Module 3: OPERATIONAL FRAMEWORK

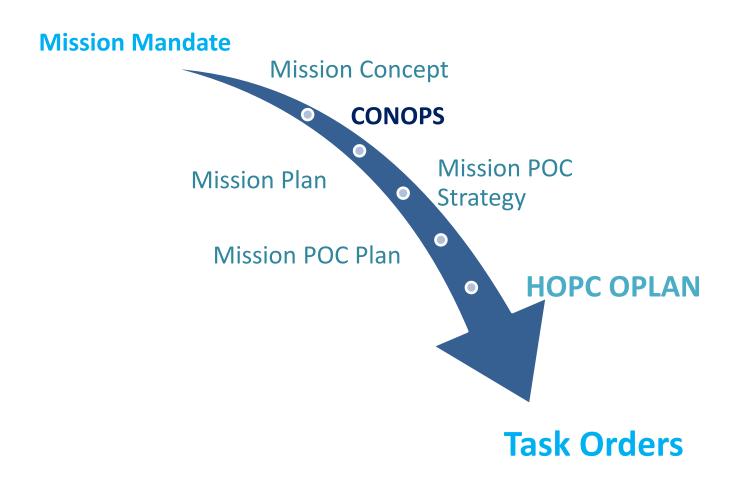


Lesson 3.1: Relevant documents for Tactical Planning and Mission POC Strategy

Learning Objectives

- Demonstrate how to translate conceptual and legal frameworks into appropriate action at the tactical level
- Explain how POC considerations impact the planning at operational and tactical level
- Identify key aspects in a threat assessment for POC planning

Relevant documents for tactical POC planning



Police planning levels

Police operational planning is conducted at the three following levels:

- <u>Strategic Level</u> in order to produce the Concept of Operations (CONOPS)
- <u>Operational Level</u> to produce the Operation Plan (OPLAN)
- <u>Tactical level</u> in order to produce, if necessary, all subordinate plans/OPORDERs

Police planning at operational and tactical level

CONOPS drives the formulation of

- OPLAN
- OPORDER

OPORDERs are the baseline documents to task units for police operations

Mission POC strategy

POC strategy

- Essential for effective POC mandate implementation
- Provides
 - strategic direction to all components
 - guidance to draft plans and orders
- Identifies Mission's role under the three tiers

Core Considerations

- Missions with POC mandate develop POC Strategies
- Coordination tool for concerted POC actions
- Work plans for all components need to be aligned with POC Strategy
- Police operations fully aligned with POC strategy

POC Strategy

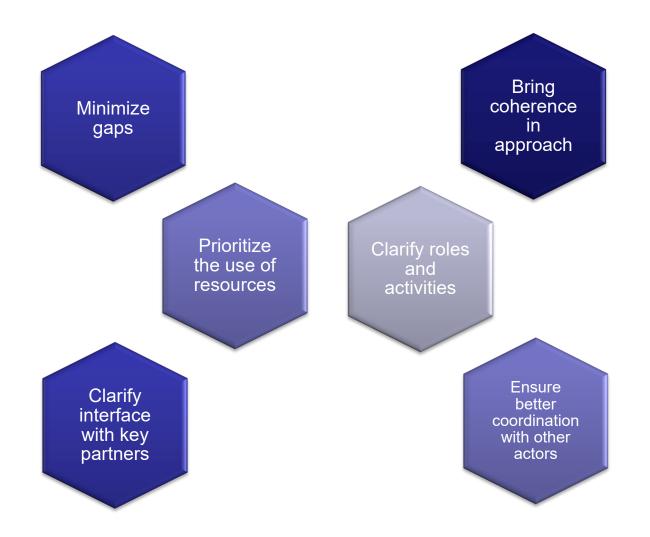
- Analyses resources and capacities
- Identifies
 - coordination mechanism
 - Within the mission (e.g. POC WGs, POC task force etc.)
 - With external actors (Host Country, other International actors
 - Roles and responsibilities within the mission

Tactical Perspectives

Orders at tactical level are based on the POC Strategy



Advantages



POC Strategy Content



- Purpose, scope and key principles
- Mission threat analysis
- Mission POC action plan
- Roles, responsibilities and coordination mechanisms



Threat assessment

Should include

- capacity and willingness of host-State police and other law enforcement agencies to protect
- location, size and affiliation of vulnerable communities
- location, capacity and intent of spoilers and potential spoilers
- Location of armed groups
- Criminal groups

POC Threat Matrix

- Lists and prioritizes short/mid-term POC threats to civilians
- Maps specific populations at risk and vulnerabilities affecting them
- Maps protection actors
- Lists and monitors implementation of all short term activities to prevent, pre-empt or respond

POC Threat Matrix (continued)

- Identifies mission resources
- Flags gaps in response and recommends corrective action on the response and resources
- Consulted with all elements within the mission and UNCT

POC Matrix

Locations/ priorities	Threat	Population at risk	Other Protection actors	Mission response activities	Mission responses/ Activities	Recommendations

POC Plan

Guides activities to ensure adequate management and implementation of the POC mandate

POC Plan

- Planning
- Coordination
- Information management
- Early warning and response

- Public information
- Training
- Capacity building

Planning

- Ensures that the POC strategy is part of the mission integrated approach to POC
- POC planning for police components should be captured in the police Concept of Operations (CONOPs).
- Reflects and is reflected in the police CONOPS and DUF, especially in terms of threat assessments, priorities, and roles and responsibilities that these documents commonly lay out.

Mission-Specific Planning

- The nature of the threat and the associated risk to civilians
- The mission's ability to address the threat
- The comparative advantages and expected impact on the mission
- The possible negative consequences of its actions or inaction

Planning References

- POC Action Plan
- POC Matrix





- Capacities and resources for POC action
- Mission POC architecture

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

Lesson 3.2: Guidelines for UN Police in Protection of Civilians

Relevance

SCR 2185 (2014) affirmed the central role of the protection of civilians in the work undertaken by the United Nations Police

> Protection is a central policing task in domestic settings but different in the context of a UN peace operation

> > Effective POC requires joint civilian-policemilitary planning

> > > The guidelines are designed to assist UNPOL in implementing protection of civilians

Learning Overview

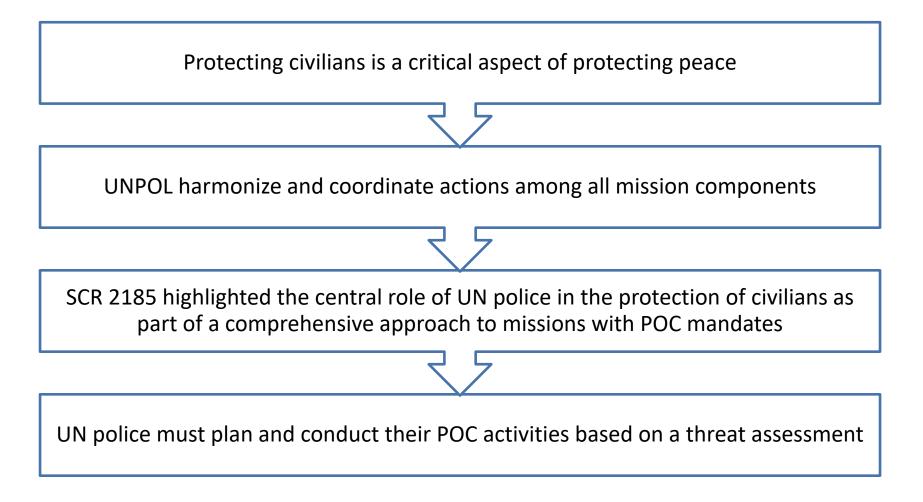
- Introduction
- Mission and role of UNPOL in POC
- UNPOL planning for POC and key activities
- The three Tiers approach and role of UNPOL
- Four operational phases and UNPOL
- Cooperation with mission components
- Training
- Conclusions

Learning Objectives

Learners will be able to:

- Explain the protection role of United Nations Police POC
- Identify UNPOL activities in the three Tiers and each of the four operational phases
- Illustrate the integrated approach in POC
- Explain the mechanism of cooperation in case of POC operations along with the civilian and military components

Introduction



Guidelines "United Nations Police in Protection of Civilians"

Assist UNPOL in implementing POC mandates

Apply to police components of United Nations peace operations with POC mandates

Reflected in

- Pre-deployment training modules
- Induction and in mission training





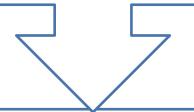
Guidelines "United Nations Police in Protection of Civilians"

Aimed at

- HOPC and SMT
- HQ & Mission planners
- All UNPOL personnel
- Civilian experts

Mission of UN Police

To enhance international peace and security by supporting Member States in conflict, post-conflict and other crisis situations to realize effective, efficient, representative, responsive and accountable police services that serve and protect the population.



UN police build and support, or, where mandated, act as a substitute or partial substitute for host-State police capacity to prevent and detect crime, protect life and property and maintain public order and safety in adherence to the rule of law and international human rights law.

UN Police and POC

- Enhance international peace and security
- Protect and respect human rights
- Respect and promote the primary responsibility of host governments to protect civilians
- Active duty to protect
- Prioritize POC activities among their mandated tasks

Protection Domestic and PKO settings

- Protection is a central policing task in domestic settings
- UN police have different authority and resources
- UN police tasks differ from policing in a domestic setting
- In PKOs, physical threats to civilians may be different

Key activities of United Nations Police in POC

POLICI

- Communityoriented policing
- Early Warning
- Public order and security
- Support to host State police

Head of UN police component

- Command responsibility
- Contribute to the development and implementation of POC strategy
- Issuance of operational plans (OPLAN) and directives
- Ensure common understanding of Directive on the use of force (DUF)
- Ensure training delivery

UN Police capacities for POC



UN police contribution to POC

- Analyse threats
- Prevent
- Pre-empt
- Respond to violence against civilians
- Consolidation



Planning for UNPOL

Based on joint threat assessment

Location and size of vulnerable groups

Capacity and intent of spoilers Capacity and willingness of host country police to protect civilians

The three tier approach

UN peace operations undertake POC activities through the following three-tier approach:

- Tier I protection through dialogue and engagement;
- Tier II provision of physical protection
- Tier III establishment of a protective environment

No inherent hierarchy or sequencing between the tiers

Tier I – Protection through dialogue and engagement

Examples of UNPOL activities

- Information gathering and analysis in support of political processes
- Liaise and advocate for protection of civilians with host-State authorities
- Strengthen community-oriented policing approaches and promote engagement with communities
- Record and share allegations of violations of human rights

Tier II – Provision of physical protection

Activities involving the show or use of force to <u>prevent</u>, <u>deter</u>, <u>pre-empt</u> and <u>respond</u>

Formed Police Units play a critical role

FPUs role in POC should be reflected in the Police CONOPS and OPLAN

Tier II – Provision of physical protection

IPOs can support the provision of physical protection by:

- Working closely with human rights components and civil affairs
- Contributing to the identification of areas and situations for which physical protection measures undertaken by FPUs should be prioritised

Tier II – Examples of UN Police activities to provide physical protection

- Monitor, gather and share information
- Conduct risk and threat assessments taking into account vulnerabilities of civilians
- Patrolling
- Presence at refugee and/or IDP camps
- Human rights monitoring
- Maintain a robust posture and/or high-profile presence in areas of potential threat

Tier II – Examples of UN Police activities to provide physical protection

- Deploy proactively to strategic locations to deter attacks on civilians
- Provide protective defensive positions around civilian settlements
- Prevent, pre-empt and respond to physical threats
- Stop and detain as set forth in the mandate and DUF

Tier III – Establishment of a protective environment

- Building the capacity and willingness of the host-State police and other law enforcement services to protect civilians
- Reform, restructure and rebuild host-State police
- Human rights monitoring and investigations
- Support to the re-establishment of judicial and corrections systems
- Support child protection and SGBV activities

Focus on capacity building

Extend state authority

Build capacity of the justice chain

Support the host State police

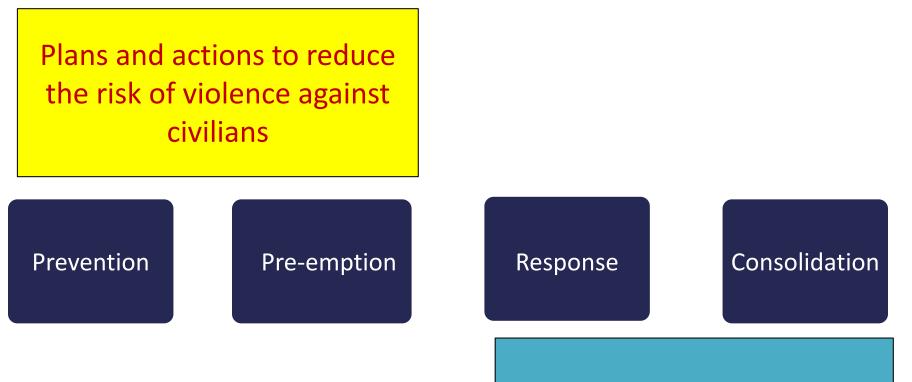
Rigorous application of HRDDP and SGF Increase host state police contributions to the establishment of a protective environment. The three-tier approach: Operational phases

All three tiers of POC actions are implemented along four operational phases

- Prevention,
- Pre-emption,
- Response
- Consolidation

The four phases are not necessarily sequential they can be simultaneous or independent.





Reactive – Plans to reduce the effects of violence

Operational Phases – Learning activity



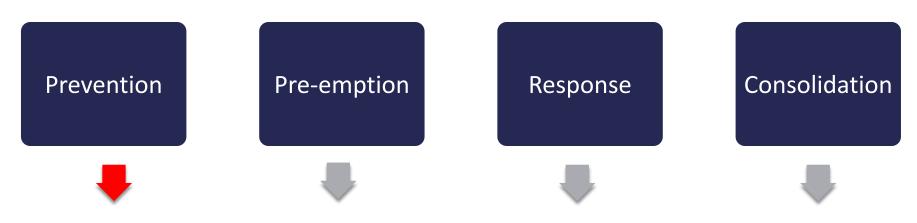
Learning Activity 3.2 a

Instructions

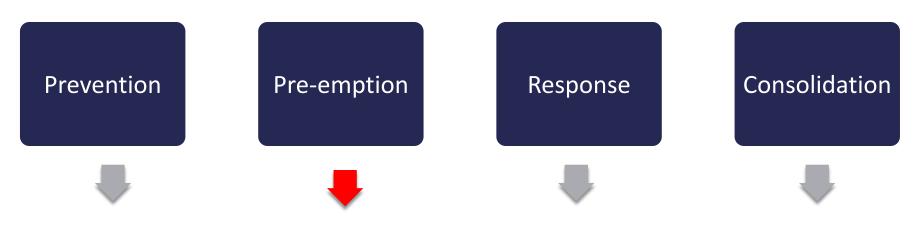
- Consider the four operational phases and identify for each phase tasks for UNPOL
- Once tasks for UNPOL have been identified, list tasks for FPUs, IPOs and/or other UNPOL elements

Time: 20 minutes

- Brainstorming: 12 minutes
- Discussion: 8 minutes



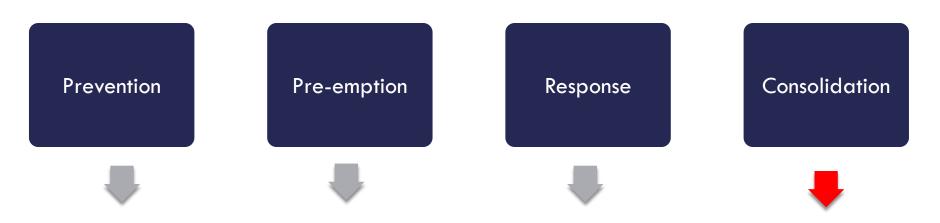
- Visible presence, patrols, FPU deployments
- Identify Early Warning of Human Rights Violations
- Mitigate community conflicts that could escalate into physical violations
- Sensitize host-State police to HR and IHL standards
- Support accountability mechanisms for internal/external oversight



- Increased patrolling either jointly with host-State police or unilaterally
- Proactive engagement, advocacy with and support to host-State police whose elements have perpetrated violence against civilians
- Political pressure; intensified communication with armed actors and potential parties to the conflict
- Human rights monitoring and reporting



- Direct action by FPUs to protect civilians as set forth in the DUF
- Provide direct physical security to stop aggressors and secure civilians' movement to more stable areas
- Mobilize, persuade and support host-State police in extending their presence and ensuring rule of law and public order in affected areas
- Collect, register and preserve evidence of crimes against humanity and other serious crimes
- Human rights monitoring and reporting



- Mediation and stabilization post-crisis
- Restoration of the rule of law and prevent recurrence of violence
- Collection of evidence and human rights investigations
- Support delivery of humanitarian aid

Police & military cooperation in POC





Let's work together

Police - Military cooperation overview

- Military and Police provide physical protection
- As a matter of principle police/military joint operations should be considered as an exception
- Different Techniques, Tactics and Procedures (TTPs) could create difficulties during the conduct of the operations
- Nevertheless circumstances where police/ military components must work in mutual support may occur

Police - Military cooperation overview (continued)

Should the operational need arise mutually supportive operations

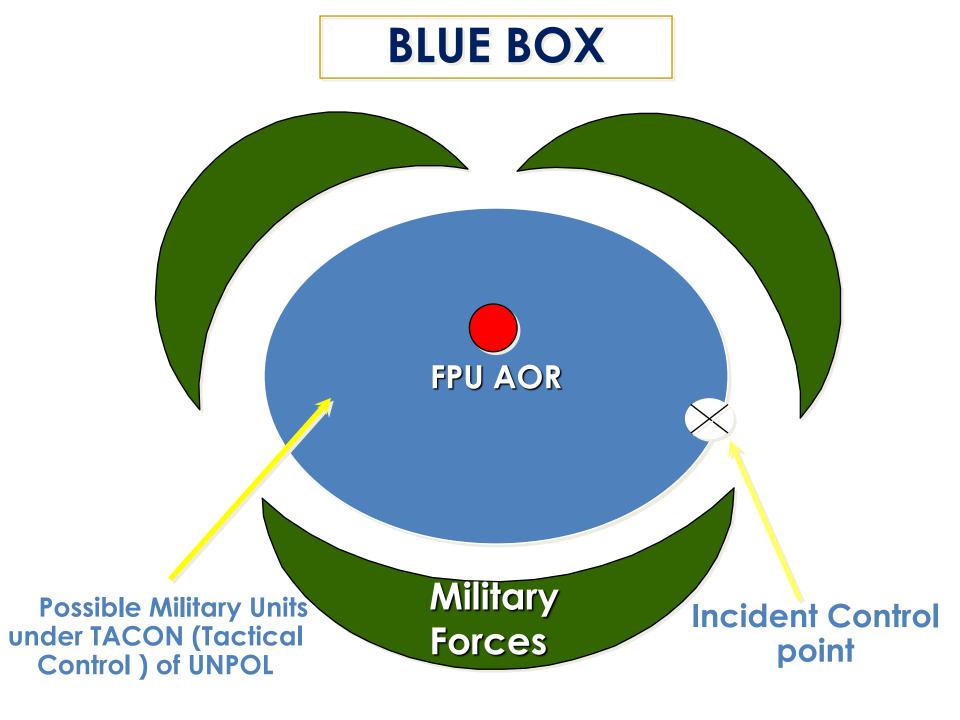
have to be considered

Mutually supportive operations Coordination & Co2

In mutually supportive operations coordination is a key issue Operations must be planned in advance and rehearsed

Command and Control must be carefully determined in advance

Mission develop joint operational guidelines



Key Factors for mutually supportive operations

• Understand mission of other components

• Respect independent role of each component

 Awareness of means and capabilities of different components

Cooperation with other partners

- JMAC/JOC
- Human Rights
- POC Adviser
- Justice and Corrections
- Mine Action
- Civil Affairs
- Public Information
- Humanitarian Country Team

Learning Activity 3.2 b

Instructions

Participants will be divided in groups

Each group has to identify areas where cooperation among different mission components is required

Time: 15 min Brainstorming: 9 minutes Discussion: 6 minutes

POC Training

- UN Police, particularly commanding officers, need a clear understanding of the POC strategy
- Each UN Police Officer should be aware of the role of UN Police in POC
- Each UNPOL should be aware how and when force can and should be used in accordance with the DUF



Learning Activity 3.2 c

Instructions

Participants will be divided in groups and will answer the following questions:

Which activities do/can UN Police undertake that have greatest impact on:

- Immediate security of civilians?
- Prevention, pre-emption, response?
- The protective environment?

Time 10 min Brainstorming: 6 minutes Discussion: 4 minutes

Take Away

- The POC Guidelines for UN Police provide detailed guidance for strategic, operational and tactical levels
- UN Police have an active duty to protect
- UN Police prioritize POC activities among other mandated tasks

Take Away (continued)

- Close cooperation with other mission components and local authorities is essential
- Particular attention to the needs of vulnerable groups
- UN police play a role in all the three tiers

Questions

Lesson 3.3: Use of force by UNPOL in Protection of Civilians



• Use of force is the last resort to protect civilians

• Failures to protect civilians may affect the credibility of the mission & the UN as a whole

 The use force is authorized against any source of violence as soon as a threat against civilians has been identified.

Learning Overview

- Introduction
- Legal and operational perspective
- Principles of use of force
- De-escalation strategies
- Use of fire arms
- Concept of precaution
- Training
- Equipment
- Take away

Learning Objectives

Learners will be able to

- Explain circumstances when force can be used in Protection of Civilians
- Define the principles of use force and the concept of precaution
- Explain the impact that use and misuse of force may have on the Mission

Introduction

- UNPOL exercise powers in accordance with the UNSCR, CONOPS, DUF, etc.
- UNPOL must respect international human rights and criminal justice standards
- Level of authority for UNPOL is spelled out in the Directive on the Use of Force (DUF)
- UNPOL acts in law enforcement environment

Introduction

Misuse of force may have negative effect

The use of force affects every aspect of the mission

Use of force precise, timely, appropriate, necessary and proportionate to the threat

A failure to use necessary force may result in accountability

<u>The use of force</u> <u>should be limited</u> <u>and carefully</u> <u>considered</u>



Use of Force is an issue to be analysed from the following perspectives:

- Legal
- Operational

Use of Force – legal perspective

Force used in accordance with the UN SCR and DUF



UNPOL exercise their functions in accordance with international human rights standards for law enforcement (stricter than IHL)





Consideration

"UNPOL feel in some situations so afraid of violating use of force standards that they fail to act altogether (or they use supposed fear of violating standards as pretext not to put themselves in harm's way)"

Principles of use of force

- Legality
- Necessity
- Proportionality
 - -(Precaution)-
- Accountability

All police actions will be aimed at the protection and preservation of human life, property, liberty and dignity



Principles of use of force Legality

Compliance with International Law

Mandate and DUF

Principles of use of force Necessity



use of force last resort Only minimum use of force

FPUs must seek to proactively deescalate potentially violent situations Principles of use of force -Necessity

De-escalation strategies in crowd control:

- Avoid suppression of peaceful assemblies
- Identification and isolation of violent individuals
- Dispersal is not always necessary
- Clear instructions to disperse
- Space & time to disperse
- De-escalation must be trained

Principles of use of force Proportionality

Act in proportion to the offence and the legitimate objective to be achieved

Minimize damage and injury to the target persons

Respect and preserve human life

Innocent bystanders should not be injured or killed

Use of fire arms

Firearms are to be used only in extreme circumstances:

- Self-defence or defence of others against imminent threat of death or serious injury
- To prevent serious crime that involves a grave threat of life
- Intentional lethal force («shooting to kill») only to protect life against imminent threat

No use of firearms for the sole purpose of protecting the property of the United Nations!

Precaution Organizational Duties

Proper planning

Proper command and control during operations

Adequate equipment

Adequate personnel with adequate training

Full consideration of groups with special vulnerabilities

Ensuring precaution is a command responsibility

Principles of use of force Accountability

Any arbitrary or abusive use of force and firearms shall be punished as a criminal offence under the law

Where injury or death is caused by law enforcement officials they shall report the incident to their supervisor

Any incident involving serious injury, death or use of firearms must be subject to a sufficient independent, impartial, prompt and effective investigation

Superior officials shall be held responsibile for actions of police officers under their command if he/she failed to take concrete action Complying with Use of force Operational perspective

- Risk of hurting innocent bystanders in use of force
- Risk of violence escalation in case of use of force, implying increased risk to UNPOL
- Impact on consent from local population in case of no proper action or abuse of use of force

Use of force/Equipment

- UNPOL must have adequate protective equipment essential prerequisite -
- List of authorized equipment is detailed in the DUF
- Safety and security of UN Police is a priority
- Police must be protected to protect civilians

"The more exposed and unprotected police officers are, the more likely they are to resort to a high level of force"

Training

Appropriate training, including on use of less lethal weapons, will enable FPUs to safely and appropriately deal with different circumstances

Take Away

- The use of force is the last resort to protect civilians
- Failures to protect civilians may affect the credibility of the mission & the UN as a whole
- Presence and posture as well as early warning are key factors for success
- Ensuring sensitivity to POC, Child Protection and CRSV threats and challenges.
- Force may be required, but must not be excessive.

Questions

Lesson 3.4: Tactical decision-making process

Relevance

- Commanders and their staff need to understand the overall strategic and operational framework of the planning process
- Tactical Commanders and their staff must elaborate plans to conduct effective police operations at the tactical level

Learning Overview

- Introduction
- Definition
- Purpose of planning
- Decision-making wheel
- Tactical considerations for planning
- Overview of OPORDER

Learning Objectives

Learners will be able to

- Define a problem
- Illustrate planning methodology
- Show how to generate alternatives
- Use the decision-making process at tactical level, issuing their own OPORDER

Introduction

- Operations are never improvised
- The concept of maneuver and the associated orders are the result of methodical analysis of different factors
- Decision are made in accordance with doctrine and legal basis

Definition

Effective decision-making is a defined process that helps to identify and select the best action among several alternative options, based on a goal and an evaluation of possible consequences.

Decision and Planning Process

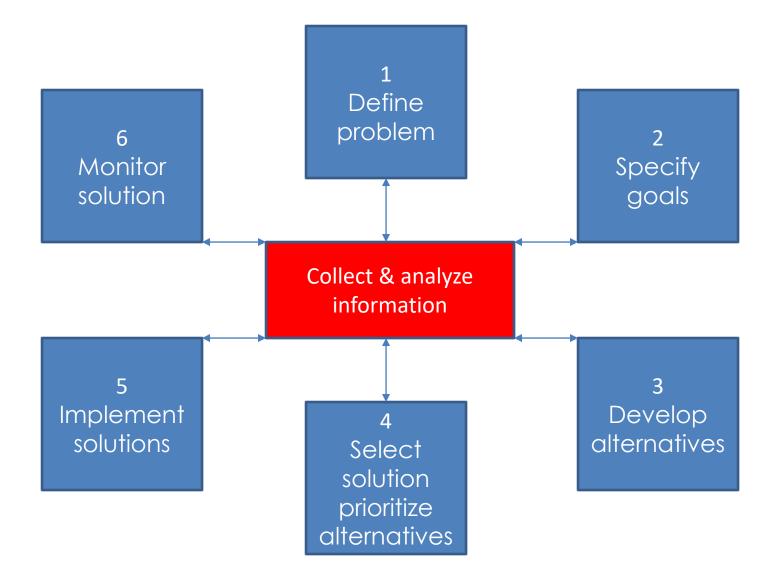
Analytical and deductive logical process

- Based on commander's centrality (Commander Led)
- Used for solution of problems pertaining to actions at all levels of responsibility (strategic, operational and tactical) and for all operations

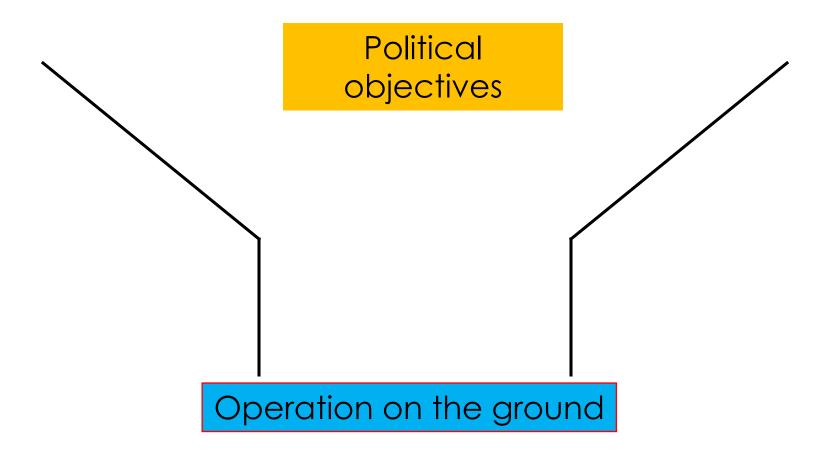
Logical steps to be followed in a DMP

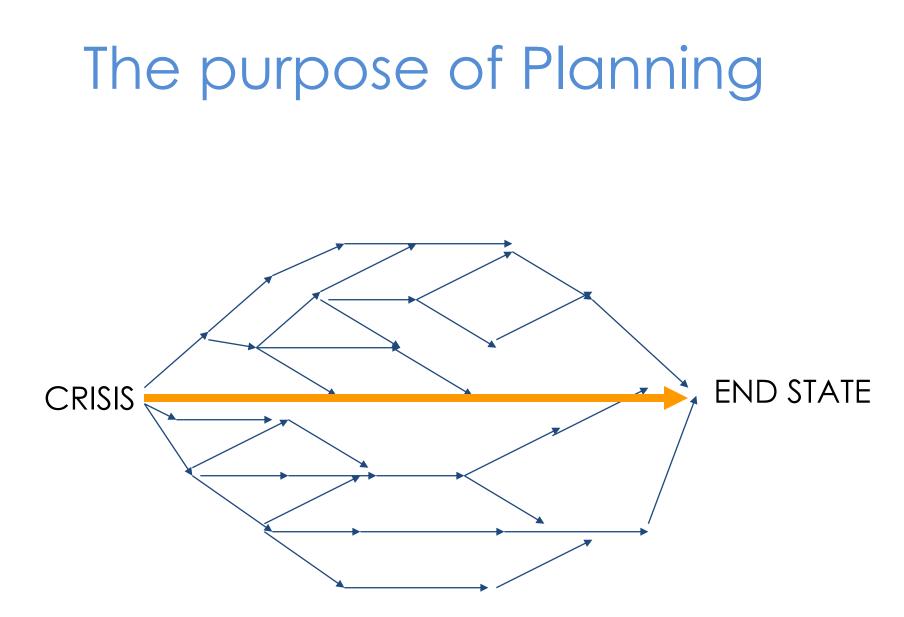
- Defining the situation/decision to be made
- Collection and Analysis of pertinent information
- Consider all possible solutions
- Calculate the consequences of these solutions (pros and cons)
- Choose the best option

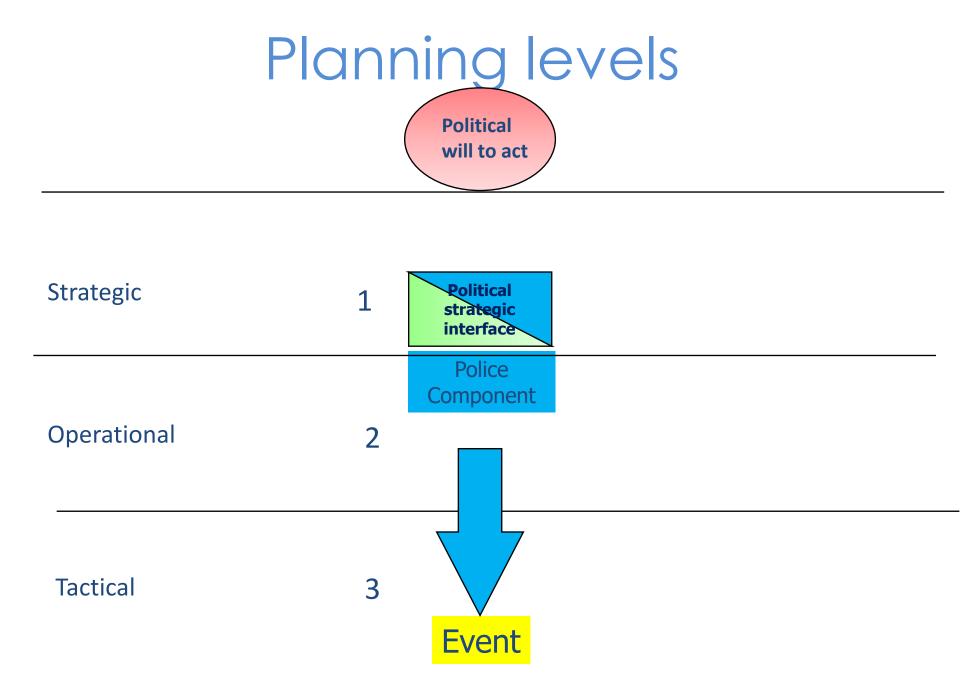
Decision making wheel



The purpose of Planning

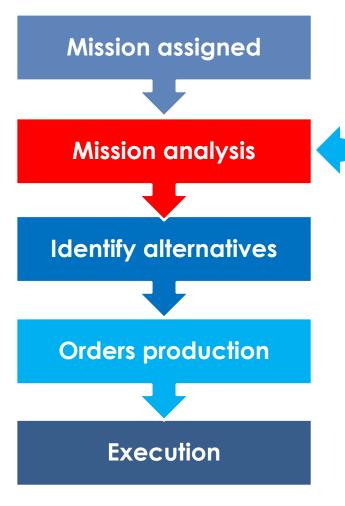






Protection of Civilians -Tactical considerations





1. Identify Key Actors

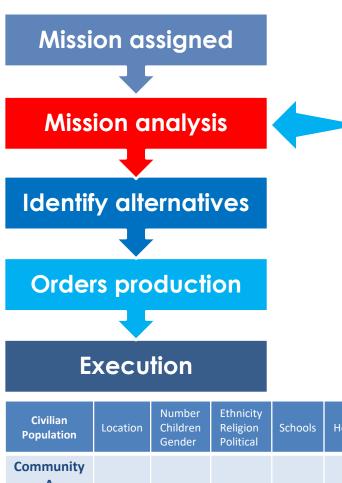
- a. Civilian population
- b. Potential perpetrators including criminal group
- c. Host State police and security forces
- d. Other protection actors

2. Threat Analysis

- a. Overview
- b. Key Elements
- c. Matrix

3. Risk Analysis

- a. Vulnerability assessment
- b. Protection actors capability assessment
- c. Danger level assessment
- d. Risk analysis matrix



1. Identify Key Actors

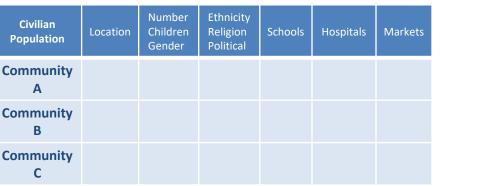
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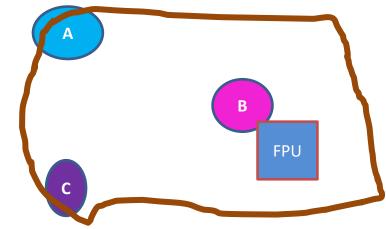
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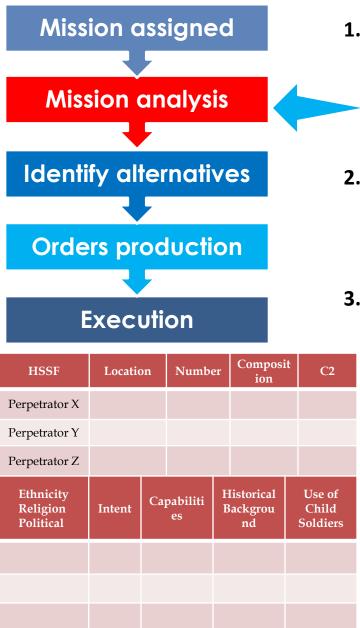
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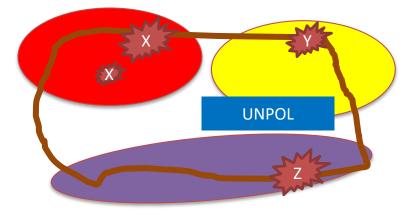
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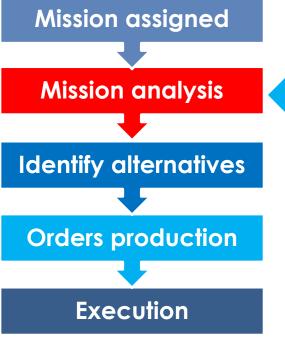
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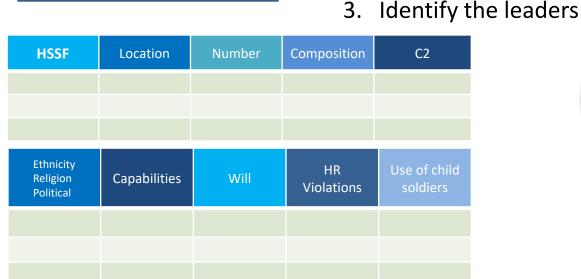
3. Risk Analysis

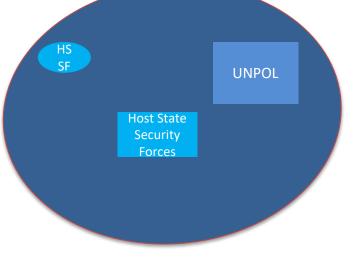
- a. Vulnerability assessment
- b. Protection actors capability assessment
- c. Danger level assessment
- d. Risk analysis matrix





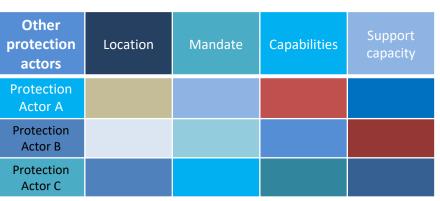
- 1. Pinpoint location and area of influence or operations
- 2. Determine:
 - Number, composition and C2
 - Ethnicity, religion and political affiliation
 - Capability and will to protect civilians
 - Human rights records
 - Use of child soldiers

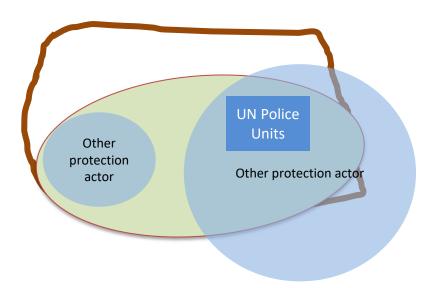






- 1. Pinpoint location and area of influence or operations
- 2. Determine:
 - Mandate and capabilities
 - Their capacity and will to support peacekeeping operations
 - Their dependence on peacekeeping support
- 3. Identify the existing coordination mechanisms with the mission





Mission analysis



- 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)

Mission analysis

Threats

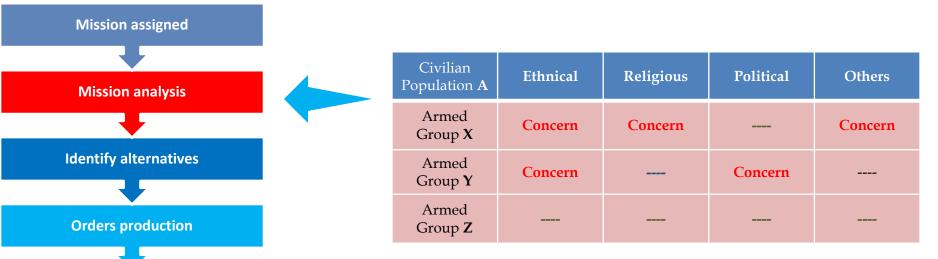
Threat: Any factors (actions, circumstances, hazards or events) which have the potential or possibility to cause harm, loss or damage to the operations.

Threat = Capability x Intent

Example:

- A potential adversary group with intent to cause harm but with minimal capability is a limited threat.
- A group with significant capability but no intent poses almost no threat.

Threat analysis - Key Elements



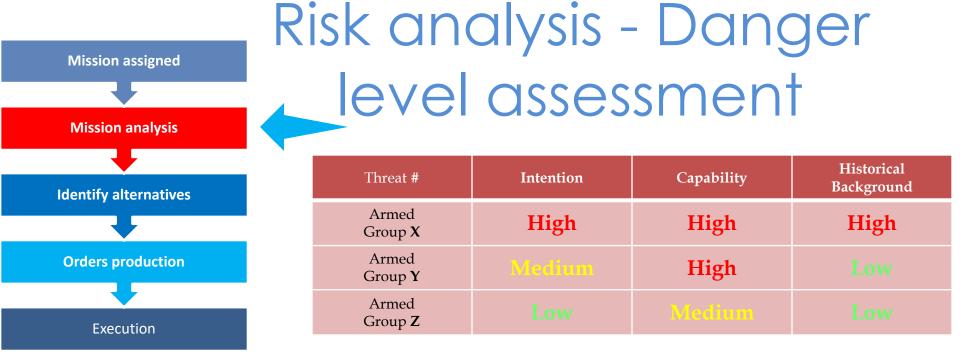
Execution

Threat analysis - Threat analysis Matrix

What	Who	Whom	Where	When	Why	How
Threat 1	Perpetrator X	Community A	Lat-Lon	РМ	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

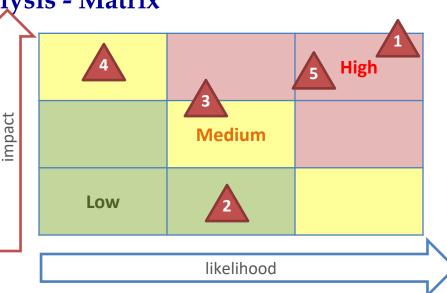
Threat Analysis Matrix

What	Who	Whom	Where	When	Why	How

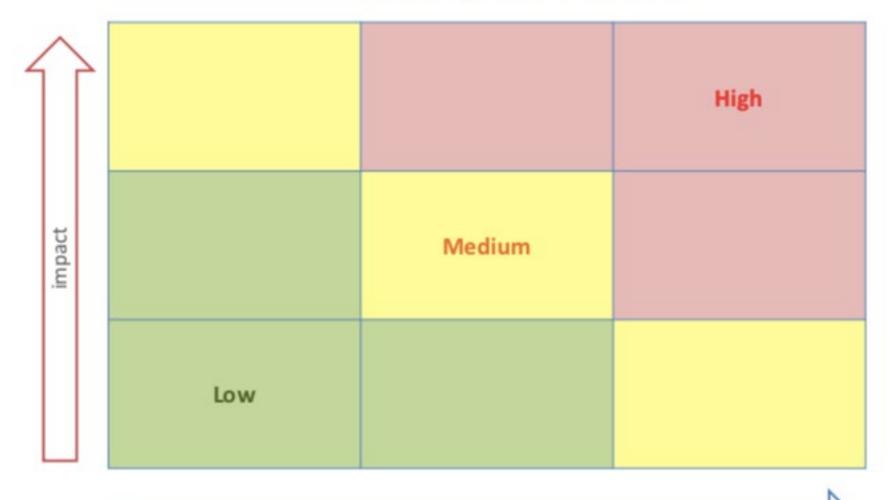


Risk analysis - Matrix

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

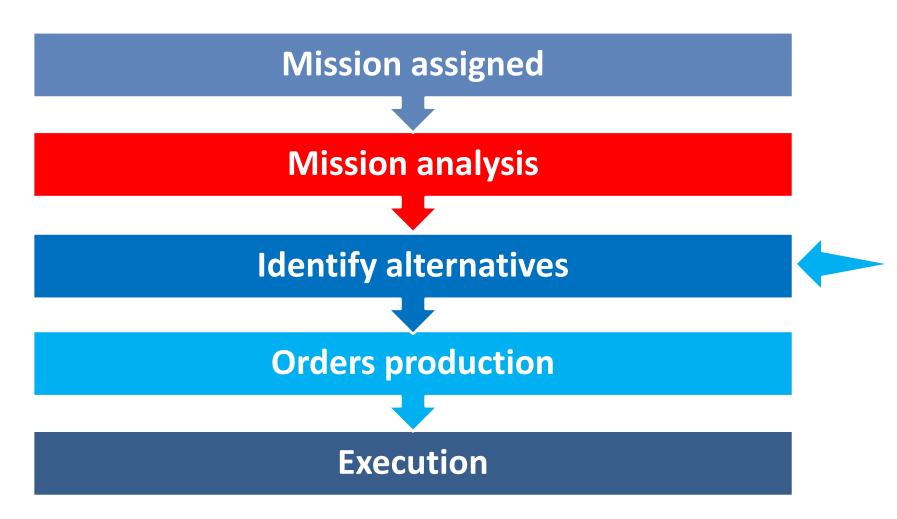


Risk Analysis Matrix



likelihood	

Tactical considerations



Summary of intended COAs

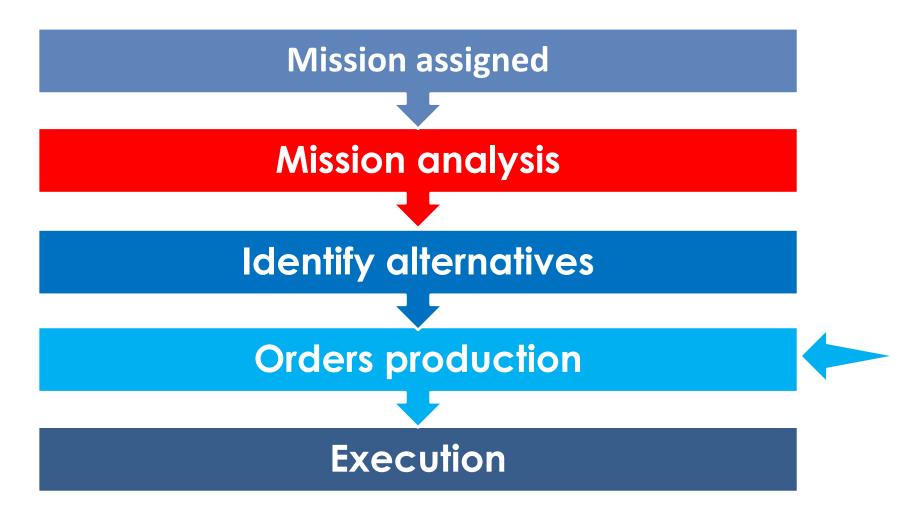
Threats	Prevention	Preemption	Response	Consolidation

FACTORS

Main effect Restrictive condition Imperative



Tactical considerations



- 1. Situation
- 2. Mission
- 3. Execution
- 4. Logistic
- 5. Command & Control and communication Annexes

1. Situation

- General Information
- Political context
- The Local Police
- Other organizations involved in the area
- Risk assessment
- Threat assessement

2. Mission

Provide clear, concise definition of the purpose and the nature of the operation

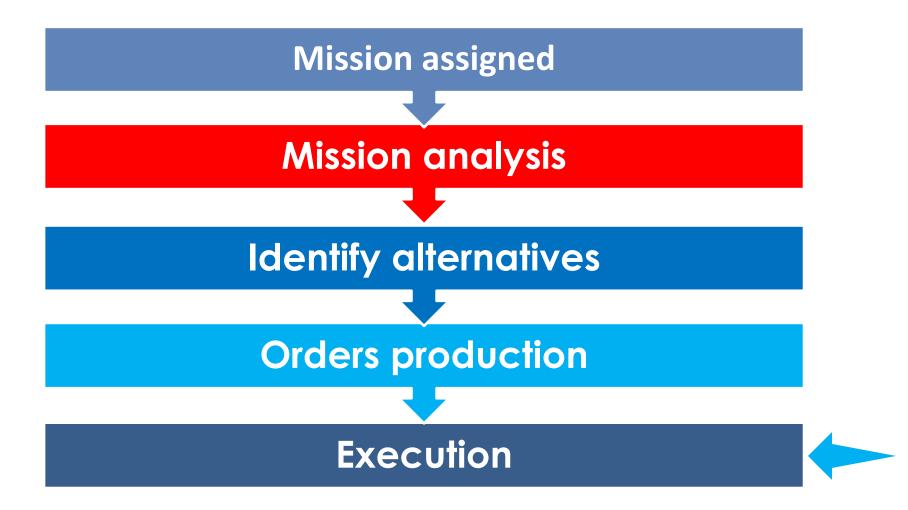
3. Execution

- Force composition
- Tasks
- Commander's intent
- Concept of operations- how the operation will be conducted
- Area of operation
- Co-ordinating instructions

- 4. Service support / Logistic organisation
- Logistics
 ✓ How logistics support will be carried out
- Movements
- MEDEVAC
- Co-ordination and liaison

Service support information could be included in detail in specific annexes

Tactical considerations



Take away

Planning is a
continuous process
from the strategic to
the tactical level

Different authority or command levels correspond with different planning phases and documents

Mission analysis critical step

Risk analysis guides prioritization of threats

POC, Child Protection and CRSV considerations influence tactical DMP

Consultation with other mission and non-mission actors is 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 of existing guidance and principles
- Child Protection and CRSV are integral to protection of civilians and require particular consideration