Module 3:
OPERATIONAL
FRAMEWORK

Learning Objectives

- Know how to translate conceptual and legal frameworks into appropriate action at the tactical level

- Identify key DPKO documents that provide guidance for tactical planning

- Understand how POC, CP and CRSV considerations impact the military decision making process

- Identify key aspects in a threat assessment for POC

Overview

- Relevant documents for tactical planning

- Mission POC strategy

- Implementing guidelines for military components

- Phases of response and use of force

- Tactical decision making process considerations

Relevant documents for tactical planning

Main planning documents for UN peacekeeping

Planning documents for peacekeeping operations
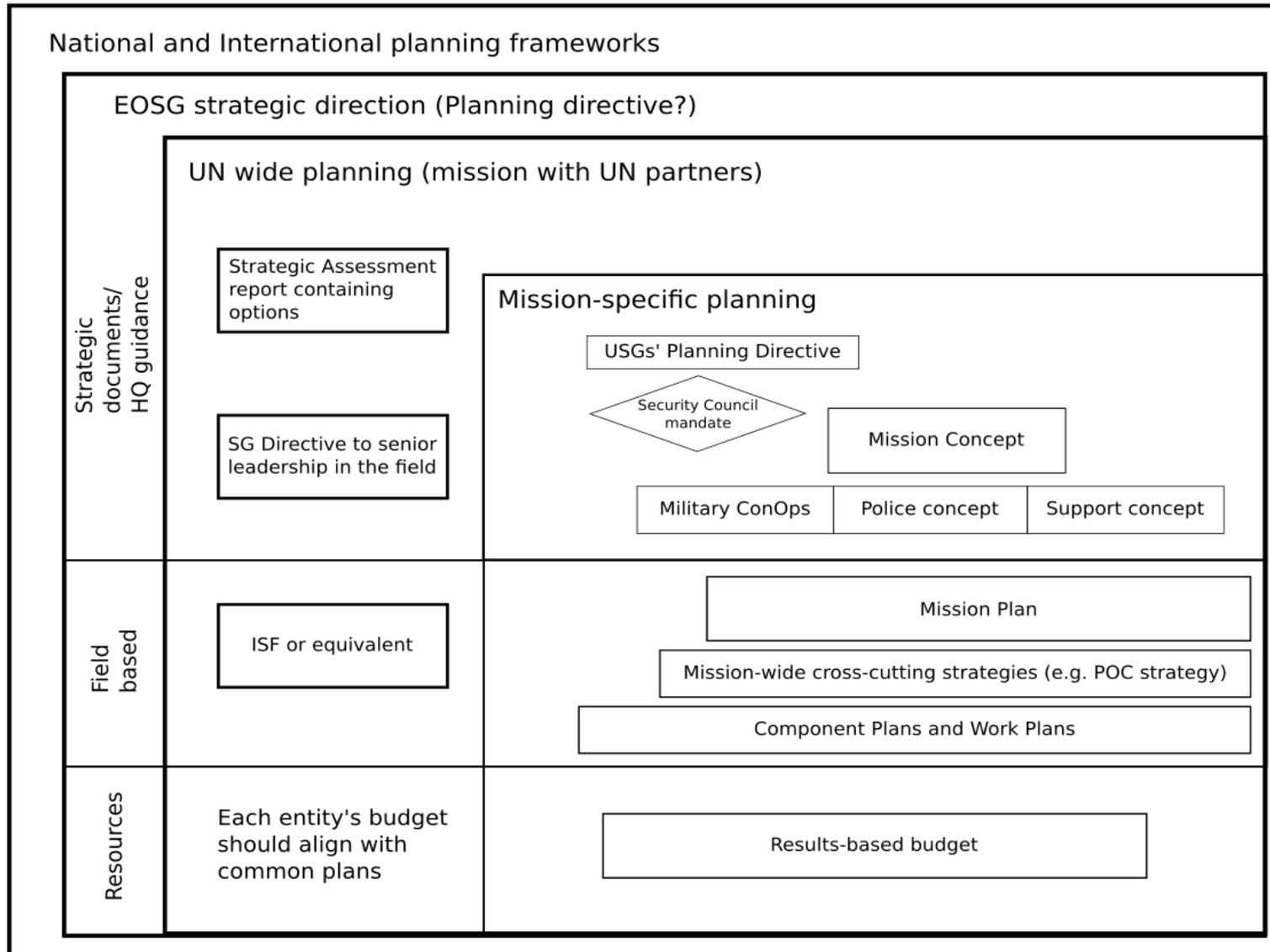
Relevant documents for tactical POC planning

Mission Mandate

Mission Concept

CONOPS

Mission Plan

Mission POC Strategy

Mission POC Plan

Force Commander OPORD

Unit plans
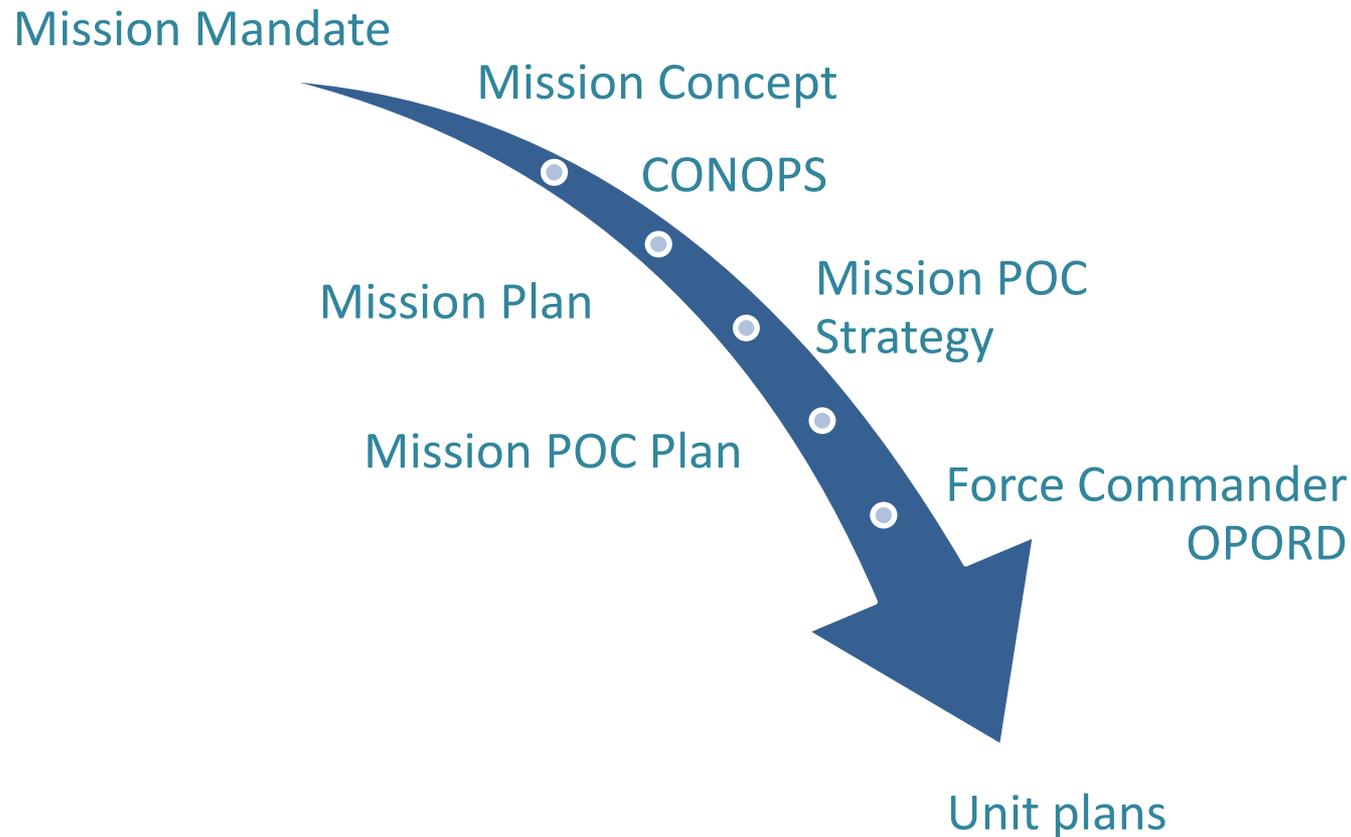
Mission POC strategy

Core Considerations

- Missions with POC mandate develop POC Strategies

- Coordination tool for concerted POC action

- Work plans for all components need to be aligned with POC Strategy

- Military and Police operation orders fully aligned as well

POC Strategy Content

- Purpose, scope and key principles

- Mission threat analysis

- Mission POC action plan

- Roles, responsibilities and coordination mechanisms

Tactical Perspectives

A POC strategy provides the operational level guidance to allow the component HQs to draft plans and orders that will ultimately affect the battalion and FPU levels, including military observers, military liaison officers and individual police officers.

Planning References

- POC Action Plan

- POC Matrix

- Capacities and resources for POC action

- Mission POC architecture

Internal Coordination Mechanism
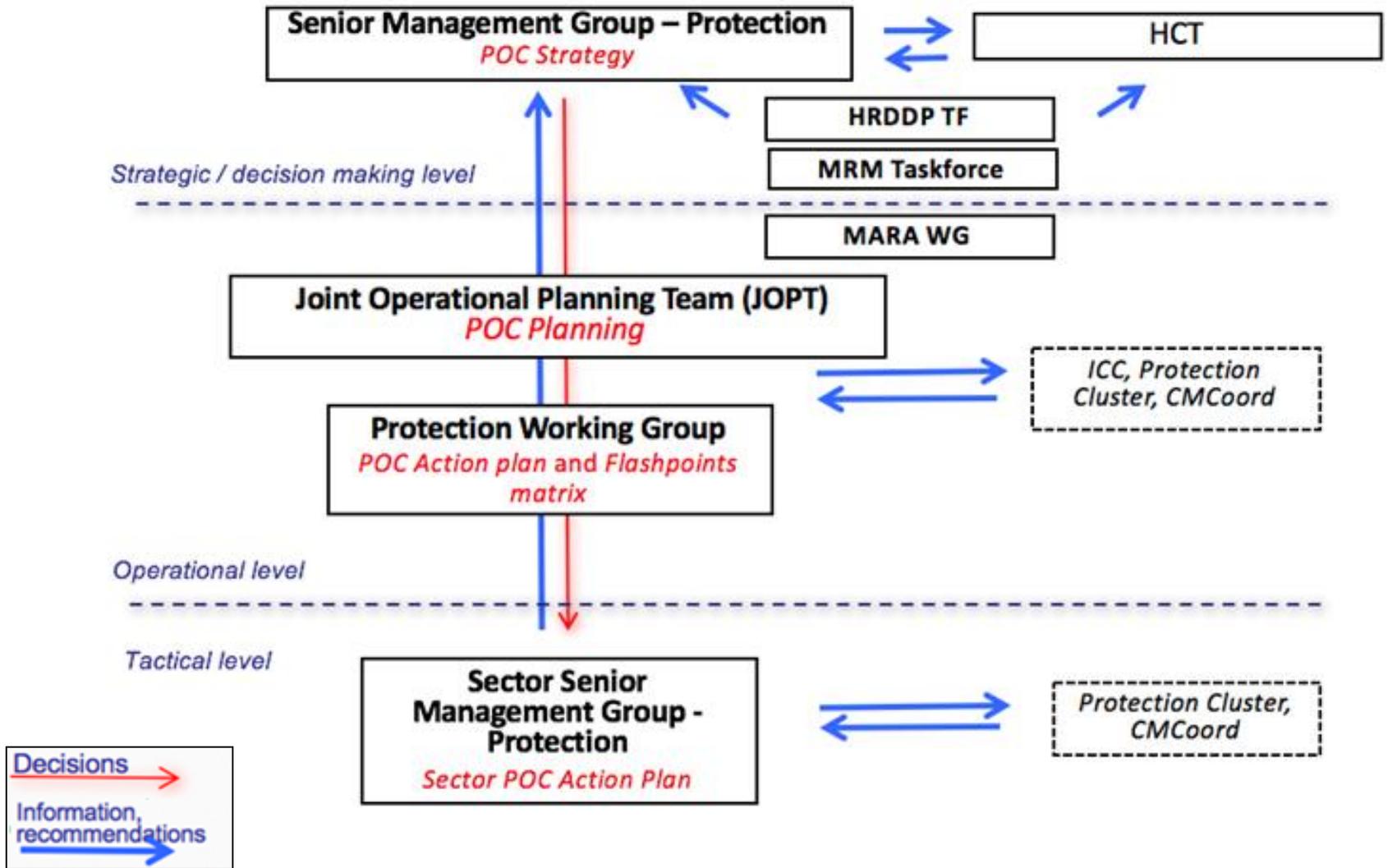
Take Away

- Every peacekeeping mission with a POC mandate develops a POC Strategy

- The scope of the strategy is usually limited to the mission but includes coordination mechanisms with other actors

Questions

Overview

- Relevant documents for tactical planning

- Mission POC strategy

- Implementing guidelines for military components

- Phases of response and use of force

- Tactical decision making process considerations

Implementing guidelines for military components

Implementing guidelines for military components

- Guidance for the strategic level (UN HQ)

- Guidance for the operational level (Field HQ)

- Guidance for the tactical level (Sector and Unit Commanders)

PROTECTION OF CIVILIANS

Implementing Guidelines for Military Components of United Nations Peacekeeping Missions

February 2015

United Nations
Department of Peacekeeping Operations /
Department of Field Support
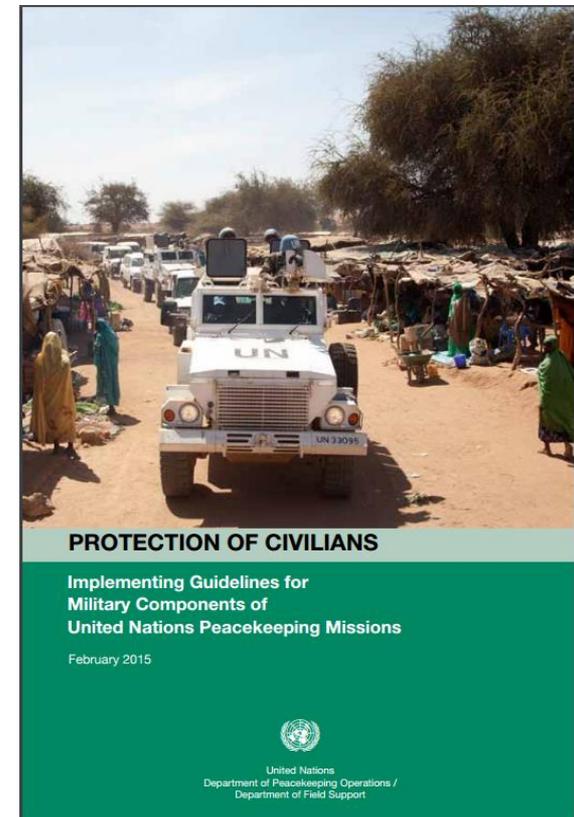
Guidance for the strategic level (UN HQ)

- Strategic planning

- Composition of force

- Disposition of force

- Mainstreaming POC in the CONOPS

Guidance for the operational level (Field HQ)

- Operational imperatives

- Operational planning

- Understanding the Use of Force and ROE with respect to POC

- Risk mitigation measures

- Monitoring and evaluation of results

- Expectation management

- Training

Guidance for the tactical level (Sector and Unit Commanders)

- Planning at sector and unit level

- Conduct of POC tasks/operations

- Early Warning

- Engaging communities

Planning at sector and unit level

- Production of own POC plans and contingency plans based on directives from higher level

- POC intent of higher command reflected

Conduct of POC tasks/ operations

- 4 phases of operations

- Presence and posture

- Reporting on all threats, including Child Protection and CRSV concerns

- Adherence to ROE
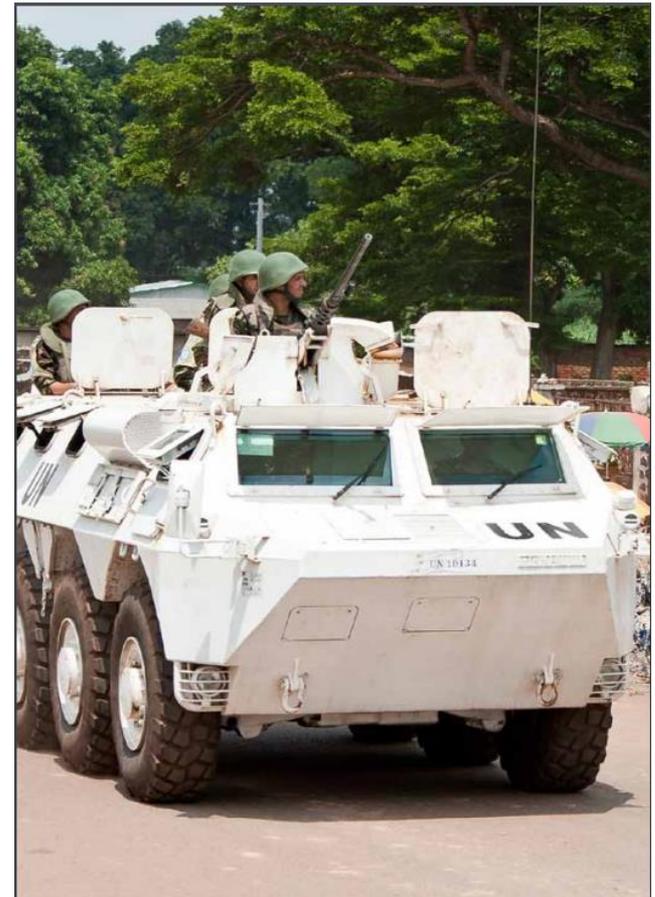
Conduct of POC tasks/ operations

Do

- Intervene when armed elements or criminals are threatening civilians
- Prioritize actions to prevent and halt violence
- Distinguish between civilians and combatants
- Ensure your protection efforts support existing community mechanisms as much as possible
- Coordinate your actions with other components of the mission (police and civilian)
- Treat all civilians with dignity and respect and abide by the Code of Conduct

Child Protection considerations

Do

Don't

- Assist child soldiers when they surrender or get captured
- Inform CP Unit and hand over to nearest CP actor as soon as possible
- Share CP knowledge with host state military
- Encourage host state military not to use schools as bases

- Send children away and tell them to come back the next day after you informed CP Unit
- Hand children over to host state army without consulting CP Unit
- Underestimate your role as role mode
- Use schools as bases

Early Warning

- Situational awareness and early warning indicators

- Outreach and advocacy

- Early Warning Centers

  - Information hub in COB and TOB

  - Produce database including threats and vulnerabilities

  - Manage cell phone hotline

  - Maintain information collection plan

Engaging communities

- Regular interaction, liaison and consultation with communities and local leaders is key

- Mutually protective benefits

- Tools and good practices:

    – Community Alert Networks (CAN)

    – Community Liaison Assistants (CLA)

    – Joint Protection Teams (JPT)

Engaging communities

Do

- Ensure safety and security of interlocutors
- Know your mandate
- Act as a role model
- Report through the chain of command and focal points
- Collect evidence
- Assist survivors of child abuse and sexual violence
- Respect dignity and confidentiality
- Know referral arrangements

Engaging communities

Do

- Obtain informed consent
- Think of creative community outreach options
- Work with local NGOs and communities
- Consider possible consequences of your actions for local communities
- Ask for guidance if uncertain

Engaging communities

Don't

- Interview
- Follow-up or investigate
- Share with authorities details of victims of human rights violations
- Take pictures of child victims
- Act on behalf of victims without informed consent
- Engage in activities that may harm local communities

Engaging communities

Don't

- Be discouraged if you cannot help immediately
- Be discouraged if you think the mission should do more to help
- Casually spend time with children
- Give money, food or employment to children
- Have any sexual contact with children

Take Away

- The POC Implementing Guidelines for Military Components provide detailed guidance for strategic, operational and tactical levels

- Presence and posture as well as early warning are key factors of success

- Ensure sensitivity to Child Protection and CRSV threats and challenges

Questions

Overview

- Relevant documents for tactical planning

- Mission POC strategy

- Implementing guidelines for military components

- Phases of response and use of force

- Tactical decision making process considerations

Phases of response and use of force

Phases of Response exercise

Prevention

Pre-emption

Response

Consolidation

Phases of Response

Proactive – Plans to reduce the likelihood

| Prevention | Pre-emption | Response | Consolidation |

Reactive – Plans to reduce the effects

Phases of Response

| Prevention | Pre-emption | Response | Consolidation |

For instance
- Presence, patrols, force deployments
- Mediation and conflict prevention
- Advocacy, key leader outreach
- Human rights monitoring and reporting

Phases of Response

Prevention	Pre-emption	Response	Consolidation

For instance
- Increased patrolling and information gathering
- Ensure military and police presence; intercept, neutralize or defuse hostile acts; QRF/SF or Force Reserve
- Political pressure; intensified communication with armed actors and potential parties to the conflict
- Human rights monitoring and reporting

Phases of Response

| Prevention | Pre-emption | Response | Consolidation |

For instance
- Offensive and defensive military operations
- Inter-positioning of troops
- Swift action through the speedy movement of forces such as attack helicopters, QRFs and reconnaissance
- Mitigation of suffering; evacuation
- Human rights monitoring and reporting
- Support delivery of humanitarian aid

Phases of Response

Prevention	Pre-emption	Response	Consolidation

For instance
- Mediation and stabilization post-crisis
- Protection and reassurance
- Readjust security
- Collection of evidence and human rights investigations
- Support delivery of humanitarian aid

Phases of Response

| Prevention | Pre-emption | Response | Consolidation |

UNIBAM operational tasks

- Patrolling
- Observation post
- Checkpoint
- Outreach and engagement
- Situational awareness
- Cordon and search
- Convoy and escort
- Operation Base

- Disarmament and Demobilization
- Critical infrastructure protection
- Crowd management
- Detention
- Buffer zone
- Joint operations
- Reinforce/relief
- Extract/evacuate

Graduated Use of Force

Core Objective
Safety and security of UN military/police and those being protected as well as the rights and well being of the aggressors during a legitimate peacekeeping operations

Use of Force Continuum

Important!
The specific details in this chart are for illustrative purpose only. Military units must tailor the details of their mission-specific requirements, equipment and level of training.

Level of Force	Threat Actions	UN Action/Reaction
DEADLY FORCE	**ASSAULTIVE (SERIOUS/FATAL ACTION)** · Threat uses weapons, undertakes life threatening weaponless assault, and/or disarms a military/police	**LETHAL** · Use of firearm and strike to vital areas
NON-DEADLY FORCE	**ASSAULTIVE (NON LIFE THREATENING)** · Threat conducts non-life threatening activities but has the potential to cause physical harm to peacekeepers/civilians, e.g.: stone throwing, use of incendiary devices, sabotage. **RESISTANT (ACTIVE)** · Threat wrestles/pushes military/police or pulls away **RESISTANT (PASSIVE)** · Threat is unresponsive (refuses to move dead weight) or exhibits danger cues	**DEFENSIVE TACTICS** · Use riot control equipment including shield, water canon, soft kinetic projectiles, etc. **COMPLIANCE TECHNIQUES** · Use chemical irritant application, riot control agents/barricades/cordon/show of forces including aviation. **CONTACT CONTROLS** · Takedowns, handcuffs, threat of using force.
AUTHORITATIVE PRESENCE	**COMPLIANT** · Threat shows positive or cooperative behavior	**COOPERATIVE CONTROL** · Physical appearance, verbal command, search techniques and apprehension tactics

Take Away

- The four phases of response may not be sequential and can be understood as four categories of activities providing protection from physical violence

- Use of Force training is essential

Questions

Overview

- Relevant documents for tactical planning

- Mission POC strategy

- Implementing guidelines for military components

- Phases of response and use of force

- Tactical decision making process considerations

Tactical decision making process considerations

Conventional decision making process

Receipt of Mission

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Mission analysis

↓

Course of action production

↓

Orders production

↓

Execution
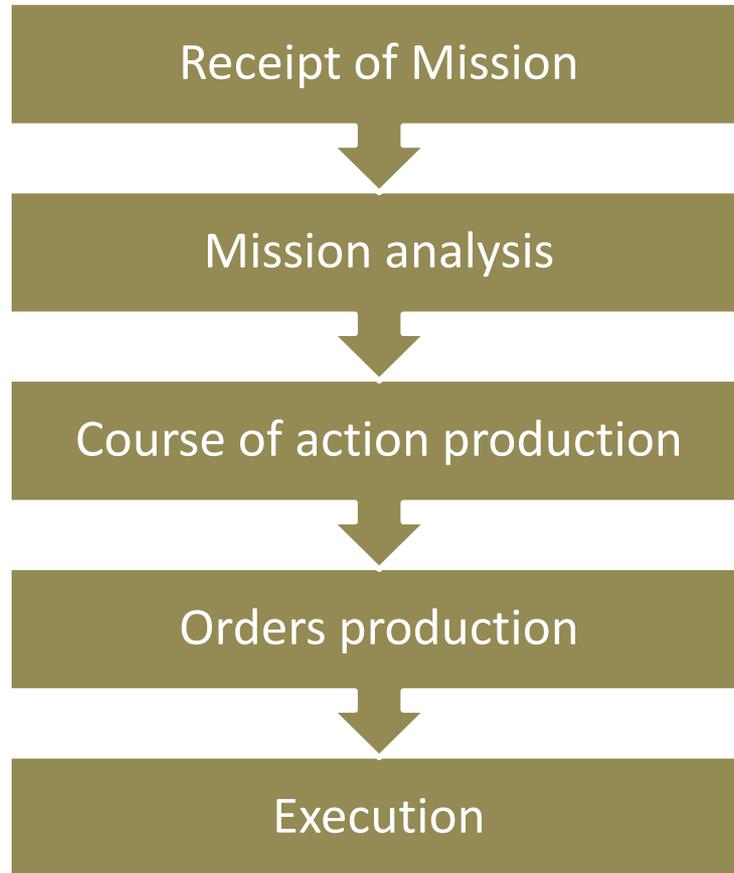
DMP and CPOC considerations
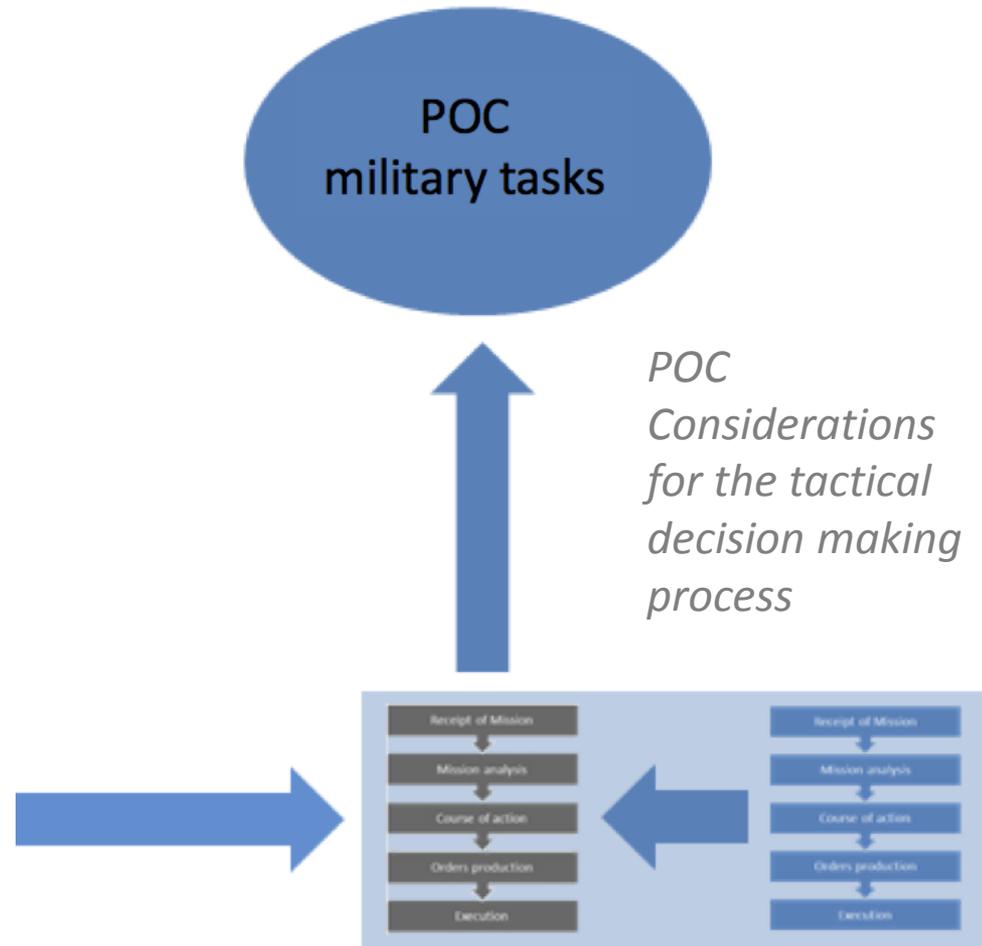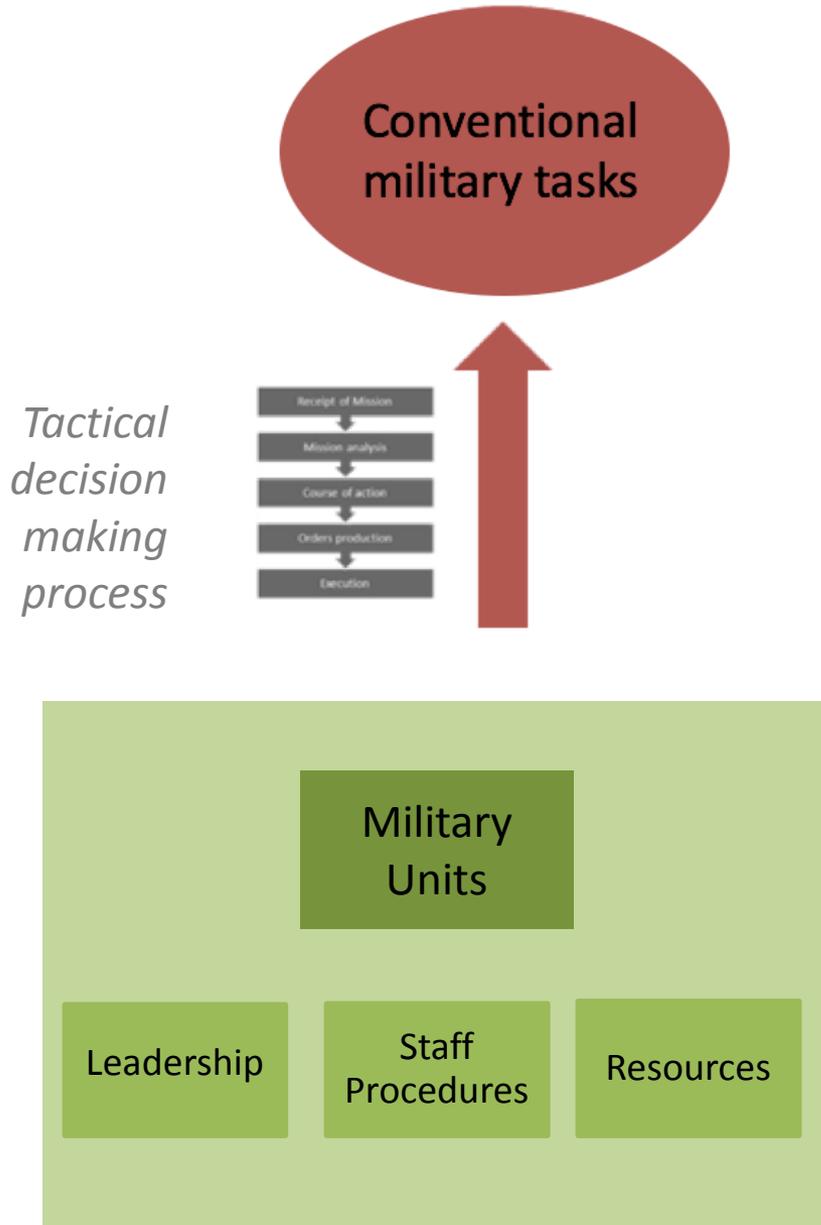
Conventional military tasks

Tactical decision making process

Receipt of Mission
Mission analysis
Course of action
Orders production
Execution

POC military tasks

POC Considerations for the tactical decision making process

Military Units

Leadership | Staff Procedures | Resources

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Receipt of Mission
Mission analysis
Course of action
Orders production
Execution

Receipt of Mission

Receipt of Mission

Mission analysis

Course of action

Orders production

Execution

Mission Mandate

CONOPS

Mission POC Strategy

Mission POC Plan

Force Commander OPORD

Sector Commander OPORD

Receipt of mission

Mission Analysis

1. ## Identification of Key Actors
   a. Civilian population
   b. Potential perpetrators
   c. Host State security forces
   d. Other protection actors

2. ## Threat Analysis
   a. Overview
   b. Key Elements
   c. Matrix

3. ## Risk Analysis
   a. Vulnerability assessment
   b. Protection actor capability assessment
   c. Danger level assessment
   d. Risk analysis matrix

Course of Action (CoA)

Receipt of Mission

Mission analysis

Course of action

Orders production

Execution
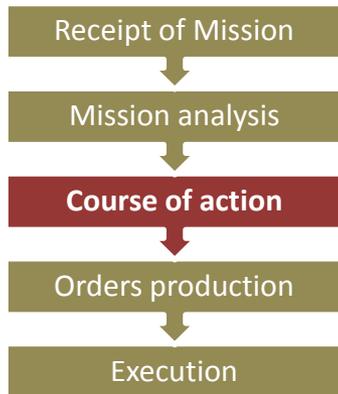
CoAs aim to reduce or eliminate the risk.

Development of CoAs are considered under each of the four phases of response.

Civilian casualties and collateral damage must be considered rigorously.

1. Plans to reduce the likelihood
2. Plans to reduce the impact
3. Resources support synchronization with mission components
4. Coordination with protection actors
5. Consultation with communities at risk

Order Production

Receipt of Mission

Mission analysis

Course of action

Orders production
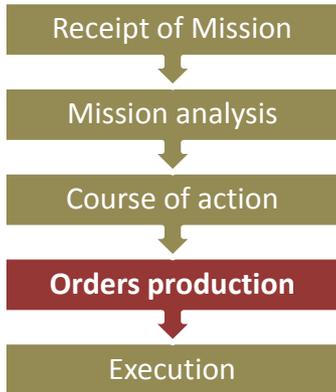
Execution

Plans must be approved by the FHQ, SHQ, or Brigade Commander

1. Approval of plans
2. Production of OPORD
3. Sub-units DMP
4. Rehearsals
5. Plans and orders adjustments and updates

Execution
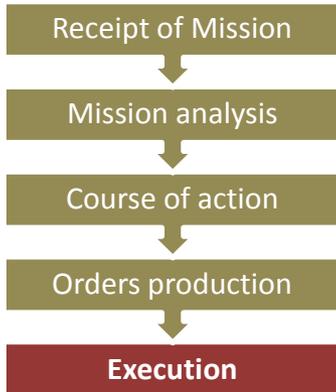
Execution of POC operations are triggered by different circumstances and always considers the Host State security forces capabilities and intention to protect.

1. Early warning mechanisms
2. Local community alert networks
3. Monitoring of armed groups
4. Instructions from S/FHQ
5. Decision of the commander on scene, reasonable belief
6. AAR and reporting of the outcome of the operation

Conventional decision making process

Mission Analysis

1. **Identification of Key Actors**
   a. Civilian population
   b. Potential perpetrators
   c. Host State security forces
   d. Other protection actors

2. **Threat Analysis**
   a. Overview
   b. Key Elements
   c. Matrix

3. **Risk Analysis**
   a. Vulnerability assessment
   b. Protection actor capability assessment
   c. Danger level assessment
   d. Risk analysis matrix

Receipt of Mission

Mission analysis

Course of action

Orders production

Execution

Priority Information Requirements (PIR) are established.

Patrols and recce operations are conducted.

Information is requested from and offered to the mission intelligence mechanism and protection actors.

Civilian populations

1. Pinpoint location and area of movements

2. Determine:
   - Number of civilians by gender and age
   - Ethnicity, religion and political affiliation
   - Type of the settlement
   - Facilities of tactical importance
   - Self-protection mechanisms
   - Historical background

3. Identify the local leaders

Receipt of Mission

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Execution

Key actors

Civilian populations

A

B

Military Units

C

Civilian populations

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Execution
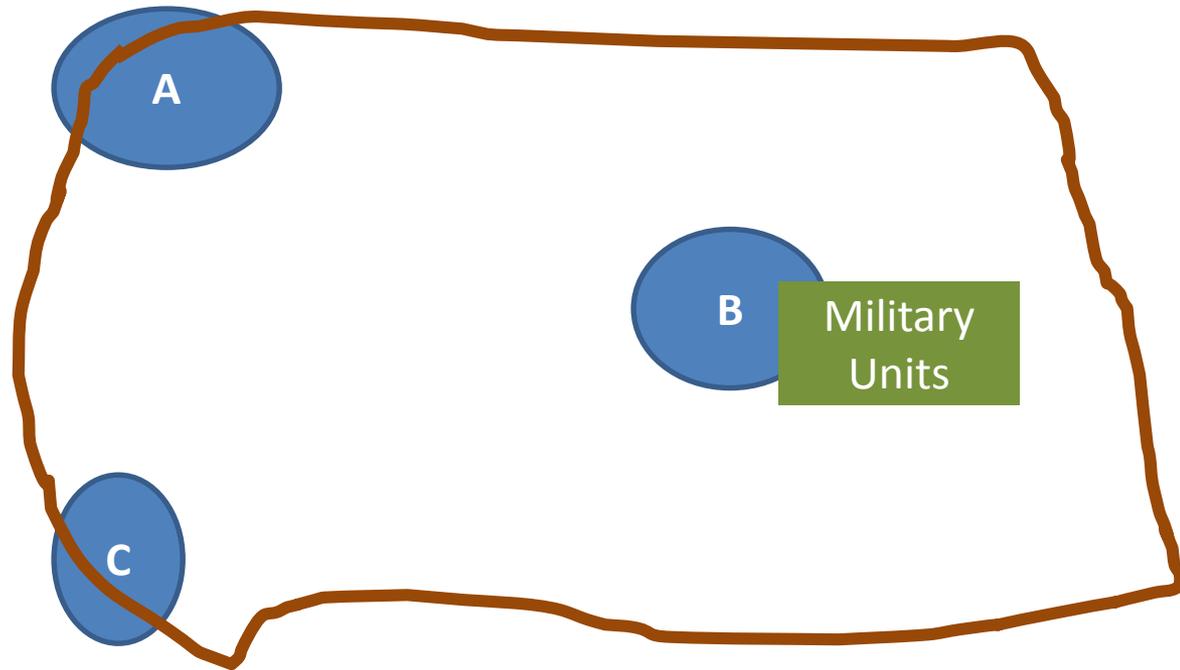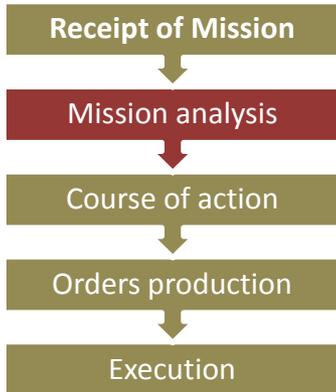
For each civilian population identified within the unit's AOR.

Civilian Population	Location	Number Children Gender	Ethnicity Religion Political	Schools	Hospitals	Markets
Community A						
Community B						
Community C						

Receipt of Mission
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Mission analysis
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Course of action
↓
Orders production
↓
Execution

Priority Information Requirements (PIR) are established.

Patrols and recce operations are conducted.

*Information is requested from and offered to the mission intelligence mechanism and protection actors*

Potential Perpetrators

1. Pinpoint location and area of influence or operations

2. Determine:
   - Number, composition and C2
   - Ethnicity, religion and political affiliation
   - Hostile intent and historical background
   - Capabilities
   - Use of child soldiers
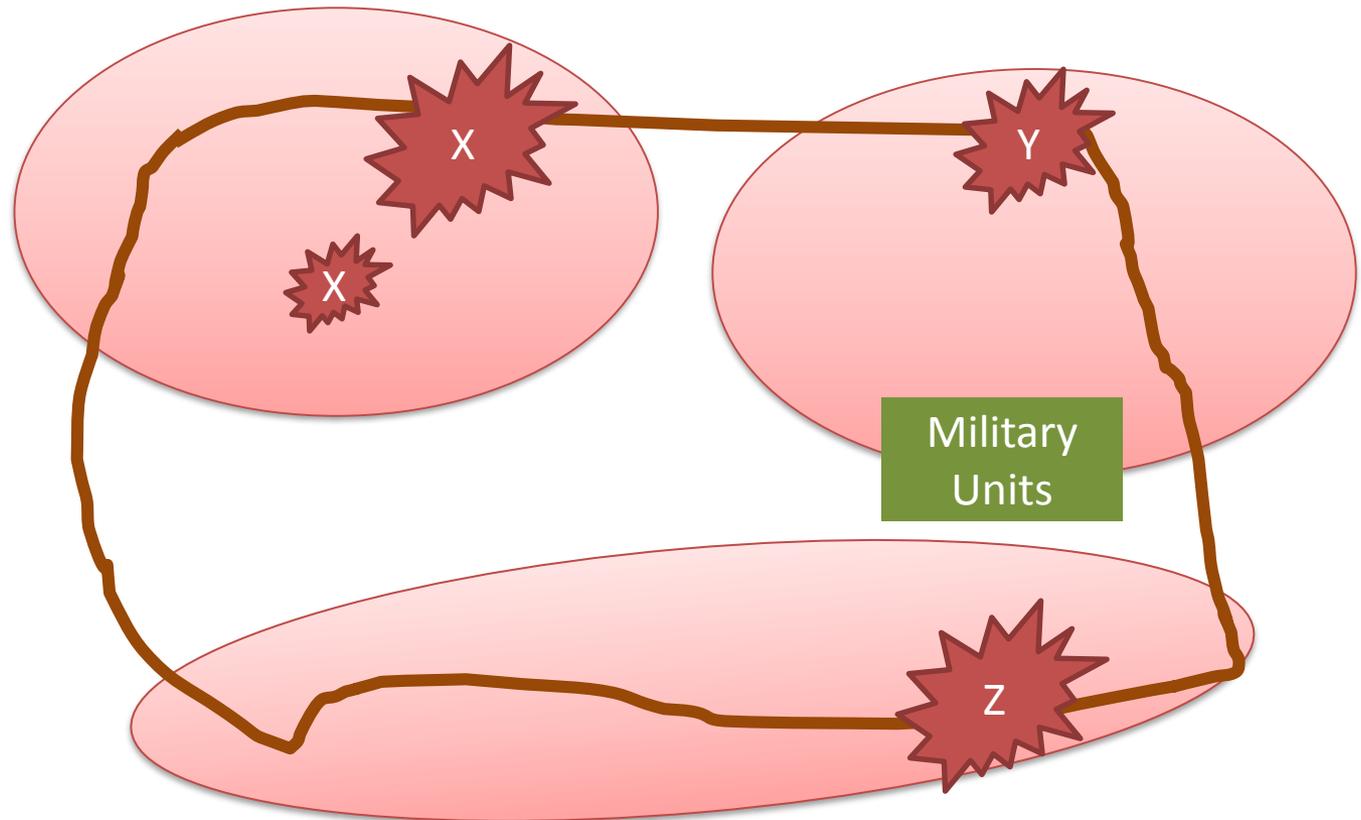
3. Identify the leaders

Potential Perpetrators

Receipt of Mission
Mission analysis
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Orders production
Execution

For each armed group within the unit's AOR

HSSF	Location	Number	Composition	C2
Perpetrator X				
Perpetrator Y				
Perpetrator Z				

Ethnicity Religion Political	Intent	Capabilities	Historical Background	Use of Child Soldiers

Receipt of Mission

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Execution

Priority Information Requirements (PIR) are established.

Patrols and recce operations are conducted.

Information is requested from and offered to the mission intelligence mechanism and protection actors

# Host State Security Forces

1. Pinpoint location and area of influence or operations

2. Determine:
   - Number, composition and C2
   - Ethnicity, religion and political affiliation
   - Capability and will to protect civilians
   - Human rights records
   - Use of child soldiers
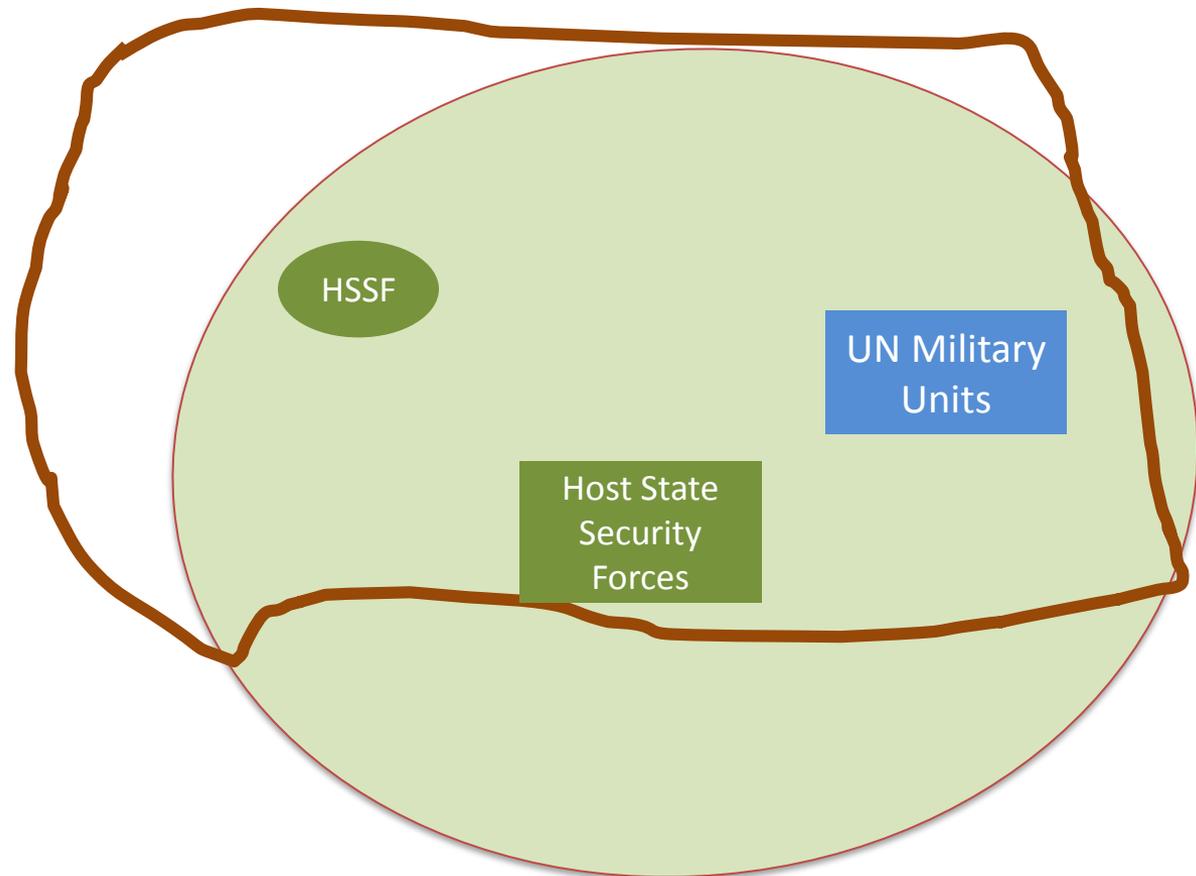
3. Identify the leaders

Host State Security Forces

Receipt of Mission

Mission analysis

Course of action

Orders production

Execution

For each Host State security forces unit deployed within the unit's AOR

HSSF	Location	Number	Composition	C2
HSSF X				
HSSF Y				
HSSF Z				

Ethnicity Religion Political	Capabilities	Will	HR Violations	Use of child soldiers

Other Protection Actors

| Receipt of Mission |
| Mission analysis |
| Course of action |
| Orders production |
| Execution |

This may include: UN and non-UN humanitarian actors, int'l or national NGOs, and other UNSC mandated international forces.

Existing coordination mechanisms will facilitate acquisition of relevant information.

1. Pinpoint location and area of influence or operations

2. Determine:
   - Mandate and capabilities
   - Their capacity and will to support peacekeeping operations
   - Their dependence on peacekeeping support

3. Identify the existing coordination mechanisms with the mission

Receipt of Mission

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Execution

Key actors

Other Protection Actors
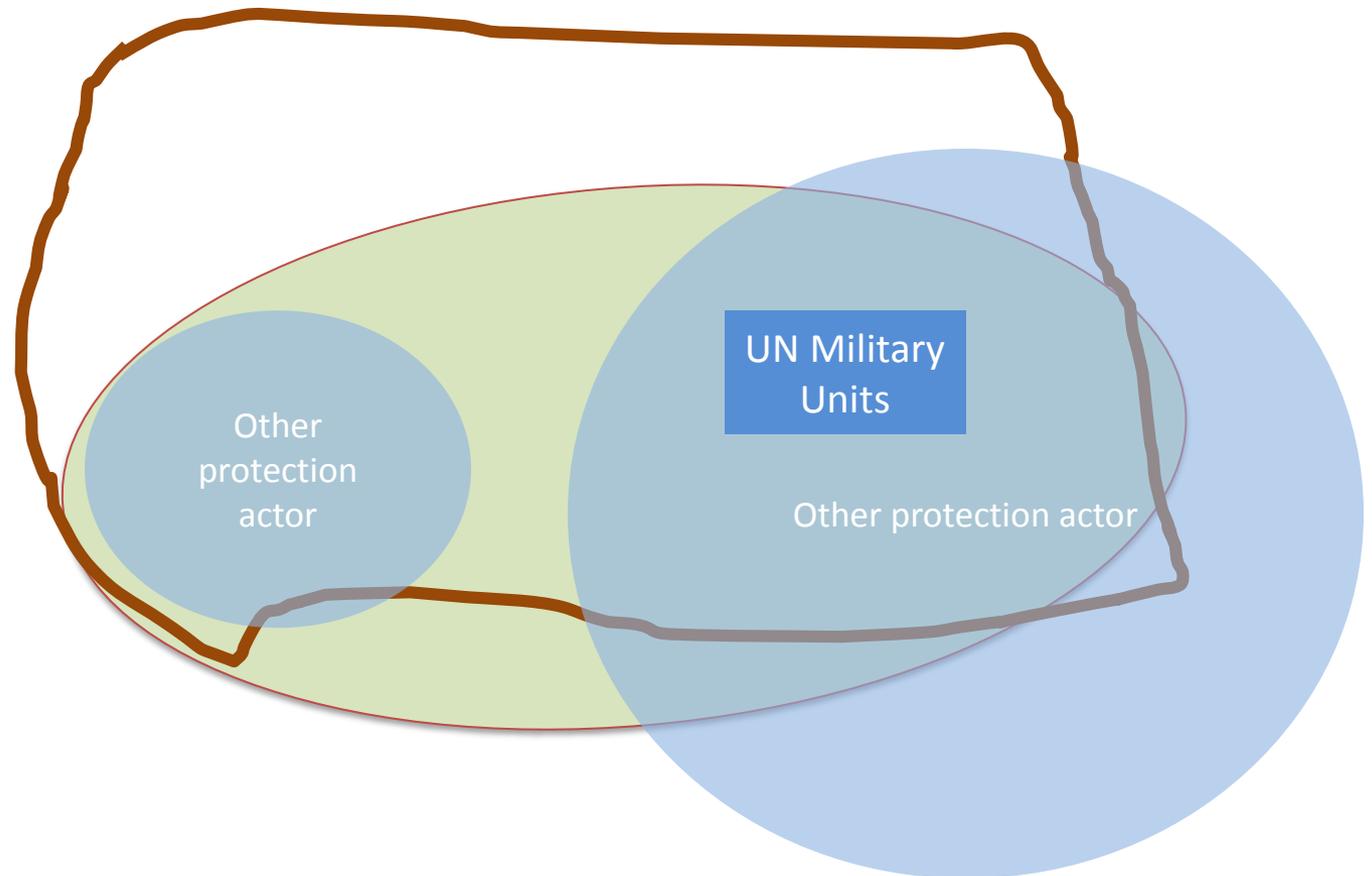
Other protection actor

UN Military Units

Other protection actor

Other Protection Actors

Receipt of Mission

Mission analysis

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Execution

For each Host State security forces unit deployed within the unit's AOR

Other protection actors	Location	Mandate	Capabilities	Support capacity
Protection Actor A				
Protection Actor B				
Protection Actor C				

Receipt of Mission

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Mission analysis

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Course of action

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Orders production

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Execution

Threat analysis
Overview

Killings are always assumed a threat when other threats of physical violence are identified

1. Priority consideration to threats identified at the mission level

2. Additional threats identified at the unit's AOR

For each threat determine:

- Situation and type of threat (What)
- Potential perpetrators (Who)
- Potentially affected population (Whom)
- Areas where civilians may be targeted (Where)
- Days and time of day attacks are most likely (When)
- Motivation behind threat (Why)
- Possible movements and tactics of the armed groups (How)

Receipt of Mission
Mission analysis
Course of action
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Execution

Threat analysis
Key Elements

For each civilian population and armed group within the unit's AOR

Civilian Population **A**	**Ethnical**	**Religious**	**Political**	**Others**
Armed Group **X**	**Concern**	**Concern**	----	**Concern**
Armed Group **Y**	**Concern**	----	**Concern**	----
Armed Group **Z**	----	----	----	----

Threat analysis Matrix

Receipt of Mission

Mission analysis

Course of action

Orders production

Execution

For each identified threat

What	Who	Whom	Where	When	Why	How
Threat **1**	Perpetrator X	Community A	Lat-Lon	PM	Political	Possible maneuver
Threat **2**	Perpetrator X	Community B	Lat-Lon	Day	Religious	Possible maneuver
Threat **3**	Perpetrator X	Community C	Lat-Lon	Night	Ethnical	Possible maneuver
Threat **4**	Perpetrator Y	Community A	Lat-Lon	Working Hours	Conduct operations	Possible maneuver
Threat **5**	Perpetrator Y	Community B	Lat-Lon	School Hours	Retaliation	Possible maneuver

Vulnerability assessment

| Receipt of Mission |
| Mission analysis |
| Course of action |
| Orders production |
| Execution |

For each civilian population unit's AOR towards each identified threat

Threat 1	Number	Women	Children	Settlement	Schools	Hospitals
CP **A**	320	78%	42%	Rudimentary	none	none
CP **B**	10,000	54%	34%	Developed	2	2
CP **C**	1,300	68%	45%	IDP Camp	1	1

Protection actors capability assessment

Receipt of Mission

Mission analysis

Course of action

Orders production

Execution

For each protection actor within the unit's AOR towards each identified threat

Threat 1	Intention to protect	Distance Vs. mobility	Overall Capability	UNPK support
Protection Actor 1	Yes	Yes	Yes	Yes
Protection Actor 1	No	Yes	Yes	No
Protection Actor 1	?	No	Yes	No

Danger level assessment

Receipt of Mission

Mission analysis

Course of action

Orders production

Execution

For each armed group within the unit's AOR towards each identified threat

Threat #	Intention	Capability	Historical Background
Armed Group **X**	**High**	**High**	**High**
Armed Group **Y**	**Medium**	**High**	**Low**
Armed Group **Z**	**Low**	**Medium**	**Low**

Matrix

Receipt of Mission

Mission analysis

Course of action

Orders production

Execution

For each identified threat

What	Who	Whom	Where	When	Why	How
Threat 1	Perpetrator X	Community A	Lat-Lon	PM	Political	Possible maneuver
Threat 2	Perpetrator X	Community B	Lat-Lon	Day	Religious	Possible maneuver
Threat 3	Perpetrator X	Community C	Lat-Lon	Night	Ethnical	Possible maneuver
Threat 4	Perpetrator Y	Community A	Lat-Lon	Working Hours	Conduct operations	Possible maneuver
Threat 5	Perpetrator Y	Community B	Lat-Lon	School Hours	Retaliation	Possible maneuver

impact

High

Medium

Low

1

4

5

3

2

likelihood

Take Away

- POC, Child Protection and CRSV considerations influence tactical DMP

- Mission analysis critical step for assessment of perpetrators, civilians and other protection actors

- Plans need to be approved by higher command

- Risk analysis guides prioritization of threats

- Consultation with other mission and non-mission actors are crucial

Questions

Module 3:
OPERATIONAL
FRAMEWORK – Wrap up

Module 3 – Conclusions

- Range of policies, guidelines and principles exist on POC, Child Protection and CRSV

- Mandate implementation never straightforward and requires targeted approach for each context

- Effective protection of civilians requires coordination and information sharing within and outside the mission

- Peacekeepers need to be proactive and creative, within the boundaries existing guidance and principles

- Child Protection and CRSV are integral to protection of civilians and require particular consideration