisations to improve mutual trust. This value is considered essential to be able to carry out any type of complex activity. The creation of an atmosphere

of mutual trust can be created quickly only when it is based on the sharing of common values *"Shared values build trust, and trust is the glue that enhances performance. The same is true for nations."* (Barrett, 2007, p.2). Mutual knowledge and interaction in fact can facilitate the process but it takes very long times, the examination of the activities that the military personnel deems satisfactory mainly concerns the latter: *"Trust builds internal cohesion and external goodwill. Only when we build can we form meaningful relationship inside our organizations and emphatic connections with stakeholders outside our organizations"* (Barrett, 2013, p.xiii).

### **Current results satisfactory**

The analysis actually showed that a large number of activities are carried out mainly by the military, probably because more interested in cooperating with civil organizations (see table 4.2). First of all, it is clear that in the military field there is already an integration with civilians who work in the headquarters with a permanent character or as experts called according to the needs. Furthermore, the personnel in charge of carrying out the **CIMIC** activities are trained in specific training centres. Beyond this integration, which is sometimes necessary to make up for specific shortcomings within the military organization, some activities have already been carried out in time of peace to foster mutual knowledge. Training activities like lectures, seminars, workshops are carried out and see the participation of civilians in military exercises. The aforementioned activities allow sharing knowledge and *"modus operandi"* by improving communication mechanisms, formalizing cooperation and collaboration relationships.

The military personnel responsible for carrying out this cooperation are trained in specific centres. One of the major points of reference in this context is the Civil-Military Cooperation Center of Excellence which aims to train civilians and soldiers based on the lessons learned gathered during the development of the different military missions of **NATO** (Allard, 2014, p.16). **NATO** in particular in recent times has given considerable importance in improving mutual understanding between the different actors who can carry out a wide range of activities according to the context and the situation *"the CIMIC approach relies on a basic understanding, which varies significantly in scope and depth depending on the situation and may in no case be assumed to be constant. The potential spectrum ranges from merely*

*taking notice of the presence of civil actors to a fully harmonized approach.*" (Kasselmann, 2012, p.19).

The staff interviewed, belonging to organizations that cooperate on a permanent basis with NATO, highlighted the mutual search for common ground in which to carry out activities to improve communication and mutual trust. Obviously these are specifically selected civilian personnel who have been cooperating with NATO for some time and, therefore, the positive response was obvious. In reality, during my previous experience in this sector, I have experienced that civilian humanitarian organizations in most of the cases were not interested in cooperating *"different aims, mandates, organizational cultures and a number of other factors have been often hampering the interaction between a military Alliance and civilian NGOs."* (Lucarelli, Marrone, and Moro, 2017, p.8). In fact, while the military needs civilians to be able to carry out stabilization operations *"Military operations typically demand unity of command, challenging military and civilian leaders to forge unity of effort or unity of purpose among the diverse array of actors involved in a stability operation"* (ADP 3-07, US Army, 2012, p.2), civilians have so far been able to operate without the help of military units. The reasons are many and in some very evident cases. Military intervention, including that of the Blue Helmets can rarely be seen as neutral and politically independent and can be consistent with the four most commonly shared humanitarian principles (OCHA, 2017, p.8):

1. Humanity;
2. Neutrality;
3. Impartiality;
4. Operational independence.

Basically then the humanitarian organizations rarely agree to cooperate with military unit: *"some humanitarian actors may be reluctant to work too closely with peacekeeping missions, particularly if military peacekeepers are directly involved in the implementation of projects. This is due to concerns that it could compromise the humanitarian principles they adhere to and politicize humanitarian action."* (DPKO, 2012, p.230)

Military organizations	Civilian organizations
1. There is specialized personnel responsible for interaction with civil organizations	1. Regular work with <b>NATO</b> and <b>UN</b>
2. Integration of civil Subject Matter Experts (SMEs) into the Branch as augmentation personnel, through permanent contact and training activities (lectures, seminars, round table)	2. Actively seeks to find common ground for cooperation
3. Collaboration activities in peace time with civil organizations	3. Improve information available and therefore trust
4. Agreements in place with local universities to source civil Subject Matter Experts (SMEs)	
5. Collaboration activities in peace time with civil organizations	
6. Share of knowledge and " <i>modus operandi</i> "	
7. Improvement in communication mechanisms	
8. Formalization of relationships	

TABLE 4.2: Strategic objective 1: satisfactory results

### Current results unsatisfactory

The aspects which are not yet satisfactory are summarized in Table 4.3. Military personnel complain of training deficiencies thus, as seen in the previous paragraph, only the personnel in charge of **CIMIC** receive specific training. Bureaucracy and administrative difficulties in some cases prevent the use of civilian experts who are called upon to make up for specific shortcomings. Furthermore, the participation of non-governmental and international organizations in the exercises is often very small since it is difficult to get in touch with them. Moreover, when personnel or civil organizations participate in joint activities, there are often difficulties in the exchange of classified information which is strictly regulated in the military sphere.

The thought contribution provided by civilians confirms the difficulties in cooperating in some areas and often the late and incomplete exchange of information does not allow to influence decision-making processes. In essence, civil organizations feel a little excluded.

Military organizations	Civilian organizations
1. Administrative issues hampering deployment of civil Subject Matter Experts (SMEs)	1. Cooperation tends to be on easy areas, and more needs to be done to encourage cooperation in more difficult areas
2. Administrative issues hampering the use of reach-back capabilities;	2. Influence decision processes for Security Sector Reform earlier
3. The participation of IOs, NGOs in exercises	
4. Difficulties to directly engage IOs, NGOs	
5. Lack of specific training for the staff	
6. Difficulties in information sharing of classified document jeopardize trust	

TABLE 4.3: Strategic objective 1: unsatisfactory results

### **Strategic objective 2: Find shared solutions that addresses the root causes of a conflict improving the respect of human rights**

#### **Current results satisfactory**

Conflict resolution can only take place by identifying the problems that underlie them and in this context respect for human rights is of fundamental importance. Obviously this process cannot be imposed by force and preferably must be shared by all participants. In fact, international law is often the law of the fittest, but when power relations change, solutions that are not shared inevitably return to the surface. The activities carried out by military organizations that can positively influence the achievement of the indicated objective mainly concern training in international humanitarian law, human rights and cultural awareness (see table

4.4). Knowledge of the international legislation in force and of the specific cultural aspects is in fact considered of fundamental importance. The exchange of specific information and indicators with civil organizations is also a positive step forward. As far as civil organizations are concerned, regular contact with all stakeholders allows a better understanding of the problems by widening the vision to all aspects. These contacts also allow the carrying out of study activities shared in the Security Sector Reform of fundamental importance for the resolution of conflicts.

Military organizations	Civilian organizations
1. International humanitarian law training to all personnel	1. Regularly in contact with other stakeholders, getting to know them and their expertise
2. Cultural awareness training	2. Contributed to the United Nations World Bank study on conflict prevention as one illustration of the applicability of Security Sector Reform to addressing root causes of conflict prevention and improving respect for human rights
3. Prior agreement with the world biggest humanitarian organization to work together and share indicators, warnings and basic assessments	
4. Application of human rights training event	

TABLE 4.4: Strategic objective 2: satisfactory results

### Current results unsatisfactory

The difficulties encountered in achieving this strategic objective (see table 4.5) relate primarily to the training of all military personnel on human rights and international humanitarian law. Increasingly, even the individual military is facing very difficult situations to manage such as the potential engagement with child soldiers. Another serious problem is the regular participation in meetings with all the organizations involved in the peace process (IOs, NGOs, GOs). Civil organizations

believe that the funds reserved for conflict prevention are insufficient while many resources are allocated in counter-terrorism.

Military organizations	Civilian organizations
1. Training to every soldier on potential engagement with child soldiers	1. Bring more donors around to concentrating on conflict prevention rather than counter-terrorism
2. Enhance collaboration in peacetime with local Law Schools	
3. Discuss regularly, with IOs and NGOs how different specific conflicts are being addressed	
4. Train staff members on the key aspects of civilian crisis management	
5. Discuss regularly, with IOs and NGOs how different specific conflicts are being addressed	
6. Conduct regular meetings with relevant IOs, GOs, NGOs to identify root causes of a conflict	

TABLE 4.5: Strategic objective 2: unsatisfactory results

### **Strategic objective 3: Deconflict the activities developed by the different stakeholders avoiding the fragmentation of the different interventions**

#### **Current results satisfactory**

Civil and military organizations in peacekeeping operations are often forced to use the same resources or carry out similar activities in the same area. The creation of synergies seems to be of fundamental importance to avoid fragmentation of efforts (see table 4.6) as regards military organizations mainly refer to the procedures and organizational structures put in place during training or operational activities. The staff belonging to the branch of CIMIC is in fact trained specifically and during the operations used to create and maintain the connection with civil organizations. In addition, meetings are regularly developed to inform the civil authorities of ongoing activities in specially created and set up CIMIC centres.



Positive results were highlighted by civil organizations in the cooperation of the various stakeholders for the collection of funds for the Security Sector Reforms activities.

Military organizations	Civilian organizations
1. Existence of a <b>CIMIC</b> Branch with prepared personnel and different interaction tools Liaison Officers, <b>CIMIC</b> Centres, meetings...)	1. Bringing together various stakeholders and discussing on public financial management improvement
2. Presence of <b>IOs / NGOs</b> personnel during the Operational Planning Process	
3. <b>NATO</b> Liaison officers participation in the different clusters organized by the Civilian Agencies	

TABLE 4.6: Strategic objective 3: satisfactory results

### Current unsatisfactory results

The coordination of the different activities and their correct integration on the ground is fundamental in order to achieve the necessary synergy. Again, leaders of military organizations have identified numerous operational difficulties that can have negative strategic effects (see table 4.7). First of all, civil organizations do not wish to cooperate with each other because in many cases there is a competition to find the necessary resources which are often insufficient. Furthermore, civil organizations cooperate only on concrete and specific cases, while to strengthen relations and mutual trust, a stable connection should be established already since peacetime. For military organizations insufficient resources are problems that often cannot carry out the necessary refresher courses or participate in training activities. Furthermore, in the military field, not trained personnel in civil and military cooperation often do not understand the principles of neutrality and impartiality typical of humanitarian organizations.

For their part, civil organizations need to improve the mutual exchange of information between and within different organizations.

Military organizations	Civilian organizations
1. Lack of real added value of some collaborations	1. Encourage more information sharing across departments within the organization
2. Lack of will to be coordinated in operations, due to competition for resources/funds and individual interests	
3. The organization should improve the exchange of Liaison Officers at every level of command among respective organizations from peace time	
4. Few seminars are held to reduce the risk of collision between the various activities carried out by civilian and military personnel	
5. Military organizations should improve the exchange of Liaison Officers at every level of command among respective organizations from peace time	
6. It is necessary to send staff to training courses to learn the culture other organizations	
7. Lack of military planners experts in civilian planning	
8. Few mutual training support activities in peacetime	
9. Lack of information sharing and communication	
10. Difficulties in understanding the IOs / NGOs neutrality and impartiality principles	

TABLE 4.7: Strategic objective 3: unsatisfactory results

#### 4.4.2 Questionnaire second part: Cultural Transformation Tools

The second part of the questionnaire was aimed at identifying the **Personal Values (PV)** of the participants and comparing them with the **Current Culture Values (CC)** and **Desired Culture Values (DC)**. According to Barrett methodology personal values and organizational values are related. Determining the values of leaders makes it possible to identify the culture of the organization to which they belongs:

*"The culture of an organization is a reflection of the values and beliefs of the leaders. Who you are as a leader determines the corporate culture. Therefore, if you want to change the culture, either you must change or you must change the leader. Cultural transformation begins with the personal transformation of the leaders; organizations do not transform, people do."* (Barrett, 2014a, p.3).

The values represent what is important to us and are related to our needs. The Barrett value center methodology is inspired by the Maslow's hierarchy of needs which is represented by a pyramid with the fundamental needs at the bottom and the needs for self-actualization and self-transcendence at the top. According to Maslow's theory people are motivated to satisfy their basic needs before to move to upper levels. When people are gratified in all their basic needs they move towards their self-actualization. In the same way an organization cannot move to upper levels if the basic needs such as financial stability are not satisfied.

Barrett further developed Maslow's hierarchy of needs adding two levels and applying the same concept not only to the people but also to the organizations: *"The distinguishing feature of the Seven Levels of Consciousness model is that it is evolutionary in nature. It provides a framework for understanding the stages in the development of both individual and group consciousness"* (Barrett, 1998, p.1).

There is a correspondence between each of the seven pyramid levels developed by Barrett (Barrett, 2010, p.1) and the values. Just as in Maslow's theory every person tries to scale this pyramid and satisfy his needs even in the pyramid developed by Barrett, people (or organizations) begin to satisfy the primary needs linked to survival and then to satiate even the highest needs where we try to serve society (see table 4.8).

In addition to values, **positive** (trust, creativity, passion, honesty, integrity, clarity, etc.) or **potentially limiting** (bureaucracy, power, blame, greed, hierarchy,

status-seeking, etc.) are categorized as (Barrett, 2019):

- a. **Individual Value (I)**;
- b. **Relationship Value (R)**;
- c. **Organisational Value (O)**;
- d. **Societal Value (S)**.

Therefore each value belongs to a scale **level** (from 1 to 7) and to a **category** (Individual (**I**), Relationship (**R**), Organizational (**O**), Societal (**S**)).

<b>Level</b>	<b>Barrett Consciousness</b>	<b>Level</b>	<b>Maslow Hierarchy of needs</b>
7	Service		
6	Making a difference	5	Self-actualisation
5	Internal cohesion		
4	Transformation	4	Know and understand
3	Self-esteem	3	Self-esteem
2	Relationships	2	Belonging
1	Survival	1	Safety, Physiological

TABLE 4.8: Seven levels of consciousness model (Barrett, 1998, p.2)

The participants had to select 10 Personal Values (**PV**), 10 Current Culture Values (**CC**) and 10 Desired Culture Values (**DC**). The list of values utilized was the same for the two groups and was customized in coordination with the Barrett Values Center in order to adapt the test to the research objectives. The value assessment is the first step of a working cycle that has the objective to increase the trust in an organization, starting the dialogue among the people involved, sharing the results of the assessment and prioritizing the key focus values. Exploring key values and behaviours is possible to create a culture development plan of the organization. The seven levels of consciousness conceived by Richard Barrett in 1997 is the evolution of the Abraham Maslow's Hierarchy of Needs (Maslow, 1943, p.370).

The participants had to fill on-line the values survey:

- a. **Personal Values (PV)**: Select the 10 words that better reflect you when working with this Team/Organization;
- b. **Current Culture Values (CC)**: Select the 10 words that better reflect how this team/organization work to achieve its current results;
- c. **Desired Culture Values (DC)**: Select the 10 words that better reflect how this team/organization should work to achieve its desired results.

## 4.5 Data Analysis

### 4.5.1 Questionnaire First Part: analysis

#### **Strategic Objective 1: Improve trust among institutions and organizations involved in peace support operations**

None of the respondents changed the strategic goal and therefore they considered this strategic objective important to improve trust between the institutions and organizations involved in peace support operations. The actions were limited to build harmonious relationships among the different institutions in charge of the implementation of the comprehensive approach through the integration of civilian personnel during the military exercises, performing collaborative activities and formalizing procedures and agreements. According to the seven levels or organizational consciousness (Barrett, 2014a, p.4) this places the development of the organizations, relatively to implementation of the strategic objective proposed, around the level 2 and 3 of the seven levels of its scale. The level 2 is related to the necessity to build harmonious relationships and strong connections while the level 3 establish structures, policies and processes that create order and support the performance of the organization. It is a fairly low level in the evolutionary context of an organization and these efforts were hampered by bureaucratic procedures that prevented direct contact and sharing of classified information.

#### **Strategic Objective 2: Find shared solutions that addresses the root causes of a conflict improving the respect of human rights**

Respondents agreed on strategic objective 2. In order to find shared solutions that address the root causes of a conflict improving the respect of human rights the military organizations they trained the personnel in cultural awareness, international

humanitarian law and human rights. Besides, agreements were made in order to share indicators, warnings and assessments, because the coordination is paramount to better understand the root causes and address them before they arise. At the same time in the unsatisfactory results is evident that the training does not include all the personnel that potentially is involved in the process, moreover it is important to conduct regular meetings with IOs, GOs and NGOs. The civilian organizations underlined the necessity to focus more on prevention rather than counter-terrorism activities.

### **Strategic Objective 3: Deconflict the activities developed by the different stakeholders avoiding the fragmentation of the different interventions**

The third question was about the de-conflicting activities developed by the different stakeholders to avoid the fragmentation of the different interventions. The positive activities and interaction developed by military and civilian organizations were jeopardized by the numerous unsatisfactory results. In particular was highlighted the competition for resources and individual interests and the necessity to improve the de-conflicting activities, the training, the communication and the principles guiding the NGOs.

## **4.5.2 Questionnaire second part: analysis**

The Cultural Transformation Tools (CTT) was created in order to build values-driven organization "to build a sustainable high-performance organization" (Barrett, 2006, p.20) and for that purpose the Barrett Value Center has developed different tools. The objective of the analysis is to identify the values of the personnel PV and compare them with the current culture values CC of the organization and the values that the personnel want in the future DC. The alignment of these values to the strategic objectives of the organization allows to create an efficient and effective organization. The Cultural Transformation Tools has been utilized to analyse the personal, the organizational and the desired culture values of the civilian and military personnel involved in the implementation of the comprehensive approach initiative. To perform this analysis, participants had to select from a list of approximately 110 values:

- a. 10 Personal Values (PV);
- b. 10 Current Culture Values (CC);

c. **10 Desired Culture Values (DC).**

Each value belonging to one of the seven levels of the pyramid created by Barrett, can be considered as positive (or even potentially limiting) and belongs to one of the following categories: Individual(I), Relationship (R), Organizational (O), Societal (S). The Cultural Transformation Tools therefore analyse these values taking into account:

- a. **Frequency (F.):** Positive or potentially limiting values;
- b. **Category (C.):** Individual(I), Relationship (R), Organizational (O), Societal (S);
- c. **Level (L.):** From 1 to 7 level of the pyramid.

Before starting the analysis of the questionnaire it's important to remember what kind of data were collected. Each of the three tests collects 10 values of the four categories. The analysis will take into account the distribution of the different values (Individual, Relationship, Organizational and Societal) in each test and also the relation among the Barrett Values Categories (personal values, current culture values and desired culture values see section 4.1). The study will be carried out by analysing the three lists of values selected by civilians and military personnel, then the results of the two groups will be compared to identify possible points of convergence.

### **Military group - Review the three lists of values**

Personal Values (PV), Current Culture Values (CC) and Desired Culture Values (DC) will be taken into consideration. In order to facilitate the analysis a chart has been created showing graphically the positive values as yellow dots and the potentially limiting values as white dots (see table 4.1). Only values that reach a minimum of 30 percent of preferences will be taken into consideration by analysing the level (from 1 to 7) and the category to which they belong (I, R, O, S).

### **Personal Values (PV)**

The personal values list evidence the quality of the people working in the organization (see table 4.1). All values were selected by four out of ten people and there is no predominant value. The personal values of personnel belonging to military organizations are concentrated between the levels 4 and 6 of the scale of values

created by Barrett. The level 4 concerns transformation, or the need to increase innovation and success of the organization where you work (adaptability, continuous learning, responsibility). The level 5 represents the need to increase internal cohesion (honesty, humour /fun). The level 6 involves the need to make a difference by increasing the organization's resilience and increasing motivation around shared values (balance). The values selected are all individual values, that is, they reflect individual needs and what people consider important for their lives.

### **Current Culture Values (CC)**

We can see as a distribution of dots across all levels with only a gap at level 6 and a concentration of values at level 3. The most selected values with 5 people out of ten are adaptability, bureaucracy and teamwork. The Current Culture Values of the military organization embrace almost all levels of the pyramid focusing on the middle part of the it indicating a good balance (see table 4.1). The cultural values of the military organization embrace almost all levels of the pyramid focusing on the middle part indicating a good balance in the same. In particular, two individual values (adaptability and achievement), four relational values (teamwork, conflict resolution, cooperation and reliable), two organizational values (bureaucracy and efficiency) and one social value (peace building) were selected.

### **Desired Culture Values (DC)**

The Desired Cultural Values that have a higher frequency are adaptability (5 preferences) followed by cooperation, flexibility, long-term perspective, openness, shared values and shared vision (4 preferences each). The selected levels are located in the medium-high part of the pyramid indicating the desire to focus the attention on the values that entail a transformation and an increase in internal cohesion. The selected values belong to the following categories: individual (adaptability, proactivity), relational (cooperation, openness, reliable, stakeholder collaboration, teamwork) organizational (flexibility, long-term perspective, shared values, shared vision, information sharing and professional growth) and there are no social values.

### **Potentially limiting values**

A potentially limiting value, the bureaucracy has been selected at level 3 by 5 people out of 10. This value is represented on the chart by a white dot and in the



list with the letter (L) next to the side of them. This value is sign of some sort of fear or dysfunction showing up within the system and 5 people are already enough to tell that something is undermining the culture in some way.

### **Gaps**

The distribution of the dots do not include all levels and it is important to put in evidence that there are some gaps in the level 1, 2 and 3, values related to the survival, the relationships and the self-esteem, the 6 (making a difference) and level 7 (associated to service). When a level is not represented it is possible to deduce one of the following reasons:

1. It is an healthy level;
2. It is a blind spot;
3. It is a next area for development.

However, to assign the blind spots to one of the aforementioned categories it would be necessary to carry out further analyses interviewing the staff.

### **Values alignment**

The alignment of personal, organizational and desired values is important in an organization as they direct all activities towards its objectives (see table 4.2). Furthermore, the alignment of an organization's values allows it to be transformed by directing it towards strategic objectives "*values alignment is the bedrock of successful organisational change.*" (Branson, 2008, p.377). Failure to align values creates difficulties that profoundly undermine an organization's capabilities "*mis-alignment may relate to performance erosion.*" (Alec Cram, 2012, p.722). The analysis will be carried out by checking the alignment of Personal Values (PV) and Current Culture Values (CC) and subsequently of the Current Culture Values (CC) and Desired Culture Values (DC) (see table 4.2).

### **Personal Values (PV) and Current Culture Values (CC) alignment**

The personal and the current culture alignment of the personnel show only a value the "*adaptability*" that is a poor result because the personal values are different from the current cultural values of the organization, this result could indicate that

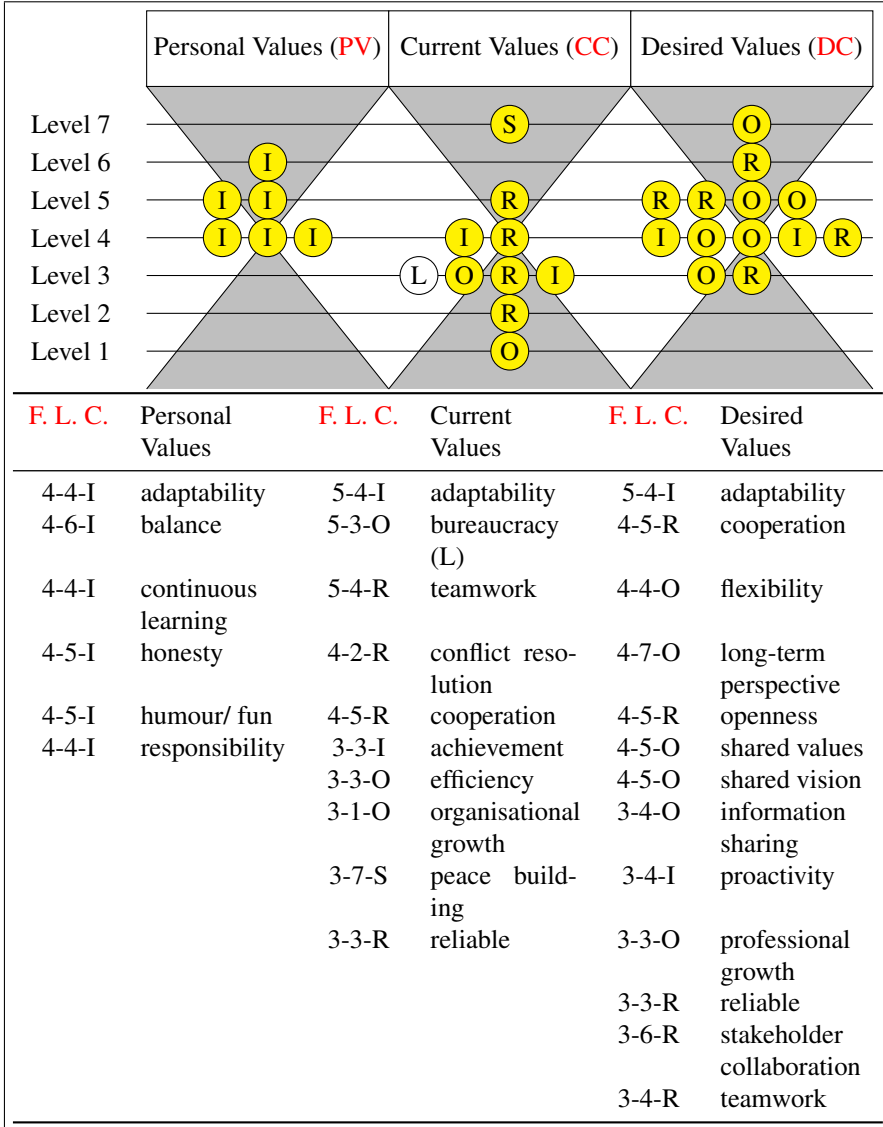


FIGURE 4.1: Values results military group (source: Barrett Values Center)

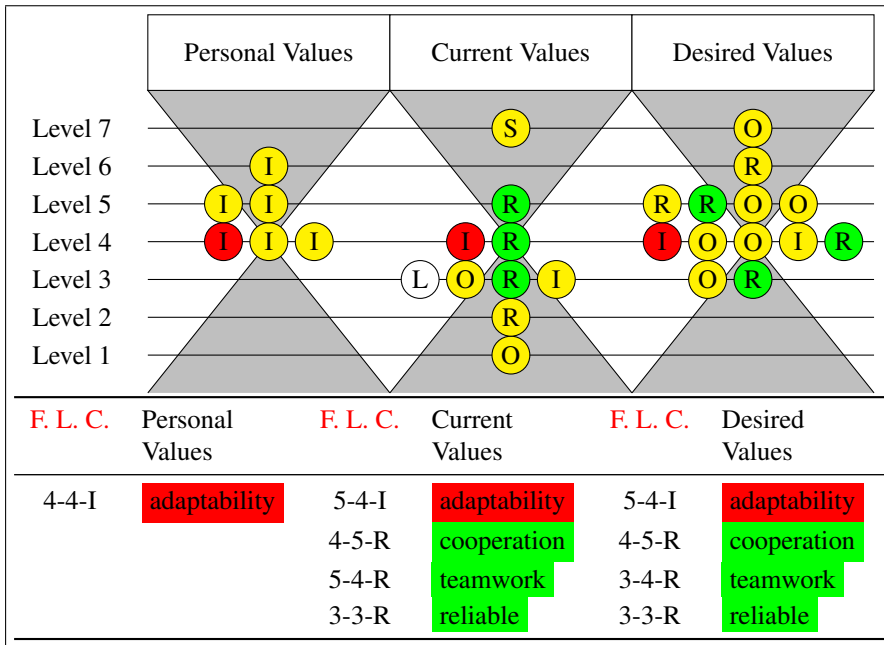


FIGURE 4.2: Values alignment military group (source: Barrett Values Center)

the people are not deeply involved in the work of the organization because do not share many values (see table 4.2).

**Current Culture Values (CC) and Desired Culture Values (DC)**

Between the Current Culture Values (CC) and the Desired Culture Values (DC) there were four matches: adaptability, cooperation, teamwork and reliable (see table 4.2). Four matches is a good result because that indicate that people see the organization on the right track.

**Cultural entropy**

Obviously, values in some cases have a negative effect and they could undermine or prevent the achievement of the set objectives. The analysis of these values allows to evaluate the organizational entropy (see table 4.9) "Cultural entropy is the dispersion of values within an organisation and the Level of incoherence between perceived values of self and the organisation." (Stokmans, Reisen, and Landa,

2018, p.4). In the military organization these values have a high percentage because they reach the 16 percent of total. Values such as bureaucracy, power, information hoarding, extreme loyalty, job security, caution, short term orientation and territory potentially limit the internal coherence (see table 4.9). They reflect the degree of disorder within a system. In order to improve the performance it is important to reduce the cultural entropy.

Level	Potentially limiting values	Frequency	Cultural entropy
3	Bureaucracy	5	8 percent
	Power	2	
	Information hoarding	1	
2	Extreme loyalty	1	1 percent
1	Control	2	7 percent
	Job security	2	
	Caution	1	
	Short term orientation	1	
	Territory	1	
Total			16 percent

TABLE 4.9: Cultural Entropy military group (source: Barrett Values Center)

### Values jumps

In comparing the results, an important aspect is constituted by the leaps existing between the organizational values of the current culture (CC) and the desired culture (DC). These jumps represent the desire for organizational change, it is directly proportional to the difference (see table 4.10). These culture values jump evidence which are the new values that the personnel want to implement in the organization.

Values	Current Culture (CC)	Desired Culture (DC)	Jump
	Frequency	Frequency	
Long-term perspective	0	4	4
Openness	0	4	4
Flexibility	0	4	4
Pro-activity	1	4	3
Shared Values	2	4	2
Shared Vision	2	4	2
Information Sharing	1	3	2
Professional growth	1	3	2
Accountability	0	2	2
Be rigorous	0	2	2
Creativity	0	2	2
Fairness	0	2	2
Future generations	0	2	2
Making a difference	0	2	2

TABLE 4.10: Values Jumps military group (source: Barrett Values Center)

### Civilian group - Review the three lists of values

The civilian personnel sample had a lower participation than the military one, however according to the Barrett Value Center criterion sufficient to be able to perform a data analysis.

### Personal values (PV)

The most representative frequencies of the data collected by the group of civilians are concentrated in the average range of values and almost 40 percent of them concern cooperation, independence and perseverance (see table 4.3). These values are concentrated around the level 3 and 4 of the pyramid and they focus on procedures that improve the organization's performance, innovation and internal cohesion (Barrett, 2014b, p.2). The categories selected concern two individual values (independence and perseverance) and a relational value (cooperation).

**Current Culture Values (CC)**

Even the values of the current culture are positioned in the middle part of the pyramid (see table 4.3). A value belongs to the level 3 (results orientation), two values to the level 4 (information sharing and innovation) and a value to the level 6 (stakeholder collaboration). These are all values of the organizational category apart from the last which belongs to the relational category and allows building the organization's resilience through cooperation with the different stakeholders.

**Desired Culture Values (DC)**

There is a wide convergence in defining the desired culture values. They are positioned in the highest part of the pyramid, positioning themselves between the fourth and seventh levels (see table 4.3). All four categories appear in the selection, individual (adaptability and commitment), relational (stakeholder collaboration and cooperation), social (global perspective) and organizational (information sharing and strategic alliances). Civilian staff have clear ideas on how to improve cooperation.

**Potentially limiting values**

There are no potentially limiting values selected.

**Gaps**

The distribution of the dots do not include all levels however this is normal considering the limited number of staff interviewed, belonging to different organizations and the consequent difficulty of reaching a minimum significant percentage (30 percent). In the current culture values we can see as a distribution of dots across all levels with Three gaps at level 1, 2, 5, 7 and a concentration of values at level 4.

**Values alignment****Personal Values (PV) and Current Culture Values (CC) Alignment**

There is no alignment among the personal and the current culture values of the personnel, that is a poor result because the personal values are different from the

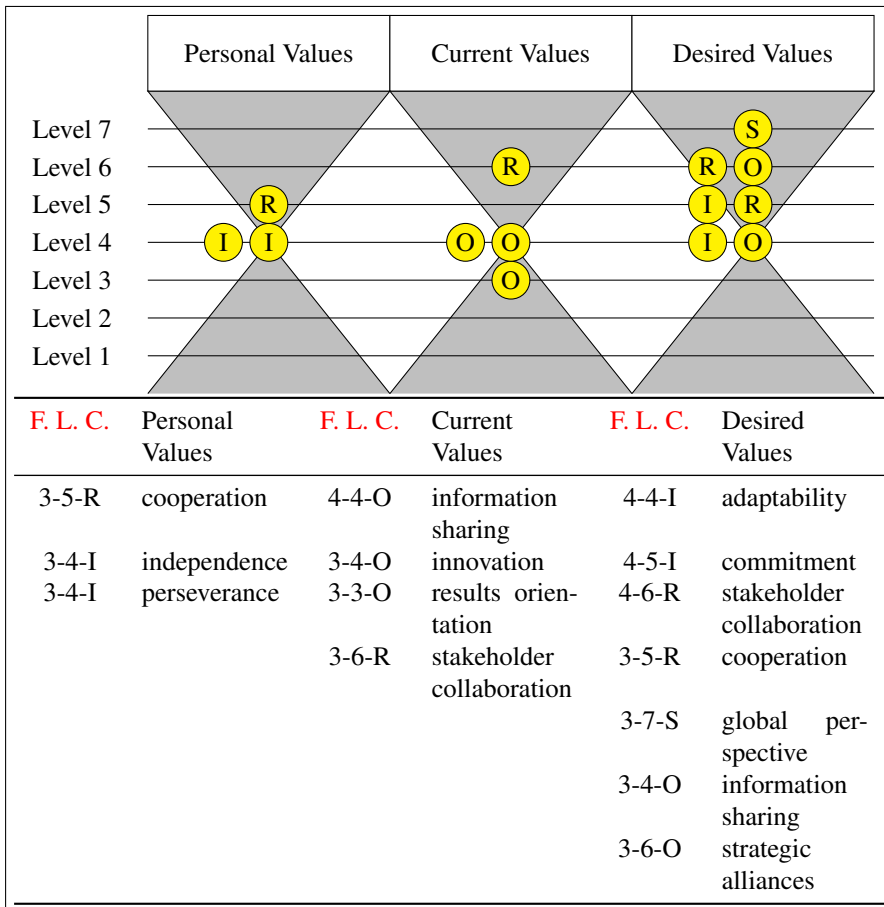


FIGURE 4.3: Values results civilian group (source: Barrett Values Center)

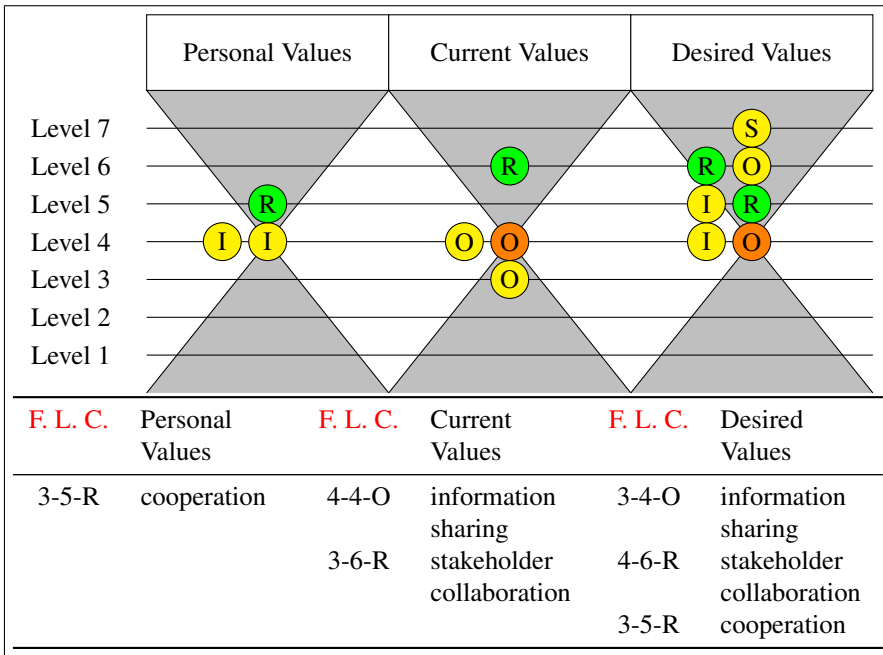


FIGURE 4.4: Values alignment civilian group (source: Barrett Values Center)

organizational values, this result could indicate that the people is not deeply involved in the work of the organizations (see table 4.4).

**Current Culture Values (CC) and Desired Culture Values (DC) Alignment**

Between the Current Culture Values and the Desired Culture Values there were two matches: **information sharing** and **stakeholder collaboration** (see table 4.4). Taking into account the limited number of participants the survey is a good result and this indicate that people see the organization on the right track.

**Cultural entropy**

In the Current Culture the cultural entropy (see table 4.11) is the 4 percent of total percentage mainly due to the bureaucracy. This is a low and healthy score and indicate the amount of energy consumed doing unnecessary or unproductive work is very low. In this case the organization operates at peak performance without conflict, friction and frustration of the personnel in their day-to-day activities. This



table depicts the survey participants' total votes for Current Culture potentially limiting values by level.

Level	Value (potentially limiting)	Frequency	Cultural entropy
3	Bureaucracy	1	3 percent
	Image	1	
2	Manipulation	1	1 percent
1			0 percent
Total			4 percent

TABLE 4.11: Cultural Entropy civilian group (source: Barrett Values Center)

### Values jumps

The value jumps table shows (see table 4.12) that have more votes in the Desired Culture than in the Current Culture of the organization. These jumps evidence which are the new values that the personnel want to implement in the organization. The jumps are numerous and affect all categories of values meaning a great desire or need for change.

Values	Current Culture Frequency	Desired Culture Frequency	Jump
Adaptability	1	4	3
Commitment	2	4	2
Cooperation	1	3	2
Strategic alliances	1	3	2
Conflict resolution	0	2	2
Ethics	0	2	2
flexibility	0	2	2

TABLE 4.12: Values Jumps civilian group (source: Barrett Values Center)

## 4.6 Results

The analysis of the results will be carried out by comparing the sample of civilians with that of the military following the same scheme used so far, firstly the analytical part and then quantitative one. The first part proposed three possible strategic objectives that the organization had to achieve in order to be able to implement the comprehensive approach, they had been outlined during the examination of the literature (see section 2.5.4). In fact, the methodology used provided for the alignment of the individual organizational and social relational values to the mission and objectives of the different organizations. The achievement of the above objectives could allow the improvement of trust between the various organizations to find solutions capable of resolving the root causes of conflicts by increasing respect for human rights and becoming operational by avoiding the fragmentation of efforts. None of the respondents proposed changes to the above objectives, which could mean their goodness or lack of a clear strategy within the organizations involved. The results of the qualitative part show a lack of communication within the organizations since the three strategic objectives were a proposal to be developed by the participants on the basis of the real objectives of their organization. The lack of further proposals highlights that the objectives of the organizations are not clearly defined.

### 4.6.1 Questionnaire First Part: results

In the following paragraphs the results of the responses to the three strategic objectives are examined in detail.

#### **Strategic Objective 1: Improve trust among institutions and organizations involved in peace support operations**

##### **Positive Results**

The improvement for the military group is at procedural and organization level trying to incorporate civilian personnel as expert in the military organizations, doing joint activities and agreements. These procedures permit to identify key stakeholders in NGOs and IOs to share knowledge and "modus operandi", to improve the communication mechanisms and to formalize relationships. The civilian group find that the regular work with NATO and UN, seeking to find common ground

for cooperation improve the information available and therefore trust. In particular, military organizations seek to improve trust through the continuous integration of civilian personnel in educational and training activities by collaborating since peacetime with civilian organizations. Agreements had been reached with local universities to improve the exchange of information and knowledge. The formalization of these relationships improves communication. Even the civilian organizations try to find a common ground to improve cooperation and trust.

### **Negative Results**

The efforts mentioned above are sometimes jeopardized by the bureaucracy that limits the use of civilian personnel in training activities and the lack of specially trained personnel to carry them out. Furthermore, there are some limitations in the exchange of classified documentation and this undermines mutual trust. Administrative issues hamper the participation of civilian and to directly engage them, the military staff need a specific training in civilian planning. As results the cooperation need to be encouraged in more difficult areas.

### **Strategic Objective 2: Find shared solutions that addresses the root causes of a conflict improving the respect of Human Rights**

#### **Positive Results**

The search for shared solutions needs a common knowledge based on the ability to speak the same language, in this context military personnel are specifically trained in international humanitarian law, human rights and cultural awareness. In addition, agreements have been reached with humanitarian organizations for the mutual exchange of indicators, warnings and basic assessments.

#### **Negative Results**

However the aforementioned efforts are not sufficient because it is necessary to train all the military personnel in some areas of expertise and to enhance the collaboration with **IOs** and **NGOs** conducting regular meetings in order to identify root causes of conflicts. This confirm the results of the review of the literature about the lack of specific training (see section 2.2.4).

**Strategic Objective 3: De-conflict the activities developed by the different stakeholders avoiding the fragmentation of the different interventions****Positive Results**

The interaction between civil and military organizations allows to resolve the conflicts that exist during employment. This integration must take place continuously to facilitate contacts between the various organizations. Integration cannot be developed in operations or during a crisis because it would be extremely difficult.

**Negative Results**

The negative results mainly concern the competition existing between the various organizations in the absence of sufficient material and financial resource. This is particularly true for non-governmental organizations that access to the same resources.

**4.6.2 Questionnaire second part: results**

The results of the second part of the questionnaire appear encouraging because despite the extreme diversity of the two organizations there is a wide convergence on the desired culture values (DC) (see table 4.13). The results of the second part of the questionnaire appear encouraging because despite the extreme diversity of the two organizations there is a wide convergence on the desired culture values (DC). Convergence that embraces the levels 4, 5 and 6 of the pyramid and three categories of values (see table 4.13). Specifically, the adaptability value requires a transformational change to adapt the staff to the new context. Cooperation and stakeholder collaboration are values that converge on the need to make people grow by creating relationships of mutual trust and new alliances. Information sharing is essential at an organizational level which unfortunately is undermined by bureaucracy and strict information security rules as far as the military is concerned.

<b>Desired Culture Values (DC)</b>	<b>Civilian</b>	<b>Military</b>	<b>Level</b>
Adaptability	4	4	4(I)
Cooperation	3	4	5(R)
Stakeholder collaboration	4	3	6(R)
Information sharing	3	3	4(O)

TABLE 4.13: Desired Culture Values comparative results  
(source: Barrett Values Center)

## 4.7 Summary

. The survey indicates that an operational change is needed in order to ensure a better coordination on the ground and increase trust among the stakeholders. This aptitude is similar to the changes proposed in the Human Rights up Front action plan (IASC, 2014, p.8) and it is important to implement also the cultural change. It is also possible a cultural change and there is the possibility to align the cultural values among the civilian and the military group. The Cultural Transformation Tools (CTT) analysis shows that the value alignment in the military group is better than the value alignment of the civilian group, but what is very important is that there are some values shared in the desired culture (DC). Bureaucracy is one of the problems detected in the analytical and quantitative part of the questionnaire showing the need to streamline procedures.

<b>Aspects taken into considerations</b>	<b>UN</b>	<b>EU</b>	<b>NATO</b>
The comprehensive approach is relevant for the respect of human rights	Yes	Yes	Yes
Which comprehensive approach respect more the human rights and international humanitarian law	+++	++	++

TABLE 4.14: Comprehensive Approach comparative analysis

Values guide our actions and the existence of common values between two distinct groups of people, one of military and one of civilians, they both work for the

implementation of the comprehensive approach and this is a very positive aspect that should be developed. In this context, it is appropriate to investigate some aspects highlighted with the Cultural Transformation Tools (CTT) through a focus group that brings together experts.

## Chapter 5

# Focus Group Assessment

### 5.1 Focus Group

Focus group is a qualitative data collection methodology useful when it is necessary to confirm or expand a research and it is commonly utilized in social sciences. In order to deepen the results of the Leadership Values Assessment (see section 4.6) a focus group on the research questions of the thesis was arranged, (see section 1.5), it was directed by an expert in strategic issue, Mrs. Ofelia Santiago an international political consultant and coach. Focus group discussions are a qualitative flexible method of investigation in order to test or to develop quantitative studies (Barbour, 2005, p.742), their use has advantages compared to an individual interview because it is possible gather together a large group of expert and interviews at the same time saving timings and costs (Côté-Arsenault and Morrison-Beedy, 1999, p.1), besides the discussion generated are more interesting and broaden the theme of the research. The discussion developed in the focus group are useful to confirm the research questions (Côté-Arsenault and Morrison-Beedy, 1999, p.280).

### 5.2 Methodology

The focus group is a useful qualitative methodology to collect data from a group of participants relying on a structured interview developed with the help of a moderator. This methodology is popular in areas such as marketing, politics and health-care research. It represents a semi-structured interview where the participants are

asked to discuss a limited number of questions developed in advance. These questions help the researcher to deepen some areas but also to diverge from the pre-defined questions if interesting new areas arise (Gill P. et al., 2008, p.291). The advantages of the focus groups are evident when it is necessary to deepen new areas of the research, even if it is difficult to organize and develop them because the large amount of data collected have to be analysed and interpreted (Pope, Ziebland, and Mays, 2000).

### 5.3 Purpose

The focus group purpose was intended to verify the validity of the research questions utilizing a group of experts on the comprehensive approach and leadership working in the **Centro Superior de Estudios de la Defensa Nacional (CESEDEN)**. Anyway the interview of a limited number of expert in a specific sector is fundamental to develop a new questionnaire and in order to evaluate, especially if the questions are appropriate even if the research commonly only relies on questionnaires because it is very easy to submit them to a large group of participants.

### 5.4 Location, participants, and sample size

The focus group was developed in Madrid at **CESEDEN**, on March 13, 2019, from 10.30 to 12.00 a.m.. The selection of the participants was made on the basis of their experience on leadership and comprehensive approach. The **CESEDEN** is the main centre of investigation of the Spanish Armed Forces and in total six teachers were selected. The suggested size of a focus group ranges from six to ten participants (Morgan, 1996, p.5). The number of participants is critical because the interaction among them is fundamental, a small number can limit the interaction while a larger number could affect the possibility to express their ideas (Côté-Arsenault and Morrison-Beedy, 1999, p.121). The role of the moderator is essential in order to maintain active the discussion and to focus it on the topic of the research guiding it and being neutral. In the specific case we had the opportunity to give this role to Mrs. Ofelia Santiago, who is a skilled coach and political consultant with international experience. Furthermore, the selection of participants from a unique institution stimulated their interaction from the beginning as the interaction of participants, jointly with their experience and background is essential



in order to have good results (Kitzinger, 1995, p.299). In order to maximize their interaction the recruitment source is crucial (Morgan, 1996, p.6) and sometimes a difficult task. In the specific case the personnel selected belonged to the Armed Forces (Army, Navy, Aviation and "Guardia Civil") there was a Diplomat, too. They all worked in the same research centre. This gave the opportunity to have people accustomed to work together (maximizing their interaction), with different experiences and perspectives.

## 5.5 Structure of the questionnaire

Mrs. Ofelia Santiago clarified the rules of the discussion in order to guide the debate on the research questions avoiding to slip in a casual conversation (Côté-Arsenault and Morrison-Beedy, 1999, p.2). The focus group under the direction of Mrs. Ofelia Santiago examined the following four research questions:

- a. What does the comprehensive approach model regarding the respect of human rights and international humanitarian law?
- b. Which typology of comprehensive approach developed respectively by UN, EU, NATO respect more the human rights and international humanitarian law?
- c. Which kind of leadership style best suite the respect of human rights, international humanitarian law and the implementation of the comprehensive approach?
- d. Which soft skills and values you consider essential for this new model of leadership?

## 5.6 Data analysis

The data analysis was made from an abridged transcription of the record (see Appendix B) in order to focus on the research question avoiding the part less interesting (Onwuegbuzie et al., 2009, p.4). All the participants received a few days before a synthesis of the objective of the research in order to save time during the meeting. The introduction of the focus group methodology was made by Mrs. Ofelia Santiago that explained the importance of the interventions in order to develop the consequent phases of the research.

### **What does the Comprehensive Approach model regarding the respect of Human Rights and International Humanitarian Law?**

The first questions was about the positive effect of the implementation of the comprehensive approach regard the respect of the human rights and international humanitarian law. All but one participant agreed on the importance of the comprehensive approach and the necessity of a multidisciplinary approach in order to solve the complex crisis that we have to face (see Table 5.1). the disagreeing participant explained that in his opinion the Armed Forces always have to respect the human rights and international humanitarian law and for that reason the implementation of the comprehensive approach does not add anything.

The discussion brought up the importance of the respect of the human rights, the Armed Forces train their personnel mainly on the respect of the international humanitarian law but in the modern scenarios characterized by the presence of civilian directly involved in the fights the training on human rights is fundamental. Training not only is important in order to know how to apply the rules of law, the discussion put in evidence that it change the way of thinking of the personnel increasing their human rights awareness and consciousness.

Recent conflicts show an increasing in the level of violence where civilians are deliberately targeted, this is a clear violation of the human rights and the international humanitarian law. It was underlined that during a fight it is difficult to restrain the violence therefore training is fundamental in order to accustom soldiers to limit it. European countries have incorporate the respect of human rights in their way to act and will not violate deliberately them and intervening only after a UN resolution. The implementation of the comprehensive approach would be the likely consequence of this premises. The unilateral intervention and the defence of one's interests on the contrary increase the level of violence. The respect of the International Law is very important and the ratification of the Rome Statute of the International Criminal Court essential.

	Member					
	1	2	3	4	5	6
Indicated agreement	+2					
Provided significant statement suggesting agreement			+1	+1	+1	
Did not indicate agreement or dissent						
Provided significant statement suggesting dissent						
Indicated Dissent		-1				

TABLE 5.1: Comprehensive Approach Relevance Evaluation

### Which typology of Comprehensive Approach developed respectively by UN, EU, NATO respect more the Human Rights and International Humanitarian Law?

The participant who at the first question had considered that there was no direct relationship between the implementation of the comprehensive approach and respect for human rights, for the same reason, did not highlight any preference. The remaining participants agreed that the typology of comprehensive approach respecting more the human rights and international humanitarian law is the one developed by the EU (see Table 5.2). Each participant was asked to place the three organizations in order of importance and was assigned a value equal to two points to the first, one point to the second and zero points to the last. In total, the EU collected 10 points, the UN 3 points and NATO 1 point. The reasons behind this classification are the following:

- a. UN is a complex organization and many officials think mainly to their career and until now their model of intervention has been ineffective;
- b. NATO is very effective in conflict resolution, the military organization is very strong but the values of the nations involved are different;
- c. EU seems to have a good balance among the values of the nations and the functioning of its organization.

Based on the discussion, it is clear that participants in the focus group gave the EU significantly higher relevance than the UN and NATO.

	Member					
	1	2	3	4	5	6
First (Value +2)	EU	-	EU	EU	EU	EU
Second (Value +1)	UN	-	-	UN	UN	NATO
Third (Value 0)	NATO	-	-	NATO	NATO	UN
Organization						Total
EU						10
UN						3
NATO						1

TABLE 5.2: Comprehensive Approach Relevance

### **Which kind of leadership style best suite the respect of Human Rights, International Humanitarian Law and the implementation of the Comprehensive Approach?**

The discussion about the leadership style that best suits the above question took in consideration four main typologies of leaderships:

- a. Strategic;
- b. Transformational;
- c. Situational;
- d. Servant.

Strategic leadership is not a new category of leadership style but it is more related to the idea of moving from the daily routine to the future activities (Davies and Davies, 2004, p.13). The focus group then took into consideration the situational leadership as a leader capable to adapt his behaviour to the situation (McCleskey, 2014, p.118) and in this context, according to the premises of the discussion it is not related to any specific leadership style. The leader contemplated in the conversations has an high level of consciousness, focuses on the problems of the people, promotes the respect of human rights and he knows the different leadership styles adapting his behaviour to the situation and to the people that he leads. He is a leader more focused on the people and less on the mission or the task to accomplish, because people are the key. Taking into account that none of the

	Member					
	1	2	3	4	5	6
Situational		1			1	-
Transformational	1		1			1
Strategic						
Servant						

TABLE 5.3: Leadership

leadership styles contain all the characteristics considered necessary the three people out of six of the focus group thought the transformational leadership style as the more appropriate (see Table 5.3).

### **Which soft skills and values you consider essential for this new model of leadership?**

Soft skills are essential in order to influence and persuade the people and to implement the comprehensive approach we need leader able to influence, because it is not possible to utilize the power/authority when you have to convince people working for different organizations, but at the same time we need some kind of values otherwise we can transform the influence in manipulation and the persuasion in coercion. *"I now use my values as a solid basis for my goals and always check that the goals I set are firmly in line with them. If they're not, I'm setting myself up to fail."*(Neale, Spencer-Arnell, and Wilson, 2009, p.125)

The debate focused on the soft skills and values considered essential for this new model of leadership transformational, humanist and integrator. The discussion started analysing the importance of the capacity of decision, to take action proactively, assuming that politicians often have no capacity of decision at their level. The group agreed on the necessity of a strategic orientation, a broaden humanistic culture and a great respect for human rights. This new leader has to set the self-interest aside and act for the common good, utilizing his empathy and putting himself into other's shoes. These fundamental soft skills have to be accompanied by good communications skills and emotional intelligence.

## 5.7 Results

The result of the debate was very interesting and the level of the discussion very high. The focus group results are reported in the order of the questions discussed.

### **What does the Comprehensive Approach model regarding the respect of human rights and international humanitarian law?**

The need for comprehensive approach to resolve conflicts was shared by five participants out of six and it identified the need to improve the training of military personnel on human rights issues. Currently military personnel is better prepared on international humanitarian law. The lack of human rights training can lead, as has happened in some South American States, to serious errors and even crimes. As for the Western States, human rights have been integrated into the curricula and, therefore, there is a good knowledge of them.

### **Which typology of Comprehensive Approach developed respectively by UN, EU, NATO respect more the human rights and international humanitarian law?**

Following the analysis of the three international organizations taken into consideration, the EU is considered the most capable of implementing the comprehensive approach, guaranteeing respect for human rights and international humanitarian law.

### **Which kind of leadership style best suited the respect of human rights, international humanitarian law and the implementation of the Comprehensive Approach?**

During the discussion, 4 types of leadership were taken into consideration: strategic, transformational, situational and servant. Transformational leadership together with situational leadership are considered to be those that best guarantee respect for human rights and the implementation of the comprehensive approach.

**Which soft skills and values do you consider essential for this new model of leadership?**

In the new operating context, it appears essential that the leader is endowed with excellent human values and soft skills to be able to act effectively. This response appears to be coherent with the choice of transformational leadership that precisely highlights human values.

## 5.8 Summary

The work carried out in the focus group confirmed that the comprehensive approach is useful if not indispensable to guarantee the respect for human rights and international humanitarian law and that we need leaders capable of acting in this complex environment. Besides, human values and soft skills are indispensable and complementary to develop an effective and cooperative leadership. However, it is human values that direct our action, while soft skills provide us with the tools necessary to support it. Soft skills therefore appear instrumental and supportive of human values. A leader without human values could use the soft skills he has in a negative way. The empathy of a leader, for example, is essential to influence his followers, but could also be used to manipulate them. Therefore it seems more profitable and interesting to deepen the study of human values which instead are stable over time and guide all our actions. In addition, the selected transformational leadership style relies heavily on the leader's personal evolution and human values: *"leader inspired devotion to values and ideals embodied in the group leader-inspired moral commitment to the group"* (Bass, 1999, p.23).

The choice of transformational leadership appears to be consistent with the Strategic Objective 1 (Improve trust among institutions and organizations involved in peace support operations) identified (see section 4.4.1) and subsequently examined in the Leadership Values Assessment. This type of leadership in fact allows to increase trust inside and outside organizations by increasing effectiveness, efficiency and performance *"transformational leadership practices have a positive impact on trust in the leader"* (Gillespie and Mann, 2004, p.590). There is also a very strong relationship between the human values necessary to develop this type of leadership and respect for human rights: *"Transformational leaders influence followers and drive organizational changes by promoting process values*

*such as Honesty, Loyalty, and Fairness, while emphasizing the end values of Justice, Equality, and human rights.*" (Groves and LaRocca, 2011, p.514). Human values, transformational leadership and respect for human rights are intimately linked. The choice of leaders with high human values not only allows to increase trust which is fundamental to implement the comprehensive approach, these leaders have the ability to change the human values of their followers transforming organizations and work environments *We found that the leader's values were related to transformational leadership and transformational leadership was related to followers' values.*" (Mulla and Krishnan, 2011, p.129).

Among the various models for evaluating human values, the one developed by Shalom Schwartz has already shown a relationship between some human values and the degree of involvement of people in defending them: *"Schwartz's (1992) theoretical model on the content and the structure of values will be used as a major tool for predicting how social representations of human rights are systematically anchored in value priorities of respondents"* (Spini and Doise, 1998, p.604). The use of the model with two samples of personnel (one made up of civilians) involved in the implementation of the comprehensive approach will allow to verify which are the factors of leadership (human values) that influence the respect for human rights and international humanitarian law. This aspect is fundamental in the selection, training of personnel and in the success of activities involving the cooperation of numerous organizations.



## Chapter 6

# Portrait Values Questionnaire Assessment

Leadership is one of the most discussed topics in literature and numerous researchers have written about it. However, despite the vast existing literature, there is still room for investigation. In current research human values represent one of the most interesting aspects of the new methodologies on leadership because they are closely linked to the respect for human rights. At this point one might wonder why leadership is so important for the defence of human rights, the reason is that the existing institutions are not able to effectively guarantee the respect for human rights *"There is a lack of commitment on the part of many countries to protect human rights not only domestically but also in international institutions."* (Spini and Doise, 1998, p.28). In this context everybody and in particular our leaders should actively participate in the defence of human rights (A/CONF.157/23, 1993, p.1).

Before proceeding, I briefly summarize the steps that have brought us here highlighting the relationships between the comprehensive approach, the leadership, the human values and the defence of human rights. In the chapter 2 I examined the importance of the comprehensive approach to conflict resolution and despite the numerous failures reported so far and the enormous difficulties encountered, it seem to be the only possible alternative to the logic of protecting national interests *"the great powers are reluctant to operate peacekeeping missions outside of their own sphere of interests."* (Islam, 2004, p.24). In an increasingly violent and complex operational context, populations and human operators are no longer involuntary victims of the war and often the protection provided by international

humanitarian law is insufficient to face the deliberate attacks carried out following terrorist strategies. In the short term, it is impossible to change the situation. The structure of related international organizations, such as the United Nations Security Council, built at the end of the second World War in a logic of division and conservation of power. The Treaty of Rome that constituted the International Criminal Court for example has not been ratified by countries which, due to their international relevance, present themselves as deeply involved in the defence of world security. Countries with military, economic and permanent members of the Security Council mainly protect national interests, while the remaining countries seek a multilateral approach to conflict resolution. This situation cannot change in the short term. In this context, three strategic objectives were determined for a possible implementation of the comprehensive approach.

In the third chapter, the main styles of leadership were examined in order to identify on the basis of their characteristics the most appropriate ones for the implementation of the comprehensive approach. The leadership styles selected were: servant, transformational and ethical Leadership (see table 3.1). These styles, on the basis of existing literature, emphasize the ethics, morals and values of the Leader and allow to create a climate of mutual trust that improves cooperation *"Trust results in distinct (main) effects such as more positive attitudes, higher levels of cooperation (and other forms of workplace behaviour), and superior levels of performance."* (Dirks and Ferrin, 2001, p.3).

In Chapter 4 a preliminary study was carried out with the help of experienced personnel involved daily in the implementation of the comprehensive approach. The three strategic objectives identified in the Chapter 2 (see section 2.5.4) were suggested to this staff in order to verify their goodness (they had also the possibility to change them and to add new ones). In addition, the two samples of civilian and military personnel completed a questionnaire widely used in the business sector to align personal values with current and desired organizational values. According to the results of the questionnaire, the comprehensive approach appears relevant for the defence of human rights. A convergence appeared between the two samples on the values that should guide military and civil organizations, such as adaptability, cooperation, stakeholder collaboration and information sharing (see table 4.13).

The results, although encouraging, were not conclusive, therefore a focus group

was organized with the participation of six experts of the "Centro Superior de Estudios de la Defensa Nacional (CESEDEN)" to investigate the results obtained. The results of focus group in chapter five confirmed that the EU's comprehensive approach significantly improves the defence of human rights and that transformational leadership style is the most appropriate because improves mutual trust and foster cooperation (Gillespie and Mann, 2004, p.590). The human factor is a very important variable in this complex equation and on many occasions enlightened leaders have changed the course of history .

The study conducted so far has allowed us to identify the leadership style that best suits the resolution of this problem, but we still have a too complex equation in which many factors must be identified. We know that these factors are human values, but which ones? In the preliminary study carried out with the help of the Barrett Value Center (see chapter 4) more than one hundred values were selected for the questionnaire. In solving an equation it is necessary to simplify, identify prime numbers, for this reason I will try to find a methodology that uses a limited number of values.

### **Values alignment**

In this chapter we examine the relationships between human values, the ability to develop cooperative relationships and become involved in the defence of human rights, using some of the most modern existing theories. Therefore, the human values deemed fundamental will be identified and the differences between two samples of military and civilians personnel will be carried out. The initial idea of comparing two samples, one of soldiers and one of civilians, arises from the need for a closer cooperation of these two groups in the new and dangerous operational context (problem identified in chapter 2). The alignment of human and organizational values is fundamental to create relationships of mutual trust and cooperation, consequently any difference in personal values could constitute a difficulty for their relationships. The objective is to identify the human values that influence the implementation of the comprehensive approach testing the hypothesis that there are significant differences among the relevant values of these two groups. Besides, the alignment of human values is fundamental in the transformational leadership and in order to have an efficient organization: *"All relationships - between one person and another, between the present and the future, between customer and product, a team and its goals, a leader and a vision - are claimed*

to be strengthened by aligned values." (Branson, 2008, p.381). The application of the comprehensive approach requires the close collaboration of civil and military personnel, but if these two groups have completely different values, it is clear that cooperation could be very difficult.

## 6.1 Methodology

The literature on human values is wide and diverse, there are numerous studies about them and sometimes it is very difficult to understand what is a value. Schwartz's study clearly defines what are the characteristics of a human value in order to take it into consideration: "A value is a (1) belief (2) pertaining to desirable end states or modes of conduct, that (3) transcends specific situations, (4) guides selection or evaluation of behavior, people, and events, and (5) is ordered by importance relative to other values " (Schwartz, 1994, p.20). The clear definition of what a value is or is not also allows to use it in a universal way and limit the number, which otherwise would be very numerous and their use very difficult. For example, the preliminary study on human values used in chapter 4 used a list of over 100 values (see section 4.1).

Human values are always considered as important factors from an ethical or moral point of view, but only recently they have been taken into consideration from a scientific point of view, too:

*"A nivel individual, nos dan una importante información sobre los comportamientos, actitudes e identidades de las personas. Los perfiles de valores de las personas son importantes predictores de comportamientos, intereses y actitudes, del rendimiento académico de los estudiantes, de los vínculos interpersonales o de la conducta de voto."*  
(Casullo and Castro, 2004, p.23).

The importance ascribed to them contributed to a large number of research studies focused to understand the human behaviour "*values predict a large variety of attitudes, preferences and overt behaviors. Individuals act in ways that allow them to express their important values and attain the goals underlying them. Thus, understanding personal values means understanding human behavior.*" (Sagiv et al., 2017, p.1). The importance of human values in leadership has long been studied because they can have an important influence on the decisions we make and how

we implement them: *"The importance of a value system is that once internalized it becomes, consciously or subconsciously, a standard or criterion for guiding one's action. Thus the study of leaders' values is extremely important to the study of leadership"* (Bruno and Lay, 2008, p.1). Personal values are the guiding principles that orient us, they provide a general orientation for our actions: *"values represent, in the form of conscious goals, three universal requirements of human existence to which all individuals and societies must be responsive: needs of individuals as biological organisms, requisites of coordinated social interaction, and survival and welfare needs of groups"* (Schwartz, 1992, p.4). Human values also have the important function of bringing people together around a community *"Las colectividades humanas son entidades abstractas que necesitan valores y símbolos que actúen como factores de cohesión entre sus miembros, y que los distinguen y signifiquen frente a otras colectividades."* (Díez-Nicolás, 1999, p.91).

The importance of values in making decisions in recent years has become so profound even in the field of Artificial Intelligence (AI) *"Value alignment" (VA) is considered as one of the top priorities in AI research.*" (Kim, Donaldson, and Hooker, 2018, p.1). Studies have advanced so far in organizations that attempts are made to align the values of Artificial Intelligence with those of people *"Value alignment in AI has emerged as one of the basic principles that should govern autonomous AI systems. It essentially states that a system's goals and behaviour should be aligned with Human Values."* (Sierra et al., 2019, p.1).

Human values influence many aspects of human behaviour, they are enduring beliefs that shape political, economic, religious, social and consumer behaviour; as a consequence there are many studies on them (Sharon et al., 1985, p.182). Human values are relatively stable over time and this allows us to predict behaviors with relative certainty, however they are not immutable and this allows us to change them through a personal transformation process: *"If values were completely stable, individual and social change would be impossible"* (Rokeach, 1973, p.5). The transformation of a person's values is a process that requires personal commitment *"A person's value system may undergo change as a result of socialization, therapy, cultural upheaval, or as a result of experimental procedures designed to change values"* (Rokeach, 1973, p.37).

People use values as criteria in order to select their actions (Schwartz, 1992, p.1). One of the most used measuring instrument was the Rokeach Value Survey

(Rokeach, 1973), the success of this instrument was due because of its relative ease of use. The survey list 36 values divided in two areas, in the first one there were 18 Terminal Values and 18 Instrumental Values in the second one. A more recent theory was created by Shalom Schwartz in the 90s (Schwartz, 1992) and subsequently refined in 2012 (Schwartz et al., 2012), going from the ten universal values initially identified to the current nineteen. This theory has been continuously refined by Schwartz and it is important because it analyses the relations among values and our motivational concern (Bilsky and Koch, 2000, p.1).

### **Values that support the defence of Human Rights**

Once the importance of human values has been identified, it is necessary to verify which of them have an influence on leadership by improving respect for human rights. Self-transcendence and universalism values for example can predict supportive attitudes and behaviours towards the respect of human rights: *"self-transcendence values predict attitudes and behaviours supportive of human rights"* (Hackett, Omoto, and Matthews, 2015, p.47). The relative importance of the different values can help in order to evaluate the decisions of a person in a specific context. This thesis is supported by other researches on values that examine the relationships existing between personal values and involvement in the defence of human rights *"link between organizing principles of involvement in human rights and their anchoring in value priorities and other social background variables of interest"* (Spini and Doise, 1998, p.604). Human values are fundamental in our decisions, although we do not always take them into consideration, in any case recent studies confirm that when we are aware that a situation is relevant to our value scheme we make the decision almost automatically:

*" The studies may thus contribute to answering the question of why values do or do not enter a decision-making process and how this can occur. On the one hand, it seems that in spite of our capacity to hold elaborate value systems, we do not always live up to them. On the other hand, once we perceive the situation as being relevant for a value that is central to our self-concept, we have the cognitive and motivational architecture to act on that value spontaneously." (Verplanken and Holland, 2002, p.445).*

### Values that support cooperation

Another very important aspect for the implementation of the comprehensive approach is cooperation. In particular, scientific evidence shows that cooperation is influenced by values like the benevolence that includes a real involvement of the persons. Values like conformity could have a positive effect on cooperation but only from an instrumental point of view to avoid negative results for themselves: *"Benevolence and conformity values both promote cooperative and supportive social relations. However, benevolence values provide an internalised motivational base for such behaviour. In contrast, conformity values promote cooperation in order to avoid negative outcomes for self"* (Schwartz, 2006, p.1). Conformism in this sense can push leaders to adapt to policies adopted by their Governments or chiefs *"subjects who emphasize the conservation value dimension (tradition, security, conformity) should be more satisfied with their government's actions on human rights enforcement"* (Spini and Doise, 1998, p.608).

The importance of cooperation and the example given has long been known, in the communist system it was emphasized:

*" En el sistema comunista se hacía hincapié en la cooperación, entendida como colectivismo en el que el individuo es miembro de un grupo y actúa como parte de dicho grupo. A pesar incluso de que, especialmente bajo el estalinismo, se daba importancia al liderazgo en el trabajo (los denominados trabajadores estajanovistas en la Unión Soviética), los logros de la persona o del grupo (brigada) se planteaban en relación con las normas establecidas y no en relación con la competencia entre individuos y grupos. La idea en la que más a menudo se insistía era la cooperación, en la que el sujeto de la acción era el colectivo y no el individuo."* (Díez-Nicolás and Inglehart, 1994, p.396).

In free market economies, on the other hand, competition is often exalted (Gershon, 2013, p.60).

### Values that negatively influence Cooperation and defence of Human Rights

Besides, values could also influence negatively our behaviour and our relation with other groups of persons, tradition, security, and conformity values could have a negative impact (Sagiv and Schwartz, 1995, p.439). Just as universalism and

benevolence are values that can predict supportive attitudes and behaviours towards the respect of human rights, opposing values can indicate a negative attitude. In particular, those values that enhance personal power and success at the expense of the common good: *"The second dimension - self-transcendence vs. self-enhancement - opposes values emphasizing acceptance of others as equals and concern for their welfare (universalism and benevolence) to those insisting on the pursuit of one's own relative success and dominance over others (power and achievement)."* (Devos, Spini, and Schwartz, 2002, p.482).

### **Values whose effect is uncertain**

Just as there are values that have a positive or negative effect, there are some whose meaning is uncertain and which therefore will not be taken into consideration (I will consider them as neutral). For example conformity could have a positive effect on cooperation but only from an instrumental point of view to avoid negative results for themselves.

Another value with an uncertain meaning is tradition. The Human Rights Council Advisory Committee underline the importance of values in the promotion of human rights and fundamental freedoms through a better understanding of traditional values of humankind. The relationship between human values and respect for human rights has long been known, so much so that even the UN and in particular the **Human Rights Council (HRC)** have examined the issue to verify how to use the traditional values of the different communities to improve and respect them: *"States have the responsibility not only to take proactive measures to educate individuals about human rights but also to ensure that those institutions that frame every individual's outlook transmit values that are consistent with international human rights standards"* (UNHRC, 2012, p.18). Nevertheless traditional value can have a positive or negative impact on the promotion of human rights *"traditions are so varied and complex that, while some traditions comply with human rights norms and contribute to their promotion and protection, others undermine or are in conflict with them."* (UNHRC, 2012, p.4).

### **Graphic representation**

Human values are the result of a complex chain of factors including personal experiences and the degree of acculturation: *"The research suggests that individuals*



*both within and across societies have quite different value priorities that reflect their different genetic heritage, personal experiences, social locations, and acculturation" (Schwartz and Bardi, 2001, p.3). If the existence of a relationship between human values and respect for human rights appears certain, it is important to study it in a scientific way. Human values change according to culture, traditions and education, therefore it is necessary to identify a methodology that is universally valid. The Shalom Schwartz theory defines 19 universal human values, these values are arranged in a circular structure highlighting with proximity those that are similar, and placing those that are incompatible exactly on the opposite side "Some values conflict with one another (e.g., benevolence and power) whereas others are compatible (e.g., conformity and security). The "structure" of values refers to these relations of conflict and congruence among values" (Schwartz, 2012, p.3). The possibility of relating human values with the involvement of people in the defence of human rights also appears as very important aspect "Schwartz's (1992) theoretical model on the content and the structure of values will be used as a major tool for predicting how social representations of human rights are systematically anchored in value priorities of respondents." (Spini and Doise, 1998, p.604).*

The human values identified by Shalom Schwartz's model are graphically represented in a circle (see figure 6.1). Similar values are close, while the antagonist ones are on the opposite side. This representation helps in the study because once we have identified a positive value on the opposite side of the graphic representation we should meet the value that affects negatively.

Outside the inner circle, sectors are represented, the first of which represents four higher-order values: self-transcendence, openness to change, self-enhancement and conservation. The third circle starting from the inside divides the values into two sectors, the first representing the values that have a **social focus** and the second those that have a **personal focus**. Finally, the last circle, the outermost of all, divides the values associated with growth from those associated with self-protection. Values therefore not only tell us what is important in our life, but also highlight if we are led to have a social or personal focus.

Human values allow us to predict the decisions that we will make better than other parameters and maintain a certain constancy over time:

*"Single behaviors are influenced by a large variety of factors specific*

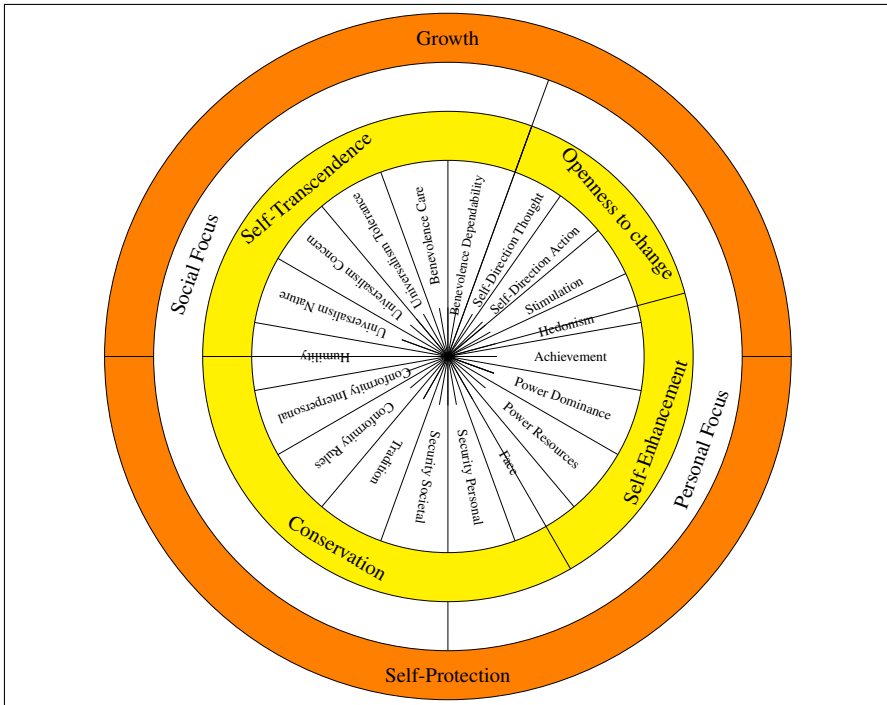


FIGURE 6.1: Basic individual values

*to the situation in which they occur. Hence it is difficult to predict single behaviors from a trans situational variable like values. Nonetheless, it should be possible to relate value priorities systematically to a single behavior if the setting is controlled in a manner that reduces random variation and eliminates overwhelming situational influences. This allows individual differences in motivation to have a major impact. "* (Schwartz, 2013, p.125).

With regard to this study it is important to verify whether the people employed in the implementation of the comprehensive approach are brought to cooperation or not and if they possess values that can influence people positively (benevolence, universalism, self-direction) or negatively (power, achievement).

## 6.2 Personal Values Assessment

The purpose of the thesis is to identify the leadership factors that influence respect for human rights and international humanitarian law in the implementation of the comprehensive approach (see objective of the study section 1.4). Through the examination of the literature, this need was identified in order to solve the problems that underlie the current conflicts. This approach dates back to the late 1990s even if a new impetus has been given by NATO and the EU especially in recent times to resolve some conflicts that seem endless like in Afghanistan, Iraq, Syria or Libya, to name a few. Unfortunately, this approach, which on paper seems rational and effective at the time of practical application, comes up against numerous difficulties. These difficulties are mainly related to the lack of a clear line of responsibility between the many organizations involved, which in turn have different objectives and structures. Despite these difficulties, the need for such an approach is evident in modern operational scenarios as violations of human rights and international humanitarian law multiply while the population from involuntary victim has become the centre of gravity (CoG) of the conflict (see section 2.2.3).

Leadership in this complex environment appears fundamental and among the various styles examined in the chapter 3, the one that appears suitable for the situation is transformational leadership which is strongly based on human values. The comprehensive approach requires collaboration, cooperation between all the organizations involved and the creation of an atmosphere of mutual trust. Having people who share the same human values can be useful because they represent the

compass that guides our actions, and obviously people with opposing values will hardly reach the same half *"It defines values as desirable, transsituational goals that vary in their importance as guiding principles in people's lives."* (Roccas et al., 2002, p.790). One of the methodologies used for organizational transformation uses the alignment of personal values with those of the organization. Obviously in the case of the comprehensive approach this cannot be done because we are not talking about a single organization but surely one must avoid employing people who have values that prevent cooperation *"Values refer to what people consider important, the goals they wish to pursue."* (Schwartz, 2012, p.790).

The personal values assessment was arranged according to the results of the focus group and the research questions of the thesis (see section 1.5 research questions and assumptions).

The survey focuses on the personal values as perceived by different group of personnel:

- a. Military personnel;
- b. Civilians who have been involved in the implementation of the comprehensive approach or who could be because of their characteristics (experts in human rights or mediation, belonging to NGOs).

The decision to compare these two samples derives from the importance of making these two groups of people cooperate in modern conflicts in order to improve respect for human rights. The research seeks to identify the different perceptions of the values utilizing the Schwartz's value survey. It is speculated that the two groups have different human values and that these differences could be a determining factor which improves or prevents cooperation. The Schwartz theory of basic human values identifies nineteen basic human values common across different cultures that form a circular structure capturing their conflicts and compatibilities (see figure 6.1).

Besides, it is possible to combine these values finding an higher order values (Schwartz, 2017, p.10);

- a. **Self-transcendence:** It combines means for universalism-nature, universalism-concern, universalism-tolerance, benevolence-care, and benevolence-dependability;

- b. **Self-enhancement:** It combines means for achievement, power dominance and power resources;
- c. **Openness to change:** It combines means for self-direction thought, self-direction action, stimulation and hedonism;
- d. **Conservation:** It combines means for security-personal, security-societal, tradition, conformity-rules, conformity-interpersonal.

### 6.3 Assessment purpose

The purpose of this comparative study was to analyse data from military and civilian personnel involved in the implementation of the comprehensive approach and examine the personal values of these two groups. The personnel involved in the questionnaire were mainly officers with extensive experience in peacekeeping operations and civilian personnel involved in humanitarian operations in defence of human rights or with a mediating role. The **revised Portrait Values Questionnaire (PVQ-RR)** questionnaire was administered via an online format sent to the participants. The data collected were transformed into a format compatible with the PSPP, a free software for statistical analysis of sampled data. The objective was to determine the differences of values among military and civilian personnel involved in peacekeeping and humanitarian operation. Most of the interviewees completed the questionnaire online, only on five occasions the questionnaires were administered directly to the interested parties and later inserted in Google Forms.

### 6.4 Location, participants and sample size

The sample consisted of two groups of people who participated in peacekeeping operations, experts in mediation and personnel involved in the defence of human rights. In total 187 people participated, the military group had a total of 104 participants while a group of civilians had 83 participants (see figure 6.2).

The military personnel was selected with the help of different organizations belonging to **NATO**, to the **EU**, to the Italian and Spanish Armed Forces, as well as thanks to my personal knowledge considering I worked in the sector for about 5 years. Civilian staff, on the other hand, was identified mainly with the help of the Universidad de Valencia, the Universidad Europea Valencia, the Universidad

Católica de Valencia, the Universidad Politécnica de Valencia and a large group of mediation experts. Although several civil organizations were contacted, only a few responded and consequently about 50 percent of the civilians who participated were students of the master in human rights and mediation. People who could potentially be involved in peacekeeping and humanitarian operations in the future. The questionnaire was mainly completed through Google Form, only in a few cases it was necessary to print the same and distribute it manually.

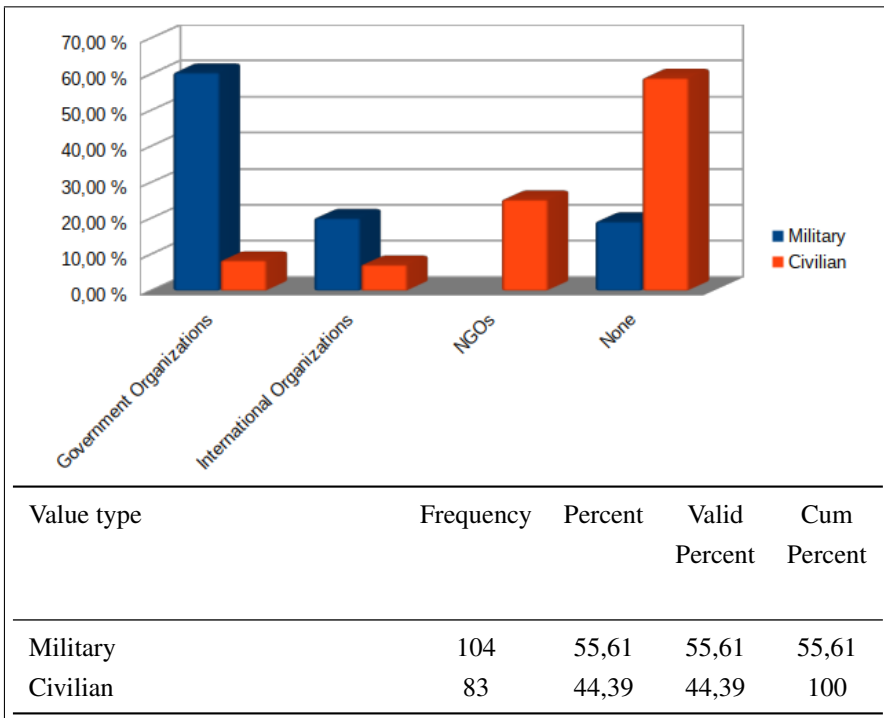


FIGURE 6.2: Participants

The first part of the questionnaire collected a large number of questions in order to better identify the participating staff and divide them into homogeneous groups. The purpose of the numerous initial questions was to collect data also for subsequent and further analyses (see appendix D).

## Gender

As far as gender is concerned, the representation of men and women in the two samples examined is different (see figure 6.3). In the sample of civilian staff over 90 percent are men, this is understandable because in almost all the world it is a profession with a male majority and only in recent decades female staff access was allowed.

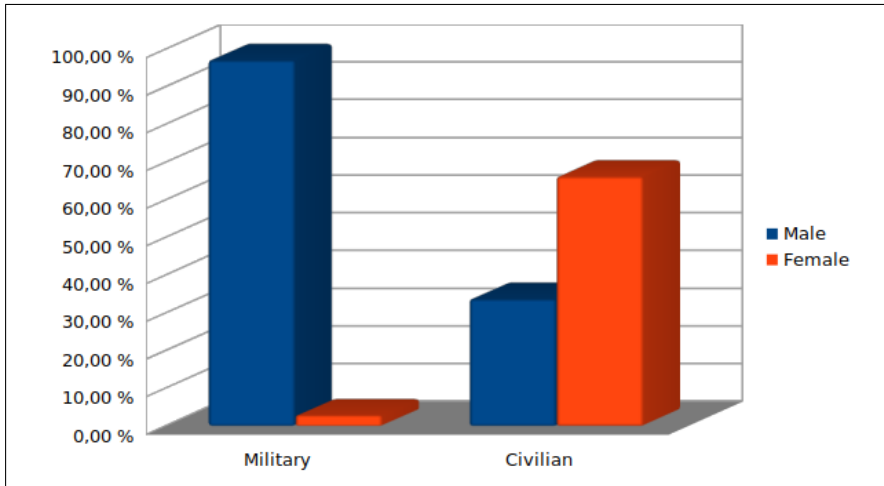


FIGURE 6.3: Gender

## Peacekeeping participation

Some interesting data referring to the current research are reported below. Over 90 percent of the military had already participated in peacekeeping missions while the sample of civilians had a completely opposite percentage (see figure 6.4).

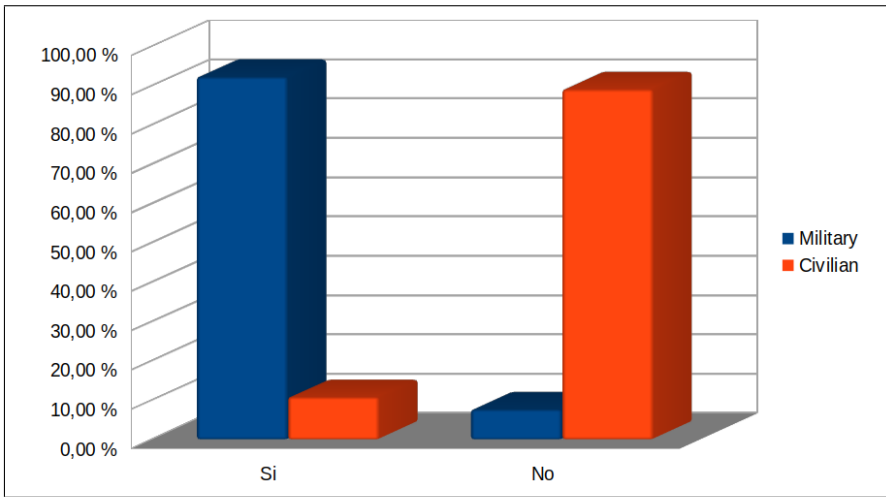


FIGURE 6.4: Peacekeeping participation

In the first part of the test some preliminary questions were administered to test the knowledge of international humanitarian law and international human rights law following the results of the focus group (see section 5.7).

### **International Humanitarian Law**

As regards knowledge of international humanitarian law, military personnel show better knowledge (see figure 6.5). However 40 percent of military personnel and 60 percent of civilian personnel declare little or no knowledge.



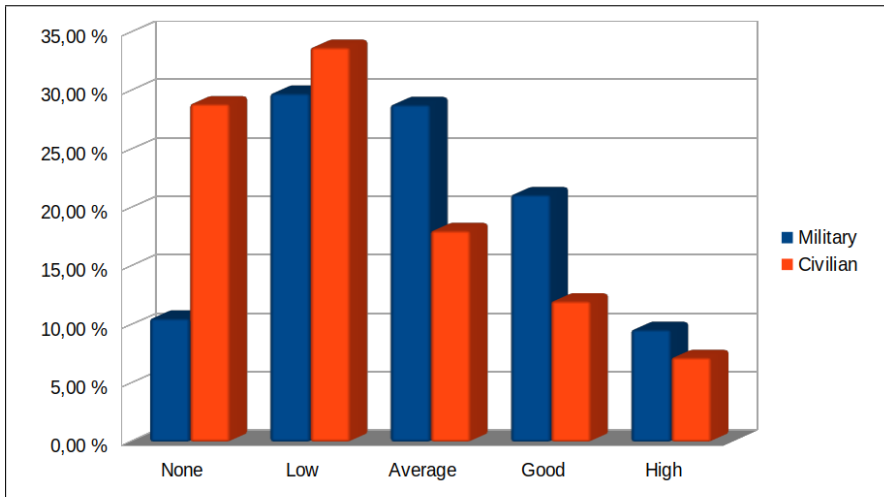


FIGURE 6.5: International Humanitarian Law Knowledge

### International Human Right Law

Even as regards the international human rights law, the military on average claim to have greater knowledge (see figure 6.6), this is due to the inclusion in the sample of civilians of many mediators. In general, the military has declared a better knowledge of both international human rights law and international humanitarian law.

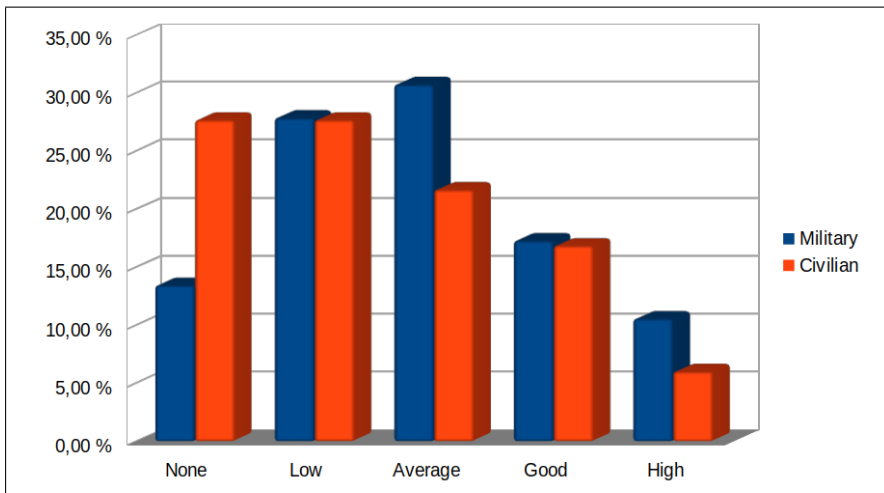


FIGURE 6.6: International Human Rights Law Knowledge

### Mediation Knowledge

The military's mediation skills seem to be divided into two large groups, the former with poor skills and the latter with good or high skills (see figure 6.7). On average, the mediation skills of civilians are higher due to the inclusion of professional mediators in the sample.

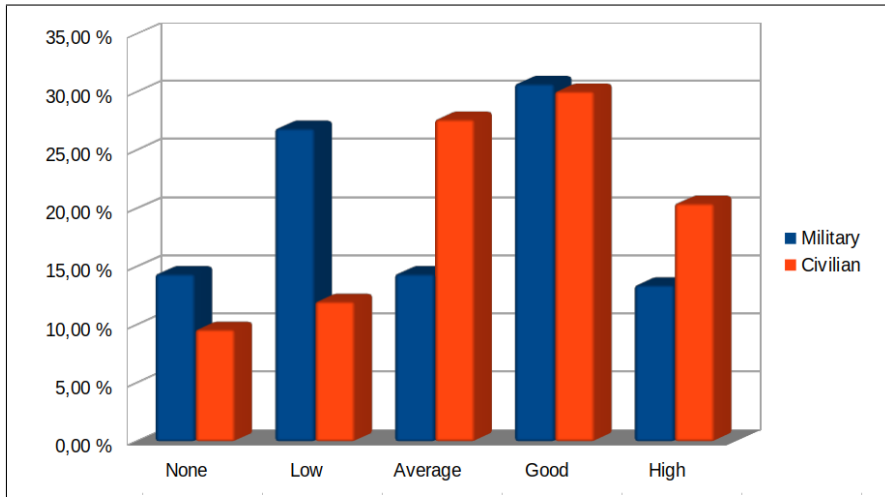


FIGURE 6.7: Mediation Knowledge

## 6.5 Structure of the questionnaire

The survey was organized in two sections (see Appendix C):

1. General information about, age, gender, work experience, etc. useful to compare the results of different group of personnel;
2. Personal Values Survey.

The estimated time to complete the survey was about 25 minutes, participation was anonymous and on a voluntary basis, the personnel filled the survey mainly through the online compilation of a Google form. The **PVQ-RR** measures 19 values (see table: values importance for cooperation and human rights 6.1) for each values the interviewed has to judge the similarity of another person to the himself. The questionnaire utilize the following scale:

1. not like me at all;

2. not like me;
3. a little like me;
4. some- what like me;
5. like me;
6. very much like me.

### **6.5.1 Values that influence Cooperation and defence of Human Rights**

Values direct our decisions and therefore in an organization their alignment is fundamental (see section 4.5.2). If significant differences were found between the human values of the civilian and military samples they could limit cooperation and the defence of human rights. Notwithstanding that it is not possible to align the values at an organizational level, it is believed that it is essential to at least try to align the values of the people destined to cooperate in this difficult environment.

*"values alignment is the bedrock of successful organisational change. It is the foundation upon which long-term success of an organisation depends. Until organisations are able to authentically clarify their strategic organisational values and then engender alignment between these strategic values and the personal values of their employees, organisations will be unable to sufficiently change and adapt "* (Branson, 2008, p.377)

10 values out of 19 were selected, those which have an influence on the leaders' capacity for cooperation and for the defence of human rights (see figure 6.8).

The methodology selected to perform the analysis was developed by Professor Shalom Schwartz which appears suitable, innovative and widely tested all over the world. The analysis was conducted on all 19 values, although the values that influence cooperation and respect for human rights, as already examined (see section 6.1) are the following.

1. Self-transcendence and universalism values can predict supportive attitudes and behaviours towards the respect of human rights;

2. Universalism and self-direction positively influence our relation with other groups of persons (cooperation);
3. Power and achievement affect negatively cooperation.

The calculation was made using the methodology described by Prof. Shalom Schwartz (Schwartz, 2016). In particular the following values analysed by the **PVQ-RR** were considered relevant concerning the cooperation and the respect of human rights (see figure 6.8):

1. Self-Direction Thought (SDTc);
2. Self-Direction Action (SDAc);
3. Universalism-Nature (UNNc);
4. Universalism-Concern (UNCc);
5. Universalism-Tolerance (UNTc);
6. Benevolence-Care (BNCc);
7. Benevolence-Dependability (BEDc).

The following values could have a negative impact the cooperation and the respect of human rights:

1. Power Dominance (PODc);
2. Power Resources (PORc);
3. Achievement (ACc).

A null and alternative hypotheses will be defined to verify if there are differences in values means between military and civilian personnel involved in the implementation of the comprehensive approach.

## **6.5.2 Description of the methodology**

The first part of the exam consists of a description of all 19 measured values. To perform the comparison of the data, however, preliminary tests are necessary to verify the internal coherence of the same and their normality. All considered unreliable data will then be deleted later.

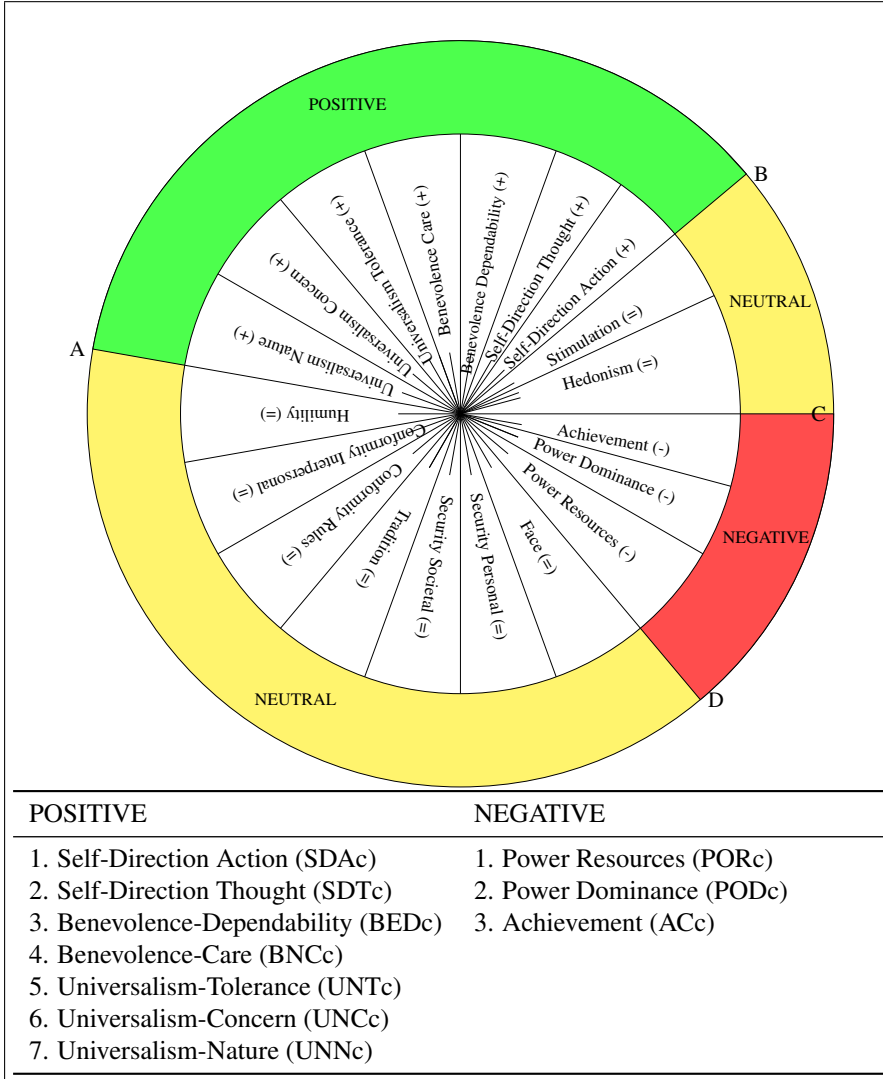


FIGURE 6.8: Positive and negative values

### **6.5.3 Description of the sample**

The sample is made up of two groups: the first one made up by 104 soldiers with experience in the **CIMIC** sector and who have participated in peacekeeping missions, the second one consisting by 83 civilians with experience in defending human rights and mediation. The test results were corrected according to the instructions for the revised Portrait Values Questionnaire (**PVQ-RR**) (Schwartz, 2016).

#### **Military Values**

The results of military personnel refer to 104 people and they are shown in table **6.1**.

<b>Variable</b>	Valid Cases	Media	Dev. Std.	Min.	Max.
1. Self-Direction Thought (SDTc)	104	4,17	0,56	2,87	5,55
2. Self-Direction Action (SDAc)	104	4,22	0,56	2,20	5,33
3. Stimulation (STc)	104	3,71	0,61	1,83	5,31
4. Hedonism (HEc)	104	3,89	0,60	1,95	5,50
5. Achievement (ACc)	104	3,80	0,62	1,83	5,18
6. Power Dominance (PODc)	104	3,11	0,84	0,73	4,98
7. Power Resources (PORc)	104	2,85	0,97	0,39	4,36
8. Face (FACc)	104	4,05	0,62	1,91	5,27
9. Security Personal (SEPC)	104	3,94	0,60	2,27	5,55
10. Security Societal (SESc)	104	4,64	0,55	2,81	5,79
11. Tradition (TRc)	104	4,00	0,65	1,83	5,60
12. Conformity-Rules (CORc)	104	4,30	0,57	2,78	5,60
13. Conformity Interpersonal (COIc)	104	3,77	0,63	1,74	4,76
14. Humility (HUMc)	104	3,96	0,56	2,31	5,40
15. Universalism-Nature (UNNc)	104	4,23	0,61	2,52	5,58
16. Universalism-Concern (UNCc)	104	4,43	0,50	3,15	5,61
17. Universalism-Tolerance (UNTc)	104	4,24	0,62	2,32	5,47
18. Benevolence-Care (BNCc)	104	4,43	0,48	2,80	5,66
19. Benevolence-Dependability (BEDc)	104	4,41	0,53	2,85	5,95

TABLE 6.1: Military personnel

### Civilian Values

The results of civilian personnel refer to 83 people. (see table 6.2).

Variables	Valid Cases	Media	Dev. Std.	Min.	Max.
1. Self-Direction Thought (SDTc)	83	4,65	0,58	3,52	5,69
2. Self-Direction Action (SDAc)	83	4,59	0,59	2,50	6,13
3. Stimulation (STc)	83	3,90	0,82	1,23	5,36
4. Hedonism (HEc)	83	4,14	0,89	1,50	5,56
5. Achievement (ACc)	83	3,92	0,76	0,88	5,27
6. Power Dominance (PODc)	83	2,29	1,07	0,11	5,05
7. Power Resources (PORc)	83	2,24	0,93	0,33	4,85
8. Face (FACc)	83	3,92	0,83	1,48	5,35
9. Security Personal (SEPC)	83	4,32	0,59	2,40	5,34
10. Security Societal (SESc)	83	4,33	0,82	2,01	5,84
11. Tradition (TRc)	83	2,77	1,23	0,16	5,56
12. Conformity-Rules (CORc)	83	3,98	0,92	1,03	5,55
13. Conformity Interpersonal (COIc)	83	3,80	0,86	1,70	5,74
14. Humility (HUMc)	83	3,94	0,76	1,87	5,49
15. Universalism-Nature (UNNc)	83	4,35	0,90	1,01	6,03
16. Universalism-Concern (UNCc)	83	4,96	0,63	2,73	6,36
17. Universalism-Tolerance (UNTe)	83	4,77	0,63	3,19	6,15
18. Benevolence-Care (BNCc)	83	4,84	0,47	3,72	5,67
19. Benevolence Dependability (BEDc)	83	4,83	0,56	3,19	5,81

TABLE 6.2: Civilian personnel

The comparison of the two results highlights substantial differences in the means (see table 6.3). The analysis of the data collected will be carried out in the following paragraphs, however it is worth mentioning that only five values out of 19, Achievement (ACc), Face (FACc), Conformity-Interpersonal (COIc), Humility (HUMc) and Universalism-Concern (UNNc), have similar values. The remaining values differ substantially in the two samples.



<b>Variable</b>	Media Military (A)	Dev. Std. Military	Media Civilian (B)	Dev. Std. Civilian	Media Difference C=(A)-(B)
1. <b>SDTc</b>	4,17	0,56	4,65	0,58	-0,48
2. <b>SDAc</b>	4,22	0,56	4,59	0,59	-0,37
3. <b>STc</b>	3,71	0,61	3,90	0,82	-0,19
4. <b>HEc</b>	3,89	0,60	4,14	0,89	-0,25
5. <b>ACc</b>	3,80	0,62	3,92	0,76	-0,12
6. <b>PODc</b>	3,11	0,84	2,29	1,07	0,82
7. <b>PORc</b>	2,85	0,97	2,24	0,93	0,61
8. <b>FACc</b>	4,05	0,62	3,92	0,83	0,13
9. <b>SEPCc</b>	3,94	0,6	4,32	0,59	-0,38
10. <b>SESc</b>	4,64	0,55	4,33	0,82	0,31
11. <b>TRc</b>	4,00	0,65	2,77	1,23	1,23
12. <b>CORc</b>	4,30	0,57	3,98	0,92	0,32
13. <b>COIc</b>	3,77	0,63	3,80	0,86	-0,03
14. <b>HUMc</b>	3,96	0,56	3,94	0,76	0,02
15. <b>UNNc</b>	4,23	0,61	4,35	0,90	-0,12
16. <b>UNCc</b>	4,43	0,50	4,96	0,63	-0,53
17. <b>UNTCc</b>	4,24	0,62	4,77	0,63	-0,53
18. <b>BNCc</b>	4,43	0,48	4,84	0,47	-0,41
19. <b>BEDc</b>	4,41	0,53	4,83	0,56	-0,42

TABLE 6.3: Values mean and standard deviation

The graphical representation of the collected data highlights how values of civilian personnel are lower as regards Power and Tradition, and higher as regards Universalism, Benevolence and Self-Direction (see figure 6.9).

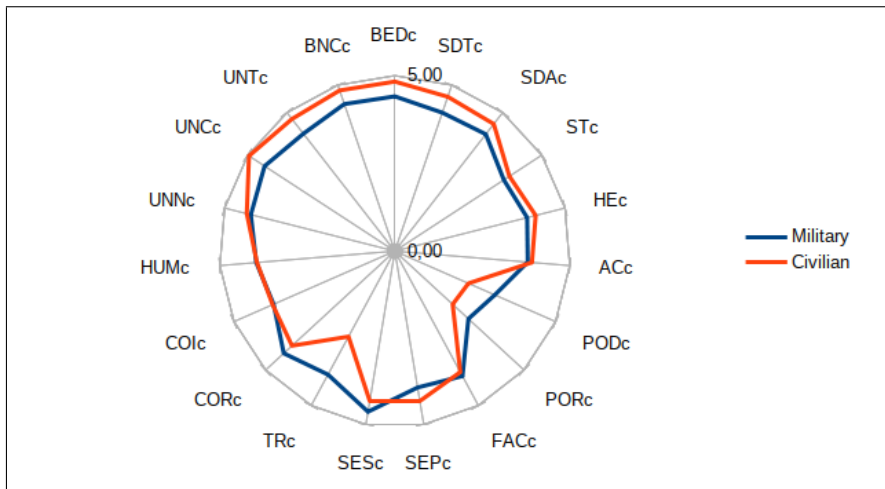


FIGURE 6.9: Values

### Boxplots representation

In order to better compare and graphically represent the results obtained for each measured value two boxplots were used, one for civilian and the other for military personnel. The boxplots represent the distribution of data in a standardized way using five numbers (see figure 6.10):

1. Minimum which corresponds to the 5 percentile;
2. First quartile (Q1);
3. Median (Q2) or (M);
4. Third quartile (Q3);
5. Maximum 95 percentile.

The Boxplots were built using the functions present in the PSPP statistical program, and although they may seem primitive compared to a normal distribution or a density diagram, they actually offer a good graphical representation and take up less space. The graphs allow you to compare the data collected in the two samples, highlighting the anomalous values and even if there is symmetry in them.

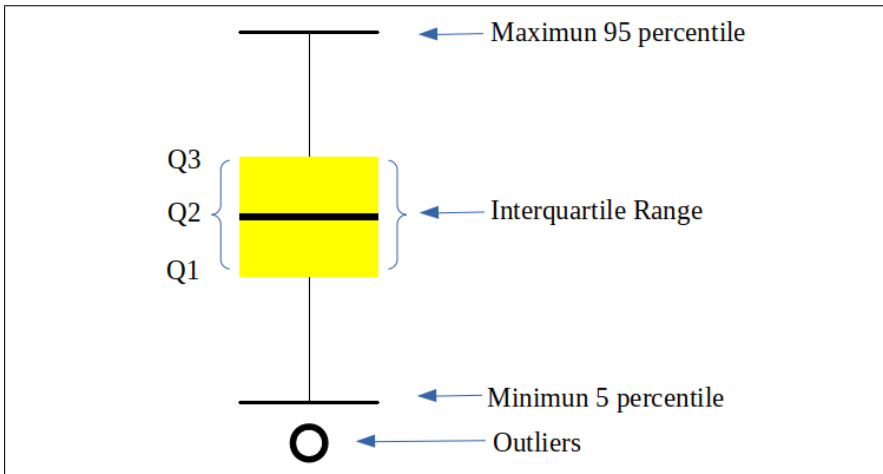


FIGURE 6.10: Boxplots representation

The thin lines at the ends represent the minimum (5 percentile) and the maximum value (95 percentile), the thick black line in the centre represents the median, everything below the median represents 50 percent of the lower values while the upper 50 percent is above the Median (M). The dots that in some cases are above or below the minimum and maximum value represent data considered spurious (the number that appears near the circle refers to the case). The yellow rectangle collects 50 percent of the central data. In the following section for each of the values taken into consideration, the definition given by Shalom Schwartz will be shown, a diagram with the graphic representation of the results of the two groups and a brief analysis of the results.

#### 6.5.4 Values that could have a positive impact on the respect of Human Rights

The values that have a positive impact on respect for human rights are represented by Universalism, Benevolence and Self-Direction "*both are concerned with enhancement of others and transcendence of selfish interests*" (Schwartz, 1992, p.15). The connection with respect for human rights as well as being obvious has been scientifically demonstrated (see section 6.5.1).

### Self-Direction Thought (SDTc)

The Self-Direction Thought (**SDTc**), a value that measure the autonomy of thought "referred to creativity, curiosity, and interest" (Schwartz, 2017, p.5) is higher in the civilian sample (see figure 6.11). We can see a greater dispersion in the military than civilian values. Civilian values data are more concentrated and with higher values on average. The comparison of the two samples shows significant differences, in particular the 50th percentile for the military is equal to 4.12 while for the civilians it measures 4.73. These values divide the distributions in half. All the values of the military are are substantially lower than those of civilians. Anyway the descriptive analysis does not allow to evaluate the significance of the data collected. The reliability of the null hypothesis will therefore be verified in the results section with the Student's T-test (see section 6.8).

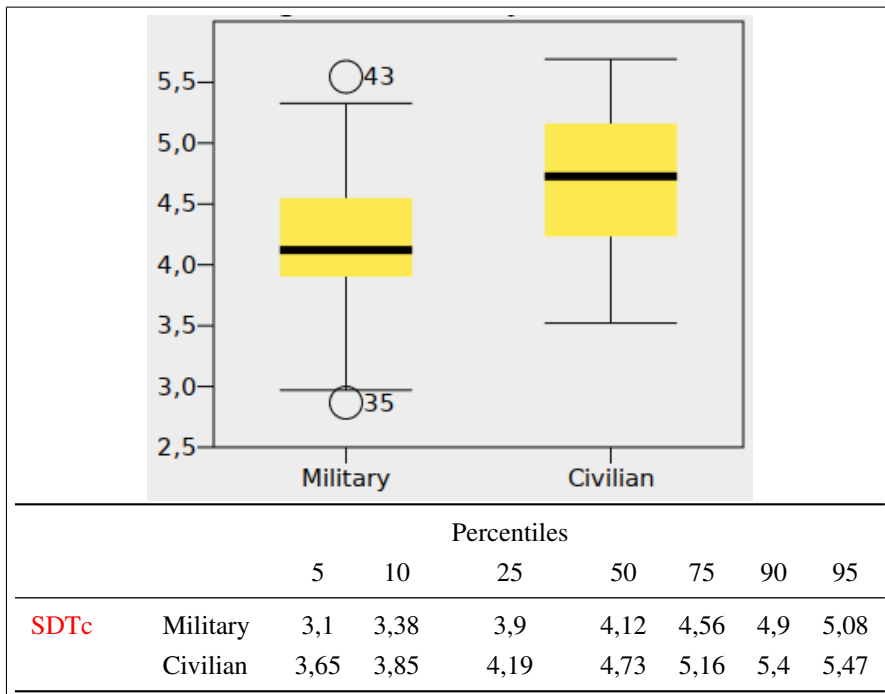


FIGURE 6.11: Values **SDTc**

### Self-Direction Action (SDAc)

As regards the Self-Direction Action (**SDAc**): "Freedom to determine one's own actions" (Schwartz, 2017, p.31); the values relating to the military and civilians

have almost the same dispersion, however the latter are on average higher (see figure 6.12). The two samples show a substantial difference with the median (percentile 50) of 46 points higher in the case of civilians. The Median divides the distribution into two sub-distributions each with 50 percent of the cases.

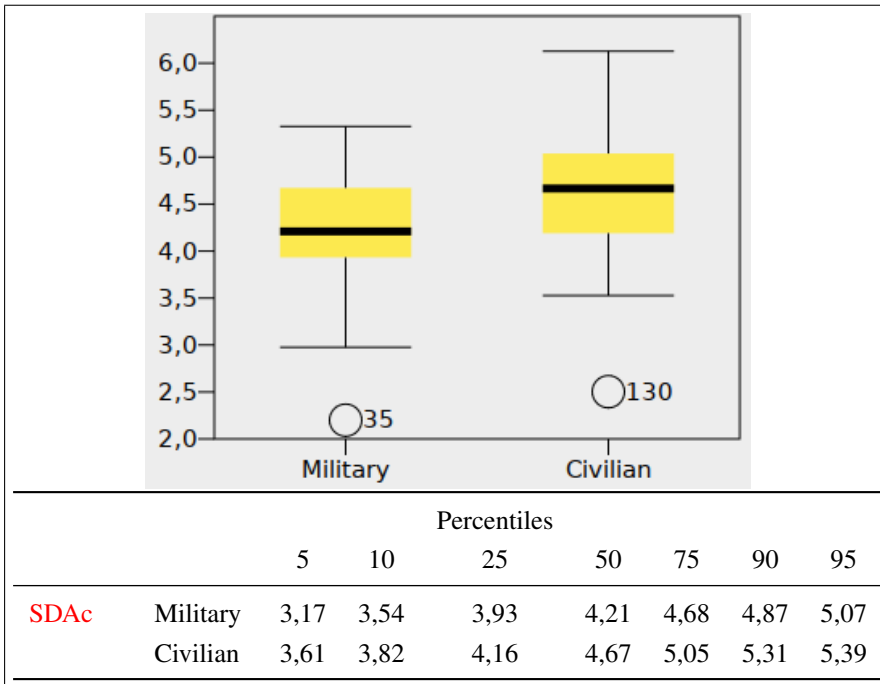


FIGURE 6.12: Values SDAc

### Universalism-Nature (UNNc)

Universalism-Nature (UNNc) according to the definition of Shalom Schwartz is related to the: "*Preservation of the natural environment*" (Schwartz, 2017, p.31). The values relating to Universalism nature do not differ much even if civilians have a greater dispersion (see figure 6.13). The range of civilian values ranges from a minimum of 2,73 to a maximum of 5,65, while the military have a minimum of 3,07 and a maximum of 5,16. The median is only 0,27 points lower in the military (4,23 instead of 4,50 for civilians).

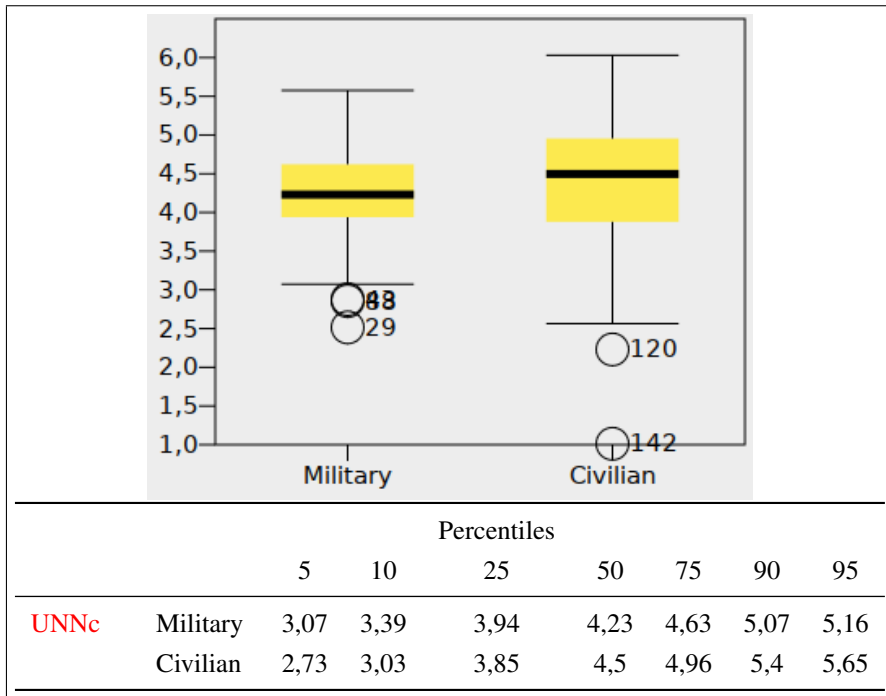


FIGURE 6.13: Values UNNc

**Universalism Concern (UNNc)**

Universalism Concern (UNNc) is directly related to the commitment to equality, justice and protection of people’s rights “Commitment to equality, justice and protection for all people” (Schwartz, 2017, p.31). The data show a substantial difference in the two groups with the median of the civilians 0,66 points higher than that of the military, highlighting that the commitment to the defence of equality, justice and the protection of people appears most valued in the group of civilians. (see figure 6.14).

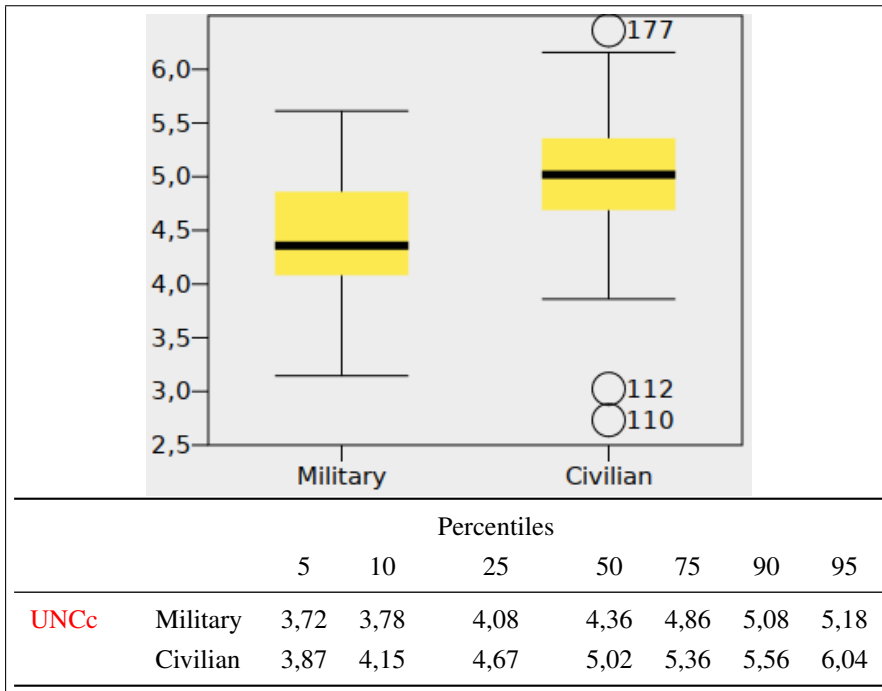


FIGURE 6.14: Values UNCC

### Tolerance (UNTc)

Even Tolerance (UNTc) (see figure 6.15), which concerns the respect and acceptance of those who are different from us, is more valued by civilians than by the military "Acceptance and understanding of those who are different from oneself" (Schwartz, 2017, p.31). The median of the civilians in this case is 0,57 points higher than that of the military (4,89 instead of 4,32 points).

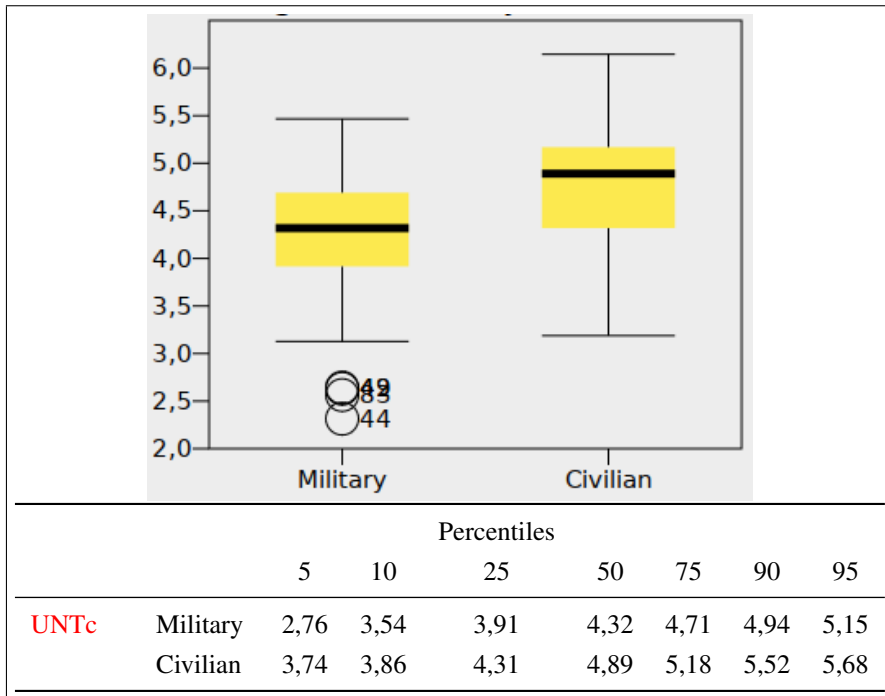


FIGURE 6.15: Values UNTc

The results obtained could be related to the greater presence of women in the civilian sample (see figure 6.3) considering that women give importance to these values. In fact, the prominence that women give to this value has already been demonstrated in previous studies:

*"Gender. First, consider relations of several of the refined values to gender. Schwartz and Rubel (2005) reported that women consistently rated universalism values more important than men did. This was also the case for the more narrowly defined facets of universalism-concern and universalism-tolerance across the 50 samples. There was, however, no gender difference at all for the universalism-nature facet. Women attributed more importance than men only to the two facets of universalism values that involve relations to people; they showed no greater concern for nature." (Schwartz, 2017, p.15).*



### Benevolence-Care (BNCc)

Another very important value for the defence of human rights is represented by the Benevolence-Care (BNCc): *"Devotion to the welfare of in-group members"* (Schwartz, 2017, p.31), where civilians detach enormously (see figure 6.16).

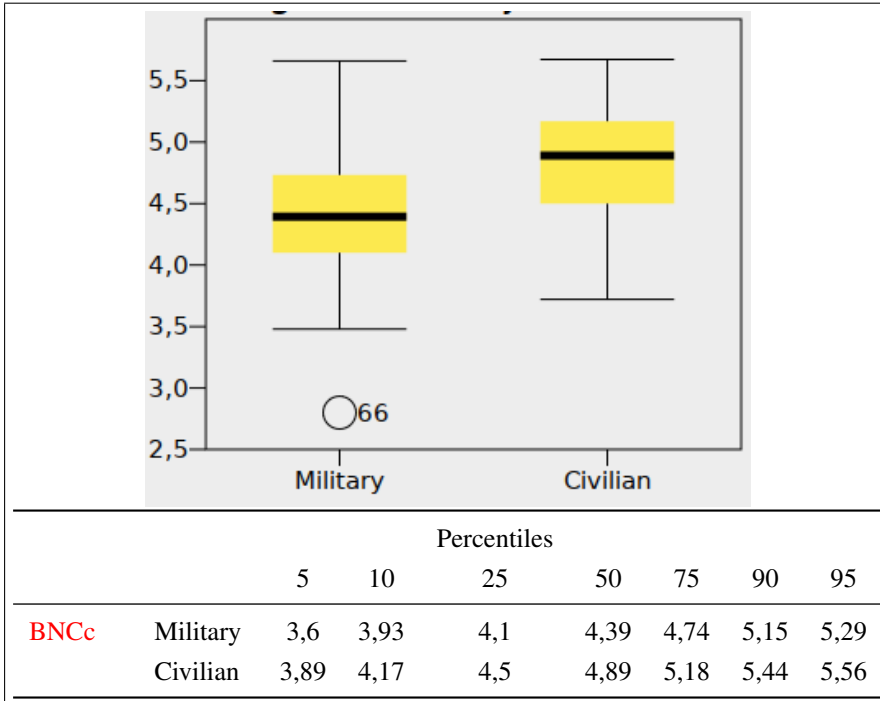
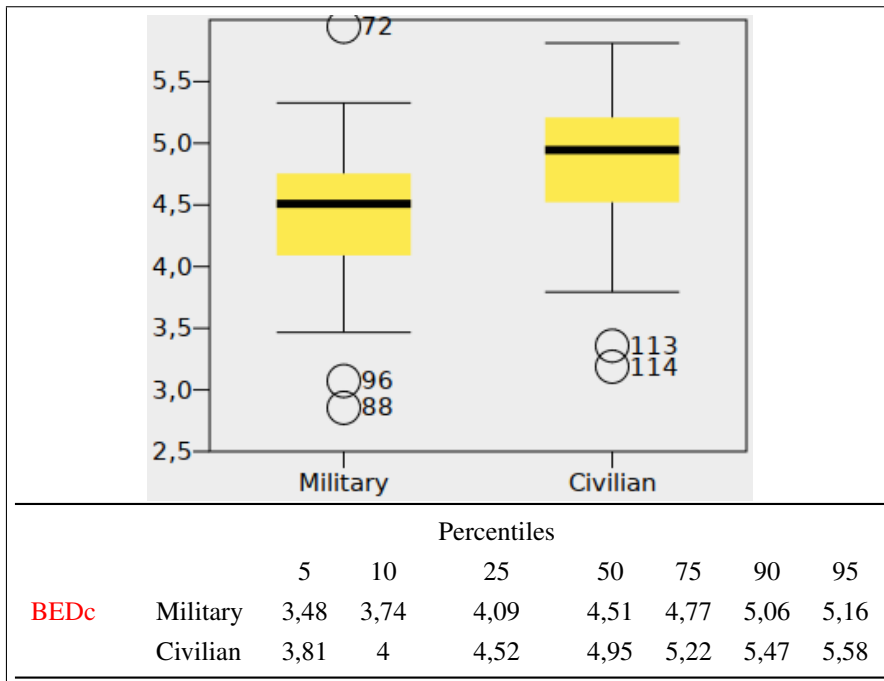


FIGURE 6.16: Values BNCc

### Benevolence-Dependability (BEDc)

Benevolence-Dependability (BEDc) is related to be reliable member in a group *"Being a reliable and trustworthy member of the in-group"* (Schwartz, 2017, p.31) and it is important to create the necessary climate for the development of solid social relationships. Civilians have generally higher values although there are spurious values represented by black circles in both groups (see figure 6.17).

FIGURE 6.17: Values **BEDc**

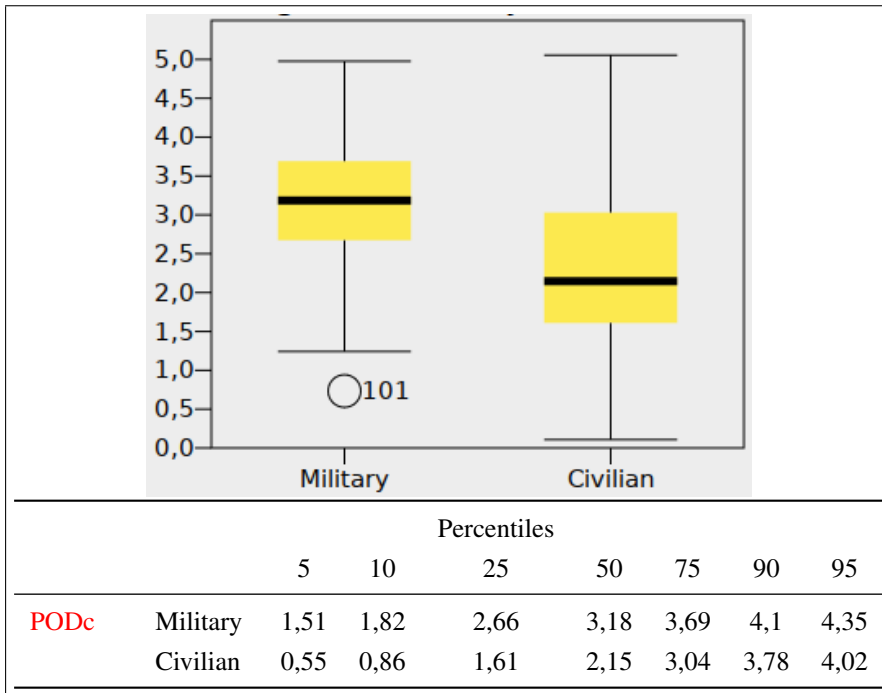
The results of the two values related to benevolence can be attributed to the greater presence of men in the military sample.

### 6.5.5 Values that could have a negative impact on cooperation

After illustrating the values that have a positive influence in cooperation and respect of human rights, in this section we examine the values that have a negative influence. Power and achievement are individual values that obviously do not facilitate cooperation and even less respect for human rights.

#### Power Dominance (PODc)

Power Dominance (**PODc**) "*Power through exercising control over people*" (Schwartz, 2017, p.31) does not facilitate cooperation and in this case the military group has clearly higher scores (see figure 6.18). The median of the military in this case has a value of 1,03 points higher than that of the civilians (3,18 instead of 2,15).

FIGURE 6.18: Values **PODc**

### Power Resources (PORc)

Power Resources (**PORc**) is directly related to the exercise of power: "*Power through control of material and social resources*" (Schwartz, 2017, p.31). The military group appears to have a higher average (see figure 6.19). In this case the median of the military sample is 0,80 points higher than that of the civilians (2,96 instead of 2,16).

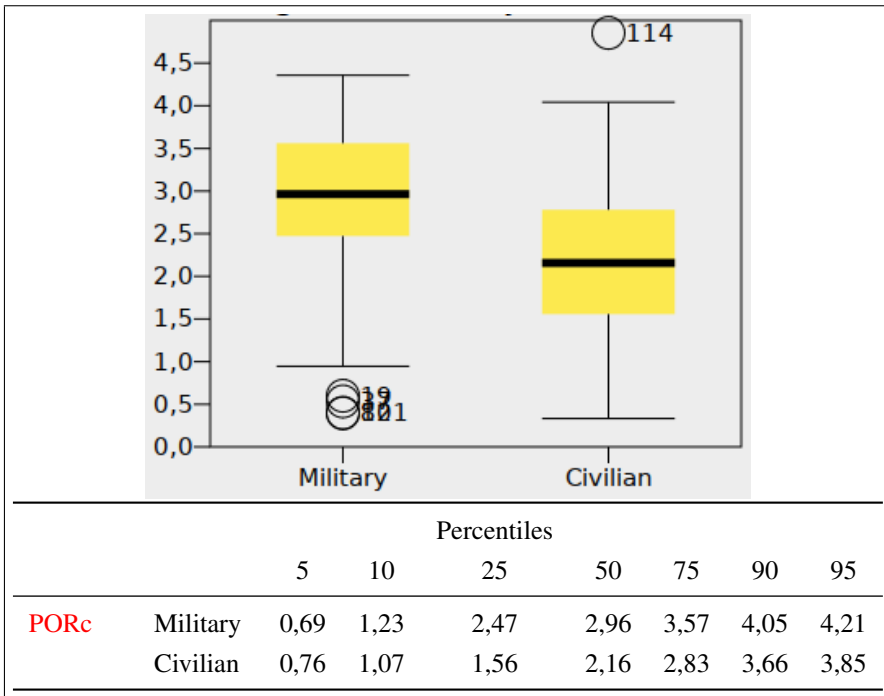
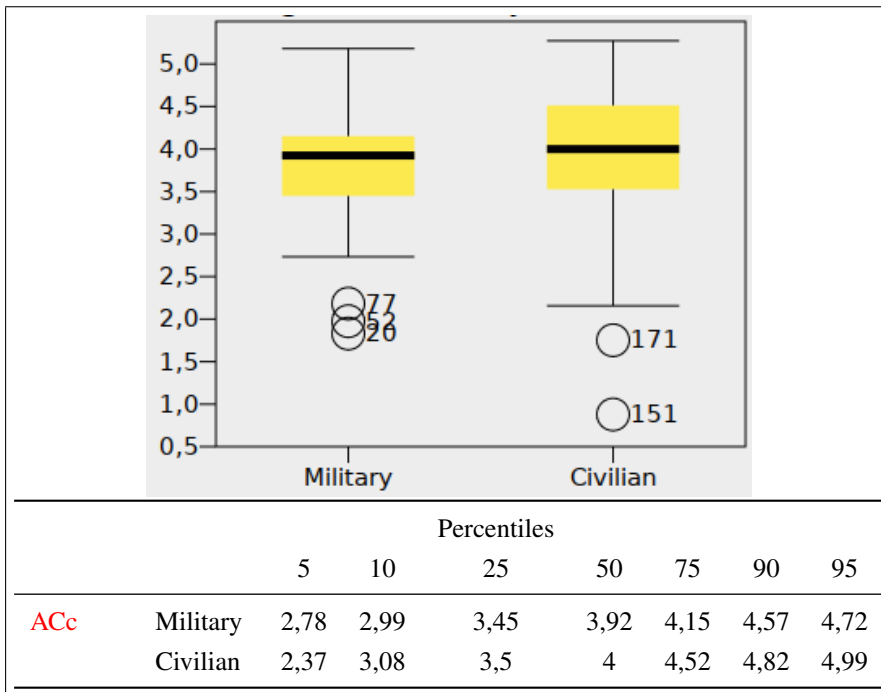


FIGURE 6.19: Values PORc

### Achievement (ACc)

Concerning Achievement (ACc) "Success according to social standards" (Schwartz, 2017, p.31) the two samples show only a few differences (see figure 6.20). The values in this case are quite similar.

FIGURE 6.20: Values **ACc**

### 6.5.6 Values whose effect is uncertain

The remaining values were not considered relevant for the current study, because their effects are uncertain. Except for Tradition (**TRc**) and the Security Societal (**SESc**) (see figure 6.26) where the military have higher values, the two samples do not show great differences.

#### Tradition (**TRc**)

Tradition (**TRc**) is perhaps the value in which the military are more detached from civilians (see figure 6.21), concentrating all the results in the highest part "Maintaining and preserving cultural, family or religious traditions" (Schwartz, 2017, p.31). Tradition has not been taken into account even if it could have a positive or negative influence because the two samples collect people from 15 European countries and the cultures are very different. Basically, in order to examine this value, it would be necessary to verify whether the traditions of the countries taken

into consideration have a positive or negative effect on respect for human rights. Certainly an interesting study but which is not the subject of this investigation.

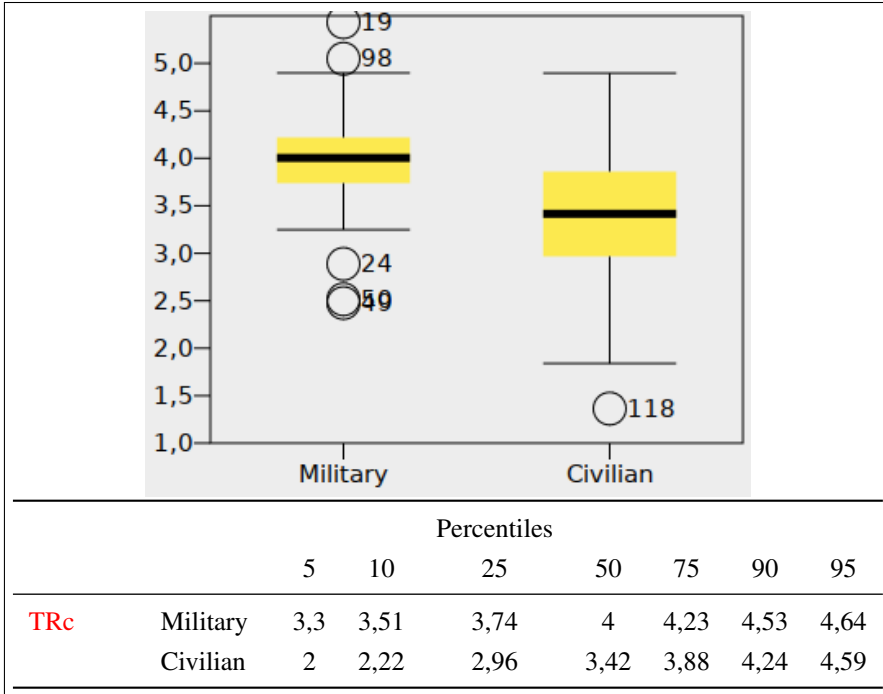
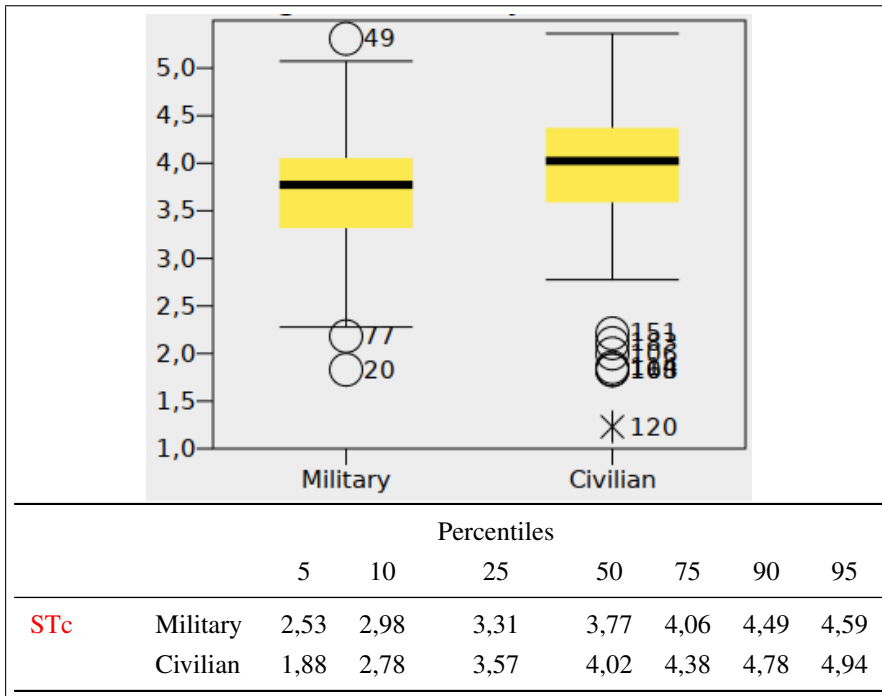


FIGURE 6.21: Values **TRc**

### Stimulation (STc)

Stimulation (**STc**) is a value that promote the creativity "*Excitement, novelty, and change*" (Schwartz, 2017, p.31) and the civilian average is slightly higher (see figure 6.22).

FIGURE 6.22: Values **STc**

### Hedonism (HEc)

Hedonism (HEc) is a value that promotes self-expansion "*Pleasure and sensual gratification*" (Schwartz, 2017, p.31) and there are no significative differences among the two samples (see figure 6.23).

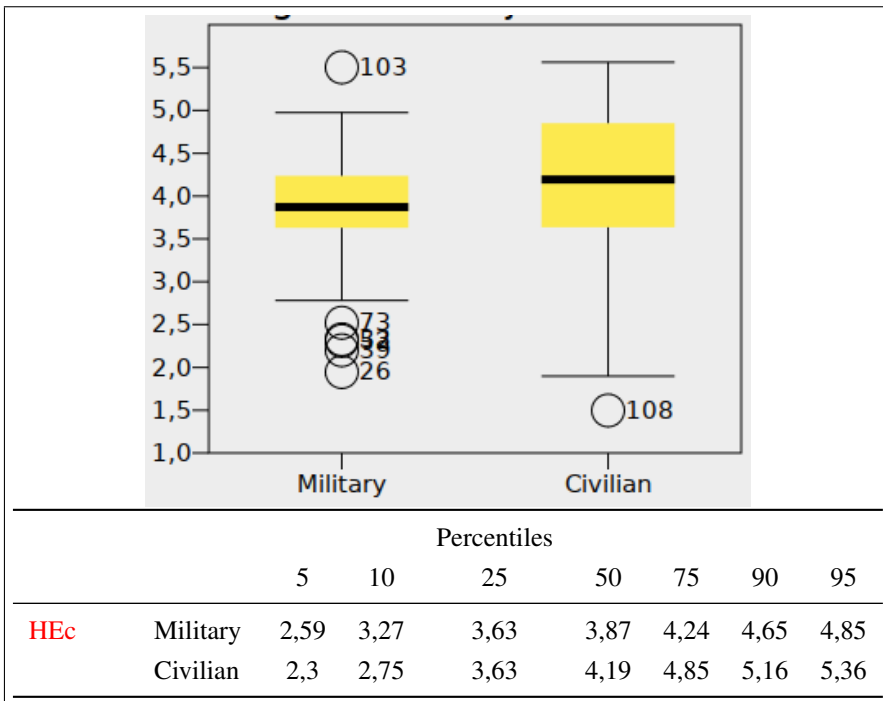


FIGURE 6.23: Values HEC

### Face (FACc)

Face (FACc) is a value related to how maintain the control and the personal security "Maintaining one's public image and avoiding humiliation" (Schwartz, 2017, p.31), between the two groups there are little differences (see figure 6.24).



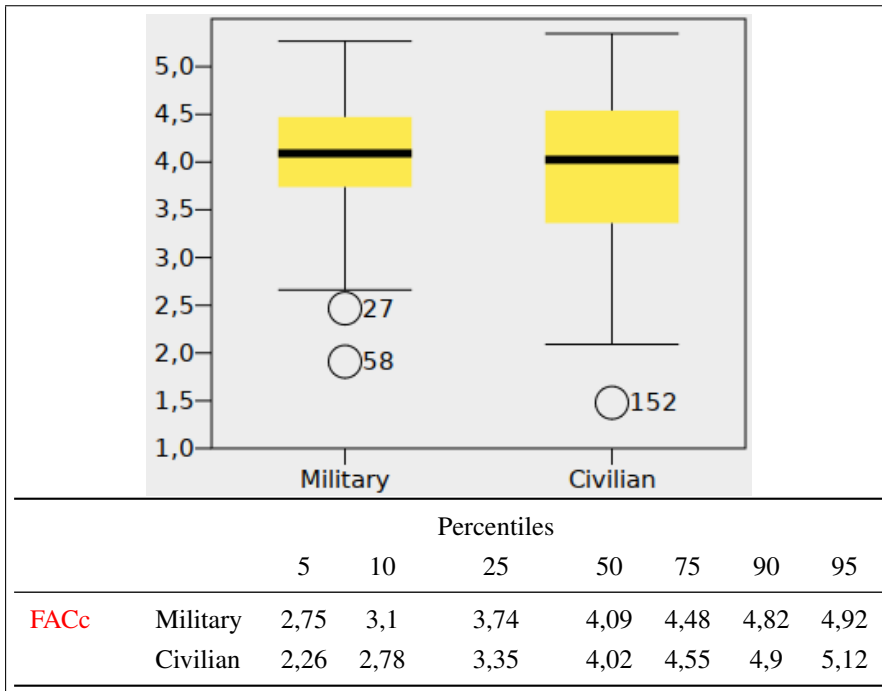
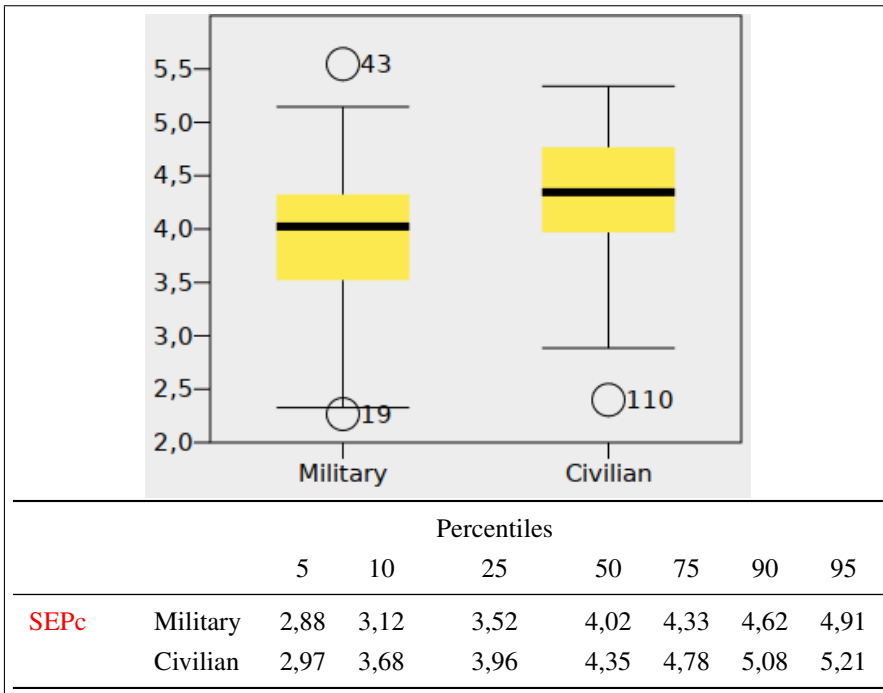


FIGURE 6.24: Values FACc

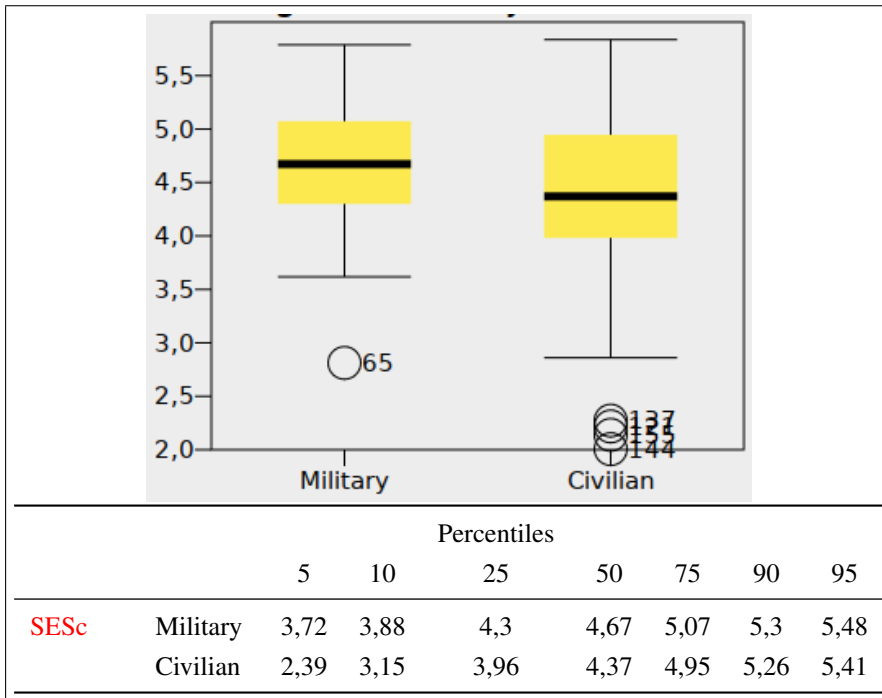
### Security Personal (SEPC)

Concerning the Security Personal (SEPC) "Safety in one's immediate environment" (Schwartz, 2017, p.31) the civilian is more concerned and the mean is higher (see figure 6.25).

FIGURE 6.25: Values **SEPC**

### Security Societal (SESc)

As regards Security Societal (**SESc**), the group made up of military personnel shows a higher average (see figure 6.26) although this can be attributed to the presence of a greater number of men in the sample and obviously to the fact that they are military and they are dedicated to this *"men attributed more importance to this aspect of security than women"* (Schwartz, 2017, p.16).

FIGURE 6.26: Values **SESc**

### Conformity-Rules (CORc)

Conformity-Rules (**CORc**) is a value that allows us to live in a community "*reflect the motivation to comply with prevailing norms and expectations and to avoid action that could upset others*" (Sagiv et al., 2017, p.6). Specifically, the Conformity-Rules value represents the "*Compliance with rules, laws, and formal obligations*" (Schwartz, 2017, p.31). The data collected in the two samples show a prevalence in the military group (see figure 6.27).

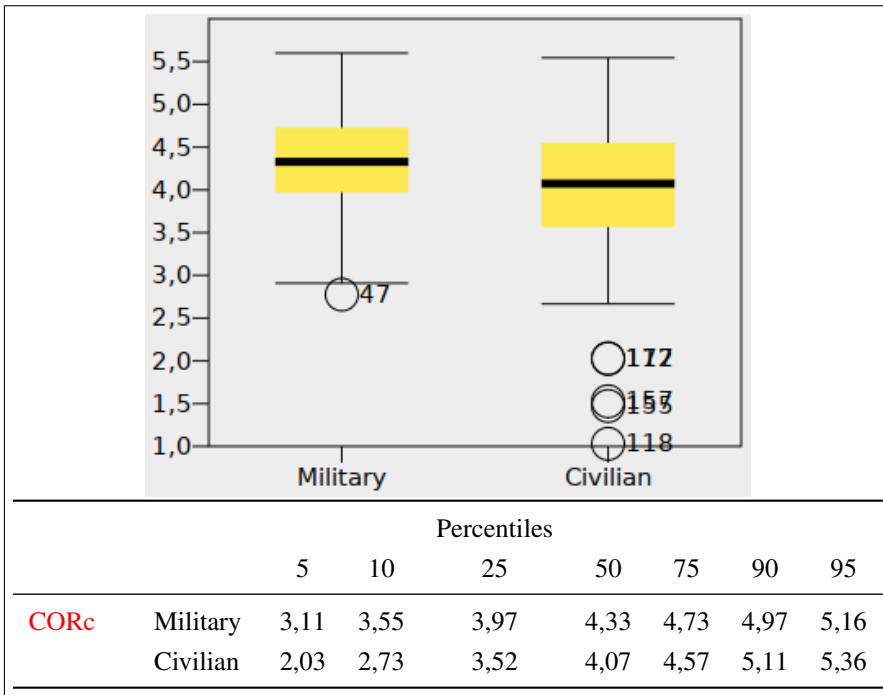


FIGURE 6.27: Values **CORc**

**Conformity-Interpersonal (COIc)**

While the previous value was linked to compliance with the rules and formal obligations, Conformity-Interpersonal (**COIc**) concerns "Avoidance of upsetting or harming other people" (Schwartz, 2017, p.31). The civilian sample has a greater dispersion but there are no big differences in the mean (see figure 6.28).

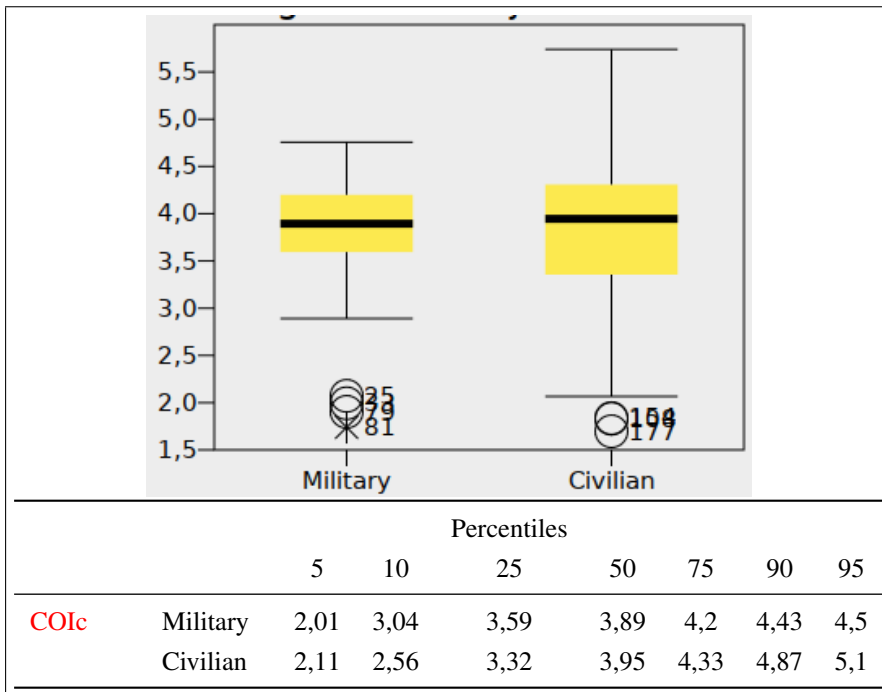


FIGURE 6.28: Values COIc

### Humility (HUMc)

Humility (HUMc) is a value which only recently has started to be taken into consideration in organizations "*Recognizing one's insignificance in the larger scheme of things*" (Schwartz, 2017, p.31). Also in this case the dispersion of the results is greater in the group of civilians even if there are no big differences (see figure 6.29).

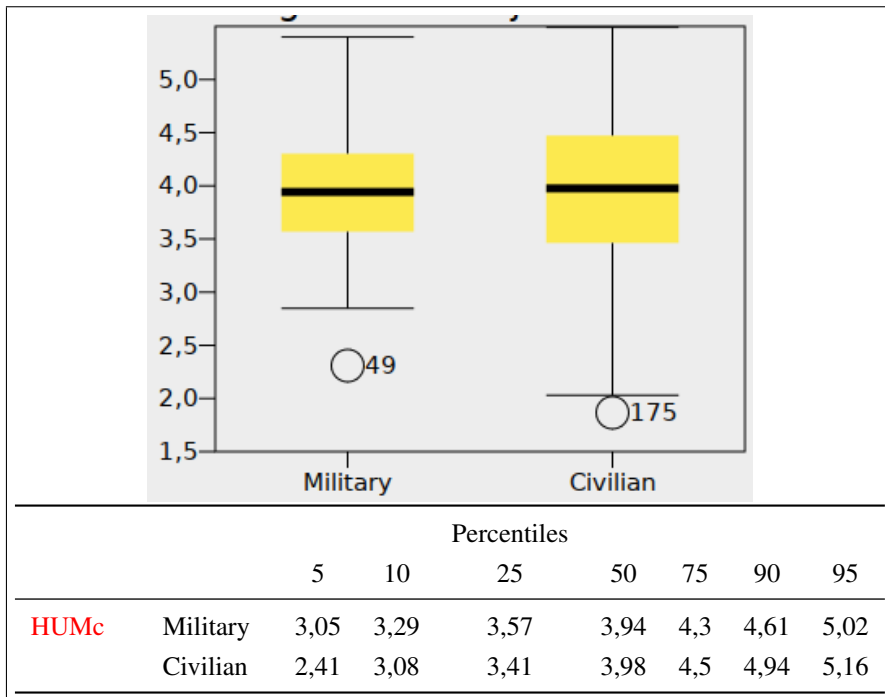


FIGURE 6.29: Values HUMc

The analysis carried out so far already highlights the marked differences in the evaluation of the different values, however from a statistical point of view it is not sufficient to validate or discard the null hypothesis and adopt one of the alternatives. The description of the two samples has already given us some indications on the existing differences, however in order to test the hypothesis behind the study we must rely on statistical inference: *"Statistical inference is concerned with two types of problems: estimation of population parameters and tests of hypotheses"* (Siegel, 1956, p.1).

## 6.6 Reliability of the sample

The analysis involves a series of preliminary checks to verify the internal consistency of the data collected and on the basis of the different types of parameter or non parametric tests. In order to verify the internal consistency of the data collected the Cronbach  $\alpha$  was measured for all the sample and for each subgroup (data are considered reliable if Cronbach  $\alpha > 0.70$ ). As far as the military group is

concerned, we cannot consider reliable the values Power Dominance (PODc) and Humility (HUMc) because the Cronbach  $\alpha < 0.70$  (see table 6.4).

Variables	Valid Cases	Excluded Cases	$\alpha$ Cronbach	Reliability $\alpha > 0,70$
1. <b>SDTc</b> (sdt1,sdt2,sdt3)	104	0	0,82	Yes
2. <b>SDAc</b> (sda1,sda2,sda3)	104	0	0,78	Yes
3. <b>STc</b> (st1,st2,st3)	104	0	0,74	Yes
4. <b>HEc</b> (he1,he2,he3)	104	0	0,79	Yes
5. <b>ACc</b> (ac1,ac2,ac3)	104	0	0,79	Yes
6. <b>PODc</b> (pod1,pod2,pod3)	104	0	<b>0,67</b>	No
7. <b>PORc</b> (por1,por2,por3)	104	0	0,78	Yes
8. <b>FACc</b> (fac1,fac2,fac3)	104	0	0,85	Yes
9. <b>SEPC</b> (sep1,sep2,sep3)	104	0	0,81	Yes
10. <b>SESc</b> (ses1,ses2,ses3)	104	0	0,90	Yes
11. <b>TRc</b> (tr1,tr2,tr3)	104	0	0,87	Yes
12. <b>CORc</b> (cor1,cor2,cor3)	104	0	0,89	Yes
13. <b>COIc</b> (coi1,coi2, coi3)	104	0	0,81	Yes
14. <b>HUMc</b> (hum1,hum2, hum3)	104	0	<b>0,65</b>	No
15. <b>UNNc</b> (unn1,unn2,unn3)	104	0	0,88	Yes
16. <b>UNCc</b> (unc1,unc2,unc3)	104	0	0,86	Yes
17. <b>UNTC</b> (unt1,unt2,unt3)	104	0	0,84	Yes
18. <b>BNCc</b> (bnc1,bnc2,bnc3)	104	0	0,85	Yes
19. <b>BEDc</b> (bed1,bed2,bed3)	104	0	0,83	Yes

TABLE 6.4: Reliability of the sample (military group)

As for the group consisting of civilians, we must discard the following variables **STc**, **ACc**, **SEPC**, **COIc**, **HUMc** because the Cronbach  $\alpha < 0.70$  (see table 6.5).

Variables	Valid Cases	Excluded Cases	$\alpha$ Cronbach	Reliability $\alpha > 0,70$
1. <b>SDTc</b> (sdt1,sdt2,sdt3)	187	0	0,71	Yes
2. <b>SDAc</b> (sda1,sda2,sda3)	187	0	0,72	Yes
3. <b>STc</b> (st1,st2,st3)	187	0	<b>0,65</b>	No
4. <b>HEc</b> (he1,he2,he3)	187	0	0,85	Yes
5. <b>ACc</b> (ac1,ac2,ac3)	187	0	<b>0,69</b>	No
6. <b>PODc</b> (pod1,pod2,pod3)	187	0	0,82	Yes
7. <b>PORc</b> (por1,por2,por3)	187	0	0,72	Yes
8. <b>FACc</b> (fac1,fac2,fac3)	187	0	0,75	Yes
9. <b>SEPc</b> (sep1,sep2,sep3)	187	0	<b>0,58</b>	No
10. <b>SESc</b> (ses1,ses2,ses3)	187	0	0,78	Yes
11. <b>TRc</b> (tr1,tr2,tr3)	187	0	0,82	Yes
12. <b>CORc</b> (cor1,cor2,cor3)	187	0	0,80	Yes
13. <b>COIc</b> (coi1,coi2, coi3)	187	0	<b>0,68</b>	No
14. <b>HUMc</b> (hum1,hum2, hum3)	187	0	<b>0,41</b>	No
15. <b>UNNc</b> (unn1,unn2,unn3)	187	0	0,84	Yes
16. <b>UNCc</b> (unc1,unc2,unc3)	187	0	0,85	Yes
17. <b>UNTc</b> (unt1,unt2,unt3)	187	0	0,72	Yes
18. <b>BNCc</b> (bnc1,bnc2,bnc3)	187	0	0,71	Yes
19. <b>BEDc</b> (bed1,bed2,bed3)	187	0	0,77	Yes

TABLE 6.5: Reliability of the sample (civilian group)

By crossing the data of the values that can influence the cooperation (ten values out of nineteen see figure 6.8) with those that have passed the reliability test (thirteen out of nineteen see table 6.4 and table 6.5) at the end we take into consideration only 8 values (see table 6.6).



Variables	$\alpha$ Cronbach	Reliability $\alpha > 0,70$ Civilian	$\alpha$ Cronbach	Reliability $\alpha > 0,70$ Military
Positive Values				
1. <b>SDTc</b>	0,71	Yes	0,82	Yes
2. <b>SDAc</b>	0,72	Yes	0,78	Yes
15. <b>UNNc</b>	0,84	Yes	0,88	Yes
16. <b>UNCc</b>	0,85	Yes	0,86	Yes
17. <b>UNTc</b>	0,72	Yes	0,84	Yes
18. <b>BNCc</b>	0,71	Yes	0,85	Yes
19. <b>BEDc</b>	0,77	Yes	0,83	Yes
Negative Values				
5. <b>ACc</b>	<b>0,69</b>	<b>No</b>	0,79	Yes
6. <b>PODc</b>	0,82	Yes	<b>0,67</b>	<b>No</b>
7. <b>PORc</b>	0,72	Yes	0,78	Yes

TABLE 6.6: Reliability of the two groups

## 6.7 Verification of the null or alternative hypothesis

So far we have verified the internal congruence of the collected data and described them extensively. We have chosen ten of the nineteen human values measured by the **PVQ-RR**, because from the exam of the existing literature they influence cooperation and measure the personal involvement in the defence of human rights. Unfortunately, the internal consistency of the data collected through the examination of the Cronbach  $\alpha$  led us to discard Achievement (**ACc**) and Power Dominance (**PODc**) (see table 6.6). Of the remaining 8 values it is now necessary to verify the null hypothesis to decide whether to keep it or choose the alternative hypothesis.

### 6.7.1 Normality test

Before performing the T-test it is necessary to verify that the collected data are normally distributed *"Parametric statistical analysis assumes a certain distribution of the data, usually the normal distribution. If the assumption of normality is violated, interpretation and inference may not be reliable or valid."* (Razali and Wah, 2011, 'p.21). If the data are distributed according to a normal curve it is possible to carry out the analysis through the T-test *"the recommended strategy for assessing normality is to use tests and measures of skew and kurtosis in conjunction with omnibus tests, such as the Shapiro Wilk test"* (DeCarlo, 1997, p.296). The data collected have a normal distribution if skewnesses and kurtoses is equal to zero, but we can accept a -1.0 to +1.0 range *"if most variables have univariate skewnesses and kurtoses in the range -1.0 to +1.0, not much distortion is to e expected"* (Gao, Mokhtarian, and Johnston, 2008, p.117). The asymmetry and kurtosis measured on the collected data demonstrate that we can consider 9 of 19 values reliable (we can consider the distribution as normal if the asymmetry and kurtosis value is between -1.0 and +1.0, see table 6.7). Taking into account that the values are slightly different, I will carry out the T-test anyway and later checking the result with a non-parametric test (Kruskal Wallis Test) which does not require the normalcy of the sample and it carries out the examination using the Median and not the Mean.

	Military Skewness	Military Kurtosis	Civilian Skewness	Civilian Kurtosis	Normal Distribution
<b>SDTc</b>	-0,11	-0,21	-0,18	<b>-1,12</b>	<b>No</b>
<b>SDAc</b>	-0,60	0,79	-0,45	0,88	Yes
<b>PORc</b>	-0,78	0,25	0,38	-0,18	Yes
<b>UNNc</b>	-0,32	0,29	-0,89	<b>1,41</b>	<b>No</b>
<b>UNCc</b>	-0,09	-0,55	-0,84	<b>1,87</b>	<b>No</b>
<b>UNTC</b>	-0,80	<b>1,09</b>	-0,28	-0,48	<b>No</b>
<b>BNCc</b>	0,01	0,48	-0,40	-0,46	Yes
<b>BEDc</b>	0,01	0,48	-0,40	-0,46	Yes

TABLE 6.7: Skewness and Kurtosis

There are different statistical methodologies to carry out this check, in the specific case I will use the Student's T-test and Kruskal Wallis Test. The first one is a parametric test and it compares the means of two independent samples. We have to verify that some conditions are met, specifically the two samples should follow normal distributions. The second one is a non-parametric test, it compare the Median (M) of the two samples and it has less restrictive conditions. The use of two different methodologies will allow us to verify the results obtained.

## 6.7.2 Student T-Test

### Definition of null and alternative hypotheses

The definition of a null hypothesis allows to decide whether or not to accept the alternative hypothesis which contradicts the first. The following null and alternative hypotheses are formulated.

#### Null hypothesis ( $H_0$ )

Self-Direction, Universalism and Benevolence positively affect the cooperation and defence of human rights, while Power and Achievement have a negative effect. Are the means of these values equals for civilian (group A) and military personnel (group B)?

$$H_0 : \mu A = \mu B$$

#### Alternative hypothesis ( $H_{a1}$ )

Self-Direction, Universalism and Benevolence positively affect the cooperation and defence of human rights, while Power and Achievement have a negative effect. Are the means of these values different for civilian (group A) and military personnel (group B)?

$$H_{a1} : \mu A \neq \mu B$$

$$\alpha = 0.05$$

The test of the hypothesis is subject to two types of error. In this case if  $H_0$  is true we have the 5 percent of probability to fail because we decided to use an  $\alpha = 0.05$ .

Probability (Type I error) =  $\alpha = 0.05$

On the other hand if we do not reject the  $H_0$  and it is not possible to verify our hypothesis, we can commit a Type II error (may be because the sample size is too small). The two errors are related and when we decide to minimize the Type I error decreasing the value of  $\alpha$  we increase the probability of a Type II error (see table 6.8).

	Do not reject $H_0$	Reject $H_0$
$H_0$ is true	Correct decision	Type I error
$H_0$ is false	Type II error	Correct decision

TABLE 6.8: Test of hypothesis possible result

The T-test examines if the difference that we have in the means is significant or not through an index the **p-value**<sup>1</sup>. The p-value is the probability for the  $H_0$  to be true, if we set the p-value = 0.05 the null hypothesis will be true 5 out of 100. Normally if a p-value is less than 0.05 we can consider it significant (there is less than the 5 percent of chance that the difference between the two values is due to chance). The mere value of p-value in any case is not sufficient to give us a reliable answer because it must be related to the size of the sample. The value of p-value varies according to the **degree of tolerance** we want to assume (in this case 5 percent) and the **degrees of freedom (df)** for independent samples T-test, that in the specific case:

$$df = (n1 - 1) + (n2 - 1)$$

where n1 are the number of military personnel and n2 the number of civilians participating in the questionnaire

<sup>1</sup>Level of confidence C = 0.95  
Level of significance  $\alpha = 1 - C = 0.05$

$$df = (104 - 1) + (83 - 1) = 185$$

By checking this data on the appropriate t-table, the value corresponding to a  $df = 180$  for the two-tailed test and  $p\text{-value}=0.05$  for a two tails test is equal to 1,973. The two-tailed test was chosen because it is not possible to define in advance which of the two groups taken into consideration can have a higher or lower average.

In summary for each value taken into consideration the null hypothesis is rejected if **t-value (t)** is less than -1,973 or greater than 1,973.

#### **Decision rule statement**

if **t-value (t)** is  $< -1,973$  or **t-value (t)**  $> +1,973$ , null hypothesis is rejected.

The questionnaire measured 57 responses, 3 for each of the 19 values analysed. Subsequently, by examining the existing literature, we proceeded to select ten values, seven positive and three negative, which influence cooperation and involvement in respect of human rights (see section 6.7.2). The first examination of the data collected with the questionnaire allows us to use eight out of ten values because the reliability of two of them is insufficient (Cronbach  $\alpha < 0.70$  see table 6.6). Cronbach's  $\alpha$  allowed us to examine the internal consistency of the data collected, while with the examination of Kurtosis and Skewness we checked whether the data follows a normal distribution in order to carry out the examination of the hypothesis through the Student T- test. At the end of all the necessary checks, the Table 6.9 shows which residual values we can test our hypothesis.

	Military Reliability Cronbach $\alpha$	Civilian Reliability Cronbach $\alpha$	Normal Distribution	T-test
<b>SDTc</b>	Yes	Yes	No	No
<b>SDAc</b>	Yes	Yes	Yes	Yes
<b>PORc</b>	Yes	Yes	Yes	Yes
<b>UNNc</b>	Yes	Yes	No	No
<b>UNCc</b>	Yes	Yes	No	No
<b>UNTc</b>	Yes	Yes	No	No
<b>BNCc</b>	Yes	Yes	Yes	Yes
<b>BEDc</b>	Yes	Yes	Yes	Yes

TABLE 6.9: T-test reliability

The subsequent analysis carried out through the descriptive statistics showed that there are significant differences in the evaluation of the values by the two groups, however to decide whether these differences are significant or not, it is necessary to verify the hypothesis zero through the Student's T-test. The T-test allows us to determine whether the means of two sets of data that have a normal distribution differ significantly or not.

### **Values considered relevant concerning the cooperation and the respect of human rights**

The analysis of the data carried out with Student's T-test shows that for seven of the height significant values for cooperation and involvement in the defence of human rights (see table 6.11) we can reject the null hypothesis and consider the alternative hypothesis founded. The Decision rule statement in fact the null hypothesis is rejected if **t-value (t)** is less than -1,973 or greater than 1,973. (see table 6.10).

	Levene's test		T-test			Std.			
	F	Sig.	t	df	Sign.	Mean Diff.	Error Diff.	Inf.	Sup
<b>SDTc</b>	1.43	.233	-5.80	185.00	.000	-0,48	0,08	-0,65	-0,32
			-5.78	173.96	.000	-0,48	0,08	-0,65	-0,32
<b>SDAc</b>	.36	.548	-4.39	185.00	.000	-0,37	0,08	-0,54	-0,20
			-4.36	170.87	.000	-0,37	0,08	-0,54	-0,20
<b>PORc</b>	.03	.866	4.40	185.00	.000	0,62	0,14	0,34	0,89
			4.42	178.46	.000	0,62	0,14	0,34	0,89
<b>UNNc</b>	11.91	.001	-1.05	185.00	.296	-0,12	0,11	-0,33	0,10
			-1.01	138.48	.317	-0,12	0,11	-0,34	0,11
<b>UNCc</b>	.71	.399	-6.41	185.00	.000	-0,53	0,08	-0,69	-0,36
			-6.25	154.23	.000	-0,53	0,08	-0,69	-0,36
<b>UNTc</b>	.85	.357	-5.72	185.00	.000	-0,53	0,09	-0,71	-0,35
			-5.70	174.10	.000	-0,53	0,09	-0,71	-0,34
<b>BNCc</b>	.00	.957	-5.87	185.00	.000	-0,41	0,07	-0,55	-0,27
			-5.89	177.98	.000	-0,41	0,07	-0,55	-0,27
<b>BEDc</b>	.16	.686	-5.29	185.00	.000	-0,42	0,08	-0,58	-0,26
			-5.25	170.71	.000	-0,42	0,08	-0,58	-0,26

TABLE 6.10: T-test

Only Universalism Nature (**UNNc**) does not reach the level of reliability necessary to reject the hypothesis zero. For all other values, the null hypothesis can be widely rejected and civilians appear clearly favoured in cooperation and involvement in the defence of human rights (see table 6.11).

	T-value Maximum	T-value Minimum	T-test t	Ho	Sign.	Mean Diff.	Std. Error Diff.
SDTc	1,973	-1,973	-5,80	rejected	.000	-0,48	0,08
	1,973	-1,973	-5,78	rejected	.000	-0,48	0,08
SDAc	1,973	-1,973	-4,39	rejected	.000	-0,37	0,08
	1,973	-1,973	-4,36	rejected	.000	-0,37	0,08
PORc	1,973	-1,973	4,40	rejected	.000	0,62	0,14
	1,973	-1,973	4,42	rejected	.000	0,62	0,14
UNNc	1,973	-1,973	-1,05	accepted	.296	-0,12	0,11
	1,973	-1,973	-1,01	accepted	.317	-0,12	0,11
UNCc	1,973	-1,973	-6,41	rejected	.000	-0,53	0,08
	1,973	-1,973	-6,25	rejected	.000	-0,53	0,08
UNTc	1,973	-1,973	-5,72	rejected	.000	-0,53	0,09
	1,973	-1,973	-5,70	rejected	.000	-0,53	0,09
BNCc	1,973	-1,973	-5,87	rejected	.000	-0,41	0,07
	1,973	-1,973	-5,89	rejected	.000	-0,41	0,07
BEDc	1,973	-1,973	-5,29	rejected	.000	-0,42	0,08
	1,973	-1,973	-5,25	rejected	.000	-0,42	0,08

TABLE 6.11: T-test results

The military group has a significantly higher average in Power Resources, the only value that according to the analysis we consider negative (see table 6.10).

### 6.7.3 Kruskal Wallis Test

The exam performed with the T-test is valid only on four values out of height because all the necessary conditions were not met (even if only slightly), so I decided to run the Kruskal Wallis Test to confirm or not the results obtained because it does not require the normalcy of the samples "*The Kruskal Wallis test is the non parametric analogue of a one-way anova, which does not make assumptions about normality*" (Hecke, 2012, p.2). The Kruskal Wallis Test is a non-parametric statistical examination that allows to verify whether the Median (M) of two or more independent samples are equal. This test can be used also when data do not have



a normal distribution. The Pearson's chi-squared test will determine whether to accept the Null or the Alternative hypothesis.

Non-parametric statistical methods have less requirements, it is no necessary to have a normal distribution and there are no requirements about the shape of the distribution (skewness) from which samples are collected. They convert the measurement data into signs, ranks, signed ranks or rank sums. Non-parametric methods utilize Medians instead of Means. Non parametric methods can be used in any situation where a parametric method is used (not the contrary) but they have less power as a results, the probability of a Type II error is high (false negative). Non parametric methods have less ability to detect small differences.

### **Definition of null and alternative hypotheses**

We have to reword the null hypothesis and the alternative hypothesis because we will take into account the median (M)<sup>2</sup> not the mean as we did in the Student T-test. The definition of a null hypothesis allows to decide whether or not to accept the alternative hypothesis which contradicts the first. The following null and alternative hypotheses are formulated.

#### **Null hypothesis ( $H_0$ )**

Self-Direction, Universalism and Benevolence positively affect the cooperation and defence of human rights, while Power and Achievement have a negative effect. Are the medians (M) of these values equals for civilian (group A) and military personnel (group B)?

Median = M

$$H_0 : MA = MB$$

---

<sup>2</sup>The median is the value separating the higher half from the lower half of a data sample

**Alternative hypothesis ( $H_{a1}$ )**

Self-Direction, Universalism and Benevolence positively affect the cooperation and defence of human rights, while Power and Achievement have a negative effect. Are the medians (M) of these values different for civilian (group A) and military personnel (group B)?

$$H_{a1} : MA \neq MB$$

I will maintain the same probability of error as the Student T-test.

$$\alpha = 0.05$$

The consideration about the possibility of Type I error or Type II error are the same (see table 6.8). Kruskal Wallis Test has less power than the T-test as a result the probability of a Type II error (false negative) is high, because non-parametric methods have less ability to detect small differences.

We consider  $\alpha = 0.05$  and the degrees of freedom (df) are equal to the number of groups considered minus one.

$$df = (2 - 1)$$

The critical values of chi-square distribution with  $\alpha = 0.05$  and  $df = 1$  is equal to 3.841.

If  $\tilde{\chi}^2$  value is greater than the critical value of  $\tilde{\chi}^2$  for  $\alpha = 0.05$  significance level (3.841), we have convincing evidence to reject the null hypothesis.

The Kruskal-Wallis test results confirm all the results obtained with T-test (see table 6.12).

	Chi squared	df	Sign. Asint.	Ho
Self-Direction Thought(SDTc)	25,47	1	0	rejected
Self-Direction Action(SDAc)	16,95	1	0	rejected
Power Resources(PORc)	21,43	1	0	rejected
Universalism-Nature(UNNe)	2,67	1	0,102	accepted
Universalism-Concern(UNCc)	38,54	1	0	rejected
Universalism-Tolerance(UNTc)	27,85	1	0	rejected
Benevolence-Care(BNCc)	29,57	1	0	rejected
Benevolence-Dependability(BEDc)	28,64	1	0	rejected

TABLE 6.12: Kruskal Wallis Test

## 6.8 Results

Before examining the results obtained, I briefly summarize the steps followed. The methodology to be used and the human values to be examined were chosen through the realm of literature. It was decided to choose the revised Portrait Values Questionnaire (PVQ-RR) which is widely validated internationally and contains a limited number of human values. Of the 19 values taken into consideration by the PVQ-RR were selected ten values that have effects on cooperation and involvement in the defence of human rights (see section 6.5.1). It was decided to submit the questionnaire to two samples, one composed of military and the other of civilian personnel because in modern operational scenarios, the cooperation between civilians and military personnel is of fundamental importance. The first sample was composed of military personnel involved in the implementation of the comprehensive approach, the second one of civilians experts in mediation and personnel involved in the defence of human rights. In the anonymous and voluntary investigation participated 187 people participated (104 military and 83 civilians).

The survey was organized in two sections the first one collected some general information about, age, gender, work experience, etc., the second one was the PVQ-RR. In the PVQ-RR there were 57 questions (three for each value). Ten of the nineteen values were considered relevant for cooperation and defence of human

rights. Of these ten values, two were discarded after checking the reliability of the sample through Cronbach  $\alpha$  (see table 6.6). After defining the null hypothesis and the alternative one (see section 6.7.2), it was decided to carry out the verification through the Student T-test. The test requires some preliminary examinations to be carried out and some values relating to the normalcy of the data collected were unfortunately at the limit. It was therefore decided to carry out the Student T-test and to subsequently confirm the results with a nonparametric tests equally reliable but it do not require the normalcy of the sample.

The Student T-test rejected the null hypothesis on seven of the eight values examined. The results can be considered reliable only on four of the eight values taken into consideration. The subsequent non-parametric Kruskal Wallis Test confirmed the analysis of the Student T-test. The null hypothesis can therefore be rejected on seven of the eight values taken into consideration (see table 6.13). There are therefore differences in the human values of the two samples. The human values that differ are those related to Self-Direction Thought, Self-Direction Action, Power Resources, Universalism-Concern, Universalism-Tolerance, Benevolence-Care and Benevolence-Dependability. There are no significant differences in the value Universalism-Nature.

	Student T-test	Kruskal Wallis test
Self-Direction Thought(SDTc)	rejected	rejected
Self-Direction Action(SDAc)	rejected	rejected
Power Resources(PORc)	rejected	rejected
Universalism-Nature(UNNc)	accepted	accepted
Universalism-Concern(UNCc)	rejected	rejected
Universalism-Tolerance(UNTc)	rejected	rejected
Benevolence-Care(BNCc)	rejected	rejected
Benevolence-Dependability(BEDc)	rejected	rejected

TABLE 6.13: Null hypothesis results

The results obtained highlight the difference between the human values of military personnel and civilian personnel. These differences derive from the diverse culture existing. Changing the values of military personnel in general terms would

not make any sense and it would be extremely difficult to obtain, the tasks entrusted to the military require different skills, abilities and values. On the other hand military personnel involved in the implementation of the comprehensive approach need different human values and training. These changes could be obtained during the selection phase and later with a specific training. As regards the results of civilian personnel, it is important to highlight that generally they are more likely to cooperate and defend human rights. This clearly stems from the choice of the sample represented by personnel involved in the defence of human rights and mediation experts. Also in this case it is important to underline the differences found and it would be desirable to carry out also for the civilian staff designated to carry out relevant tasks in the implementation of the comprehensive approach an assessment of human values.

### **Limitations of the results**

The low level of confidence did not allow to evaluate some human values such as the Power Dominance or Achievement. These limitations were likely to be overcome with two larger staff samples. Many organizations, especially in the civil sphere, were reluctant to participate in the research or participated in a limited way. An aspect that could be explored in a subsequent search concerns the presence in the civilian sample of numerous women to verify whether the best cooperation skills derive from culture or are inherent to gender. The limited civilian sample available did not allow to verify this second hypothesis.



## Chapter 7

# Results

This chapter collects the results of the research which have already been briefly summarized at the end of each chapter highlighting their contribution to filling the gap found in the relevant literature.

The defence of human rights and international humanitarian law is not only a legal obligation, it is probably the best way to preserve peace and guarantee security. Failure to respect human rights is at the same time one of the causes and consequences of today's conflicts (Dudouet and Schmelzle, 2010, p.7). States' attempt to prioritize security has no meaning because failure to respect human rights inevitably creates conditions for future conflicts, the two problems are related and cannot be solved independently:

*"Priorizar la seguridad o priorizar los derechos humanos en el debate sobre las migraciones supone una opción política de gran calado. Significa colocar el respeto a los derechos y la dignidad de las personas en el centro de las decisiones, o colocar la legislación excepcional de extranjería por encima de los ámbitos propios de la regulación de los derechos humanos." (Flores Giménez, 2015, p.2).*

Creating walls, barriers and all kinds of more or less legal obstacles will not allow to protect ourselves indefinitely. Respecting international humanitarian law does not only have legal implications, as my old professor of humanitarian law explained about thirty years ago, respecting the same and lowering the level of violence allows to achieve the objectives more easily. Exacerbating the conflict on the contrary prolongs it indefinitely. Unfortunately, this is precisely the strategy adopted by some terrorist organizations and it is up to us not to fall into the trap

*"This lengthens the duration of the battle and puts the enemy under another, more severe kind of pressure, which is the massacre of enemy individuals, especially in large numbers. First, it makes him retrace his steps, a fact which prolongs the endpoint of the battle. "* (Naji, 2006, p.190).

The protection guaranteed by international humanitarian law is often insufficient or inadequate in conflict that have reached unprecedented levels of violence against civilians and humanitarian workers. For example one fundamental rule of the customary international law is difficult to apply in modern conflict where irregular combatant hide and fight mixed among the civilian population (see section 2.2): *"Rule 1. The parties to the conflict must at all times distinguish between civilians and combatants. Attacks may only be directed against combatants. Attacks must not be directed against civilians."* (Henckaerts and Doswald-Beck, 2015, p.3). The problems will obviously increase with the next use of completely autonomous weapons in the choice of the targets to hit (Anderson, Reisner, and Waxman, 2014, p.399).

Conflict resolution through war is undoubtedly to be abhorred, unfortunately the States that have greater economic and military capabilities prefer to impose their will. In the past, the differences in armaments were quite limited and even a small State had a chance to defend itself. Today the differences are such that some States can selectively strike thousands of miles away without risk. The consequence is that States or organizations (Non State Actors) that do not accept succumb to this new reality have changed the way they fight, increasing the level of violence and hiding fighters in the population. The battles where armies fought in the open field, sometimes decided through the fight of two heroes according to precise rules, are part of a mythology increasingly distant in time and memory. In the absence of human justice, they once relied on the divine one that would decide the fate of the duel, today we don't even have this certainty. Despite all the technological advances, humanity has stepped back thousands of years which should lead us to reflect.

The comprehensive approach therefore appears to be a methodology, which with its limitations, seeks to resolve the root causes of conflicts through a multilateral approach where all organizations are represented, this is necessary to face new threats *"Se indica que las amenazas globales requieren respuestas integrales, coordinadas y cooperativas."* (Ballesteros Martín, 2017, p.7). Unfortunately, this



idea born in the late nineties in the United Nations is difficult to apply. In fact, the organizations that should concert their actions have different structures and objectives. To solve these problems it is necessary to find a higher order objective such as the defence of human rights and entrust this task to leaders able to mediate and create an environment of mutual trust:

*"it was very difficult to separate personal failings or successes from institutional issues. In many cases, personal relationships have eased institutional frictions and obviated the need for formal directives. This does not mean that there will not be disagreement over priorities and methods, but confidence that one is, indeed, working towards the shared goal of securing both peace and justice is essential if mutual trust is to be created and maintained. (Hannum, 2006, p.61)*

In solving this complex equation the law, procedures and directives often prove inadequate, the human factor is probably one of the most important variables on which it is necessary to act.

The object of the study is to fill a gap identifying the factors of leadership that influence the implementation of human rights and international humanitarian law. This idea is in line with the growing importance that is given on human values and transversal skills, factors for many years underestimated due to the difficulties associated with their assessment. The research did not stop at identifying the best leadership style because measuring the relevant factors of leadership appears to be of fundamental importance in order to develop new methodologies in the selection and training of personnel.

The selection of personnel in the past was mainly based on the measurement of professional skills, the so-called hard skills and only in recent years thanks also to the measurement of soft skills. In this context, transversal skills and human values are both important and difficult to measure. The decision to use human values is due to the fact that soft skills give us an indication of a person's potential to cooperate or be empathetic but they don't tell us how he will use them. In recent times, therefore, efforts have been made to measure human and organizational values within organizations. The values in fact indicate what it is really important for us or for our organization and their alignment allows to create synergies that would otherwise be unthinkable. There is probably nothing worse than a person with a great intellectual ability and knowledge who does not believe in the values

of his organization. For example, military organizations try to inculcate in their members military values such as honour, courage, loyalty or a spirit of service, to be sure that even in the most difficult or dangerous moments they act with a sense of duty. Obviously, just as sharing the same values allows us to create a climate of mutual trust that favours cooperation, not sharing them makes it difficult.

There are numerous studies on leadership and some of them try to identify which style best suits them (Olsthoorn and Soeters, 2016, p.1), however no one has identified which are the factors of leadership that differentiate the military from the civilians. The human values identified in the course of the research are essential to implement the comprehensive approach, increase involvement in the defence of human rights, improving cooperation and increasing mutual trust. In the specific context, the human values of the leaders are therefore at the centre of this transformation process.

The analysis of the results obtained will follow the order of the chapters to highlight the logical connections that guided each step of the research. The research has been divided into two parts, the first through the examination of the existing literature highlighted the importance of the comprehensive approach for the respect of human rights and international humanitarian law. Once the context and the problems it entails have been clarified, the main types of leadership have been examined in order to identify those that best fit and can be advantageous.

In the second part of the thesis, the theoretical results obtained were verified and deepened with the help of experts in the sector. The analysis went so far as to identify the leadership factors deemed essential (human values) and measured them in two groups of people, one made up of civilians and the other by military personnel who participated or who could participate in peacekeeping operations. The decision to use these groups stems from the awareness that in the new operating context in order to guarantee the defence of human rights and international humanitarian law they must necessarily cooperate. The factors of leadership that influence the implementation of the comprehensive approach were identified in human values and the hypothesis that they differ in the military and civilians was therefore verified.

The results obtained will be examined in the following paragraphs by retracing the results obtained in each chapter and answering the questions that guided the study (see section 1.5).

## 7.1 Comprehensive Approach literature review results

The second chapter, the largest of the study, answered the first two research questions highlighting the importance of the comprehensive approach regarding the respect of human rights and international humanitarian law. Furthermore, after comparing the three typologies developed respectively by UN, NATO and EU, some possible strategic objectives useful for its implementation were outlined.

The method of conflict resolution through the comprehensive approach was born in the late nineties within the United Nations which at the end of the Cold War tried to take on a role that lived up to its functions and responsibilities *"Convinced of the need to strengthen further the role and effectiveness of the United Nations on the basis of full and universal implementation of its Charter, in order to ensure international peace and security on a comprehensive basis covering all States and all aspects of their interrelationship"* (A/43/914, UNGA, 1988, p.4). The United Nations, in fact, born at the end of the Second World War to maintain international peace and security had played a secondary role. The Cold War had in fact blocked and limited any initiative (see section 2.4.1). The main task of the United Nations, namely the defence of international peace and security, is entrusted to an organ that bases its operation on the basis of a rigid division of power and which cannot be changed without its consent (see section 2.4.1). The idea of the comprehensive approach to resolve conflicts through the cooperation of all the actors and organizations involved, respecting international law and human rights therefore appeared innovative and rational.

The new types of conflict enhance the importance of this approach and the need to cooperate (see section 2.2.1). Indeed, new conflicts are rarely fought between regular armies and often involve directly civilian populations. Furthermore, the level of ferocity and violence has increased exponentially. The violation of human rights and international humanitarian law is systematic and follows a precise strategy of terror (Naji, 2006, p.50). Cooperation between civil and military organizations that once was dictated by specific and well-defined needs has become of fundamental importance. For the military it is no longer just the need to coordinate the use of the infrastructure or resources of the territory to facilitate their operations and for civilians the need to increase the available means when necessary (Abiew, 2003, p.11). NATO understood this imperious need in 2007 when after

seven years of war in Afghanistan this powerful military organizations was unable to stabilize a very backward region (McNerney, 2007, p.28). Non-governmental organizations on the other hand have realized that strict adherence to humanitarian principles is no longer sufficient to ensure their security (UNOCHA, 2014, p.5). Humanitarian workers are increasingly subject to deliberate and perfectly coordinated attacks (Trelles, Stewart, and Kushner, 2016, p.298). To understand these changes, the analysis of the characteristics of the new conflicts and of the different forms of comprehensive approach developed by the UN, NATO and EU was carried out.

### **7.1.1 What does the Comprehensive Approach model do regarding the respect of human rights and international humanitarian law?**

The comprehensive approach represents a methodology that tries to solve at the base the problems that are the foundations of a conflict involving all the relevant organizations. Although the initial idea of the comprehensive approach has evolved over the years and in some cases it has also changed its name in Integrated Approach (Tardy, 2017), the underlying concept remains the same, try to solve conflicts through the application of international law and the cooperation of the stakeholders. The imposition of the will through military or economic power does not solve the problems that underlie the conflicts and in the absence of everyone's cooperation, international law is not universally applicable, that is, there are States that are in fact above the law, having the veto right in the United Nations Security Council (UNSC). The United Nations General Assembly (UNGA) clearly expressed that *"ensuring international peace and security requires concerted efforts and close cooperation"* (A/RES/43/89, UNGA, 1989).

The difficulties encountered in the implementation of the comprehensive approach and the numerous failures do not diminish the importance or the goodness of this approach, especially considering that the alternative is the return to the logic of the strongest and in this case who is better armed can impose his will. Conflict resolution is very difficult especially if the different organizations involved see only the difficulties of cooperation and not its benefits. In this complex equation, being unable to change the organizations, procedures and laws in force, the only solution is to select and adequately train the people involved. The leaders of the

different organizations are the variable that can be changed in the short term to implement an approach that can guarantee everyone's human rights.

To these difficulties it must be added that some States clearly put their interests in the foreground, a logic that inevitably lead to conflicts, while the only way to avoid them is the application of international law and dialogue. Many organizations and States tried to implement it but until now with poor results. The consequences of this failures are obvious and in recent times some States have gone from a multilateral to a unilateral approach protecting their national interests. Besides, the unilateral approach is incompatible with the defence of human rights, since the former defends the interests of a party, be it a State or an international organization, human rights instead belong to all men regardless of their race, religion, political opinion, gender or nationality.

The difficulties to be overcome to apply this methodology are many, complex and unfortunately the numerous failures allow the promoters of the unilateral approach to justify their interventions. The failures of the last wars in Afghanistan, Libya, Iraq, Syria could revive the implementation of the comprehensive approach or on the contrary exacerbate the situation involving increasingly harsh national interventions not even respectful of human rights and international humanitarian law. This trend can already be glimpsed in the ever-increasing violations that directly involve civil and humanitarian personnel who, from involuntary victims of the conflict, have become a target. Attacks directed against health personnel who are protected by international humanitarian law cannot be considered errors but are the result of a specific strategy.

In this context, the comprehensive approach, with all its limitations, allows to better guarantee and respect human rights and international humanitarian law and at the same time it tries to resolve the causes of the conflict through a multilateral approach.

### **7.1.2 Which typology of Comprehensive Approach developed respectively by UN, EU, NATO respect more the human rights and international humanitarian law?**

The second question to be answered concerns which of the three types of comprehensive approach examined better respects human rights and international humanitarian law. Respect for human rights is always highlighted in the three organizations examined, however it is clear while for the **UN** it is a fundamental basic, for **EU** and **NATO** it is functional to reach their objectives.

Moving from theory to practice and summarizing the examination carried out in chapter two (see section 2.5), it is clear that the **UN** encountered numerous difficulties in its implementation. These difficulties are inherent in the structure of an organization that is unable to develop a fully democratic process. In fact, the organ that is endowed with greater powers, the Security Council is still subject to the division of power between the five winning powers of the Second World War. Therefore the **UN** on the one hand are unable to modify their structure to make it more democratic on the other side the five powers mentioned use the **UN** when necessary reserving the power to adopt unilateral solutions. Staying in the logic of the national interest is obviously contrary to the defence of human rights as previously mentioned.

The unilateral approach is specific to strong countries and organizations that seek to impose their will and do their justice. The world had a historic opportunity at the end of World War II to create an organization capable of maintaining international security through fair justice. Another opportunity came at the end of the cold war in the 1990s. However, these two opportunities were lost because the winning powers of the Second World War decided to maintain their power. This is evident when it was decided to create the International Criminal Court where three permanent member of the Security Council are absent (United States, Russia and China) probably to avoid being subjected to international justice. The United Nations can only intervene when the national interests of the great powers are not at stake. In addition to the right of veto these countries have numerous tools to curb unwanted interventions. The right of veto is in fact the last resource in their possession, sometimes it is sufficient to reduce their funding, not to send military forces or to use other instruments of political, economic or military pressure.

The results of the examination carried out were not conclusive, it was therefore

considered necessary to deepen the examination through the use of experts in the sector by identifying three strategic objectives that can catalyse the action of international organizations and further guide the research. The numerous shortcomings encountered at the organizational, economic and numerous internal contradictions did not allow, by examining the literature, to define which of the three types of Inclusive Approach best respects human rights and international humanitarian law. The comprehensive approach with all its limitations and imperfections represents the only way to resolve conflicts in a multilateral way by addressing the problems that are at the root of them. Its failure to implement leads invariably to the unilateral logic of the strongest who protects its interests.

## **7.2 Leadership Styles literature review results**

The third chapter of the thesis examined the main types of leadership to identify the one that best suits the implementation of the comprehensive approach and the defence of human rights (see table 3.1).

History is full of leaders who have left an indelible mark and the literature is vast. For centuries, leaders have been considered to possess superior natural qualities and their characteristics have only been scientifically studied in recent decades. The interest of the topic is demonstrated not only by the huge amount of existing literature, but also by the numerous typologies that have been identified.

Obviously it was necessary to choose the most used ones. The examination was conducted taking into consideration the characteristics necessary to implement the comprehensive approach and improve the defence of human rights. Even though there is no universally valid leadership style and a good leader is able to adapt the style to the context, I considered the leader's ability to increase trust and cooperation as fundamental. Indeed, the comprehensive approach requires the collaboration of numerous actors in an environment where there are none clearly defined hierarchies or power relationships.

### **7.2.1 Which kind of leadership style best suite the respect of human rights, international humanitarian law and the implementation of the Comprehensive Approach ?**

The implementation of the comprehensive approach is very complex because of the intrinsic difficulties that requires the cooperation of organizations different in structure, objectives and culture. Leaders' ability to adapt to the new context and use a leadership style that fosters cooperation is an added value. In the past, Leaders were chosen based on their natural gifts. Today we know that it is possible to improve one's skills through a training course that implies an individual transformation. Different contexts require different leaders and it is obvious that a military organization cannot have personnel with the same characteristics as a humanitarian organization. However, some human and cultural characteristics need to be taken into account when selecting personnel for Civil Military Cooperation. As for the implementation of the comprehensive approach, the leadership styles that best fit are Transformational, Ethical and Servant. These styles of leadership enhance the importance of human values, allowing the creation of an atmosphere of trust essential to foster cooperation inside and outside organizations.

Human values not only improve leadership, they also influence personal involvement in respecting human rights. For a long time the selection of personnel was carried out according to studies and knowledge. A Leader must surely have an education adequate to the tasks that will be entrusted to him, however in a world saturated by the amount of information (and misinformation) available, critical thinking, values and common sense represent an indispensable added value. Soft and hard skills are fundamental, but useless or even counterproductive in the absence of the human values that guide us to action. Unfortunately, the latter are often not taken into consideration in the choice of positions and assignments. The study of human values in recent years has had a significant boost and should be used in the selection of human resources. Basically, the staff are currently recruited on the basis of qualifications, knowledge, skills and competence. Unfortunately, what really differentiates organizations and makes them capable of achieving otherwise unattainable goals is the alignment of personal values with those of the organization where they work. This process requires the direct involvement of leaders who sometimes have to engage in a personal transformation process.



In transformational leadership the leader tries to align the values of his followers with those of the organization, however in implementing the comprehensive approach leaders are not always able to bring about this change. Consequently, it would be preferable to carry out the selection of personnel with adequate human values before their employment. These human values would be cooperation and respect for human rights.

The ultimate goal of all types of leadership is in fact to achieve a competitive advantage while in the specific case it is necessary to cooperate. Unfortunately this choice, as in the case of the *"prisoner dilemma"*, although rational and convenient, is rarely chosen. Despite the fact that it is cooperation and altruism that probably distinguishes us from other animal species and gives us an indisputable competitive advantage in nature, we are continuously trained in competition *"Even in other primate societies, cooperation is orders of magnitude less developed than it is among humans, despite our close, common ancestry."* (Fehr and Fischbacher, 2003, p.785).

### **7.2.2 Leadership factors that improve the success of the Comprehensive Approach and influence the respect of human rights and international humanitarian law**

The human values of the leaders in the civil field have only recently been re-evaluated following the numerous scandals that have involved many corporations in recent years (see section 3.2.10). On the contrary, in the military field, values have always been an important point of reference because in difficult situations they represent an important guide. Values such as loyalty, honour, will, duty, respect, integrity, courage are inculcated in the cadets of military academies around the world to make future leaders able to react in the worst conditions for the defence of their homeland. Values which, based on experience, are adequate for dealing with combat situations but are insufficient when it is necessary to mediate between different opinions and interests.

The objective (see section 1.4) of the research was to identify which personal values are important for the leaders of the organizations involved in the implementation of the comprehensive approach in order to improve the cooperation, the trust, the respect for human rights and international humanitarian law. The hypothesis underlying the study was that it is not possible to implement the comprehensive

approach at a procedural and organizational level without involving adequately trained leaders who possess certain personal values. Respect for human rights and international humanitarian law are closely correlated with the resolution of problems that are the root causes of armed conflicts. In this context, the cooperation of all the organizations involved is essential.

The comparison of the various leadership styles led to the selection of three styles that appear in line with the need to cooperate and foster trust. Specifically, the selected leadership styles are as follows:

1. Servant;
2. Transformational;
3. Ethical.

The aforementioned styles emphasize the leader's ethics, morals and human values. These qualities allow leaders to overcome difficulties that they could generate in relationships with people who belong to other cultures or organizations. They also appear more in line with respect for human rights than other styles that stimulate competition or the specific success of an organization. Human rights are in fact universal and cannot be part of a specific interest. In addition, these styles have a beneficial effect on any organization by improving its effectiveness and increasing the satisfaction of the followers. The common denominator of these styles are human values, therefore there was already a possible indication of what the research factors may be.

### **7.3 Leadership Values Assessment**

The fourth chapter of the thesis represents a preliminary research to deepen the results of the first theoretical part. In fact, the results of the first part were not conclusive and the aim of second part was to deepen the research with help of numerous expert. The purpose of the research was to find out which common values were shared by two groups of personnel (one civilian and the other military) involved daily in the implementation of the comprehensive approach.

The survey was split into two parts. The first part suggested the three strategic objectives identified at the end of the second chapter to facilitate the implementation of the comprehensive approach and the respect of human rights and international humanitarian law (see section 2.5.4). The second part used the Barrett Values Center's cultural transformation tools to evaluate personal and organizational values (see section 4.1). Methodology used in the corporate and organizational context to start a transformation process by aligning human and organizational values.

The results of the first part of the questionnaire relating to the three strategic objectives to be achieved converge on procedural and organizational changes to encourage cooperation by carrying out joint activities, improving communication mechanisms and formalizing relationships (see section 4.6.1). Sharing knowledge and training on international humanitarian law, human rights and cultural awareness improves trust. Furthermore, the agreements reached between the various organizations facilitate the mutual exchange of indicators, warnings and basic assessments. These positive results need to be improved and are often jeopardized by bureaucracy.

The results of the second part of the questionnaire showed a broad convergence on the desired values, such as adaptability, cooperation, collaboration of interested parties and sharing of information (see Table 4.13). Despite significant organizational and cultural differences, it became clear that the staff of the two groups agreed on the necessary change and transformation. Adaptability is an important value in complex and rapidly changing situations. The cooperation and collaboration of stakeholders is necessary to build relationships of mutual trust. Sharing information (often compromised by bureaucracy and the limits imposed by strict information security rules) is essential at an organizational level.

The Survey indicate that an operational change is needed in order to ensure a better coordination on the ground and increase trust among the stakeholders. It is also possible a cultural change and there is the possibility to align the cultural values among the civilian and the military group.

The results of the investigation show that to increase cooperation and trust we rely substantially at a procedural and organizational level on the development of joint activities.

## 7.4 Focus Group Assessment

The objective of the focus group was to verify the validity of the questions that guided the research (see section 1.5) with the help of a group of professors expert in the field who work at CESEDEN. Focus group is a methodology commonly used in social sciences in order to confirm or expand a research.

The result of the focus group confirmed the validity of the research questions. The comprehensive approach help to guarantee the respect for human rights and international humanitarian law even if it is necessary to improve the training. Military personnel is trained mainly on international humanitarian law and not specifically on human rights. With regard to the three organizations considered, the European Union was considered the most suitable for developing this type of approach.

Transformational leadership was considered the most effective style for implementing the comprehensive approach and ensuring respect for human rights because it requires leaders who possess high human values.

## 7.5 Portrait Values Questionnaire Assessment

The aim of the thesis was to identify the leadership factors that influence the respect of human rights and international humanitarian law. The transformational leadership whose style best suits the research objectives is characterized by the emphasis attributed to the human values of the Leader. Human values therefore represent the factors of leadership which are the objective of the present research: *"Values are enduring and therefore drawing the value profile of a transformational leader would be the most effective means of identifying and training transformational leaders."* (Krishnan, 2001, p.127).

The first part of the chapter identifies the values that influence cooperation and the degree of involvement in the defence of human rights thanks to a methodology developed by Shalom Schwartz. The use of an appropriate measuring instrument appears to be of fundamental importance in order to identify the differences between two groups of staff who have difficulty communicating in the context of the comprehensive approach.

The implementation of the comprehensive approach it is very difficult because leaders lack all those power relationships that allow a normal organization to function. There are no hierarchies, rewards or benefits and organizations that deal with the same problem often have very different objectives. In this context, personal relationships can become a determining factor *"shared values helping to create a relationship build on trust, and trust serving to maintain and express those shared values"* (Gillespie and Mann, 2004, p.593). The alignment of human values allows to create that atmosphere of mutual trust needed *Values form the core of our personality, influencing the choices we make, the people we trust* (Krishnan, 2001, p.127).

On the basis of these considerations, it was therefore decided to identify what are the differences in the human values of the military and civilian personnel involved in the implementation of the comprehensive approach. The choice of these two groups derives from the difficulties encountered in cooperating (see section 4.2). The independent variable taken into consideration was therefore the belonging of the staff to the civilian or military group, while as dependent variables the human values measured with the methodology developed by Shalom Schwartz in the PVQ-RR (see section 6.1) were considered: *"The transformational leaders in this study reflected higher levels of consciousness, pursued different values, depended less on instrumental and interpersonal skills"* (Schmidt, 1993, p.8).

The choice to adopt this methodology was based on the recognition that the same has had in recent years at an international level and for some studies that already relate human values of the same with the involvement in defence of human rights *"In our study, values are considered as a major psychological anchor for the organizing principles of involvement in human rights for different reasons."* (Spini and Doise, 1998, p.607). As consequence of the 19 human values measured through the PVQ-RR questionnaire have been selected the one that according to the literature in force has the greatest influence on cooperation and involvement in the defence of human rights.

The results obtained confirm the hypothesis and for seven of the ten values identified there are differences among the two groups (see Tab. 6.13). Two of the remaining three values were not taken into account (Achievement and Power Dominance) because their reliability was insufficient. The last value (Universal Nature) did not show the expected differences (the null hypothesis was accepted). These

differences are understandable given the different culture and nature of the tasks entrusted to military and civilians. However, to foster mutual trust and increase cooperation, which we have seen is indispensable, it is necessary to carefully select and train the staff in charge.

Besides, the study carried out highlights that there are numerous training deficiencies in the field of human rights and international humanitarian law. Training improvement in these sectors appears essential to be able to apply them. In some countries the lack of knowledge subsequently led to violations (see section 5.6). Further confirmation of this need occurred in chapter 6 where a high percentage of military and civilian personnel declared a poor knowledge (see figure 6.5 and 6.6).

Human related values that have a positive impact are related to the ability to:

1. Develop their ideas independently (Self-direction Thought);
2. Determine their actions (Self-direction Action);
3. Strive for equality, justice and protection of all people (Universalism-Concern);
4. Accept the differences of others (Universalism-Tolerance);
5. Help and desire the well-being of people belonging to their group (Benevolence-Care);
6. Be a reliable and trustworthy person (Benevolence-Dependability).

These values should be sought and enhanced. The values that could have a negative impact and do not facilitate cooperation are linked to:

1. Exercise of power through the control of material and social resources (Power Resources).

In essence, the first list represents the values that should be sought in the Leaders while the second one that potentially limits the possibilities of cooperation and respect for human rights. The results obtained show in the two samples significant differences in human values considered on the basis of the examination of the existing literature, fundamental for cooperation and respect for human rights.

The zero hypothesis was rejected for all the values taken into consideration except Universalism-Nature, which did not show significant differences. Power-Dominance and Achievement were not taken into account because of the unreliability of the sample related to the internal consistency of the collected data (Cronbach  $\alpha < 70\%$ ).

Taking into account the differences between the different organizations, it is not possible to make a generalized change, the tasks assigned to the military evidently require different skills, abilities and values. However, it is possible to select the personnel assigned to the civil and military cooperation taking into account the above mentioned values. The military interviewed have a similar preparation to that of civilians and values are in line with the role that traditionally it has been entrusted to them and the type of organization where they are called to operate. Civilians have values that are more closely related to cooperation and defence of human rights.





## Chapter 8

# Conclusions

The idea of this research was born from my international experience as head of the Stability Branch in a Army Rapid Reaction Corps and from the difficulties encountered in the implementation of the comprehensive approach. Although many international organizations such as the United Nations, the European Union and **NATO** have been involved in the development of this methodology for years there are no studies that relate the same to the defence of human rights and leadership. The rule of law and the application of the law are the basis of any peaceful co-existence, but often this is not enough to guarantee peace, as demonstrated by the numerous international conflicts. The comprehensive approach appears to be one of the best methodologies for solving the root causes of conflicts with a multi-lateral approach, unfortunately even if theoretically it is feasible in practice the difficulties encountered often appear insurmountable. The staff that operates in modern operational scenarios therefore requires human values and skills that go beyond technical and procedural knowledge.

Indeed, the staff employed in the implementation of the comprehensive approach can overcome the enormous difficulties deriving from belonging to organizations that differ in structure, organization and objectives only if they share the same human values. The comprehensive approach represents the best existing alternative to an indiscriminate use of force that does not solve the problems underlying conflicts. Respect for human rights allows creating a situation conducive to conflict resolution, while respect for international humanitarian law reduces the level of violence that always accompanies armed conflict. The Human Rights Charter was written not surprisingly at the end of one of the greatest and most

disastrous conflicts in humanity and represents the cornerstone on which to build a just society based on respect for the law. However, despite the progress made in their regulatory development, their practical respect appears increasingly difficult. The research identified seven human values as factors of leadership that influence respect for human rights and international humanitarian law during the implementation of the comprehensive approach. The following sections explain the logic that guided the research and the main conclusions.

## 8.1 Main steps of the research

The research started analysing the context, this examination was of fundamental importance to delimit the investigation area and then thanks to the help of numerous experts in the sector the transformational leadership was identified as the most appropriate leadership style. This style considers human values and their alignment of fundamental importance in an organizational context: *"Until organisations are able to authentically clarify their strategic organisational values and then engender alignment between these strategic values and the personal values of their employees, organisations will be unable to sufficiently change and adapt in order to continue to be successful in the twenty-first century.* (Branson, 2008, p.377). A preliminary study was conducted in order to analyse the differences existing in the human values of two samples of personnel (the civilians and the military personnel). It was decided to choose these two types of samples because of the difficulties that military and civilians often encounter in collaborating: *"The fundamental differences in the values, structures, approaches and skill sets of civilian humanitarian and military institutions will make any organizational solution to civil-military co-operation difficult."* (Gourlay, 1999, p.40).

Due to the limited number of participants, the results of the preliminary study could not be considered conclusive and therefore it was decided to organize a focus group to deepen the research. The results of the focus group confirmed the usefulness of the comprehensive approach for the defence of human rights, the importance of human values and the transformational leadership was selected as the style that best suits this complex environment.

After identifying the type of leadership and the factors to be taken into consideration (human values) the methodology developed by Shalom Schwartz was chosen as measuring tool. It is an innovative method widely used all over the

world that uses a rather limited number of human values (nineteen). In addition, this methodology has already been used in various scientific studies to measure values that improve cooperation and the degree of involvement in the defence of human rights.

The result of the research confirms that the two samples differ in the human values that support cooperation and involvement in the defence of human rights (see section 6.8). The lack of alignment of human values confirms the difficulties encountered in cooperating and also that these are one of the factors of leadership to be taken into consideration to improve the implementation of the comprehensive approach and the defence of human rights.

As a consequence the measurement of human values appears of fundamental importance to select the personnel involved in the implementation of the comprehensive approach. The improvement of human values should also be part of a specific training course for the aforementioned staff. A formation that probably never took place in certain contexts but that surely would have had effects not only on the defence of human rights.

The following paragraphs collect the main conclusions of the investigation conducted which underlines the importance of the comprehensive approach, the need to improve the selective process and the training of the personnel involved above all as regards the knowledge of human rights and international humanitarian law. The last paragraph is dedicated to leadership factors that are considered of fundamental importance.

## **8.2 Importance of the Comprehensive Approach implementation for the security of civilian and humanitarian personnel**

The research examined the literature currently existing on the comprehensive approach and the most important leadership styles to verify on the one hand its importance in the new operating environments to guarantee respect for human rights and international humanitarian law, on the other to identify a style of leadership capable of increasing trust and cooperation between the various stakeholders. Mistrust

and competition in fact often undermine such a complex methodology. Cooperation is fundamental considering that the opportunity to reform the international system that still bases relations on power relations rather than on law enforcement was lost in the 1990s. Countries that sit permanently on the Security Council avoid adhering to the Statute of Rome of the International Criminal Court to evade its jurisdiction.

The failure of a comprehensive approach in the resolution of international conflicts will be the beginning of a new era marked by unilateral interventions. Furthermore, the new international context has exacerbated conflicts that are increasingly violent and directly involve the population and humanitarian workers. Dunant's vision on the battlefields of Solferino could only repeat that this time it will not be the soldiers who must be rescued if not the civilian population. Unfortunately only the great tragedies remind us of the need to cooperate and brotherhood like these words written by Henri Dunant: *"But the women of Castiglione, seeing that I made no distinction between nationalities, followed my example, showing the same kindness to all these men whose origins were so different, and all of whom were foreigners to them. "Tutti fratelli", they repeated feelingly."* (Dunant, 2013, p.72).

The implementation of the comprehensive approach is a necessity for everyone, the problem affects both the military and civilians, the former will not be able to stabilize wars without the help of the latter, civilians cannot be protected without military help, the international organization will not change without implementation of the comprehensive approach. If the comprehensive approach fails more justifications will be given to the unilateral interventions because multilateral interventions do not get the desired results.

### 8.3 Improving selection and training

The staff in charge of implementing the comprehensive approach, in addition to specific training on human rights and international humanitarian law, should possess the human values necessary to be able to cooperate effectively and generate trust. In this context, it would be desirable to insert specific tests to evaluate human values. Changing a person's human values is possible, even if we live in a world that most stimulates competition and consequently also its values. Creating a cooperative and collaborative environment also stimulates the creativity and

success of an organization. The personal transformation process involves moving to a higher level of values: *"Transformational leadership occurs when leaders and followers raise one another to higher levels of values and motivations, and results in a transforming effect on both leaders and followers."* (Krishnan, 2002, p.20). In practice, it is necessary to move from personal to social focus, from self-enhancement to self-transcendence.

The values assessment is useful before the allocation of the people in the organizational structure and during the selection process, avoiding to assign personnel without the essential values and at the same time it gives the possibility to identify the leaders who need a specific training. The implementation of the comprehensive approach needs personnel with specific values: *"Define standards and review curricula to ensure quality and relevance to the context, including skills, competencies, values, culture, knowledge and gender responsiveness."* (UNESCO, 2017, p.37).

In the absence of a clear regulatory framework and in the presence of an inadequate international system, only leaders with very high human values and adequate preparation will be able to overcome the enormous difficulties encountered in modern conflicts. Repeating the same actions inevitably leads to the same results, therefore, while remaining the regulatory framework of fundamental importance, it is necessary to change the patterns. People are of paramount importance in problem solving and crisis management. The military have values appropriate to the functions they normally have to perform, however in the implementation of the comprehensive approach it is necessary to select personnel who have the values that stimulate cooperation and the defence of human rights. This would greatly facilitate the creation of the necessary climate of trust.

## **8.4 Human Rights and International Humanitarian Law knowledge are the fundamental basis**

The results of the questionnaire associated to the Cultural Transformation Tools, the discussion in the focus group developed in the "Centro Superior de Estudios de la Defensa Nacional" and the "Portrait Values Questionnaire Assessment" shows that it is necessary to improve the knowledge of human rights and international

humanitarian law: *Areas of international law with particular relevance to humanitarian action include international humanitarian law (IHL)/Law of Armed Conflict (LOAC), international human rights law (IHRL) and Refugee Law.* (UNOCHA, 2018, p.11).

This knowledge is fundamental not only in order to avoid crimes, it also could help in a cultural change. Having leaders that do not share the same values has disastrous consequences in any organization, and even more so when it is necessary to create an environment of mutual trust in very complex situations: *"There is the importance for shared understanding engendered through cooperative working, liaison, education and common language. The alliance also stresses the value of collaborative working based upon mutual trust and a willingness to cooperate.* (CCOE, 2016, p.I-3-4). However, knowledge of the law (human rights and international humanitarian law) remains the fundamental basis since it provides the legislative framework where we can operate. The research results highlight significant shortcomings in people who have a very high level of study.

The knowledge of the law is the basis of civil life and the indispensable premise of the comprehensive approach. Unfortunately, the law lends itself to different interpretations and the lack of a universally recognized International Tribunal undermines its application. In fact, some of the states that sit on the Security Council and have the greatest responsibility for maintaining world peace have not signed the Treaty of Rome. Once again the defence of security is based on relationships of force and the logic of force inevitably leads back to war.

## **8.5 The essential factors of the leadership: human values**

The human values of the civilian and military personnel involved in the implementation of the comprehensive approach are different, these differences are not easily overcome because they require a cultural change. The NGOs that work in the humanitarian field are firmly anchored in the respect of humanitarian principles while the military are tied to the military traditions developed over the centuries: *"Social change is usually a slow process. And when the change must take place in an institution which is so deeply rooted in historical tradition as the Army, the process is at its slowest"* (Stouffer et al., 1949, p.382).

The study found that the following human values have a positive effect and they are of fundamental importance in this context:

1. Self-direction Thought (**SDTc**);
2. Self-direction Action (**SDAc**);
3. Universalism-Concern (**UNCc**);
4. Universalism-Tolerance (**UNTc**);
5. Benevolence-Care (**BNCc**);
6. Benevolence-Dependability (**BEDc**).

The Power Resources (**PORc**) value related the exercise of power through the control of the resources vice versa has a negative effect.

It is a cultural and educational problem that needs time and open-mindedness. We live in a society that in most cases is highly competitive. Competition is what we are taught starting from primary school. Cooperation is considered useful especially when it is necessary to join in larger groups in order to better compete with other groups (Smith, Carroll, and Ashford, 1995, p.7).

It is scientifically proven that cooperation is beneficial however we are genetically still tied to our evolutionary process where using competition is a way to advance:

*"Overall, given the complexity of human cultural adaptations and social environments as well as the lack of information about the costs and benefits of rarely observed alternative social behaviors, this constraint likely holds and is certainly more plausible than, for example, mutational restrictions that confine punishment-alleles and cooperation alleles to the same gene."* (Henrich, 2004, p.26).

Game theory has already demonstrated the effectiveness of cooperation rationally *"the Prisoner's Dilemma embodies the tension between individual rationality (reflected in the incentive of both sides to be selfish) and group rationality (reflected in the higher payoff to both sides for mutual cooperation over mutual defection)."* (Axelrod, 1980, p.4).

The proponents of the competition on the contrary see it as a way of progress when regulated

*"Competition can vary from destructive to constructive: unfair, unregulated competition at the destructive end; fair, regulated competition in between; and constructive competition at the positive end. In constructive competition, the losers as well as the winners gain. Thus, in a tennis match that takes the form of constructive competition, the winner suggests how the loser can improve, offers an opportunity for the loser to learn and practice skills, and makes the match an enjoyable or worthwhile experience for the loser. In constructive competition, winners see to it that losers are better off, or at least not worse off than they were before the competition." (Deutsch, 2011, p.30).*

In this uneven world it is difficult to imagine fair competition. Nevertheless, even these apparently irreconcilable positions could be used effectively if the defence of human rights were at the centre of the problem rather than in the individual interest.

The role of military and civilian personnel in peace operations is different, however their collaboration is of fundamental importance. The military when cooperate with civilians basically build a safe environment and only in case of extreme necessity support the civilian action: *"Humanitarian-military coordination and interaction must not jeopardize, but must support, the principles guiding humanitarian actors, local networks and trust that humanitarian agencies have created and maintain with communities and relevant actors."* (UNOCHA, 2018, p.17). Different roles, organizations, staff and objectives, which probably require different values.

A soldier is unlikely to have the same values as a human rights defender, however personnel working in **CIMIC** must be selected and trained taking into account human values. Military and civilian personnel will therefore be able to perform their duties and cooperate effectively. At the same time, civilian personnel must also be aware that cooperation with the armed forces is not an option but a necessity and that defending human rights goes beyond existing differences and tasks.

The armed forces are at the service of society and perform the tasks assigned to it, such as the use of military force, just because they are disciplined and organized hierarchically they are able to transform rapidly. Only if we work together forgetting the particular interests of the various organizations or states, trying to create



a more just and respectful human rights society we will obtain an advantageous solution and resolve the numerous existing conflicts.

The human beings during their evolution managed to prevail over other species thanks to their intelligence, but they will not be able to survive to themselves without a further evolutionary step. The affirmation of the preamble to the Charter of the United Nations *"to reaffirm faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women and of nations large and small"* (UN, 1945, p.2) reminds us that there are no other human species to compete or fight with. Human skills will not be of any use if we do not understand what is really important and without the right values and the laws that guide us to improve civil coexistence.

The declaration of human rights has been one of humanity's greatest achievements and their defence, the struggle for them is of fundamental importance, especially in these moments when they are constantly being trampled on. The Armed Forces and the Police are indispensable to guarantee the rule of law, however, I believe that we cannot resolve conflicts with struggle or repression. As a soldier I know the advantages and disadvantages of them and also the limitations. Only the creation of a more just world in which human rights are respected can lead to lasting peace and to do this we need leaders who are prepared and have the right human values.



## **Appendix A**

# **CTT Barrett Value Center Questionnaire**

## Welcome to the Assessment

To complete your assessment, please follow the below steps:

- [Step 1.](#) Fill your personal data in table 1 (optional);
- [Step 2.](#) Fill your Team/ Organization data in table 2 (optional) and maintain or change the three strategic objectives that I propose;
- [Step 3.](#) Fill the “Current and Desired Results” for the three strategic objective on table 3 (important);
- [Step 4.](#) Complete your Cultural Transformation Tools® (CTT) online Values Assessment (essential);
- [Step 5.](#) Send this Word document to:

Roberto Gravili  
email: gravili@alumni.uv.es  
Mobile phone: XXXX XXX XX XX XX

***In case you need additional information to complete your Assessment, do not hesitate to contact me for support.***

**Step 1: Please, fill in your personal data:**

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Name	Date
Organization you represent	Country
E-mail	Telephone

## Step 2: Please, fill in the Team/Organization data

Team/organization name and mission
Brief description of the members of the Team/Organization
Stakeholders of this Team/organization
Your Role and mission in this Team
<p>Please name three strategic objectives that you consider important in order to implement the Comprehensive Approach (you are free to maintain or change the following three strategic objectives ):</p> <ol style="list-style-type: none"><li>1. Improve trust among institutions and organizations involved in peace support operations;</li><li>2. Find shared solutions that addresses the root causes of a conflict improving the respect of human rights and humanitarian law;</li><li>3. De-conflict the activities developed by the different stakeholders avoiding the fragmentation of the interventions.</li></ol>

### Step 3.

1. Please, select Current and Desired results for the **1<sup>st</sup> strategic objective**

**Strategic Objective 1:** Improve trust among institutions and organizations involved in peace support operations

CURRENT RESULTS (satisfactory) : Up to date, the Team/Organization is achieving the following satisfactory results:

CURRENT RESULTS (unsatisfactory): Up to date, the Team/Organization should improve the following results:

DESIRED RESULTS (mandatory): By the end of this year, the Team/Organization should achieve the following results:

2. Please, select Current and Desired results for the **2<sup>nd</sup> strategic objective**  
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**Strategic Objective 2:** Find shared solutions that addresses the root causes of a conflict improving the respect of human rights

CURRENT RESULTS (satisfactory) : Up to date, the Team/Organization is achieving the following satisfactory results:

CURRENT RESULTS (unsatisfactory): Up to date, the Team/Organization should improve the following results:

DESIRED RESULTS (mandatory): By the end of this year, the Team/Organization should achieve the following results:



3. Please, select Current and Desired results for the **3<sup>rd</sup> strategic objective**

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**Strategic Objective 3:** Deconflict the activities developed by the different stakeholders avoiding the fragmentation of the different interventions

CURRENT RESULTS (satisfactory) : Up to date, the Team/Organization is achieving the following satisfactory results:

CURRENT RESULTS (unsatisfactory): Up to date, the Team/Organization should improve the following results:

DESIRED RESULTS (mandatory): By the end of this year, the Team/Organization should achieve the following results:

## Step 4: <sup>298</sup>Please, complete your Cultural Transformation Tools (CTT) online Assessment as follows

Once you have completed the “Current and Desired Results” tables of this document, please address the CTT Assessment site: <http://survey.valuescentre.com/survey.html?id=KvGfHFniVBhNIBwwLE4-nw>

The system will guide you through 3 Values Surveys

1. **Personal Values:** Select the 10 words that better reflect you when working with this Team/Organization
2. **Current Values:** Select the 10 words that better reflect how this team/organization work to achieve its current results ( you have identified in the tables 3)
3. **Desired Values:** Select the 10 words that better reflect how this team/organization should work to achieve its desired results ( you have identified in the tables 3)

## Step 5: Please send this Word document when completed<sup>200</sup> to:

Roberto Gravili

email: gravili@alumni.uv.es

Mobile phone: XXXX XXX XX XX

### VERY IMPORTANT

Please use the same name you have registered in the online Assessment, this will help us to find your Values Report in the Cultural Transformation Tools® (CTT) System.

I will inform you about the results of this assessment within 90 days by email.

Looking forward to receiving your feedbacks, I am very grateful for your answers and support you would provide.

Sincerely

Roberto Gravili



## Appendix B

# Focus Group transcription

### Introduction

**Roberto:** Buenos días a todos, es un verdadero placer y un honor, estar aquí con vosotros en este centro. Me llamo Roberto Gravili y soy Coronel del Ejército de Tierra Italiano, he trabajado 4 años en Bétera como Jefe de la Cooperación Civil Militar en el Mando de Alta Disponibilidad de la OTAN. Hoy nos acompaña también doña Ofelia Santiago que es una consultora política a nivel internacional y también "Coach" político y estratégico. Ofelia se encargará de dirigir este "Focus Group". Antes de darle la palabra, quería explicar un poco más la razón de este Focus Group y también cómo vamos a desarrollar el mismo. ¿Por qué he decidido hacer una tesis doctoral sobre el Enfoque Integral?

Como Jefe de la Cooperación Civil Militar en el Cuartel General de Bétera tenía la responsabilidad de desarrollar el Enfoque Integral en el mando. En el mismo periodo, he atendido un máster en derechos humanos y he participado también en muchas reuniones y seminarios por la implementación del Enfoque Integral. Todavía es muy complejo unir organizaciones que tienen diferentes objetivos, estructuras y procedimientos de trabajo. El problema que he encontrado, es que se intenta implementar el Enfoque Integral en ámbito procedimental y organizacional. Yo creo que tenemos que movernos en el campo humano y en el liderazgo. Las experiencias presentes han demostrado que no se puede resolver un conflicto, utilizando solamente los medios militares; El respeto de los derechos humanos y de la ley internacional humanitaria, es fundamental, y en este sentido, el liderazgo

tiene un rol muy importante. Al mismo tiempo, el respeto la ley humanitaria y de los derechos humanos pueden ser y terreno ideal para cooperar.

**Ofelia:** Procedamos, si les parece caballeros. Bien, ¿Qué estamos haciendo aquí? Cómo el Coronel Gravili les ha comentado a todos aquellos que nos dedicamos a esto, nos damos cuenta, las organizaciones que dirigen o que trabajan en geoestrategia y en la defensa en concreto, sobre todo en la Organización del Tratado Atlántico del Norte. Dicho esto les comentare los métodos que he asistido, asesorando distintos gobiernos y organizaciones en los que se están resolviendo, o intentando resolver, los conflictos, a mi juicio; Han sido un auténtico fracaso. Desconozco lo que ustedes piensan, pero no tenemos más que pensar en lo que ha ocurrido en Iraq, como hemos trabajado luego en Libia, Cómo hemos desarrollado nuestras estrategias en otros Estados, pero era simplemente para que comprendan el por qué de este estudio. Ante esta situación, nos planteamos de verdad; Si el liderazgo que están siguiendo estas personas, con las que se han ido trabajado o incluso colaborando, es el más adecuado, o necesitamos; en este momento estratégico tan importante, en que están cambiando las cosas por segundos, un nuevo liderazgo. Como ustedes saben, "*Persona F*" tiene incluso su propio modelo; Un liderazgo estratégico. Me he metido ya a estudiarlo, me esta fascinando por cierto, y algunos estamos también muy preocupados, porque una cosa es lo que algunos estamos intentando hacer, y otra cosa es el estilo que existe en la mayor parte, de verdad, de los lugares, por intentar gestionar conflictos. Estamos también hartos de la mediación verdad? Todo el día se esta oyendo de la mediación, pero la cuestión es: Qué modelo científico soporta y cómo formamos a nuestras tropas y formamos a nuestras personas para ir, cuando lleguen a los lugares más calientes,(¿Podemos hablar de puntos calientes? )se desarrolle un sistema distinto a lo que estamos desarrollando. Porque para mi, hay que diferenciar el concepto de paz positiva, como ustedes muy bien saben, y de paz negativa. Para mi, la guerra no es ausencia de conflictos bélicos, si no una estabilización realmente importante de las zonas. Dicho esto; Por qué estamos aquí todos sentaditos, se supone que en círculo, vamos a proceder a hacer ya el "Focus Group" que como todos ustedes saben,( voy muy muy rápido) es una técnica científica de valor cualitativo frente a cualquier otra cuantitativa, como ustedes bien saben, cuestionarios y procesos verdad? donde el "n muestral" es mucho más grande que el que tenemos aquí ,y por tanto tenemos una mayor representatividad, no es aquel que pretendemos hoy (...)

Por tanto; Qué vamos a hacer: Miren, todos ustedes saben lo que es un "Focus Group" ¿cierto? Lo más importante aquí no es la cantidad, si no la calidad de nuestras aportaciones. Es una técnica sociológica, como todos ustedes saben, que sale de la psicología clínica de la famosa "Gestalt" y terapias de grupo, donde lo importante es que lanzamos una pregunta y ustedes vacían el tintero. Y hablemos de una manera, que represente a cada uno de sus trabajos, que están magníficamente seleccionados, por "*Persona F*". Y de estas experiencias, me hablan por favor, con toda verdad, e intenten hacerlo de la manera más profunda, porque sus aportaciones van a ser sagradas para nosotros, puesto que desde allí, luego elaboramos toda la parte cuantitativa; En función de lo que ustedes nos digan, elaboraremos y diseñaremos todos los cuestionarios (...) entonces, Si el "Focus Group" es bueno, todo lo demás va ser bueno. Entonces vamos a hacer algo muy importante como es: Meternos, nada más y nada menos, que en: Diseñar un nuevo modelo de liderazgo, que luego nos gustaría desarrollar formativamente, en el cual, las variables a tener en cuenta son:

1. Uno: Este liderazgo tiene que recoger la defensa absoluta los derechos humanos;
2. Dos: Como somos tan ambiciosos vamos a intentar dilucidar qué "Soft Skills", las llamadas "Soft Skills", Qué competencias humanísticas, tienen que soportar este nuevo modelo de liderazgo;

Por lo tanto, Uno: Derechos humanos, Dos: "Soft Skills" y lo que a mi más me importa en el mundo; Valores. Qué valores son aquellos que correlación positivamente y matemáticamente con este enfoque "*Comprehensive Approach*". Dentro del "Comprehensive" vamos a trabajar solo tres modelos: El modelo ONU que conocerán, dígame que si por favor, genial, muchas gracias, claro porque hay seis pero vamos a centrarnos solo en el modelo ONU, en el modelo UE en el que estamos todos sujetos como negociamos en la Unión Europea, lo estoy diciendo correctamente verdad? y el tercer modelo, que¿ Es aquel que conocemos verdad?. Es el de la Organización del Atlántico del Norte, el modelo OTAN o NATO. ¿Tienen ustedes algún conocimiento sobre éste? o ¿Han trabajado en el?: Fantástico!!! Por mi parte he explicado qué vamos ha hacer y¿ Por qué lo vamos ha hacer?... Y... ¿Para qué necesito el "output"?: Para desarrollar toda la parte científica cuantitativa. Pues si les parece... Procedemos ya a lanzar nuestra primera pregunta.

Reglas de juego; No hay reglas. Sólo les pido que por favor significan la atribución de cualquiera de nosotros (...) Vamos a proceder a resolver cada una de las preguntas en concreto voy solo a cuatro (...) que son las más importantes (...) y si queda algún otros ... lo veíamos otro momento. Bien! Reglas, no hay reglas, si alguno critica la elocución de cualquiera de vosotros, solo puede ser para mejorar la aportación, verdad? o incluso estos momentos que tenemos de "inside", "mind-sight" mejor dicho, donde generamos una nueva idea en función de lo que acaba de decir el compañero, entonces, asocio yo otra vertiente, otra variable cualitativa y genero una aportación mayor.¿ Claro para todos?,¿ Seguro?; Fantástico!!! Pues pasamos primero Ya, ¿Verdad? a trabajar en debate sobre esta primera pregunta, el tiempo es el que disponemos, yo tengo las 11.00 en punto, hasta?... "*Persona F*"? (...) las 11.50? Vamos a ir rápido, rápido.

## ¿Qué aporta el modelo del Enfoque Integral a la defensa de los derechos humanos?

**Primera pregunta:** Qué aporta el modelo del Enfoque Integral este "*Comprehensive Approach*" a la defensa de los derechos humanos? (..) Y comenzamos con "*Persona A*", estabas buscando su nombre, "*Persona A*" por favor.

**Persona A:** Pues, primero hay que, yo quería hacer un apuntes antes, estamos hablando de un problema de liderazgo, efectivamente hay un problema grave de liderazgo, entra otras cosas porque cuando alguien escucha que la principal característica que tiene el mundo actual, es el reconocimiento. Y la falta absoluta de liderazgo estratégico. es decir, Ésta como primera medida. Porque si hubiera liderazgo estratégico, sabríamos a donde iríamos y no habría incertidumbre. Esto es el primer punto. Y ahora yo tengo la suerte de estar trabajando con las Naciones Unidas, en temas, sobre todo: de la Unión Europea de cambio climático, medio ambiente y conflictos, es decir estoy habituado a formar el trabajo de las Naciones Unidas y ellos están menos habituados a trabajar con militares porque los militares decimos lo que pensamos, y entonces:

Primero "*Comprehensive Approach*" es un concepto interesante, es un enfoque multidisciplinar, es imprescindible, no es nuevo y las decisiones que han tomado los mandos militares, no los mandos políticos, aquí tenemos un problema serio de decisiones políticas y un problema menos serio de cómo aplicar, porque el



"*Comprehensive Approach*" ha sido una aproximación que han tenido los militares siempre, o sea, han tenido una visión multidisciplinar tanto en la Armada como en el Ejército de Tierra, como en el Ejército del Aire, como en la guardia civil. No obstante si, hay que tener en cuenta una serie de aspectos que son muy importantes y esos los he conocido particularmente en mi contacto en el tiempo que estado en Colombia pues allí se ve perfectamente. ¿Cómo afecta esto a los derechos humanos? afecta de una forma seria. En qué lo pongo; Pongámonos en un caso muy característico: El caso de los falsos positivos, estos falsos positivos en Colombia ¿qué dieron lugar?, dieron lugar a que la gente por cumplir, extremar el cumplimiento de un orden y demostrar unos resultados se sobrepasaron, pasaron algunas líneas rojas, que a su vez han sido aprovechadas para estos: Unos casos sí y otros no, para llevar al tribunal de Costa Rica etc... Segundo el "*Comprehensive Approach*" ha permitido que tengamos en cuenta dos instrumentos fundamentales relacionados con los derechos humanos. Tradicionalmente siempre hemos tenido el Derecho Internacional de los derechos humanos, el Derecho de Guerra, pero ahora mismo es de aplicación a los militares, a los civiles, a todo el mundo, el Derecho Internacional Humanitario y el derecho internacional de Naciones Unidas: Me refiero las decisiones de Naciones Unidas, es decir, que ya un militar no puede tomar decisiones sin tener un claro asesoramiento de como afecta a ello, luego por tanto, ¿tiene importancia? Si! ¿es un efecto limitador? Podemos decir que no. No, porque por principio, un militar, militar, liderazgo militar o un civil, no debería de poder en ningún momento, de poder haber tomado decisiones, sin haber tenido en cuenta el sentido común y sin haber hecho abusos, si no ha hecho esos abusos, seguramente no tiene nada que temer. Se puede haber equivocado, pero probablemente sea menor. Hemos vistos casos de liderazgo que han demostrado todo lo contrario, no han tenido el "*Comprehensive Approach*". Estuve tiempo en inteligencia en Los Balcanes, en la búsqueda del General Vladich finalmente detenido. No en mi época, pero finalmente Sí, lo he llegado a ver en las cámaras. Entonces ahí, yo creo que aquí tenemos un elemento esencial. Primero el liderazgo tiene que ser tiene que ser global, tiene que ser, por principio multidisciplinar, tiene que ser el "*Comprehensive Approach*". No se puede ser líder sin tener una aproximación, no se puede ser líder en una cosa y no ser líder en otra. Segundo: No se puede dejar de tener en cuenta en todo momento, todo lo que está relacionado con derechos humanos, primero como personas, segundo como europeos o americanos, y que también que está dentro de nuestros valores. y tercero como, este elemento que en mi opinión es fundamental. Y es que además, hay una

legislación que te obliga a hacerlo, y aquí entramos en un tema que es muy importante, que es el de la obediencia debida, sí o no. Es decir la obediencia debida no puede ir en contra de la Constitución, pero tampoco puede ir, porque está, o forma parte del cuerpo legislativo, tampoco puede ir en contra de los derechos humanos y de toda la normativa... Ya he hablado demasiado.

**Ofelia:** Brillante muchísimas gracias, ¿quién desea tomar la palabra?. ¿Vamos por orden? .

**Persona B:** Por hacer de abogado del diablo, que es el rol que suelo desempeñar en mi departamento, yo creo que no hay ninguna relación entre, y no condiciona de ninguna manera, la aplicación del Enfoque Integral, con los derechos humanos, creo que el respeto a los derechos humanos es algo de obligado cumplimiento, para los militares y les respeta, tanto en el planeamiento, como en la ejecución de las misiones, independientemente de que se aplique el modelo de Enfoque Integral o no. El respecto a los derechos humanos siempre está presente en nuestro planeamiento y en la ejecución de nuestras misiones, por lo tanto creo que no hay ninguna relación en que se aplique un modelo de Enfoque Integral o no al planeamiento y ejecución de misiones.

**Ofelia:** Solo por hacerle un "feedback" diferido, luego para usted, "*Persona B*" el enfoque "*Comprehensive Approach*" no estaría relacionado directamente o de manera positiva, verdad con el cumplimiento a los "derechos humanos" porqué para usted, antes está en el cumplimiento de nuestro código, como militares la defensa absoluta de los derechos humanos porqué es importante ... muchísima gracias.

*"Persona C"*: ¿Y para usted?:

**Persona C:** Pues yo te diría que podría estar con la opinión de "*Persona B*", pero no tanto quizás, quizás por mi condición de Guardia Civil, como militar que ejerce funciones de policía, sí que encuentro que hay una relación muy importante y la he podido vivir en persona en alguna operación militar, de que he tenido la oportunidad de participar, en Afganistán por ejemplo, que a veces, la formación que tú tienes y la actividad que tú realizas en tu día a día, es decir, pongo un ejemplo bastante claro: si un Guardia civil está acostumbrado por su función policial

en España al respeto continuado de legislación, de derecho, aplicarlos con mucha continuidad y en muchas ocasiones, coge un hábito primero: Porque se ha formado en eso, y ha cogido ese hábito en hacerlo, y aunque mañana lo lleves en otra operación en que va a hacer un cometido, en el que puede estar aislado de ciudadanos o de personas que tiene que aplicar esos derechos, o ese acervo legislativo, creo o estoy convencido de que esto influye en su manera de actuar y de tener en cuenta, a lo mejor, de otros factores que van más allá de procedimientos operativos o de cuestiones relacionadas con las operaciones en particular, no sé si mi estoy explicando bien, lo que intento decir es: Yo opino que el que tú te hayas formado y hayas trabajado en cuestiones que tienen que ver con los Derechos Fundamentales, en este caso por hablar en español y de España, influye en como tú llevas a cabo otras actividades que no están directamente relacionadas con eso, es decir, yo soy Guardia Civil hago este trabajo judicial aquí me voy a una misión militar a Iraq o Afghanistan y me pongo a formar policías, o incluso hago una función pura y dura de planeamiento, (no estoy haciendo mi tarea de todos los días), pues esa formación que yo he recibido y el trabajo que hecho antes, influye en como veo, lo que tengo que hacer ahora y en mi capacidad de ser más flexible y de tener en cuenta a lo mejor otros factores que no están en los procedimientos operativos o no tienen por qué estarlo siempre.

**Ofelia:** Te entiendo perfectamente y mi pregunta es para enmarcar, y el "*Comprehensive Approach*", la formación que deberíamos que dar a las personas y no siempre damos en este "*Comprehensive Approach*" para usted ¿Sería una causa, de un efecto de mayor respeto a los derechos humanos?

**Persona C:** yo pienso que sí, quizás no la única, pero sí que puede, sí que influye, claro.

**Ofelia:** Muchísimas gracias influye y positivamente, sobretodo me ha encantado que ha destacado el aspecto de la formación. Y.¿ Usted qué piensa?

**Persona D:** Bueno.. Un Diplomático no es precisamente el tipo de persona que está sobre el terreno aplicando criterios, es decir un embajador en el puesto, ve lo que sucede, lo dice a Madrid, pero digamos este tipo de estrategias y tácticas, corresponden de verdad a cuerpos militares. Esto para empezar. En segundo lugar y dejando a parte la teoría, y entrando en la práctica, lo cierto es que la voz del

embajador no es tan fuerte como la voz de las armas, es decir, en principio, se supone que es, como una especie del estado, es como una especie de diosa de doble cara: Habla violencia y parlamento, violencia y parlamento, pero a la hora de la verdad, la militarización de la política exterior americana, por ejemplo, es un hecho. Hay un libro excelente, que acaba de publicarse. Su autor es el mismo que ha estado detrás del premio Pulitzer "MeToo" y se llama la militarización de la ... Si lo has leído ... esto es un tema gravísimo, yo como Diplomático, tendría que referirme al primer escalón. Algo que está antes de lo que hacen los militares sobre el terreno. Yo sería excepcionalmente conservador, a la hora de lanzar un proceso bélico. Creo que los Estados Unidos hicieron algo visionario y maravilloso en el 1945, que fue crear el primer parlamento de la humanidad, que son las Naciones Unidas. Y ahí está clarísimo el artículo dos; Da a los Estados el derecho de legítima defensa. Y a parte de eso nada más. Luego viene, la responsabilidad de proteger, en casos de excepcional deterioro o ataque, a los derechos humanos, que es lo que usted le preocupa. Pero fíjese usted como en el caso de Iraq, vamos a una guerra que en Europa no se veía en absoluto, clara, y sin embargo en Ruanda consentimos que se mataran miles de personas sin hacer nada. Esto es muy complicado, yo entiendo que esto no tiene mucho que ver con la capacidad de liderazgo, si no que tiene que ver con una condición estructural, de lo que es, de lo que son los Estados Unidos, y de lo que es la vida internacional. No hay una autoridad superior para todos los estados, y los grandes pueden hacer más o menos lo que quieren, sin que nadie les salga al paso, y los más pequeños obedecen ... y tiene muchos años, no quiero remontar yo ... esto ya es muy antiguo. En el caso de los Estados Unidos la contradicción nodal, es que son un País liberal, por supuesto y evidentemente, no pueden ser un imperio, entonces, no es como un país que ha sido imperial y que tiene todos los instrumentos burocráticos y todo, para ocuparse del imperio, que es su mundo, su espacio. los Estados Unidos son por definición un estado nación muy especial, muy liberal, muy democrático, que ni si quiera se dirige a los americanos, que en este momento están en las trece estas colonias, si no a todos los países del mundo, hasta al final del siglo XIX no hubo ley de inmigración. Un país de estas características, intenta hacer una política imperial, teniendo además en cuenta la importancia del voto interno, que determina las políticas externas teniendo en cuenta que cada cuatro años cambia de filosofía, porque la filosofía política del presidente es que; El que gana se lo lleva todo "the winner takes it all", pues esto genera problemas que no tienen muy fácil arreglo, yo pienso que por el momento, no tienen arreglo. Señalaría a este respecto, estoy escribiendo un artículo, acabo

de escribir un artículo, sobre eso, sobre lo que yo llamo La trilogía de la decencia, que son los tres grandes escritores que yo creo que han hecho un análisis crítico, de la gran estrategia americana que son: Barry Posen, primero, que esto es ya un libro antiguo, porque es ya del 2014, que lleva el título, bastante significativo de "Restraint": A New Foundation for U.S. Grand Strategy" <sup>1</sup>, El segundo es de John J. Mearsheimer, de 2018 que es coautor con Stephen M. Walt del libro el Lobby Israelí <sup>2</sup> el libro se llama, "La gran desilusión", que está tomado del libro "La gran ilusión," de Norman Angell, que Norman Angell en 1910, trató de demostrar, que la guerra era imposible porque las economías de todos los países estaban muy imbricadas, pero la realidad le refutó estas tesis, como muy bien dice Mearsheimer, porque la política pasó por encima de la economía. Y el tercero de todos, es el más conocido quizás, un profesor de Harvard: Stephen Walt, que es el último de todos, es el último libro, que es el tercero de la trilogía, que bueno, yo la llamo así, pero no tiene porque ser una trilogía: Que es "The Hell of Good Intentions" <sup>3</sup>, "El infierno de las buenas intenciones", y son estos tres libros, nos recomiendan prudencia, que es lo que recomendamos todos, y profesionalidad. Pero vamos a ver si esto se puede conseguir, en un contexto bélico desatado, todos sabemos que efectivamente, hay que respetar los derechos humanos, y esta es digamos la constante en la ecuación. Pero esto tiene que ser muy difícil.

**Ofelia:** Gracias de corazón porque en algunas ocasiones sin decir nada lo has dicho todo, pero permítame que le re-enfoque tres palabras, la pregunta que hemos lanzado al principio, el "*Comprehensive Approach*" y en su caso me interesa mucho, estamos hablando de gestión de conflictos, como usted y yo lo intentamos; Yo, desde mi humilde posición y usted, desde la posición tan importante que ocupa, desde esa posición de embajador, el "*Comprehensive Approach*" ¿Nos permite, una mayor defensa de los derechos humanos?

**Persona D:** Bueno, yo creo que aquí, se ha dicho ya con toda claridad y yo lo sostengo, de manera absoluta que el entrenamiento es crítico.

**Ofelia:** Luego, sería una correlación directa, cuando hay una importante formación, dentro de este modelo. Gracias. Es que pienso lo mismo.

<sup>1</sup>"Restraint: A New Foundation for U.S. Grand Strategy"

<sup>2</sup>"The Israel Lobby and U.S. Foreign Policy"

<sup>3</sup>"The Hell of Good Intentions: America's Foreign Policy Elite and the Decline of U.S. Primacy"

**Persona D:** Que no es muy normal, pero; Hay ejércitos que sí lo practican. Por ejemplo: En el ejército inglés, británico, sí se practican los juegos de guerra y se practican, como se llaman esto: Simulacros, cuando se dispone en el campo de batalla, hay tiros disparos, que atacan los otros y de repente, unos levantan las manos y se rinden, y entonces el árbitro dice; Bueno, aquí no debéis disparar, o aquí sí podéis disparar, o lo que sea, ojo; Hay que darse cuenta que estás en el campo de batalla, te están cayendo granadas, matan a tu amigo, por ejemplo, tú vas avanzando y de repente cuando faltan 10 metros, aparecen unos tipos, levantan la manos; Contenerse, y no ametrallarles, puede ser un poco complicado. Yo, por eso creo que la mejor manera de no ametrallarles, es no ir la guerra. Si se puede. Pero en un caso como el de Ruanda, pues yo sí que iría a la guerra, para evitar que les maten. Pero en las guerras de elección, no. Porque además, me gustaría añadir otra cosa y ya termino, no se preocupe; Antes de la guerra de Iraq, como ahora también, yo tenía amigos militares, me hicieron una predicción, yo que diría que profética, de lo que iba a pasar, profética. Me dijeron: Les van a arrasar, y después vendrá la lucha casa por casa y esto no lo sabemos cómo va a terminar, y nosotros como españoles lo sabemos mejor que nadie, y me lo dijo más de uno, yo les miraba como alucinado, porque claro, yo no soy profesional de esto,!! Qué barbaridad!! !!Con qué seguridad lo dicen!!, tal cual y los derechos humanos y eso, ahí, en ese contexto; Francotiradores que te pegan un tiro, niños que disparan, en fin, es un tema muy complicado, muchas gracias.

**Ofelia:** Magnífico, magnífico. Muchas gracias.

**Persona D:** Una cosa que tengo que decir finalmente, lo dejo. El embajador siempre, en estos conflictos, siempre lleva el "back sit" va siempre en el asiento de atrás.

**Ofelia:** Lo sé, primero el militar perdóneme, primero el político, discúlpeme. Paragraph (Diplomático) Así es, así es.

**Persona C:** Hablamos de "*Comprehensive Approach*", de derechos humanos, pero en caso ya, de que haya un conflicto.

**Ofelia:** Claro.

**Ofelia:** "*Persona E*", Ahora representando lo que usted representa ;Vamos a ceñirnos a todas las intervenciones en que usted ha tenido, y la opinión que tenemos todos ¿ verdad? con lo que ocurre en nuestro mundo, Para usted, ¿El "*Comprehensive Approach*" asegura, persigue, consigue la defensa de los derechos humanos? ,

**Persona E:** Yo creo que desde un punto de vista occidental, desde un punto de vista nuestro, mi opinión es lo que dijo un poco "*Persona B*". Es que, lo doy por supuesto. Está interiorizado, es decir; No vamos a actuar, es muy difícil que vayamos a actuar, incumpliendo los derechos humanos, entendiendo la guerra como la entiende Occidente. Es decir, que no se va a producir este conflicto bélico, de lo qué es una guerra de alta intensidad. Entonces desde este punto de vista, que es francamente difícil que occidente entre en una guerra de este tipo, estos conflictos, digamos limitados, está guerra asimétrica, los derechos humanos, los tenemos tan interiorizados; Es decir; Que no vamos a actuar si no hay una resolución de las Naciones Unidas, no vamos a actuar en contra de los derechos humanos. Es muy difícil.¿ Quién nos va a mandar disparar desde un barco, a la población civil?. Esto es prácticamente muy, muy, difícil que se dé. Entre otras cosas, porque nuestros líderes lo tienen también interiorizado. Entonces yo creo que el "*Comprehensive Approach*" por supuesto está relacionado con esto, pero es que está tan interiorizado, que es incluso anterior a este Enfoque Integral, es decir, el Enfoque Integral ya casi queda, en los derechos humanos, casi queda fuera; Porque se da por supuesto. Claro, si hablamos de Ruanda, efectivamente entonces ya estamos hablando de otra cosa, lo que decía el embajador, si hay francotiradores, hay tiros, entonces ya se complica, se complica. Efectivamente, en este caso, tener un liderazgo, tener un Enfoque Integral en el cual tengas interiorizados esos derechos humanos, va a favorecer el que dentro de las circunstancias, o la situación que se dé, pues haya la menor número posible, de traspaso de estas líneas rojas.

**Ofelia:** Comprendido, pero para terminar me gustaría recordarles a todos una pregunta y es: ¿Estaría pasando lo mismo si ustedes, yo, nosotros estuviéramos defendiendo las cosas en las que creemos, en los valores que tenemos proyectados, como europeos y como españoles? ¿Estaría pasando lo mismo sí hacemos esto, frente a las organizaciones a la que pertenecemos, que están absolutamente

militarizadas por el país del que hemos hablado antes? Ahí lo dejo, porque caballeros como ustedes, en algunos momentos, me han manifestado hacer cosas en su propia moral, como españoles y como europeos, nos decían que en absoluto estaban de acuerdo, no es el momento, pero sí quiero manifestarlo, no sé si me han comprendido lo que quiero decir...

**Persona B:** Yo no. Yo no te entiendo Ofelia.

**Persona A:** Pero¿ traspasando los derechos humanos?

**Ofelia:** No dejemos de olvidar, y no es momento de comentarlo, en esta tesis doctoral que el país del que que ha hablado usted, se ha bajado del carro de las organizaciones de los derechos humanos.

**Persona A:** Bueno esto es muy antiguo.

**Ofelia:** Tranquilamente, no esta a la directrices y al cumplimiento de las mismas, pero no es materia...

**Persona A:** Y tampoco de estatuto de Roma, es evidente no forma parte del Estatuto de Roma curiosamente, sí tiene derecho, a través del Consejo de Seguridad de Naciones Unidas, a pedir o a implicar a terceras partes en eso, pero ellos no están sujetos. Es decir, allí habría que distinguir entre: Lo que es el liderazgo político, que desde luego traspasa, traspasa absolutamente, en el caso de este país. Yo no justifico, y no quiero justificarlo, pero traspasa su decisiones teniendo en cuenta o no, selectivamente a los derechos humanos; Con lo que es el liderazgo militar. Incluyendo, yo he tenido jefes tenientes generales americanos, y sin embargo yo no he observado este intento de sobrepasar. Es decir, que Habría que separar entre lo que es liderazgo político, decisiones tomadas, determinados instrumentos, y lo que es el instrumento militar puro y duro.

**Ofelia:** Muchísimas gracias porque creo que esto nos da también una matización bastante interesante. Y por último, "*Persona F*", para usted, el "*Comprehensive Approach*";¿ Nos permite un cumplimiento mayor de los derechos humanos?



**Persona F:** Vamos a ver aquí hay dos temas. ¿Qué es el "*Comprehensive Approach*"? Para mí el "*Comprehensive Approach*" es humanismo, a la naturaleza se le explica, al hombre se le comprende, claro, porque el hombre no es solamente racionalidad. A mí no me gusta la palabra liderazgo, porque supone una apelación a los elementos irracionales del ser humano, y yo soy racional, me gusta emplear el término liderazgo en el sentido de capacidad movilizadora. Una diferencia entre el ser y el deber ser, no hay diferencia entre el ser y el deber ser, hay acción. El liderazgo, para mí implica una actitud pro-activa nada más. Una actitud pro-activa que sirve a una intelectualidad a la parte racional de ser humano, entonces yo he trabajado el tema del liderazgo estratégico. ¿Cuál es la primera función del líder estratégico?. Fijar, es algo obvio, es algo obvio, pero es una cosa que se pasa muchas veces desapercibida. Que es fijar las referencias. El líder estratégico fija las referencias y establece el marco de juego, ésa es su función. La gente que pasa por encima de eso. . . . . Ésta es su función, después, bueno, tomará a las grandes decisiones. Pero ahí, empieza y en esto está el tema. Por ejemplo: Frente al terrorismo, si tú pones la referencia de la lucha contra el terrorismo, pones al terrorismo en el centro de todo, la respuesta es siempre la misma; Un país policial, un estado policial. Si pones la lucha contra la post verdad, estableces la censura. Entonces, cuál debe que ser la referencia, qué debe de hacer en líder estratégico: Hacer que el grupo tenga por referencia los derechos humanos, que su actuación sea prolongación de sus valores <sup>4</sup>, así se consigue en el largo plazo coherencia estratégica. Que es lo que estamos viendo, como la política que ha pasado en el tema de Iraq, el tema de Libia, ¿Por qué no hay coherencia estratégica?. Porque no es una actuación que sea claramente concorde con los valores que promovíamos, para una democracia, no hay dentro, no hay un dentro y un fuera, no hay diferencia entre la política exterior en la política interior. La una, cuanto más perfecta es la democracia, la una es una prolongación de la otra; Por tanto, la continuidad que requiere la resolución de los problemas estratégicos, hace que. poner el centro de referencia en los valores propios sea garantía de éxito. Y ¿Por qué digo los valores propios y no los derechos humanos? porque los derechos humanos, en su declaración de los años 45, están hechos sobre los códigos axiológicos de occidente, entonces son una prolongación de nuestros valores, a lo mejor. Y por eso está la declaración de los derechos humanos islámica, del año 91, escrita a El Cairo que promulga otros valores, en los que caben todos, desde los de Túnez, hasta los de Irán.

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<sup>4</sup>As consequence, if we want to apply the Human Rights, They have to be a value for the Leader.

**Ofelia:** Brillante, pero permítame; Me acaba de dar una información valiosísima que viene en la segunda pregunta que les voy a hacer. Respecto a la primera: Correlación ¿directa, o indirecta? "*Comprehensive*". No puedo estar más de acuerdo con ustedes, de hecho si han leído algunas cosas que yo he escrito de liderazgo; O se basa (el liderazgo) en estos valores, o perdónenme, no sé de qué estamos hablando.

**Persona F:** Claro la referencia lo es todo.

**Ofelia:** "*Comprehensive Approach*" directamente, matemáticamente ¿Correlación positiva, con defensa de estos derechos humanos o no?

**Persona F:** "*Comprehensive*" defensa, no entiendo la pregunta!

**Ofelia:** El modelo de "*Comprehensive Approach*" ¿Nos garantiza una mayor defensa de los derechos humanos?.

**Persona F:** Sí, porque es humanismo, y el humanismo esta dando, lleva implícitamente, la referencia. Humanismo es ser humano. Si lo primero que eres, es humano, todo lo demás vendrá como continuación de lo primero. O sea, un humano. La cuestión de tratar al otro, es su reconocimiento, si tú no lo reconoces, si tú ves en algo en él diferente, si no se produce ese primer paso, establecer una diferencia para el conflicto.

**Ofelia:** De otra manera que lo ha dicho usted magnífico, por cierto cómo le gusta a usted Aristóteles, o cuánto le encantó en su momento, me ha encantado, acaba de decir para mí, ha dicho una serie de cosas brillantes, que entre El Ser y El Deber, ser no hay diferencia. Ay, si yo le enseñara con gente que estoy trabajando, no saben ni de qué estamos hablando. Y el apetito intelectual, para qué hablar, o sea brillante! muchísimas gracias!

**Persona B:** Si me permite estaba buscando aquí...

**Ofelia:** Por favor!

**Persona B:** Para ampliar lo que ya te he contestado al principio, había dicho que cualquiera operación militar, los derechos humanos se están respetando en cualquier operación, por lo tanto no guardan relación directa con el "*Comprehensive Approach*" y te quería leer una de las normas fundamentales de aplicación de las Fuerzas Armadas es las Reales Ordenanzas, las Reales Ordenanzas en su artículo 85 dice que : la conducta del militar en el transcurso de cualquier conflicto u operación militar, cualquier conflicto u operación, deberá ajustarse a las normas que resulten aplicables de los tratados internacionales en los que España forme parte, relativos al Derecho Internacional Humanitario o sea que, cualquier cosa que haga un militar tiene que hacerse de acuerdo con Derecho Internacional Humanitario independientemente de que se aplique el modelo de "*Comprehensive Approach*" o no.

**Ofelia:** "*Persona B*" cualquier cosa que haga un militar español.

**Persona B:** Si, si por supuesto!

**Persona B:** Estamos hablando españoles.

**Ofelia:** Es internacional y hemos buscado localizaciones internacionales para intentar dar un aspecto de cómo están las cuestiones en todas partes.

**Persona B:** Yo te hablo solamente de la perspectiva puramente nacional, ahora mismo.

**Ofelia:** Lo conozco.

**Persona A:** Yo aquí haría un pequeño matiz, totalmente de acuerdo con lo que he dicho yo al principio, de derecho de guerra, ahí está hablando de derecho de guerra, convenciones de Ginebra y de la Haya, Tratado de prohibición de minas anti-personas y otros oficios, yo estoy hablando que también es de aplicación y se esta aplicando a los militares colombianos y los están condenando por el derecho internacional de los derechos humanos, es otro paquete completamente diferente que es de aplicación: primero eso tiene sus tiempos de aplicación, sus momentos de aplicación, pero el derecho internacional de los derechos humanos, es aplicable en todo momento y en toda situación, por eso pienso yo que, sumándome con el

humanismo de "Persona F", que siempre es un tío tan brillante, que hay otros instrumentos, que han sorprendido, desde el punto de vista del derecho de guerra, o sea derecho internacional de los derechos humanos, no hay había nada que decir a los oficiales colombianos, sin embargo desde el punto de vista que es lo que ha jugado el tribunal de Costa Rica, de Derecho Internacional de los derechos humanos sí, sí y han sido condenados, quizás porque tampoco han puesto demasiado énfasis en la defensa, el gobierno colombiano, no le preocupaba tanto, en un momento determinado.

**Ofelia:** O por el rol que ese país estaba jugando en la reciente inclusión de los derechos, perdón del Tratado del Atlántico Norte.

**Persona B:** Quizás he equivocado yo el enfoque porqué pensaba que estábamos hablando el enfoque integral desde el punto de vista ONU, UE Y OTAN, luego estamos hablando de países occidentales que forman parte de estas organizaciones y su modelo de actuación y del respeto de los derechos humanos.

**Ofelia:** Absolutamente cierto.

**Persona B:** Por supuesto que habrá países, como Ruanda, Colombia que no respeten...

**Ofelia:** Piense que Colombia ya esta dentro de este marco.

**Persona B:** Si pero hay milicias que se puedan, que se puedan, que puedan actuar fuera, pero en la norma de actuación de los militares que participan en estas organizaciones internacionales, no se puede contemplar el que no se respete el Derecho Internacional Humanitario y los derechos humanos.

**Persona A:** Pero se ha dado, se ha dado en Colombia, los falsos positivos no es un caso, son decenas si no centenares de casos, lo que se han dado, dónde no se ha respetado el derecho internacional de los derechos humanos.

**Persona B:** Y si se hubiese aplicado el "Comprehensive Approach" no se habría dado?

**Persona A:** Si hubieran conocido, si hubieran conocido, estos señores vinieron aquí, "Persona F" lo sabe, porque estuvo conmigo, cuando estuvimos con ellos para un curso, y organizamos un curso de derecho. Ellos, venían y después estuvieron por cierto en Italia, que hay una magnífica academia para ahí, estudiar derecho Internacional Humanitario y nosotros dijimos: Derecho Internacional Humanitario y derecho internacional de los derechos humanos. Dos profesores diferentes, y allí es, obviamente cuando, cuando, se hablaba de derecho internacional, de los derechos humanos. No estamos hablando quizás de grandes líderes, eran mandos intermedios, quizás no debidamente formados, con lo cual me sumo a lo que habéis dicho de la formación, es esencial. Esto se hace aquí, en España se hace una formación en estos temas, pero que, pero que se da el caso. Otro caso que era un ejército profesional, un excelente ejército profesional yugoslavo, cuándo se divide, no se respeta. Pero ahí ya no se respeta, ni siquiera se respeta, el Derecho Internacional Humanitario, derecho de guerra, no se respeta ninguno de los dos.

**Persona D:** Quería hacer una pregunta un poco capciosa, si tu me permites Ofelia, qué sucede cuando un país está en conflicto, no respeta el derecho de la Convención de Ginebra, cómo pueden los soldados sin embargo respetar los derechos humanos, me refiero por ejemplo: Minado no efectivo, minado no efectivo, de los puertos de Nicaragua por los Estados Unidos, en los días de la contra, utilización de munición inferior a 40 milímetros, explosiva inferior a calibre de 40 milímetros, represalias en el caso de Israel, y cómo puedes hablar de derechos humanos en este contexto. Disparan esas, digamos, estas bombas de fragmentación, inferior a 40 milímetros, prohibidas, entonces los que quedan heridos por ahí, las barbaridades que suceden a continuación, ¿Crees que de verdad es de aplicación el "Comprehensive Approach"? ¿o el entrenamiento de los soldados, no te parece contradictorio?

**Ofelia:** Me parece mucho más interesante, lo que ustedes me están diciendo a mí, que es lo que nos va a permitir, luego, buscar justo la siguiente pregunta y es: ¿Qué valores y qué competencias son las interesantes para este nuevo liderazgo? Porque vamos, que sepan que yo me quedaría aquí horas, me lo estoy pasando... gracias de corazón! Pero como sé que van, justitos de tiempo, salvo que me digan lo contrario, la siguiente pregunta la voy a tener que resumir verdad? Y era...

**Roberto:** Sí al final, pero necesito saber si concordamos que sí, que el "*Comprehensive Approach*" de una forma ayuda al respeto de los derechos humanos o si no, porque esto es fundamental para mí, tenemos que concordar si ayuda o si no. es influyente.

**Persona B:** Yo creo que no.

**Persona D:** Yo creo que sí.

**Persona A:** Yo, a mí personalmente el modelo que me gusta es el modelo de la Unión Europea.

**Ofelia:** La siguiente pregunta, Comprehensive Approach UE, no, pero termina, termina.

**Roberto:** Más o menos por saber si están de acuerdo o no.

**Persona F:** Yo he dicho que sí, antes.

**Persona D:** Entrenamiento intensivo.

**Ofelia:** Vale, fíjate te están diciendo una cosa, que hay un aspecto fundamental y es la formación, sensibilización, introspección, no tanto cómo lo están viendo, sino con un ejercicio responsable y absoluto cuando tú has integrado estos valores. Perdón, ¿esto sería el resumen para todos?

**Persona B:** Sí, pero esto es independiente del "*Comprehensive Approach*" o no, la formación en derechos humanos y Derecho Internacional va mucho más allá y es mucho más profunda, que un modelo de "*Comprehensive Approach*" o no, es anterior, es mucho antes.

**Ofelia:** Lo he comprendido...

**Persona B:** Y ahí sí que hay que formar pero es independiente.

**Persona F:** A Alejandro Magno lo formó Aristóteles, pero los polvos mágicos se los echó su padre, Filipo de Macedonia, que fue el que le explicó, claro, claro, es que las claves. . . o sea a Eisenhower lo formó el General Fox, que a su vez, fue formado por el General Pershing, o sea hay formación y luego mentorazgo, te tiene. . . alguien, para ir a hombros de gigantes, tiene que tener una buena base y luego que alguien, que ha vivido este puesto, te lleve hasta su experiencia, para que luego tu partas, a partir de allí. Y eso es progreso.

### **¿De estos tres modelos del Enfoque Integral, ONU, UE y NATO, ¿Cuál es el que asegura, en mayor medida, el cumplimiento de los derechos humanos y la ley humanitaria?**

**Ofelia:** Ha definido algo brillante en dos palabras: Es decir, el coach de Alejandro evidentemente fue Aristóteles pero su mentor fue Filipo de Macedonia. Vale, necesito seguir, porque me faltan todavía tres. Ésta es rapidísima. Dentro del "*Comprehensive Approach*" modelo UE, modelo NATO, modelo, tengo modelo UE, tengo NATO... muchísimas gracias... ONU, ¿consideran que hay alguna diferencia cualitativa que nos acerque más a lo que estamos hablando? hay alguno, usted, me lo ha dicho clarísimamente, pero perdón no quería intervenir, ¿hay algún modelo para ustedes que sea mejor, respecto a los otros tres modelos, para la defensa de los derechos humanos?

**Persona D:** Yo tengo claro que es Unión Europea. En segundo lugar, y muy lejos, Naciones Unidas a pesar de que es un principio, y en tercer lugar la OTAN; No tan lejos, no tan lejos de la Unión Europea, pero luego Naciones Unidas, a pesar y trabajo con ellos, a pesar, es muy complejo.

**Persona B:** Yo como no considero que haya relación directa entre un modelo y el respeto a los derechos humanos, no puedo considerarme y algún modelo, puesto que considero que está por encima de la aplicación de cualquier modelo.

**Ofelia:** Es absolutamente coherente.

**Persona C:** Yo creo que a la vista de las operaciones de paz la Unión Europea.

**Persona D:** Yo no me pronuncio, no obstante yo creo que las Naciones Unidas plantean graves problemas porque están mediatizados por la existencia de Estados soberanos, esto es un problemas y por las propias carreras, dentro de esta maraña administrativa, que es incomprensible, que son las Naciones Unidas. Yo he trabajado allí, es una maraña y la gente, pues, piensa en sus propias carreras, antes que pensar en otras cosas. Por otra parte las personas que están a cargo de las más importantes organizaciones de carácter humanitario lo son en virtud de acuerdos entre países soberanos, algunos de ellos muy poderosos, que no respetan demasiado, su principal preocupación no son los derechos humanos. En fin, es muy complicado, por eso somos la vieja Europa. no creo que.. Naciones Unidas me parece una cosa muy complicada y la OTAN sin necesidad de elaborarlo, pues teniendo en cuenta, quién es el país más fuerte de la OTAN, ya se ve que quizás, los derechos humanos no preocupen tanto como en la Unión Europea. Ya he dicho que Naciones Unidas es un sitio que tiene una maraña administrativa muy grave, está mediatizado por los estados soberanos y los que están a cargo de las grandes digamos organizaciones internacionales humanitarias, han sido puestos por los estados soberanos, y piensan en sus propias carreras. Yo creo que la Unión Europea es lo más... Como es una cosa posmoderna, que no se sabe lo que es, para otras cosas no vale, pero a la hora de representar, de respetar los derechos humanos, pues.. somos la vieja Europa, y yo creo que es, lo más avanzado.

**Ofelia:** Pues luego, ¿"Persona E"?

**Persona E:** Estoy de acuerdo con lo que ha dicho el coronel.

**Ofelia:** Muy bien. Por favor.

**Persona F:** Yo por supuesto, vamos a ver cuales son los elementos definidores de España, la Constitución y los tratados internacionales y ¿cuál es el primer tratado internacional España? la Unión Europea, es decir la Unión Europea es un factor de legitimación de España cómo estado, y es una, una aspiración, en el sentido de la convergencia de valores de todos los países que forman parte de ella. Dicho lo cual, porque está claro, España también pertenece a la OTAN, también pertenece a la OTAN y para mí el modelo OTAN, es más eficaz que lo que se pasa a la ONU, que



la ONU representa un modelo ineficaz, y sin embargo la OTAN es más eficaz que la ONU, la OTAN no es tan eficaz porque al final resulta que la guerra de Libia.. que si no tenían, no tenían, La OTAN funciona, porque funcionan los Estados Unidos, entonces la OTAN tiene un gran papel como atemperador de las políticas de Estados Unidos, porque el gran peso de las relaciones bilaterales encuentran en la OTAN un marco complementario, España tiene un tratado bilateral con Estados Unidos y luego está con Estados Unidos en la OTAN y es un foro de intercambio y es un foro de encuentro y es un foro que funciona mejor que Naciones Unidas. Por tanto, el sistema de valores, aunque no son del todo coincidentes con los de la Unión Europea, la OTAN es más eficaz y tiene más fuerza de la que tiene la Unión Europea y por tanto, es un tipo que está antes, que lo que se pueda aspirar a través de la ONU.

**Ofelia:** Perdón, pero, perdón a esto me refiero, volvemos a la pregunta completa, de los tres modelos ...

**Persona F:** Unión Europea, OTAN y ONU.

**Persona B:** ¿Para la resolución de conflictos? O¿ para el respeto de los derechos humanos?

**Persona F:** Para la resolución de conflictos.

**Ofelia:** Magnífico y gracias! Bien, me veo obligada a seguir en su caso era UE primero, OTAN y ONU.

**Persona B:** Esta clasificación es para la resolución de conflicto, no para el respeto de los derechos humanos.

**Persona F:** Pero si tu resuelves un conflicto.. al final.. A ver, este es otro sentimiento que tengo yo, entramos en un debate que ..., El fin de una guerra es la paz no la justicia, el que hace la guerra por justicia se está equivocando de medio a medio, es decir la paz debe ser, debe tener como marco la justicia, pero no se hacen las guerras para justicia. Es decir la paz es siempre injusta.

**Ofelia:** Que paz, paz positiva o paz negativa?

**Persona F:** No, no, la paz es siempre injusta, este desajuste que hay entre paz y justicia es injusticia, entonces la paz es siempre injusta. Para que una paz sea... y además, la justicia se refiere siempre a un marco cultural. Porque toda justicia obedece a una cultura., para una cultura sería injusto no apedrear ,como manda la biblia, a la adúltera, esto sería profundamente injusto, pero en nuestra cultura la adúltera no hay que apedrearla hay que divorciarse.

**Ofelia:** Vale, pero como no puedo ir por ahí y tengo dos preguntas importantísima que responder...

**Roberto:** Perdona estáis hablando de la pax romana?

**Persona F:** Claro, la pax romana es la muerte de todos, esta es la pax negativa, la fase a ceder de la batalla. . . .

## **¿ Qué estilo de liderazgo es el más adecuado para implementar el enfoque integral y el respeto a los derechos humanos?**

**Ofelia:** Vamos intentar hacer, resolver, las dos preguntas que quedan, de una manera ágil, no puedo estar más agradecida por el trabajo que están haciendo y me voy a meter ya en esta materia, ¿verdad? que comenzamos con la sesión de hoy: Liderazgo! Vamos a ver, para ustedes, evidentemente "*Persona F*", no es que esté contaminado, está mediatizado, porqué ha sido capaz de definir y modelar, nada más y nada menos, que un tipo de liderazgo que él llama liderazgo estratégico. Su respuesta la intuyo, pero, para todos los demás, de todos los estilos de liderazgo que conocen, ¿Cual es aquel que consideran que respeta en mayor medida, la defensa de los derechos humanos? y que mejor debería de ejecutar esta base humanística que nos ha dicho "*Persona F*", tan magistralmente bien, de defender lo que defiende el Comprehensive Approach: ese humanismo. Repito: ¿ Cúal es el estilo de liderazgo de los que ustedes conozcan que represente mejor, por una parte, la defensa de los derechos humanos y por otra parte la base humanística que soporta el Comprehensive Approach?.¿ Empezamos por Usted?

**Persona B:** Yo entiendo que estamos hablando de algo estratégico:

**Ofelia:** Estilos, de todos que ustedes conozcan, quieren que le pasemos... , no tenían...

**Persona E:** Yo lo veo más situacional, es decir que es un líder pero situacional, es decir un líder hablando con mayúsculas es situacional, va a depender de la situación la que se encuentra, va actuar de una manera o de otra, por entonces es difícil decirte qué modelo, más se ajusta a los derechos humanos.. es el transaccional, o va a ser el transformacional, no me atrevo a decírtelo, porque para mí, en mi opinión, va a depender de la situación.

**Ofelia:** Me ha respondido perfectamente. Muchísimas gracias.

**Persona C:** Yo no voy a entrar en clasificaciones, yo lo que tengo claro que si la pregunta es, qué tipo de liderazgo, qué tiene que tener un líder, para que tenga mayor tendencia a fomentar el respeto de los derechos humanos a la base humanística del enfoque integral, este, yo tengo bastante claro que es un líder que esté enfocado en las personas. Sin descartar evidentemente la tarea, la misión, o la función, pero tengo claro que tiene que tener un enfoque a las personas, tiene que comprender que el centro de todo, y más hoy en día y en el futuro, con la transformación que estamos viendo, hoy en día, la clave son las personas.

**Ofelia:** Liderazgo transformador basado en personas, brillante.

**Persona B:** Pues yo estoy en línea con lo que ha dicho el Capitán de fragata, pero iría un paso más allá, más allá de un líder situacional, yo hablaría de un líder adaptativo, que no solo se adapta a la situación en la que se encuentra, si no que se adapta también a los equipos, con los que tiene que trabajar, a la experiencia que tienen los equipos, la motivación que tiene el equipo, la formación que tiene, sabe adaptarse tanto a la situación, a lo que demande la situación, como a las características del equipo con el que tiene que trabajar, un carácter más adaptativo que situacional.

**Ofelia:** Liderazgo situacional adaptativo, es decir dentro de los que hay.

**Persona B:** Dicho esto, dicho esto, no creo que el Enfoque Integral tenga ningún tipo de impacto en el liderazgo que se debe ejercer sobre los equipos y las unidades militares.

**Ofelia:** Muchísimas gracias. Liderazgo situacional adaptativo. ¿Que opina usted?

**Persona A:** Yo tengo para mí el modelo, voy a empezar por la persona y a partir de ahí voy a describir, para mí el modelo de liderazgo que a mí me gustaría, y que creo incentiva los derechos humanos, es aquel que fue revolucionario en su momento, es el de Jimmy Carter, Jimmy Carter es el único presidente americano, que de verdad ha encontrado, ha conseguido, un acuerdo negociado, los acuerdos entre Egipto y Israel, etc. Primero, porque es un humanista, a pensar de proceder, de ser, el rey del cacahuete antes de empezar, es un humanista, fue humanista y puso por delante los valores americanos, cualquier presidente tiene un componente de valores o principios, y un componente de intereses. Los intereses americanos, los mantuvo, pero puso por delante; Los valores. Vino después de un presidente paradigmático republicano y prosiguió, y luego después fue un auténtico éxito, fue y es todavía, un auténtico líder, a la hora de resolver los conflictos de forma pacífica, sin tener carencia de autoridad. ¿Cuál es su problema? pues que aquí, los chistes que tenemos de los leperos, allí hacen los chistes de Jimmy Carter. No obstante, si uno ve lo que escribía Jimmy Carter cuando hacía las declaraciones de estado de la república, de la unión perdón, pues uno se sorprende porqué tiene un discurso que, como poco, se adelantó 20 o 30 años al discurso, es un discurso muy actual, que pueden ser asumido. Por lo tanto, a pesar de que para algunas cosas quizás era, podría haber sido un poco débil, fue un hombre que puso por delante los resultados y fue el único que consiguió en mi opinión, el único que ha conseguido un acuerdo de paz perdurable.

**Ofelia:** Perdurable, ¿y si lo tuviera que conceptualizar?

**Persona A:** Es un transformador, cien por cien transformador.

**Ofelia:** Absolutamente de acuerdo, y me queda usted, "*Persona F*".

**Persona F:** Bueno, esto de la tipología de liderazgo, como he visto tantos tipos de liderazgo, algunos tienen su clasificación y tal y tal, integral significa completo,

un líder debe ser completo, debe ser un Liderazgo sirviente, tener sus objetivos fuera de sí mismo, que el beneficio no sea personal, para que su proceder sea permanentemente sin mácula, además un líder entre sus características tiene que ser testaduro porque tiene que tener un componente irracional de terco, los líderes tienen que ser gente terca, gente que se estelle, y sea capaz de sobrevivir en las más fatales circunstancias, para poder continuar, continuar en el empeño. Yo te defino las características y luego definimos el tipo de liderazgo...

**Ofelia:** Me permite que sea a revés porque justo es la pregunta siguiente que voy a pedir competencias y habilidades. Elígeme un modelo.

**Persona F:** El líder tiene que ser sensible, porqué la sensibilidad es clave bueno, integro transformacional.

## **¿Qué competencias y valores consideran que debería tener este modelo de liderazgo?**

**Ofelia:** Esto es brillante, liderazgo transformador. Muchísima gracias. Bien lo estamos haciendo magníficamente bien porqué vamos a la cuarta y ultima pregunta, que nos importa (...). ¿Qué competencias, por una parte, y qué valores por otra, consideran ustedes, aunque no los hayann visto en ningún estilo de liderazgo, que debería de tener este modelo de liderazgo? que cada uno de ustedes me han descrito, transformador, humanista, integrador. Competencias y valores. Comienzo por usted. ¿le parece bien? ¿Por donde empiezo, competencias o valores?

**Persona F:** Es que las competencias son la prolongación de los valores...

**Ofelia:** Si, con qué quiere empezar usted?

**Persona A:** La primera competencia que tiene que tener es la capacidad de decisión, los políticos suelen tener una capacidad nula de decisión a su nivel, segundo evitar de meterse en las micro decisiones, que no le corresponden, tercero visión estratégica, cultura amplia con formación humanista multidiversa y respeto profundo de los derechos humanos. El valor principal y por eso me centro en Jimmy Carter, es su capacidad, primero poner los valores encima de los intereses que ya

es un valor, servicio al bien común y después, segundo y para mí es muy importante, capacidad de ponerse en lugar del otro: empatía emocional con vocación de servicio.

**Persona B:** Quiero añadir algo más que no se ha dicho, estando de acuerdo con lo que se ha dicho, comunicación, capacidad de comunicación, comunicación oral, comunicación escrita,

**Ofelia:** ¿Qué tipo? ¿estilo? todos están de acuerdo que la comunicación que normalmente utilizamos, no es una comunicación emocional de alto impacto, si no una comunicación, basada dentro de los tres estilos; pasivo, agresivo, asertivo, más agresiva que asertiva, porque a veces cuando yo he oído alguno, aquí no vuelve a crecer la hierba, me estoy explicando, ¿vale? por tanto este estilo, esta comunicación, es la que nos va a permitir mediar, negociar, gestionar estos conflictos, por tanto me gustaría que usted, que veo que les encanta esto, que me lo tilde.

**Persona B:** Pues es que te lo tildo igual que el estilo de liderazgo, necesita una comunicación adaptativa, algunas veces tienes que utilizar una comunicación hipnótica con tu audiencia y otras veces tiene que ser autoritario dar una orden de una manera fría y calculadora, entonces tienes que saber adaptar su estilo de comunicación, igual que tu estilo de liderazgo a la situación y a los equipos (comunicación situacional).

**Persona C:** Yo voy añadiendo cosas, inteligencia emocional, entendiendo como la capacidad de ver en las personas que lideras como les afectan las emociones, anticiparse a cómo les pueden influir los acontecimientos, y yo, de valores te diría, para añadir algo más de lo que se ha dicho, que tu visión, no tenga que ver única y exclusivamente con cuestiones personales, tiene que estar fuera de tu propio interés, servicio al bien común.

**Persona E:** Yo he apuntado en competencias comunicación eficaz y influyente, yo creo que un líder hoy es fundamental, hay que saber comunicar y si no sabemos comunicar no seremos un líder.

**Ofelia:** Bravo, pero comunicar, desde qué punto de vista, desde un punto de vista, asertivo, agresivo o pasivo?

**Persona E:** Yo también soy de la opinión de "*Persona B*", que depende de la situación, depende de la situación, hay que hacerlo de una forma o de la otra.

**Ofelia:** Entonces hay que saber cambiar... verdad, que algunos no saben cambiar...

**Persona E:** Mira he puesto más, he puesto pensamiento creativo, creo que es muy importante hoy en día tener pensamiento creativo.

**Ofelia:** ¿Están de acuerdo conmigo, que este pensamiento creativo, nos va permitir después tener, un pensamiento estratégico? ¿Que si no, lo otro se llama reorganizar la miseria?

**Persona E:** He puesto otro también para mi importante, que es la orientación al logro, he puesto también otro ,pero que son tres, pero lo pongo en uno: Auto-control, auto-confianza y resiliencia, en este caso me estoy refiriendo al auto control emocional.

**Ofelia:** Auto-control emocional o cognitivo? Son dos distintos, ¿los dos?

**Persona E:** En este caso me estoy refiriendo al auto control emocional.

**Ofelia:** Muy bien después lo traduzco.

**Persona E:** Y he puesto también inteligencia emocional.

**Ofelia:** Claro, pero en inteligencia emocional, en factor inteligencia emocional me acaba de meter una variable que esta saturando esto ¿verdad? La inteligencia emocional destacaba la auto-regulación y me destaca, una cosa que no me ha dicho ... auto-descubrimiento. Difícilmente uno puede ir por la vida, sin saber, de arriba abajo, quién es.

**Persona F:** Si pero esto yo no lo entiendo como una competencia.

**Ofelia:** Del auto-descubrimiento, viene la auto-confianza y la salud mental positiva. Bravo! ¿Valores?

**Persona E:** Aquí te he puesto uno, nosotros lo llamamos amor al servicio, pero bueno se puede entender amor al trabajo.

**Ofelia:** Mire usted es que amor al trabajo, no tiene nada a que ver con el amor al servicio, es que yo no trabajo, tengo una misión, yo tengo una misión exactamente igual que ustedes y a veces me preguntan, pero ¿tú no te cansas nunca? es que yo no tengo un trabajo tengo un servicio. A este me refería.

**Persona F:** Sí, sí, yo también. He puesto lealtad y he puesto otro importante para mí, que es compañerismo.

**Ofelia:** Me permite, ¿compañerismo guión colaboración, o compañerismo solo?

**Persona E:** Con colaboración.

**Ofelia:** Porque si no, no podemos hacer aquel que me ha dicho antes, si no colaboramos no podemos servir a un bien común, está quedando brillante, gracias de corazón. Y terminamos con usted "*Persona F*".

**Persona F:** ¿Estamos hablando de líderes como personas? Porque en una sociedad compleja como la que tenemos el liderazgo personal, pues mira no, lo siento mucho pero no da, los líderes tienen mucho, la impronta de una persona es mucho, pero una democracia hace que las personas, al final, sea el peso de las instituciones, que aparece donde hay conflictos encima de la brecha, de la falla del conflicto, aparece una institución que trata de gestionar el conflicto de una manera estable y permanente. Entonces sí estamos hablando de liderazgo como persona. Hay que tener en cuenta que las sociedades complejas no podemos depender de las personas, gracias a dios, yo no quiero ningún Idi Amin, necesitamos algo que vaya mas allá de las personas y luego si son las personas tenemos que tener personas que sean líderes, porque tienen ideas o personas que sean líderes porque tienen ideas y que se las transmiten a los gestores. Yo sé de algún partido político ... que tienen grandes intelectuales a sus servicios, que son los que llenan la cabeza de las ideas de quien es su líder, que es al final el que gestiona las ideas de otro, entonces; ¿Quién es el líder? ¿el que gestiona las ideas o el que tienes las ideas?



**Persona A:** El que tiene la visión, y después abajo hay gente que es capaz de realizar esta visión.

**Ofelia:** Esto es, muy buena.

**Persona F:** Entonces el líder es el rey filósofo, es el filósofo.

**Ofelia:** Bravo! y ¿cómo se llama esto para usted? Vamos a desgarnar las competencias.

**Persona F:** El líder tiene que ser sirviente, tiene que tener, no tiene que beneficiarse personalmente, tiene que ser integrador (competencia), como valor íntegro, visión holística, para situarse, para saber dónde está. No se sabe qué rumbo tomar, cuando no se sabe dónde está. Aunque se sepa dónde se quiere ir, pensamiento estratégico, además el líder tiene que ser sensible, es que la sensibilidad (competencia) es la suma de la excelencia, la sensibilidad tiene que comprender el entorno, hay que educar la gente en la sensibilidad, capacidad de decisión (competencia), pro-actividad, resiliencia y creatividad, sinceridad (valor), lealtad (valor), coherencia (valor).

**Persona A:** El verso de Calderón la cortesía, el buen trato, la verdad, la fineza, la lealtad, el valor, el crédito, la opinión la constancia, la paciencia, ...

**Ofelia:** Gracias de corazón!!!.



## Appendix C

# PVQ-RR Survey

Dear Sir, Madam,

First of all, I would like to thank you for taking your time to read this letter, you are invited to participate in a survey on **conflict resolution**, your input will be greatly appreciated and will be a valuable contribution to me for the conduct of my PhD research on Human Rights. I am in the process of writing a Doctoral Thesis whose provisional title is **Implementation of the Comprehensive Approach: Leadership factors that influence the respect of Human Rights and Humanitarian Law**. You have been recommended by Professor Rosario Serra Cristobal to take part in my research project (filling out my questionnaire) due to your experience and key knowledge on, human rights, conflict resolution and mediation.

Before starting this assessment I would like to give you some information on the research that I am conducting. As you know, the complexity of nowadays peacekeeping operations requires the cooperation and collaboration of a number of institutions and organizations with different mandates and interests. In this context, the "Comprehensive Approach" constitutes a framework that considers and integrates all these elements. The implementation of a Comprehensive Approach has proven to be challenging but essential in order to find durable solutions to conflicts. It is therefore particularly important to focus on the necessary conditions to reach a sustainable positive peace, including the respect for human rights and humanitarian law. I am studying this challenge and my idea is that we have to move from the technical problems concerning the implementation of the Comprehensive Approach and to identify the **personal values** essential to create a favorable working environment.

The survey is organized in two sections:

1. General information about, age, gender, work experience, etc. useful to compare the results of different groups of personnel (about 5 minutes);
2. Personal Values Survey (about 20 minutes).

Estimated length of time to complete the survey: 25 minutes.

Risks to participants are considered minimal. Your participation is voluntary and there will be no costs or benefits for it. I will maintain the confidentiality of the data provided and I will not disclose any personal information.

If you have any questions you are free to contact me, please send an email to [gravili@alumni.uv.es](mailto:gravili@alumni.uv.es)

To complete the survey, click on the link below:

<https://docs.google.com/forms/d/e/1FAIpQLSf02IIFxYamUc3SlvyGXE0XzppwurM-le8vIZEkyfeA49op9Q/viewform>

Best regards

Roberto Gravili

The respect of Human Rights (HR) and International Humanitarian Law (IHL) is linked to conflict resolution and recent experiences show that is not possible to prevent, manage or resolve a conflict only with military means, a Comprehensive Approach (CA) is essential and in this context leadership assumes a crucial role. The purpose of this study is to determine the leadership factors (values and competencies) that could create a shared language in an environment characterized by cultural and institutional diversity. Organizational Values are the shared principles and beliefs underpinning work of organization, and guiding actions and behaviours of staff. The competencies of the personnel are the tools that we have to support our values and it is very important to align personal and organizational values to the competencies of the personnel involved.

The first research question focuses on the shared values selected by a previous survey administered to two groups of civilians and military personnel in order to give them a priority.

The second question is about the competencies (soft skills) important for all staff in order to create an favourable environment to the implementation of the Comprehensive Approach.

The remaining questions are important for me in order to align your personal perception with the answers of all the participants at the survey and to the definitions of values and competencies.

Thank you very much for participating to this survey!

Are you a (civilian or military):

1. Military
2. Civilian

Have you ever participated in peacekeeping missions?

1. Yes
2. No

Your organization is:

1. Governmental Organization (GOs)

2. International Organization (IOs)
3. Non-Governmental Organization (NGOs)
4. None of those mentioned above

Sector

1. Private
2. Public

Job Level / Job Title (Which of the following best matches your title / job?)

1. Intern / Staff
2. First-Level Management
3. Manager
4. Director
5. President or CEO

Which is the number of people who report to you (put the maximum personnel in charge that you have)

Company/organization size:

1. Small (< 50)
2. Medium (50 > 250)
3. Big (> 250)

What is your age?

1. 18 to 24 years
2. 25 to 34 years
3. 35 to 44 years
4. 45 to 54 years
5. 55 to 64 years
6. Age 65 or older

## Education Level

1. Completed some high school
2. High school graduate
3. Associate degree
4. Bachelor's degree
5. Master's degree
6. Doctorate (Ph.D.)

Please indicate your perception of your level of ability in each area using the following scale:

	<b>1 = No level of compe- tence</b>	<b>2 = Low level of compe- tence</b>	<b>3 = Average level of compe- tence</b>	<b>4 = Mod- erately high level of compe- tence</b>	<b>5 = High level of compe- tence</b>
International Humanitarian Law (IHL)	X	X	X	X	X
International Human Rights Law (IHRL)?	X	X	X	X	X
Comprehensive Approach (CA)	X	X	X	X	X
Mediation skills (conflict resolution, consensus building)	X	X	X	X	X
Civil Military Cooperation (CIMIC)	X	X	X	X	X

TABLE C.1: Level of competence

Your country is:

Your total working experience in years:

Your gender is:

1. Female
2. Male



# Welcome to the Assessment

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To complete your assessment, please follow the below steps:

- [Step 1.](#) Fill your personal data in table 1 (optional);
- [Step 2.](#) Fill your Team/ Organization data in table 2 (optional) and maintain or change the three strategic objectives that I propose;
- [Step 3.](#) Fill the “Current and Desired Results” for the three strategic objective on table 3 (important);
- [Step 4.](#) Complete your Cultural Transformation Tools® (CTT) online Values Assessment (essential);
- [Step 5.](#) Send this Word document to:

Roberto Gravili  
email: gravili@alumni.uv.es  
Mobile phone: XXXX XXX XX XX XX

***In case you need additional information to complete your Assessment, do not hesitate to contact me for support.***

**Step 1: Please, fill in your personal data:**

Name	Date
Organization you represent	Country
E-mail	Telephone

## Step 2: Please, fill in the Team/Organization data 339

Team/organization name and mission
Brief description of the members of the Team/Organization
Stakeholders of this Team/organization
Your Role and mission in this Team
<p>Please name three strategic objectives that you consider important in order to implement the Comprehensive Approach (you are free to maintain or change the following three strategic objectives):</p> <ol style="list-style-type: none"><li>1. Improve trust among institutions and organizations involved in peace support operations;</li><li>2. Find shared solutions that addresses the root causes of a conflict improving the respect of human rights and humanitarian law;</li><li>3. De-conflict the activities developed by the different stakeholders avoiding the fragmentation of the interventions.</li></ol>

### Step 3. <sup>340</sup>

1. Please, select Current and Desired results for the **1<sup>st</sup> strategic objective**

**Strategic Objective 1:** Improve trust among institutions and organizations involved in peace support operations

CURRENT RESULTS (satisfactory) : Up to date, the Team/Organization is achieving the following satisfactory results:

CURRENT RESULTS (unsatisfactory): Up to date, the Team/Organization should improve the following results:

DESIRED RESULTS (mandatory): By the end of this year, the Team/Organization should achieve the following results:

## Appendix D

# Values questionnaire code book

### D.1 First part

You are a (civilian or military):

#### **CIVMIL**

1. Military;
2. Civilian.

**PEACEKEEPING** Have you ever participated in peacekeeping missions?

1. Yes;
2. No.

**ORGANIZATION** Your organization is:

1. GOs;
2. IOs;
3. NGOs;
4. None.

**SECTOR**

1. Private;
2. Public.

**LEVEL** Job Level / Job Title (Which of the following most closely matches your job title?)

1. Staff;
2. First Level management;
3. Manager;
4. Director;
5. President or CEO.

**PEOPLE** The number of people who report to you (put the maximum personnel in charge that you have).

**DIMENSION** Company/organization size

1. Small (< 50);
2. Medium (50 > 250);
3. Big (> 250).

**AGE** What is your age?

1. 18 to 24 years;
2. 25 to 34 years;
3. 35 to 44 years;
4. 45 to 54 years;
5. 55 to 64 years;
6. 65 or older.

**EDUCATION** Education Level

1. Completed some high school;
2. High school graduate;
3. Associate degree;
4. Bachelor's degree;
5. Master's degree;
6. Doctorate (Ph.D.).

**IHL** Please indicate your perception of your level of ability in each area using the following scale: International Humanitarian Law (IHL)

1. No level of competence – no experience in the skill area;
2. Low level of competence – little experience in the skill area;
3. Average level of competence – some experience in the skill area;
4. Moderately high level of competence - good experience in the skill area;
5. High level of competence - extensive experience in the skill area.

**IHRL** Please indicate your perception of your level of ability in each area using the following scale: International Human Rights Law (IHRL)?

1. No level of competence – no experience in the skill area;
2. Low level of competence – little experience in the skill area;
3. Average level of competence – some experience in the skill area;
4. Moderately high level of competence - good experience in the skill area;
5. High level of competence - extensive experience in the skill area.

**CA** Please indicate your perception of your level of ability in each area using the following scale: Comprehensive Approach (CA)

1. No level of competence – no experience in the skill area;
2. Low level of competence – little experience in the skill area;

3. Average level of competence – some experience in the skill area;
4. Moderately high level of competence - good experience in the skill area;
5. High level of competence - extensive experience in the skill area.

**MEDIATION** Please indicate your perception of your level of ability in each area using the following scale: Mediation skills (conflict resolution, consensus building)

1. No level of competence – no experience in the skill area;
2. Low level of competence – little experience in the skill area;
3. Average level of competence – some experience in the skill area;
4. Moderately high level of competence - good experience in the skill area;
5. High level of competence - extensive experience in the skill area.

**CIMIC** Please indicate your perception of your level of ability in each area using the following scale: Civil Military Cooperation (CIMIC)

1. No level of competence – no experience in the skill area;
2. Low level of competence – little experience in the skill area;
3. Average level of competence – some experience in the skill area;
4. Moderately high level of competence - good experience in the skill area;
5. High level of competence - extensive experience in the skill area.

**COUNTRY** Your country is:

1. Argentina;
2. Belgium;
3. Colombia;
4. Cuba;
5. Ecuador;
6. Finland;



7. Greece;
8. Honduras;
9. Iraq;
10. Italy;
11. Lebanon;
12. Panama;
13. Romania;
14. Slovenia;
15. Spain;
16. United States
17. Venezuela.

**WORKING YEARS** Your total working experience in years:

**GENDER**

1. Male;
2. Female.

**D.2 Second part: Values**

**1. SDT1**

**2. SES1**

**3. HDN1**

**4. CFH1**

**5. UNC1**

**6. PWD1**

**7. HML1**

**8. UNN1**

**9. FCE1**

**10. STM1**

**11. BNC1**

**12. PWR1**

**13. SCP1**

**14. UNT1**

**15. CFR1**

**16. SDA1**

**17. ACH1**

**18. TRD1**

**19. BND1**

**20. PWR2**

**21. UNN2**

**22. CFI2**

**23. SDT2**

**24. FCE2**

**25. BNC2**

**26. SCP2**

**27. BND2**

**28. STM2**

**29. PWD2**

**30. SDA2**

**31. CFR2**

**32. ACH2**

**33. TRD2**

**34. UNT2**

**35. SES2**

**36. HDN2**

**37. UNC2**

**38. HML2**

**39. SDT3**

**40. TRD3**

**41. PWD3**

**42. CFR3**

**43. STM3**

**44. PWR3**

**45. UNN3**

**46. HDN3**

**47. BNC3**

**48. ACH3**

**49. FCE3**

**50. SES3**

**51. CFI3**

**52. UNC3**

**53. SCP3**

**54. HML3**

**55. BND3**

**56. SDA3**

**57. UNT3**

1. Not like me at all
2. Not like me
3. A little like me
4. Moderately like me
5. like me

6. Very much like me

## D.3 Scoring Key

**Scoring Key for 19 Values in the PVQ-RR Value Scale** The following scoring key are part of the ("Coding and analyzing PVQ-RR data (instructions for the revised Portrait Values Questionnaire)") (Schwartz, 2016)

**SDT** Self-direction Thought 1,23,39

**SDA** Self-direction Action 16,30,56

**STM** Stimulation 10,28,43

**HDN** Hedonism 3,36,46

**ACH** Achievement 17,32,48

**PWD** Power Dominance 6,29,41

**PWR** Power Resources 12,20,44

**FCE** Face 9,24,49

**SCP** Security Personal 13,26,53

**SCS** Security Societal 2,35,50

**TRD** Tradition 18,33,40

**CFR** Conformity-Rules 15,31,42

**CFI** Conformity-Interpersonal 4,22,51

**HML** Humility 7,38,54

**UNN** Universalism-Nature 8,21,45

**UNC** Universalism-Concern 5,37,52

**UNT** Universalism-Tolerance 14,34,57

**BNC** Benevolence Care 11,25,47

**BND** Benevolence Dependability 19,27,55

### **Scoring Key for 10 Original Values with the PVQ-RR Value Scale**

**SD** Self-Direction 1,23,39,16,30,56

**ST** Stimulation 10,28,43

**HD** Hedonism 3,36,46

**AC** Achievement 17,32,48

**PW** Power 6,29,41,12,20,44

**SC** Security 13,26,53,2,35,50

**CF** Conformity 15,31,42,4,22,51

**TR** Tradition 18,33,40,7,38,54

**BN** Benevolence 11,25,47,19,27,55

**UN** Universalism 8,21,45,5,37,52,14,34,57

### **Scoring Key for Higher Order Values in the PVQ-RR Value Scale**

**HST** Self-Transcendence: Combine means for universalism-nature, universalism-concern, universalism-tolerance, benevolence-care, and benevolence-dependability.

**HSE** Self-Enhancement: Combine means for achievement, power dominance and power resources

**OPC** Openness to change: Combine means for self-direction thought, self-direction action, stimulation and hedonism

**CSV** Conservation: Combine means for security-personal, security-societal, tradition, conformity-rules, conformity-interpersonal





## Appendix E

# Values computing raw scores for 19 values

sdt Self-direction Thought 1,23,39  
 sda Self-direction Action 16,30,56  
 st Stimulation 10,28,43  
 he Hedonism 3,36,46  
 ac Achievement 17,32,48  
 pod Power Dominance 6,29,41  
 por Power Resources 12,20,44  
 fac Face 9,24,49  
 sep Security Personal 13,26,53  
 ses Security Societal 2,35,50  
 tr Tradition 18,33,40  
 cor Conformity-Rules 15,31,42  
 coi Conformity-Interpersonal 4,22,51  
 hum Humility 7,38,54  
 unn Universalism-Nature 8,21,45  
 unc Universalism-Concern 5,37,52  
 unt Universalism-Tolerance 14,34,57  
 bnc Benevolence –Care 11,25,47  
 bed Benevolence-Dependability 19,27,55

\*\*The following SPSS syntax can be used to clean data and to compute centered

and uncentered scores for the 19 values

\*\*Cleaning data and dropping cases

\*This provides a score of 1 for the variable 'drop' as well as a count of the number of times a \*person used each response alternative. Individuals who score 1 should be dropped from the \*analyses.

compute drop=0.

COUNT

count1 = sdt1 to bed3 (1)/count2 =sdt1 to bed3 (2)/count3 =sdt1 to bed3 (3)/  
count4 =sdt1 to bed3 (4)/count5 = sdt1 to bed3 (5)/count6 = sdt1 to bed3 (6)/  
countmis = sdt1 to bed3 (SYSMIS,0,7,8,9) .

if max(count1 to count6)>49 or countmis>28 drop=1.

value labels drop 0 'keep' 1 'drop'.

EXECUTE.

\*\*\*Computing raw scores for 19 values (see coding instructions for when to use raw scores)

Compute SDT = mean(sdt1,sdt2,sdt3).

Compute SDA = mean(sda1,sda2,sda3).

compute ST = mean(st1,st2,st3).

compute HE = mean(he1,he2,he3).

compute AC = mean (ac1,ac2,ac3).

compute POD = mean (pod1,pod2,pod3).

compute POR = mean (por1,por2,por3).

compute FAC = mean (fac1,fac2,fac3).

compute SEP = mean (sep1,sep2,sep3).

compute SES = mean (ses1,ses2,ses3).

compute TR = mean (tr1,tr2,tr3).

compute COR = mean (cor1,cor2,cor3).

compute COI = mean (coi1,coi2, coi3).

compute HUM = mean (hum1,hum2, hum3).

compute UNN = mean (unn1,unn2,unn3).

compute UNC = mean (unc1,unc2,unc3).

compute UNT = mean (unt1,unt2,unt3).

compute BNC = mean (bnc1,bnc2,bnc3).

compute BED = mean (bed1,bed2,bed3).

EXECUTE.

\*\*\*Computing the mean rating across items and the centered scores for 19 values

(see coding \*instructions for when to use raw scores)

Compute MRAT = mean (sdt1 to bed3).

Execute.

Compute SDTc = mean(sdt1,sdt2,sdt3) -mrat +4.

Compute SDAc = mean(sda1,sda2,sda3) -mrat +4.

compute STc = mean(st1,st2,st3) -mrat +4.

compute HEc = mean(he1,he2,he3) -mrat +4.

compute ACc = mean (ac1,ac2,ac3) -mrat +4.

compute PODc = mean (pod1,pod2,pod3) -mrat +4.

compute PORc = mean (por1,por2,por3) -mrat +4.

compute FACc = mean (fac1,fac2,fac3) -mrat +4.

compute SEPC = mean (sep1,sep2,sep3) -mrat +4.

compute SESc = mean (ses1,ses2,ses3) -mrat +4.

compute TRc = mean (tr1,tr2,tr3) -mrat +4.

compute CORc = mean (cor1,cor2,cor3) -mrat +4.

compute COIc = mean (coi1,coi2, coi3) -mrat +4.

compute HUMc = mean (hum1,hum2,hum3) -mrat +4.

compute UNNc = mean (unn1,unn2,unn3) -mrat +4.

compute UNCC = mean (unc1,unc2,unc3) -mrat +4.

compute UNTc = mean (unt1,unt2,unt3) -mrat +4.

compute BNCc = mean (bnc1,bnc2,bnc3) -mrat +4.

compute BEDc = mean (bed1,bed2,bed3) -mrat +4.

EXECUTE.

DELETE VARIABLES VAR001 to VAR064.

EXECUTE.

## E.1 Internal consistency

**Cronbach's alpha reliability test using PSPP** RELIABILITY /VARIABLES=  
sdt1,sdt2,sdt3 /SCALE ('ALL VARIABLES') ALL /MODEL=ALPHA /SUM-  
MARY=TOTAL

RELIABILITY /VARIABLES= sda1,sda2,sda3 /SCALE ('ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= st1,st2,st3 /SCALE (' ALL VARIABLES') ALL  
/MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= he1,he2,he3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= ac1,ac2,ac3 /SCALE (' ALL VARIABLES') ALL  
/MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= pod1,pod2,pod3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= por1,por2,por3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= fac1,fac2,fac3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= sep1,sep2,sep3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= ses1,ses2,ses3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= tr1,tr2,tr3 /SCALE (' ALL VARIABLES') ALL  
/MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= cor1,cor2,cor3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= coi1,coi2, coi3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= hum1,hum2, hum3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= unn1,unn2,unn3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= unc1,unc2,unc3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

RELIABILITY /VARIABLES= unt1,unt2,unt3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL

```
RELIABILITY /VARIABLES= bnc1,bnc2,bnc3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL
```

```
RELIABILITY /VARIABLES= bed1,bed2,bed3 /SCALE (' ALL VARIABLES')  
ALL /MODEL=ALPHA /SUMMARY=TOTAL
```



## Appendix F

# Kruskal Wallis Test

Code used to examine data with the PSPP program:

```
NPARTEST  
/KRUSKAL-WALLIS = SDTc, SDAc, UNNc, UNCc, UNTc, BNCc, BEDc, PORc,  
PODc, ACc BY civmil (1, 2).
```





# Acronyms

**ACc** Achievement. 19, 225, 236, 237, 247, 248, 249

**BEDc** Benevolence-Dependability. 19, 225, 233, 234, 247, 248, 249, 250, 254, 255, 256, 287

**BNCc** Benevolence-Care. 19, 225, 233, 247, 248, 249, 250, 254, 255, 256, 287

**C.** Category. 175, 178, 179, 183, 184

**CC** Current Culture Values. 171, 172, 173, 174, 177, 178, 179, 180, 181

**CESEDEN** Centro Superior de Estudios de la Defensa Nacional. 192, 203, 276

**CIMIC** Civil Military Cooperation. 36, 38, 82, 112, 113, 143, 163, 165, 168, 169, 222, 288

**CoG** Centre of Gravity. 65, 75, 78, 84, 211

**COIc** Conformity-Interpersonal. 20, 225, 244, 245, 247, 248

**COPD** Comprehensive Operations Planning Directive. 43

**CORc** Conformity-Rules. 20, 225, 243, 244, 247, 248

**CTT** Cultural Transformation Tools. 21, 157, 161, 174, 189, 190

**CWs** Compound Wars. 60

**DC** Desired Culture Values. 171, 172, 173, 174, 177, 178, 179, 180, 181, 188, 189

**DEEP** Defence Education Enhancement Programme. 77

**DPKO** Department of Peacekeeping Operations. 94, 97

- ECHR** European Convention on Human Rights. 87, 105
- EEAS** European External Action Service. 107
- EU** European Union. 15, 33, 39, 44, 49, 50, 51, 52, 53, 82, 89, 90, 104, 105, 106, 107, 108, 109, 110, 111, 116, 117, 118, 119, 120, 121, 123, 127, 193, 195, 198, 211, 213, 267, 268, 270
- F.** Frequency. 175, 178, 179, 183, 184
- FACc** Face. 20, 225, 240, 241, 247, 248
- GOs** Governmental Organizations. 40, 75, 83, 85, 167, 168, 174
- HEc** Hedonism. 20, 225, 239, 240, 247, 248
- HRC** Human Rights Council. 208
- HUMc** Humility. 20, 225, 245, 246, 247, 248
- I** Individual Value. 172, 175, 189
- ICRC** International Committee of the Red Cross. 35
- IHL** International Humanitarian Law. 21, 86, 88
- IHRL** International Human Rights Law. 21, 86, 87, 88, 94
- IOs** International Organizations. 34, 35, 36, 40, 43, 75, 83, 85, 88, 89, 92, 166, 167, 168, 169, 170, 174, 186, 187
- L.** Level. 175, 178, 179, 183, 184
- MAD** Mutual Assured Destruction. 55, 91
- MSF** Médecins Sans Frontières. 35
- N/A** Not Applicable. 147, 148
- NATO** North Atlantic Treaty Organization. 15, 30, 33, 34, 39, 44, 49, 50, 51, 52, 53, 63, 65, 77, 79, 82, 89, 90, 105, 109, 110, 112, 113, 114, 115, 116, 117, 118, 119, 121, 122, 123, 127, 161, 163, 164, 165, 169, 186, 193, 195, 198, 211, 213, 267, 268, 270, 281

- NGOs** Non-Governmental Organizations. 34, 35, 36, 40, 65, 67, 75, 78, 79, 80, 83, 85, 88, 92, 113, 143, 166, 167, 168, 169, 170, 174, 186, 187, 212, 286
- NRDC-ESP** NATO Rapid Deployable Corps-Spain. 35
- NSA** Non State Actors. 33, 54, 58, 60, 61, 66, 67, 74, 75, 84, 86
- O** Organisational Value. 172, 175, 189
- PODc** Power Dominance. 19, 225, 234, 235, 247, 248, 249
- PORc** Power Resources. 19, 225, 235, 236, 247, 248, 249, 250, 254, 255, 256, 287
- PV** Personal Values. 171, 172, 173, 174, 177, 178
- PVQ-RR** revised Portrait Values Questionnaire. 213, 218, 220, 222, 249, 259, 277
- R** Relationship Value. 172, 175, 189
- S** Societal Value. 172, 175
- SDAc** Self-direction Action. 19, 225, 228, 229, 247, 248, 249, 250, 254, 255, 256, 287
- SDTc** Self-direction Thought. 19, 225, 228, 247, 248, 249, 250, 254, 255, 256, 287
- SEPe** Security Personal. 20, 225, 241, 242, 247, 248
- SESc** Security Societal. 20, 225, 237, 242, 243, 247, 248
- STc** Stimulation. 19, 225, 238, 239, 247, 248
- TRc** Tradition. 19, 225, 237, 238, 247, 248
- UN** United Nations. 15, 28, 31, 32, 33, 39, 44, 49, 50, 51, 53, 62, 65, 72, 76, 77, 78, 81, 82, 83, 84, 89, 90, 91, 92, 94, 95, 96, 98, 99, 100, 101, 102, 103, 109, 110, 114, 116, 117, 118, 119, 120, 121, 123, 124, 127, 165, 186, 193, 194, 195, 198, 208, 267, 268, 270

**UNCe** Universalism-Concern. 19, 225, 230, 231, 247, 248, 249, 250, 254, 255, 256, 287

**UNGA** United Nations General Assembly. 50, 62, 84, 268

**UNNc** Universalism-Nature. 19, 225, 229, 230, 247, 248, 249, 250, 254, 255, 256

**UNSC** United Nations Security Council. 29, 268

**UNTe** Universalism-Tolerance. 19, 225, 231, 232, 247, 248, 249, 250, 254, 255, 256, 287

**UNTSO** United Nations Truce Supervision Organization [Middle East]. 97

**WEU** Western European Union. 105

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