

COUNTERINSURGENCY (COIN)



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Foreword

This manual takes a general approach to COIN. The Army recognizes that every insurgency is contextual and presents its own set of challenges. You cannot fight the Taliban the way you would fight the former Soviet Union; the application of principles and fundamentals to deal with each vary considerably. Nonetheless, all insurgencies, even today's highly adaptable strains, remain wars amongst the people, employ variations of standard themes, and adhere to elements of a recognizable revolutionary campaign plan. This manual therefore addresses the common characteristics of insurgencies. It strives to provide those carrying out a counterinsurgency campaign a solid foundation on which to build in seeking to understand and address specific insurgencies.

A counterinsurgency campaign is, as described in this manual, a mix of offensive, defensive, and stability operations, conducted along multiple lines of operation. It requires Soldiers to employ a mix of both familiar combat tasks and skills more often associated with nonmilitary agencies, with the balance between them varying depending on the local situation. This is not easy. Leaders at all levels must adjust their approach constantly, ensuring that their elements are ready each day to be greeted with a handshake or a hand grenade, to be nation builders as well as warriors, to help reestablish institutions and local security forces, to assist in the rebuilding of infrastructure and basic services, and to facilitate the establishment of local governance and the rule of law. The list of such tasks is a long one and involves extensive coordination and cooperation with a myriad of intergovernmental, indigenous, and international agencies. Indeed, the responsibilities of leaders in a counterinsurgency campaign are daunting – and the discussions in this manual endeavor to alert them to the challenges of such campaigns and to suggest general approaches for grappling with those challenges.

Conducting a successful counterinsurgency campaign thus requires a flexible, adaptive force led by agile, well-informed, culturally astute leaders. It is our hope that this manual provides the necessary guidelines to succeed in such a campaign, in operations that, inevitably, are exceedingly difficult and complex. Our Soldiers deserve nothing less.

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Preface

This manual establishes doctrine (fundamental principles) for military operations in a counterinsurgency environment. It is based on lessons learned from previous counterinsurgencies and relevant combat operations. It is also based on existing interim doctrine, and doctrine recently developed. Many people who articulate and apply ANA policy and those who conduct operations in counterinsurgency environments are neither conversant nor familiar with the principles of insurgencies and counterinsurgencies. This is not surprising, considering that these subjects have been generally neglected in broader military doctrine and national security policies over the last 40 years ago. This manual is designed to reverse that trend. It is also designed to merge traditional approaches to counterinsurgency with the realities of a new international arena shaped by technological advances and globalization. To make this text useful to leaders involved in counterinsurgency operations regardless of where these operations may occur, the doctrine contained herein is broad in scope and involves principles applicable to various areas of operation. This manual is not focused on any region or country. Insurgencies have many common characteristics and patterns, while their ideological basis may vary widely. Fundamental to all counterinsurgencies is the need to assist local authorities to secure the populace and thereby separate the people from the insurgents while enhancing the legitimacy of the government. Insurgents thrive on terrorizing and intimidating the population to gain control over them. Thus, creating chaos to undercut and reduce governmental legitimacy and authority, and fostering overall instability. But ANA forces must also appreciate the importance of other agencies and other missions in achieving a lasting victory. They must be prepared to render required assistance as well as perform traditionally nonmilitary tasks. The primary audience for this manual is leaders and planners at the Kandak level and above. This manual applies to the Afghan National Army, unless otherwise stated.

Chapter 1

Insurgency and Counterinsurgency

Counterinsurgency is not just thinking man's warfare—it is the graduate level of war.

This chapter provides background information on insurgency and counterinsurgency (COIN). The first half of this chapter describes insurgency, while the second part examines the much more complex challenge of countering it. The chapter concludes with a set of principles and imperatives necessary for success in COIN.

OVERVIEW

1.1 Insurgency and counterinsurgency are subsets of war. Though globalization and technological advancement have influenced contemporary conflict, the nature of war in this century is the same as it has been since ancient times, "...a violent clash of interests between or among organized groups characterized by the use of military force." Success in war still depends on a group's ability to mobilize support for its political interests and generate sufficient violence to achieve political consequences. Means to achieve these goals are not limited to regular armies employed by a nation-state. At its core, war is a violent struggle between hostile, independent, and irreconcilable wills attempting to impose their desires on another. It is a complex interaction between human beings and is played out in a continuous process of action, reaction, and adaptation. As an extension of both policy and politics with the addition of military force, war can take different forms across the spectrum of conflict. It may range from large-scale forces engaged in conventional warfare to subtler forms of conflict that barely reach the threshold of violence. It is within this spectrum that insurgency and counterinsurgency exist.

1.2 Insurgency and its tactics are as old as warfare itself. Doctrine defines an *insurgency* as an organized movement aimed at the overthrow of a constituted government through the use of subversion and armed conflict (Ministry of Defense Dictionary of Military Terms). *Counterinsurgency* is those political, economic, military, paramilitary, psychological, and civic actions taken by a government to defeat an insurgency (Ministry of Defense Dictionary of Military Terms).

1.3 Those definitions are a good starting point, but they do not properly highlight the key paradox that insurgency and counterinsurgency are distinctly different types of operations. However, they are related, though opposing, and are two sides of a phenomenon that has sometimes been called revolutionary war or internal war.

1.4 Political power is the central issue in an insurgency, and each side has this as its aim. The insurgent attempts to overthrow or subvert an established government or authority; the counterinsurgent uses all of the instruments of national power to support the government in restoring and enforcing the rule of law. Counterinsurgency thus involves the controlled application of national power in political, information, economic, social, military, and diplomatic fields and disciplines. Its scale and complexity should never be

underestimated by leaders and planners; indeed, the possible scale and complexity must be understood before the beginning of any such operation.

ASPECTS OF INSURGENCY

1.5 Governments can be overthrown in a number of ways. A revolution is an unplanned, spontaneous explosion of popular will. At another extreme is a coup d'état, where a small group of plotters replace state leaders with little support from the people at large. An insurgency is an organized, protracted politico-military struggle designed to weaken government control and legitimacy while increasing insurgent control. Insurgencies normally seek to either overthrow the existing social order and reallocate power within the country, or to break away from state control and form an autonomous area. Insurgency is always a form of internal war, while coups and revolutions can become such a war if they do not come to an immediate resolution. As the name "internal wars" implies, these are primarily conflicts within states, not conflicts between states, and they all contain at least some element of civil war.

1.6 The one possible exception to this rule involves what can be termed a "liberation insurgency," where indigenous elements seek to expel or overthrow what they perceive to be a foreign or occupation government. Such a resistance movement could be mounted by a legitimate government-in-exile as well as by elements competing for that role.

1.7 Even in internal wars, the involvement of outside actors is to be expected. Today there is a growing global aspect in the form of transnational extremist organizations linked to and exploiting the internal conditions that plague failed and failing states and result in conditions ripe for insurgency. In all cases, however, the long term objective for all sides remains acceptance of the legitimacy of one side's claim to political power by the people of the state or region.

1.8 Calling the terrorist or guerrilla tactics common to insurgency "unconventional" or "irregular" can be very misleading, since they have been among the most common approaches to warfare throughout history. Any combatant prefers a quick, cheap, overwhelming victory to a long, bloody, protracted struggle. But to achieve success in the face of superior resources and technology, weaker actors have had to adapt. Opponents who have offset fire and surveillance advantages by operating close to civilians and news media have been more successful in achieving their aims. This does not mean that counterinsurgents do not face open warfare. Insurgents resort to conventional military operations if conditions seem right, in addition to using milder means such as nonviolent political mobilization of people, legal political action, and strikes.

1.9 The contest of internal war is not "fair," as most of the rules favor the insurgent. That is why insurgency has been a common approach used by the weak to combat the strong. At the beginning of a conflict, insurgents have the strategic initiative. Though they may be prodded into violence by regime changes or government actions, the insurgents generally initiate the war. They may strive to disguise their intentions, and the potential counterinsurgent will be at a great disadvantage until political and military leaders

recognize that an insurgency exists and are able to determine its makeup and characteristics to facilitate a coordinated reaction. While the government prepares to respond, the insurgent is gaining strength and creating increasing disruptions throughout the state. The existing government normally has an initial advantage in resources, but that edge is counterbalanced by the requirement to maintain order. The insurgent succeeds by sowing chaos and disorder anywhere; the government fails unless it maintains order everywhere.

1.10 The vast and necessary resources expended for security by the counterinsurgent always dwarf those of their opponents, and successful COIN often requires a very high force ratio. That is a major reason why protracted wars are hard for a counterinsurgent to sustain. The scale and complexity of COIN should never be underestimated. The effort requires a firm political will and extreme patience on the part of the government, its people, and countries providing support. The widespread security requirements also limit flexibility, again ceding initiative to the insurgents.

1.11 Insurgents have an additional advantage in shaping the information environment. While the counterinsurgent seeking to preserve legitimacy must stick to the truth and make sure that words are backed up by appropriate deeds, the insurgent can make exorbitant promises and point out governmental shortcomings, many caused by the insurgency. Ironically, as the insurgent achieves more success and begins to control larger portions of the populace, this capability diminishes. Thus, it may produce new vulnerabilities to be exploited by an adaptive counterinsurgent.

1.12 COIN is not an approach to war that can be classified simply as foreign internal defense. It features full spectrum operations, including stability operations, like any other campaign (See Figure 1-1). The course of an insurgency involves significant variations in the proportion of effort devoted to the different types of operations by region and time. In all cases, however, insurgencies will not be defeated by simply killing insurgents. Since the insurgent begins with the strategic initiative, the counterinsurgent is usually involved initially in more defensive than offensive operations. To regain the initiative, the counterinsurgent strategy focuses on stability operations, addressing the root causes of societal discontent through reforms or reconstruction projects, performing other measures to positively influence the support of the people, and conducting combat operations against insurgent forces. As the counterinsurgent gains success, offensive and defensive operations become more in balance and eventually diminish in importance compared to stability operations. Victory cannot be gained until the people accept the legitimacy of the government mounting COIN and stop actively and passively supporting the insurgents.

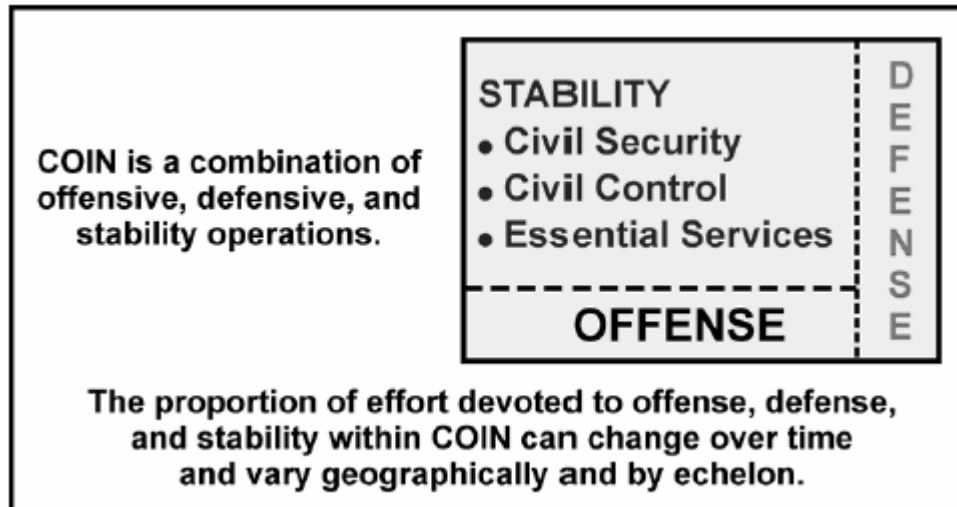


Figure 1-1. Possible Counterinsurgency Phases

THE EVOLUTION OF INSURGENCY

1-13. Revolutionary situations may result from regime changes, external interventions, and grievances carefully nurtured and manipulated by unscrupulous leaders. Sometimes societies are most prone to unrest not when conditions are the worst, but when the situation begins to improve and people's expectations rise. Influences of globalization and the international media may create a sense of relative deprivation, contributing to increased discontent as well.

1-14. Insurgency has taken many forms over time, from struggles for independence against colonial powers, to the rising of disadvantaged ethnic or religious groups against their rivals, to resistance to foreign invaders. The student of insurgency and practitioner of counterinsurgency must begin by understanding the specific circumstances of their particular situation; while studying the history of this mode of warfare, they must also understand how varied it can be.

1-15. Interconnectedness and information technology are new aspects of this contemporary wave of insurgencies. Insurgents can now link with allied groups, including criminal organizations, throughout the state, region, and world, joining in loose organizations with common objectives but different motivations. Breaking up these networks can be difficult.

1-16. The contemporary environment also features a new kind of globalized insurgency, represented by Al Qaeda, and in Afghanistan, the Taliban. These groups seek to transform the Islamic world and reorder its relationship with the rest of the globe. Such groups feed on local grievances, integrate them into broader ideologies, and link disparate conflicts through globalized communications, finances, and technology. While the scale of the effort is new, the grievances and methods that sustain it are not. As in other insurgencies, terrorism, subversion, propaganda, and open warfare are its tools. But

defeating such an enemy requires a similarly globalized response to deal with the array of linked resources and conflicts that sustain it.

INSURGENTS AND THEIR APPROACHES

1-17. Each insurgency is unique, although there may be similarities among them. In all cases, the insurgents' aim is to force political change; any military action is secondary and subordinate, a means to an end. Few insurgencies fit neatly into any rigid classification. Examining the specific type of insurgency one faces enables commanders and staffs to build a more accurate picture of the insurgents and the thinking behind their overall campaign plan. Such an examination identifies the following:

- Root cause or causes of the insurgency.
- Extent to which it enjoys support, both internally and externally.
- Bases on which insurgents appeal to the target population.
- Insurgents' motivation and depth of commitment.
- Likely insurgent weapons and tactics.
- Operational environment in which insurgents seek to initiate and develop their campaign.

Counterinsurgent commanders may face a confusing and shifting coalition of many kinds of opponents, who may very well be at odds with one another.

1-18. There are several types of insurgents. These first four seek to completely change the existing political system:

- **Anarchists** seek disorder as their desired end state and consider any political authority illegitimate.
- **Egalitarians** seek to impose a centrally controlled political system to ensure equitable distribution of resources and a radically transformed social structure.
- **Traditionalists** desire a return to some golden age or religious-based value system. Often their goals are regional or international, and their rigid ideological structure leaves little room for compromise or negotiation.
- **Pluralists** profess traditional Western values, such as freedom and liberty, and aim to establish liberal democracies.

1-19. The remaining types of insurgents do not seek total political power in a state:

- **Secessionists** seek to withdraw altogether to pursue their own independent destiny or to join a different state.
- **Reformists** aim to use violence to make changes within a state to create a more equitable distribution of political and economic power.
- **Preservationists** use their own illegal violence against anyone trying to make changes or institute reforms.
- **Commercialists** pursue economic gain, a behavior seen in some clans and warlords in less-developed societies.

INSURGENT STRATEGIES

1-20. Counterinsurgents not only have to be able to determine what motivates their opponents, which will influence the development of programs designed to attack the root causes of the insurgency, but also what sort of strategy is being used to advance the insurgent cause. Analysis of the insurgent approach shapes counterinsurgent military options. Insurgent strategies include the following:

- Conspiratorial.
- Military-focus.
- Urban warfare.
- Protracted popular war.
- Traditional.

Conspiratorial

1-21. A conspiratorial strategy involves a few leaders and a militant cadre or activist party seizing control of government structures or exploiting a revolutionary situation. Such insurgents remain secretive as long as possible, emerging only when success can be achieved quickly. This approach usually involves the creation of a small, secretive, “vanguard” party or force. Like the Bolsheviks, successful insurgents using this approach may have to create security forces and mass support later to maintain power after seizing it.

Military-focus

1-22. Other strategies aim to create their own revolutionary possibilities or force the issue primarily through the application of military force. A small group of guerrillas taking up arms in a rural environment where grievances exist could eventually gather enough support to achieve their aims. Some secessionist insurgencies have relied on major conventional forces to try to secure their independence. Militarily focused insurgencies conducted by Islamic extremist groups have little or no political structure and spread their control through movement of combat forces rather than political subversion.

Urban

1-23. Organizations have pursued an urban warfare strategy to achieve their aims. This approach uses terrorist tactics in cities to sow disorder and create government repression, though such activities have not generated much success without wider rural support. However, as societies become more urbanized and insurgent networks more sophisticated, this approach may become more successful. When facing adequately run internal security forces, urban insurgencies typically have a conspiratorial cellular structure recruited along lines of close association—family, tribal, religious affiliation, political party, or social groups.

Protracted Popular War

1-24. Protracted conflicts favor insurgents, and no strategy makes better use of that asymmetry than the People's War conducted so well by the Chinese Communists and adapted by the North Vietnamese and Algerians. While this complex approach is relatively uncommon, it is the most difficult to counter. Mao Zedong's model divides structurally into parallel political and military hierarchies, with the political hierarchy dominant. The overall strategic direction of the conflict comes from a centralized command element. The bulk of the effort is political subversion through united fronts and mass movements. Subversion often precedes the introduction of military forces into a region, and elements of the political cadre often remain behind after government forces have driven out the military elements. The guerrilla force expects to eventually wage a conventional war and seeks to form large conventional (what Mao calls "main force") units.

1-25. Mao's "Theory of Protracted War" outlines a three-phased politico-military approach:

- **Strategic Defensive.** The enemy has the much stronger correlation of forces, and the insurgent must concentrate on survival and building support. Bases are established, local leaders recruited, and cellular networks and parallel governments established. The primary military activity is selective terrorist strikes to gain popular support and influence recalcitrant individuals.
- **Strategic Stalemate.** Guerrilla warfare becomes the most important activity, as force correlations approach equilibrium. In the political arena, the insurgent concentrates on separating the people from the government and expanding areas of control.
- **Strategic Offensive.** The insurgent now has superior strength. Military forces move to more conventional operations to destroy government military capability, while political actions are designed to completely displace all government authorities.

1-26. Maoist strategy does not require a sequential or complete application of all three stages. The aim is the seizure of political power within the state, and if the government's will and capability collapses early in the process, so much the better. Later insurgent practitioners of this strategy have added new twists, to include rejecting the notion of an eventual switch to large-scale conventional operations. The Algerian insurgents could not manage much military success at all, but they were able to garner decisive popular support through superior organizational skills and astute propaganda that leveraged French mistakes. The North Vietnamese developed a detailed variant known as *dau tranh*, "the struggle," which featured a variant of the logical lines of operations (LLO) that will be explained in Chapter 5. Besides modifying the three phases of military activity developed by Mao, they delineated specific political lines of operations to be conducted among the enemy population, enemy soldiers, and friendly forces. Though the North Vietnamese approach envisioned a culminating "general offensive–general uprising," which never occurred as they expected, it was also designed to achieve victory by whatever means were effective. It did not attack one specific enemy center of gravity

but instead put pressure on several, believing that over time victory would result from the activities of one or many lines of operation.

1-27. These protracted People's War approaches are not only conducted non-sequentially along multiple politico-military lines of operations, but also are locally configured. One province could be in a guerrilla war while another was experiencing terrorist attacks. There may be differences in political activities between villages in the same province. The result is more than just a "three-block war"; it is a shifting "mosaic war" that is very difficult for a counterinsurgent to envision as a coherent whole, let alone centralize. This pattern can exist for any single insurgency, Maoist or not, and the COIN environment can become incredibly complex.

Traditional

1-28. Many contemporary insurgencies fit a more traditional approach based on clan, tribe, or ethnic group. Such an insurgency typically has entire communities join the effort as a whole, bringing with them their existing social/military hierarchy. There is not necessarily a dual Maoist military/political hierarchy, and insurgent mobilization strategies are often aimed at the leadership of other clans and tribes.

MOBILIZATION MEANS AND CAUSES

1-29. The primary struggle in an internal war is to mobilize people in a battle for legitimacy. The insurgent gathers the resources to sustain that struggle while discouraging support for the government. Two aspects of this effort are mobilization means and causes.

Mobilization Means

1-30. There are five means to mobilize popular support:

- Persuasion.
- Coercion.
- Reaction to abuses.
- Foreign support.
- Apolitical motivations.

A mixture of them may motivate any one individual.

Persuasion

1-31. Political, social, security, and economic benefits entice people to support one side or the other. Ideology/religion is one means of persuasion, especially for the elites/leadership. In this case, legitimacy derives from the consent of the governed, though leaders and led can have very different motivations.

Coercion

1-32. In the eyes of some, a government that cannot protect its people forfeits the right to rule. Legitimacy in this instance is determined by the old adage “Might makes right,” as citizens seek to ally with groups who can guarantee safety. In some areas of Iraq and Afghanistan, for instance, militias established themselves as extra-governmental actors for the physical security of the population. Insurgents may use coercive force to provide security for people or else to intimidate them into active or passive support. Kidnapping or killing local leaders or their families is a common insurgent tactic to discourage anyone from working with the government. Militias sometimes use the promise of security, or the threat to take it away, to maintain control of cities and towns.

Reaction to Abuses

1-33. A government that abuses its people or is tyrannical generates resistance to its rule. People who have been injured, maltreated, victimized, dishonored, or had close friends or relatives killed by the government, particularly by its security forces, may lash back at their attackers. Security force abuses and the social upheaval caused by collateral damage from combat can be major escalating factors for insurgencies.

Foreign Support

1-34. Foreign governments or nongovernmental organizations can provide expertise, international legitimacy, and money to buy or exacerbate a conflict. In Chechnya in 1999, there was no popular support for the renewal of fighting, but the war resumed because foreign supporters and warlords had enough money to hire a guerrilla army.

Apolitical Motivations

1-35. Criminals, mercenaries, people attracted by the holy warrior’s romantic status, and others whose self-image is being a fighter for a cause might also join an insurgency. Political solutions might not satisfy them enough to end their participation. Fighters who have joined for a paycheck will probably become bandits once the formal conflict ends unless there are jobs for them. This category includes opportunists who exploit the absence of security to engage in economically lucrative criminal activity, such as kidnapping and theft.

Causes

1-36. A *cause* is a principle or movement militantly defended or supported. Insurgent leaders often seek to adopt attractive and persuasive causes to mobilize support. These causes often stem from what Mao described as the unresolved contradictions that exist within any society or culture. Often, contradictions are based on real problems. However, insurgents may create artificial contradictions using propaganda and misinformation. Insurgents have much to gain by not limiting themselves to a single cause. By selecting

an assortment of causes and tailoring them for the various groups within the society, insurgents increase their base of sympathetic and complicit support.

1-37. Insurgents employ deep-seated strategic causes as well as temporary local causes, adding or deleting them as circumstances demand. Leaders often use a bait-and-switch approach to draw in supporters, appealing initially to local grievances to lure followers into a broader movement. Without an attractive cause, an insurgency might not be able to sustain itself. But a carefully chosen cause is a formidable and intangible asset that can provide a fledgling movement a long-term, concrete base of support. The ideal cause attracts the most people while alienating the fewest. It is one the counterinsurgent cannot undermine the insurgency by advocating. Insurgents must be able to fully identify themselves with the cause and those attracted to it.

1-38. Potential insurgents can capitalize on a wealth of potential causes. Any country ruled by a small group without broad popular participation provides a political cause for insurgents. Exploited or repressed social groups—be they entire classes, ethnic groups, or small elites—may support larger causes in reaction to their own, narrower grievances. Economic inequities can nurture revolutionary unrest, as can racial or ethnic persecution. As previously noted, an efficient insurgent propaganda campaign can also turn an artificial problem into a real one.

1-39. A skillful counterinsurgent can deal a significant blow to an insurgency by appropriating its cause. Insurgents often exploit multiple causes, making the counterinsurgents' problems more acute. In the end, any successful counterinsurgency expecting lasting results against a serious insurgency must address in some way the underlying conditions that produced the revolutionary situation. These may be very different in each local area, requiring a complex set of solutions.

1-40. As was noted earlier, insurgents now use communications technology, including the Internet, to link with allied groups within and outside the country, joining in loose organizations with a common objective but very different motivations. For many groups involved with the current radical Islamic insurgency, decrying the very globalization that allows them to coordinate their activities and achieve synergy is one of their main causes. Thus, even though the old adage "all politics is local" remains applicable to modern insurgencies, they may have global dimensions.

Mobilizing Resources

1-41. Insurgents resort to such tactics as guerrilla warfare and terrorism not only because of their disadvantages in manpower or organization, but also because they usually begin with limited or inadequate resources compared to the counterinsurgent. To strengthen and sustain their effort, insurgents require money, supplies, and weapons.

1-42. Weapons are especially important. In some parts of the world, lack of an access to weapons may forestall insurgency as an option for pursuing political change. Unfortunately, there is widespread availability of weapons, with especially large surpluses in the most violent areas of the world. Skillful counter-insurgents cut off the

flow of arms into the theater and eliminate their source. Insurgents can obtain weapons through legal or illegal purchases or from foreign sources. A common tactic is to capture them from government forces.

1-43. Income is essential not just to purchase weapons, but also to pay recruits and buy the compliance of corrupt government officials. Money and supplies can be obtained through many sources. Foreign support has already been mentioned. Local supporters or international front organizations may provide donations.

Sometimes legitimate businesses can be established to furnish funding. In areas controlled by insurgent forces, confiscation or taxation might be utilized. Another common source of funding is criminal activity.

INSURGENCY AND CRIME

1-44. Sustainment requirements often drive insurgents into relationships with organized crime or into criminal activity themselves. Funding has a great influence on the character of an insurgency and its vulnerabilities. Insurgent doctrine is critical in determining materiel requirements. Maoist approaches emphasizing mobilization of the masses require a greater level of resources, both human and material, than a *focoist* emphasis primarily upon armed action. The first requires the resources necessary to construct and maintain a true counterstate. (A counterstate is a competing structure set up by an insurgent to replace the government in power. It includes the administrative and bureaucratic trappings of political power, and performs the normal functions of government). The second requires only what is necessary to sustain a military campaign. A conspiratorial approach requires even less.

1-45. Reaping windfall profits and avoiding the costs and difficulties involved in securing external support makes illegal activity attractive to insurgents. While taxation of a mass base is inherently low-return, kidnapping, extortion, and drugs—to cite three prominent examples of activities favored by insurgents—are very lucrative. Failed and failing states with rich natural resources like oil are particularly lucrative areas for criminal activity.

1-46. It stands to reason that any insurgent movement that increasingly devotes exceptional amounts of time and effort to fund-raising must of necessity shortchange ideological or even armed action. Some criminals and organized crime organizations may also begin to develop ideologies and counterstate attributes without actually becoming insurgencies.

1-47. Throughout history there has been no shortage of insurgencies that have degenerated to criminality. This often occurred as the primary movements disintegrated and remaining elements were cast adrift. Doctrinal thinking has long held that such disintegration is desirable because it takes a truly dangerous ideologically inspired body of disaffiliated individuals and replaces it with a less dangerous but more diverse body, normally of very uneven character. The first is a security threat, the second a law-and-order concern. This should not be interpreted, of course, as denigrating the armed capacity of a law-and-order threat. A successful counterinsurgent is prepared to

deal with this disintegration. The best solution is eliminating both the insurgency and any criminal threats its elimination produces.

ELEMENTS OF INSURGENCY

1-48. Though the previous passages highlight the many varieties of insurgency, they share some common attributes. An insurgent organization normally consists of five elements:

- Leaders.
- Combatants (main forces, regional forces, local forces).
- Political cadre (also called militants or the party).
- Auxiliaries (active followers who provide important support services).
- Mass base (the bulk of the membership).

1-49. The proportions of these elements relative to the larger movement depend on the strategic approach adopted by the insurgency. A conspiratorial approach does not pay much attention to combatants or a mass base. Some groups downplay the importance of a political cadre and emphasize military action to generate popular support. The People's War approach is the most complex: If the state presence has been eliminated, the elements can exist openly. If the state remains a continuous or occasional presence, the elements must maintain a clandestine existence.

Leaders

1-50. The leaders control the insurgent movement. They are the "idea people" and the planners. They usually exercise leadership through force of personality, the power of revolutionary ideas, or personal charisma. In some insurgencies, they may hold their position through clan or tribal authority.

Combatants

1-51. The combatants do the actual fighting and provide security. They are often mistaken for the movement itself. They exist only to support the insurgency's broader political agenda. The combatants maintain local control. They also protect and expand the shadow government and counterstate, if the insurgency seeks to set up such institutions.

Political Cadre

1-52. The cadre is the political core of the insurgency. They are actively engaged in the struggle to accomplish insurgent goals. They may also be designated as a formal party to signify their political importance. They implement guidance and procedures provided by the leadership. Modern noncommunist insurgents rarely, if ever, use the term "cadre," but usually include a group that performs similar functions.

1-53. The cadre assesses the grievances in local areas and carries out activities that satisfy them. They then attribute the solutions they have provided to the insurgent movement itself. As the insurgency matures, deeds become more important to make insurgent

slogans meaningful to the population. Larger societal issues, such as foreign presence, facilitate such political activism, because these larger issues may be blamed for life's smaller problems. Destroying the state bureaucracy or preventing national reconstruction after a conflict to sow disorder and sever legitimate links with the people is a common insurgent tactic. In time, the cadre may seek to replace that bureaucracy and assume functions in a shadow government.

Auxiliaries

1-54. Auxiliaries are active sympathizers who provide important support services. They may run safe houses or store weapons and supplies but do not participate in direct action.

Mass Base

1-55. The mass base consists of the followers of the insurgent movement, the supporting populace. Mass base members are often recruited and indoctrinated by the cadre, though in many politically charged situations or traditional insurgencies such active pursuit is not necessary. Mass base members may continue in their normal positions in society. Many, however, lead clandestine lives for the insurgent movement. They may even pursue full-time positions within the insurgency. For example, combatants normally begin as members of the mass base before becoming armed manpower. Such roles are particularly hard to define in a tribal or clan-based insurgency, where there is no clear cadre, and people will drift between combatant, auxiliary, and follower status as needed.

Employing the Elements

1-56. The insurgent leaders provide organizational and managerial skills to transform mobilized individuals and communities into an effective force for armed political action. What results, as in any conflict, is a contest of resource mobilization and force deployment. A state is challenged by a revolutionary or resistance movement that may also seek to create a counterstate. No objective force level guarantees victory for either side. It is frequently stated that a 10 to 1 or 20 to 1 combatant ratio of counterinsurgents to insurgents is necessary for counterinsurgency victory. In reality, no such fixed ratios exist. As in any war, all correlations of forces to defeat an insurgency depend on the situation. Of necessity, however, counterinsurgency is manpower intensive because of the requirements to maintain widespread order and security. And counterinsurgents might have to adopt different approaches to deal with each element of the insurgency. Auxiliaries might be co-opted by economic reforms. Fanatic combatants will have to be killed or captured.

DYNAMICS OF AN INSURGENCY

1-57. Insurgencies also contain several common dynamics:

- Leadership.
- Objectives.
- Ideology.

- Environment and geography.
- External support and sanctuaries.
- Phasing and timing.

These provide a framework for analysis that can reveal the insurgency's strengths and weaknesses. Although analysts can examine the following dynamics separately, they must study their interaction to fully understand an insurgency.

Leadership

1-58. Leadership is critical to any insurgency. Insurgency is not simply random violence. It is directed and focused violence aimed at achieving an object beyond the war that is political in nature. It requires leadership to provide vision, direction, guidance, coordination, and organizational coherence. Successful insurgent leaders make their cause known to the people and gain popular support. Their key tasks are to break the ties between the people and the government and to establish credibility for their movement. Their education, background, family, social connections, social positions and experiences contribute to their ability to organize and inspire resistance and insurgency.

1-59. Revolutionary insurgent movements usually begin as the tangible manifestation of political estrangement. Alienated elite members, however defined (for example, a school teacher is an "elite member" in most of the world), advance alternatives to existing conditions. As their movement grows, leaders decide which approach to adopt. The level of decentralization of responsibility and authority drives the precise structure and operational procedures of the insurgency. Extreme decentralization results in a movement that rarely functions as a coherent body. It is, however, capable of inflicting substantial casualties and damage. Loose networks find it difficult to create a viable counterstate and therefore have great difficulty seizing political power. However, they are also very hard to destroy and can continue to sow disorder, even when degraded. It takes very little coordination to disrupt most states.

1-60. Many contemporary insurgencies involve mobilization based on clan, tribe, or ethnic group. These insurgencies are often led by traditional authority figures, such as sheikhs and religious leaders. Rather than being codified in impersonal rules, traditional authority is usually invested in a hereditary line or invested in a particular office by a higher power. As the Indonesian *Dar 'ul Islam* rebellions of 1948 and 1961 demonstrate, traditional authority figures often wield enough power, especially in rural areas, to single-handedly drive an insurgency. This type of insurgency can be defeated by co-opting the responsible traditional authority figure.

Objectives

1-61. Effective analysis of an insurgency requires identifying its strategic, operational, and tactical objectives. The strategic objective is the insurgents' desired end state, or how the insurgents will use power. Operational objectives are those that the insurgents pursue as part of the total process of destroying government legitimacy and progressively

establishing their desired end state. Tactical objectives are the immediate aims of insurgent acts, and can be psychological and physical in nature. One example of a psychological objective is gaining support for the insurgency by the assassination of local government officials. An example of a physical objective is the disruption of government services by the attack and seizure of a key facility. These tactical acts are linked to higher purposes. In fact, the levels of war often become so collapsed and nested that they are difficult to discern separately. Commanders and staffs must prepare to deal with that complexity. In both insurgency and counterinsurgency, tactical actions may have immediate strategic effects.

Ideology and Narrative

1-62. Ideas are a motivating factor in insurgent violence. Insurgencies gather recruits and amass popular support through ideological appeal. Recruits are often young men suffering from frustrated hopes and unable to improve their lot in life. The insurgent group provides them identity, purpose, and community in addition to physical, economic, and psychological security. The movement's ideology explains its followers' tribulations and provides a course of action to remedy those ills. The most powerful ideologies tap latent, emotional concerns of the populace, such as the desire for justice, religious beliefs, or liberation from foreign occupation. Ideology provides a prism, including a vocabulary and analytical categories, through which the situation is assessed. Thus ideology can shape the movement's organization and operational methods.

1-63. The central mechanism through which ideologies are expressed and absorbed is the narrative. A *narrative* is an organizational scheme expressed in story form. Narratives are central to the representation of identity, particularly the collective identity of groups such as religions, nations, and cultures. Stories about a community's history provide models of how actions and consequences are linked and are often the basis for strategies, actions, and interpretation of the intentions of other actors. Insurgent organizations such as Al Qaeda use narratives very efficiently in the development of a legitimating ideology. In the jihadist narrative, Osama Bin Laden's depiction of himself as a man purified in the mountains of Afghanistan who begins converting followers and punishing the infidels, resonates powerfully with the historic figure of Mohammed. In the collective imagination of Bin Laden and his followers, Islamic history is a story about the decline of the *umma* and the inevitable triumph against Western imperialism. Only through *jihad* can Islam be renewed both politically and theologically.

1-64. Though insurgencies have historically been phenomena specific to nation-states, there have been a number of transnational insurgencies. Likewise, there have been efforts by external powers to tap or create general upheaval by coordinating national insurgencies so that they take on a transnational character. The effort of the Moscow-directed Communist International between the two world wars is possibly the best historical illustration. The recent activities of Al Qaeda are another attempt to create and support such a transnational array of insurgencies. Operational-level commanders address elements of the transnational movement within their theater of operations, while other government agencies and higher-level officials must deal with the national-strategic response to such threats.

Environment and Geography

1-65. Environment and geography, including cultural and demographic factors, affect all participants in a conflict. The manner in which insurgents and counterinsurgents adapt to these realities creates advantages and disadvantages for each. The effects of these factors are immediately visible at the tactical level, where they are perhaps the predominant influence on decisions regarding force structure and doctrine (including tactics, techniques, and procedures). Insurgencies in an urban environment present a different set of planning considerations than those in rural environments. Border areas contiguous to states that may wittingly or unwittingly provide external support and sanctuary to the insurgents are a particularly vulnerable area for counterinsurgents. Chapter 3 discusses his dynamic.

External Support and Sanctuaries

1-66. Access to external resources and sanctuaries has always been a factor influencing the effectiveness of insurgencies. External support can provide political, psychological, and material resources that might otherwise be limited or totally unavailable. Such assistance does not need to come just from neighboring states, however. Insurgents can be supported from countries outside the region looking for political or economic influence. Insurgencies may turn to criminal elements for funding or take advantage of the interconnected nature of the Internet to create a network of support among nongovernmental organizations, even in the United States. Ethnically displaced communities also provide a form of external support and sanctuary, particularly in a transnational insurgency.

1-67. The meaning of sanctuary is evolving. Sanctuaries were traditionally physical safe havens, such as base areas, and this form of safe haven still exists. But insurgents today can also draw on “virtual” sanctuaries in the Internet, global financial systems, and international media that make their actions seem acceptable or laudable to the population.

1-68. Historically, sanctuary in neighboring countries has provided insurgents with a sheltered zone to rebuild and reorganize without fear of counterinsurgent interference. The impressive targeting abilities of modern weaponry and intelligence gathering technology make insurgents in isolation, even in neighboring states, more vulnerable than those hidden among the population. Thus, contemporary insurgencies often develop in urban environments and try to avoid concentration. This dispersion limits effectiveness in seizing power, but increases survivability.

1-69. The changed security environments in the last twenty years have resulted in greater concern for the role of nonstate actors in insurgencies. Nonstate actors, such as transnational terrorist organizations, often represent a security threat beyond the areas they inhabit. The same nonstate actors often team with insurgents and, in this sense, profit from the conflict. Insurgency can open up sanctuaries within a state over which the host nation’s forces cannot extend control or significant influence. In these sanctuaries, nonstate actors with hostile intentions can develop unimpaired. When it is to their

advantage, they provide support for insurgencies and, in turn, derive physical support for their purposes in much the same fashion a parasite does from its host. For these reasons, the issue of sanctuary cannot be ignored in campaign strategy. Effective counterinsurgency operations work to reduce and destroy such sanctuaries.

Phasing and Timing

1-70. Insurgencies often pass through common phases of development. Not all insurgencies experience such phased development, and progression through all phases is not a requirement for success. The same insurgent movement may be in different phases in different regions of a country. Insurgencies can also revert to an earlier phase when under pressure. Indeed, this is the key strength of a phased approach, which provides fallback positions for the insurgents when threatened. They then resume development when favorable conditions return. While the traditional Maoist phases may not provide a complete template for understanding contemporary insurgencies, they do explain a shifting mosaic of activities that are usually present in some form.

1-71. Versions of the Maoist concept have been used by movements as diverse as communist and Islamist insurgencies because it is logical and based on mass mobilization. Strategic movement from one phase to another incorporates the operational and tactical activity typical of earlier phases. It does not end them. In fact, forces that win a mosaic war can conduct both types, rapidly transitioning between them as required.

1-72. If the insurgents adopt a conspiratorial approach emphasizing quick or armed action and deemphasizing political organization, these phases do not necessarily apply. In many ways these are less complex strategies to counter, though the counterinsurgent must not lose sight of the overall importance of long-term political objectives in dealing with any insurgent approach.

INSURGENT NETWORKS

1-73. Insurgents use the technological, economic, and social aspects of globalization to create networks involving a wide array of partners. Networking is a tool available to traditional territorially-rooted insurgencies and extends the range and variety of both their military and political actions. Other groups exist almost entirely in networks with little physical presence in their target countries. Networked organizations do not have a center of gravity in the traditional sense—rather the network's links themselves may become centers of gravity. Networked organizations are very hard to destroy and tend to heal, adapt, and learn rapidly. However, they have a limited chance of attaining strategic success themselves because they have a difficult time mustering and focusing power. The best they can hope for is to create a security vacuum leading to a collapse of the targeted regime's will and then to gain in the competition for the spoils. However, their enhanced abilities to sow disorder and survive present particularly difficult problems for counterinsurgents.

INSURGENT VULNERABILITIES

1-74. While this chapter so far has stressed the difficulties insurgencies present, they do have vulnerabilities that may be exploited by a skilled counterinsurgent. This process is discussed in more detail in Chapters 4 and 5. However, a few of these potential vulnerabilities are worth highlighting here.

Secrecy

1-75. Any group beginning from a position of weakness that intends to use force and violence to prosecute its political aims must initially adopt a covert approach for their planning and activities. This practice can become counterproductive once an active insurgency begins. Excessive secrecy can limit insurgent freedom of action, lessen or distort information about insurgent goals and ideals, and restrict communication within the insurgency. One of the ways insurgent groups attempt to avoid the effects of too much secrecy is splitting into political and military wings, to deal separately with the public (political) requirements of an insurgency while still conducting clandestine (military) actions.

Mobilization

1-76. In the early stages of an insurgency especially, movements may be tempted to go to almost any extremes to attract followers. To mobilize their base of support, insurgent groups use a combination of propaganda and intimidation, and they may overreach in both. Counterinsurgents should be able to use information operations to effectively exploit inconsistencies in the insurgents' message as well as their excessive uses of force or intimidation.

Base of Operations

1-77. Insurgents can experience serious difficulty finding a viable base of operations. If the chosen location is too far away from the major centers of activity, it is potentially secure but out of touch with the people and vulnerable to isolation. If the base is too near to centers of activity, the insurgency can be open to observation and perhaps infiltration. It is also closer to the machinery of state control. Bases close to national borders can be attractive when they are beyond the authority or reach of the counterinsurgent force yet safe enough to avoid the unwanted suspicions of the neighboring authority or population. Timely, resolute counterinsurgent action to exploit poor enemy base locations and eliminate or disrupt good ones can do much to weaken an insurgency.

Financial Weakness

1-78. All insurgencies require funding to a greater or lesser extent. Working with criminal organizations brings insurgents into contact with unreliable and vulnerable groups who could attract undue attention from the authorities. It also creates vulnerability to counterinsurgent intelligence operations. Funding from outside donors may come with a political price that could distort and affect the overall aim of an insurgency, weakening

its popular appeal. Insurgent financial weakness can also be exploited by counterinsurgents and exacerbated by controls and regulations to limit the movement and exchange of goods and funds, particularly if an insurgency is being funded from outside the state.

Internal Divisions

1-79. Counterinsurgents remain alert for signs of divisions within an insurgent movement. A series of successes by the counterinsurgent force or some errors made by insurgent groups could cause some members to question their cause or even challenge the leadership of the insurgency. In addition, relations within an insurgent movement, like other social networks, will not remain harmonious if small groups form to vie for power. Rifts that exist between insurgent leaders, if identified, can be exploited. An offer of amnesty or a seemingly generous compromise offered by the counterinsurgent could also cause division within an insurgency and present opportunities to split or weaken the movement.

Maintaining Momentum

1-80. Controlling the pace and timing of operations is vital to the success of any insurgency. Insurgents, if they have planned properly, control when the war begins and have some measure of control over subsequent activity. But many insurgencies have failed to capitalize on their initial opportunities or have allowed the pace of events and scope of activities to be dictated by a skilled counterinsurgent force. If insurgent momentum is lost, the strategic initiative can be regained by the counterinsurgent.

Informants

1-81. There is nothing more demoralizing to insurgents than the realization that people inside their movement or trusted supporters among the public are providing information to the state authorities. While informers have sometimes been infiltrated into insurgencies, it is more common to achieve success by turning someone who is already in the organization or is an auxiliary who has contact with key insurgents (for example, the couriers or suppliers who are the links between clandestine cells and their base of supporters). *Turning* is the intelligence term for persuading such a person to become an informer. This may be best achieved by discovering a participant who has become dissatisfied with the insurgency or who, for personal or family reasons, wants to leave it. Counterinsurgents may further exercise pressure to turn by arousing fear of prosecution or by offering rewards. Informers must be confident that they and their families will be protected against retribution.

ASPECTS OF COUNTERINSURGENCY

1-82. In almost every case, the counterinsurgent faces a populace containing an active minority supporting a government and a similar militant faction opposing it. To be successful, the government must be accepted as legitimate by most of that uncommitted

middle, which also includes passive supporters of both sides (See Figure 1-2.). Because of the ease of sowing disorder, it is usually not enough for a counterinsurgent to get 51 percent of popular support; a solid majority is often essential. However, for an insurgent with strong support from external agencies or criminal elements, a passive populace may be all that is necessary to facilitate seizing political power.

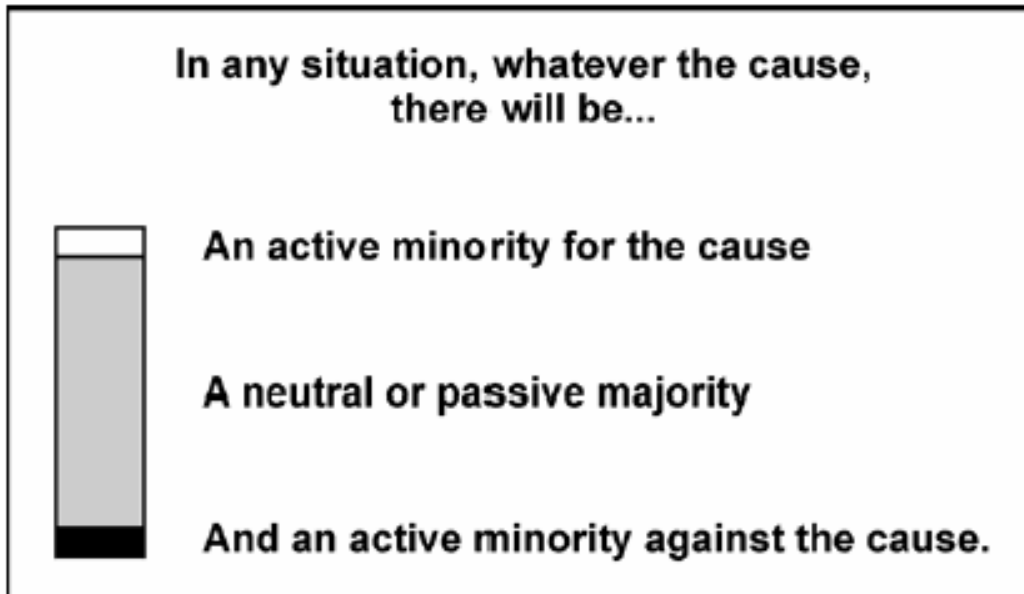


Figure 1-2. Support for an Insurgency

1-83. Upon assuming a COIN mission, Soldiers and the police must not only be prepared to identify their opponents and the approaches to insurgency they are applying. Counterinsurgents must also understand the broader strategic context within which they are operating. The level of violence and state of infrastructure influences the type and amount of resources from sources within and outside the Ministry of Defense that can be drawn upon. The number and type of outside agencies shape the amount of interagency and international coordination required.

1-84. The rest of this manual presents detailed discussions about conducting counterinsurgency operations. The following discussion addresses some general themes shape the chapters that follow. It addresses the following:

- Principles derived from past insurgencies.
- Imperatives based on current COIN operations.
- Paradoxes present in a COIN environment.
- Successful and unsuccessful COIN practices.

1-85. The principles and imperatives of modern counterinsurgency derived from that historical record and detailed below provide some guideposts for forces engaged in counterinsurgency operations. However, counterinsurgency is complicated, and even following the principles and imperatives does not guarantee success. This paradox is present in all forms of warfare but is most obvious in counterinsurgency. The following

principles and imperatives are presented in the belief that understanding them helps to illuminate the challenges inherent in defeating an insurgency.

HISTORICAL PRINCIPLES

1-86. The following principles are derived from past insurgencies.

Legitimacy is the Main Objective

1-87. The primary objective of any counterinsurgent is to foster the development of effective governance by a legitimate government. All governments rule through a combination of consent and coercion. Governments described as “legitimate” rule primarily with the consent of the governed, while those described as “illegitimate” tend to rely mainly or entirely on coercion. Their citizens obey the state for fear of the consequences of doing otherwise, rather than because they voluntarily accept its rule. A government that derives its powers from the governed tends to be accepted by its citizens as legitimate. It still uses coercion—for example, against criminals—but the bulk of the population voluntarily accepts its governance.

1-88. In Western, liberal tradition, a government that derives its just powers from the people and responds to their desires while looking out for their welfare is accepted as legitimate. In theocratic societies, political and religious authorities are fused, and political figures are accepted as legitimate because the populace views them as implementing the will of God. Medieval monarchies claimed “the divine right of kings” and imperial China governed with “the mandate of heaven.” Since the 1979 revolution, Iran has operated on the theocratic “rule of the jurists.” In other societies, “might makes right” and security is the prime determinants of legitimacy.

1-89. Legitimacy makes it easier for the state to carry out its key functions, which include the capability to regulate social relationships, extract resources and appropriate or use resources in determined ways. A legitimate government can develop these capabilities more easily, allowing it to competently manage, coordinate, and sustain collective security as well as political, economic, and social development. Conversely, illegitimate states typically fail to regulate society, or can only do so by the application of overwhelming coercion (“police states”). Legitimate governance is inherently stable because it engenders societal support to adequately manage the internal problems, change, and conflict that invariably affect individual and collective well-being. Conversely, governance that is not legitimate is inherently unstable because as soon as the state’s coercive power is disrupted the population ceases to obey it. Thus legitimate governments tend to be resilient and exercise better governance, while illegitimate states tend to be fragile and poorly administered.

1-90. Five indicators of legitimacy that can be used to analyze threats to stability include:

- Frequent selection of leaders in a manner considered just and fair by a substantial majority of the population.
- A high level of popular participation in or support for the political process.

- A low level of corruption.
- A culturally acceptable level or rate of political, economic, and social development.
- A high level of regime acceptance by major social institutions.

1-91. Governments that score high in these categories probably have the support of an adequate majority of the population. Every culture, however, has varying concepts of acceptable levels of development, corruption, and participation. The first two indicators above reflect Western concepts. For some societies, it may be enough for a government to only provide security and some basic services. However, that concept of security could be very broad, and different groups could have widely divergent expectations.

1-92. During mission analysis for a COIN effort, commanders and staffs determine what the host population defines as effective and legitimate governance, since this influences all ensuing operations. Additionally, planners may also consider perceptions of legitimacy held by outside supporters of the government or the insurgents. But the most important attitude remains that of the indigenous population, who in the end will decide the ultimate victor of the conflict.

1-93. The rule of law is a major factor in assuring voluntary acceptance of a government's authority and, therefore, its legitimacy. Because power may be exercised illegitimately by individuals who use the instruments of a state for personal ends, a government's respect for pre-existing and impersonal legal rules can provide the key to gaining it widespread and enduring societal support. Such governmental respect for rules—ideally ones recorded in a constitution and in laws adopted through a credible and democratic process—is the essence of rule of law. As such, it is a powerful potential force in counterinsurgency.

1-94. Military action can address the symptoms of a loss of legitimacy. However, restoring legitimacy can only be accomplished using all instruments of national power. Without the host-nation government achieving legitimacy, COIN cannot succeed.

Unity of Effort is Essential

1-95. Unity of effort must pervade every echelon. Otherwise, well-intentioned but uncoordinated actions can cancel each other out or provide a competent insurgent many vulnerabilities to exploit. Ideally a counterinsurgent should have authority over all government agencies involved in operations. However, the best situation that military commanders can generally hope for is to be able to achieve unity of effort through communication and liaison with those responsible for the nonmilitary agencies.

1-96. Nongovernmental organizations often play an important role at the local level. Many such agencies resist being overtly involved with military forces, but efforts to establish some kind of liaison are needed. The most important connections are those with joint, interagency, multinational, and host-nation organizations to ensure, as much as

possible, that objectives are shared and actions and messages synchronized. Achieving synergy is another essential element for effective COIN.

Political Factors are Primary

1-97. General Chang Ting-chen of Mao Zedong's Central Committee once stated that revolutionary war was 80 percent political action and only 20 percent military. At the time he was involved with establishing special schools to train the extensive political cadres that accompanied the victorious communist forces that completed their conquest of mainland China in 1949. While in the initial stages of COIN, military actions appear especially predominant, political objectives must retain primacy. Commanders conduct all operations with consideration of their contribution toward strengthening the legitimacy of the government and achieving the political goals set by the government. The political and military aspects of insurgencies are so bound together as to usually be inseparable, and most insurgent approaches recognize that fact. Military actions conducted without proper assessment of political effects at best result in reduced effectiveness and at worst are counterproductive. Resolving most insurgencies requires a political solution, and it is imperative that the actions of the counterinsurgent do not make achieving that political solution more difficult.

Understand the Environment

1-98. The local population is a critical center of gravity of an insurgency. Successful conduct of counterinsurgency operations depends on thoroughly understanding the society and culture within which they are being conducted. Soldiers must understand the following about the population in the area of operations (AO):

- How key groups in the society are organized.
- Relationships and tensions among them.
- Ideologies and narratives that resonate with the groups.
- Group interests and motivations.
- Means by which groups communicate.
- The society's leadership system.

1-99. In the vast majority of counterinsurgency operations since 1945, the insurgents have held a distinct advantage in their level of local knowledge. They speak the language, move easily within the society, and are more likely to understand the interests of the population. Thus, effective counterinsurgency requires a leap of imagination and a peculiar skill set not encountered in conventional warfare. The interconnected, politico-military nature of insurgency and COIN requires immersion in the people and their lives to achieve victory. Successful COIN operations require Soldiers at every echelon to possess the following within the cultural context of the AO:

- A clear, nuanced, and empathetic appreciation of the essential nature of the conflict.
- An understanding of the motivation, strengths, and weaknesses of the insurgents.
- Knowledge of the roles of other actors in the AO.

Without this understanding of the environment, intelligence cannot be understood and properly applied.

Intelligence Drives Operations

1-100. Without good intelligence, a counterinsurgent is like a blind boxer, wasting energy flailing at an unseen opponent and perhaps causing unintended harm. With good intelligence, a counterinsurgent is like a surgeon, cutting out cancerous tissue while keeping other vital organs intact. Effective operations are shaped by carefully considered actionable intelligence, gathered and analyzed at the lowest possible levels and disseminated and distributed throughout the force.

1-101. Because of the dispersed nature of COIN, counterinsurgents' own operations are a key generator of intelligence. A cycle develops where operations produce intelligence that drives subsequent operations. Tactical reporting by units, members of the country team, and associated civilian agencies is of equal or greater importance than reporting by specialized intelligence assets. These factors, along with the need to generate a superior tempo, drive the requirement to produce and disseminate intelligence at the lowest practical level.

Isolate Insurgents from Their Cause and Support

1-102. It is easier to cut an insurgency off and let it die than to kill every insurgent. Attempting to kill every insurgent is normally impossible. It can also be counterproductive, generating popular resentment, creating martyrs that motivate new recruits, and producing cycles of revenge. Dynamic insurgencies also replace losses quickly. A skillful counterinsurgent cuts off the sources of that recuperative power. Some can be reduced by redressing the social, political, and economic grievances that fuel the insurgency. Physical support can be cut off by population control or border security. International or local legal action might be required to limit financial support. As the host government increases its own legitimacy, the people begin to more actively assist it, eventually marginalizing and stigmatizing insurgents to the point where their legitimacy is destroyed. Victory is gained not when this isolation is achieved, but when it is permanently maintained by and with the active support of the populace.

Establish Security Under the Rule of Law

1-103. The cornerstone of any COIN effort is security for the civilian population. Without that, no permanent reforms can be implemented, and disorder spreads. To establish legitimacy, security activities move as quickly as feasible from major combat operations to law enforcement. When insurgents are seen as criminals they lose public support; if they are dealt with by an established legal system in line with local culture and practices, the legitimacy of the host government is enhanced. This process takes time, but Soldiers remain aware of the legal procedures applicable to their conduct and work to apply them. They also assist in the establishment of the indigenous institutions that sustain that legal regime, including police forces, court systems, and penal facilities.

1-104. Illegitimate actions by government officials, security forces, and multinational partners are those involving the use of power without authority. Efforts to build a legitimate government through illegitimate action—including unjustified or excessive use of force, unlawful detention, torture, or punishment without trial—are self-defeating, even against insurgents who conceal themselves amid noncombatants and flout the law. Moreover, participation in counterinsurgency operations by ANA forces must be pursuant to local law, which includes domestic laws and international treaties to which the Islamic Republic of Afghanistan is party too (See Appendix C). Any human rights abuses or legal violations committed by ANA forces quickly become known throughout the local population and eventually around the world because of the globalized media and work to undermine the COIN effort.

1-105. Every action by counterinsurgents leaves a “forensic trace” that may need to be used in a court of law. Counterinsurgents document all their activities to preserve, wherever possible, a chain of evidence— and often more importantly, as a means to counter insurgent propaganda.

Prepare for a Long-Term Commitment

1-106. By its nature, insurgency is protracted. The conduct of counterinsurgency always demands considerable expenditures of time and resources. Even if people prefer the host-nation government to the insurgents, they do not actively support that government unless they are convinced the counterinsurgent forces have the means, ability, stamina, and will to win. The insurgent’s primary battle is against the indigenous government, but multinational support can be crucial to building public faith in that government’s viability. Insurgents and local populations often believe that a few casualties or a few years will cause the multinational support to abandon a COIN effort. Constant reaffirmations of commitment, backed by deeds, can overcome that perception and bolster faith in the steadfastness of external support.

1-107. Preparing for the necessarily protracted support of COIN requires putting in place purpose-dedicated headquarters and support structures designed for long-term operations. Planning and commitments should be based on sustainable operating tempo and personnel tempo limits for the various components of the force. Even in situations where the multinational goal is reducing its military force levels as quickly as possible, some support for host-nation institutions usually remains for a long time.

1-108. At the strategic level, winning and maintaining the support of the Afghan people for a protracted COIN deployment is arguably the critical activity. Military commanders are almost never directly involved in this process, which is properly a political activity. They take care to ensure that their actions and statements, and the conduct of the operation neither make it more difficult for elected leaders to maintain public support nor undermine public confidence.

CONTEMPORARY IMPERATIVES OF COUNTERINSURGENCY

1-109. Recent experiences with counterinsurgency have highlighted an important set of additional imperatives to keep in mind for success.

Manage Information and Expectations

1-110. Information and expectations are related, and both are carefully managed by a skillful counterinsurgent. To limit discontent and build support, a host government and any counterinsurgents assisting it create and maintain a realistic set of expectations among the populace, friendly military forces, and the international community. Information operations (including its related activities of public affairs, and civil-military operations) are key tools to accomplish this. Achieving steady progress toward a set of reasonable expectations can increase the population's tolerance for the inevitable inconveniences entailed by ongoing counterinsurgency operations. Where large multinational forces are present to help establish a regime, such progress can extend the period before an army of liberation becomes perceived as an army of occupation.

1-111. Multinational countries start with an automatic disadvantage because of their reputation for accomplishment, what some call the "man on the moon syndrome." This refers to the expressed disbelief that nations that can put men on the moon cannot quickly restore basic services. Agencies trying to fan enthusiasm for their efforts should also avoid making exorbitant promises. In some cultures, failure to deliver promised results is automatically interpreted as deliberate deception, not good intentions gone awry. In other cultures, exorbitant promises are the norm, and people do not expect them to be kept. So counterinsurgents must understand these local norms and employ locally tailored approaches to ensure expectations are controlled. Managing expectations also involves demonstrating economic and political progress to show the populace how life is improving. Increasing the number of people who feel they have a stake in the success of the state and its government is a key to successful COIN. In the final judgment, victory comes by convincing the people that their life will be better under the government than under the insurgent.

1-112. Both the counterinsurgent and the host government ensure that their deeds match their words. They also understand that any action has an information reaction, carefully consider that impact on the many audiences involved in the war and on the sidelines, and work actively to shape the responses that further their ends. In particular, messages to different audiences must be consistent. In the worldwide information environment, local people in a counterinsurgency theater can access the Internet and satellite television to find out what messages the counterinsurgent is sending to the international community. Any perceived inconsistency destroys credibility and undermines COIN efforts.

Use Measured Force

1-113. Any use of force generates a series of reactions. There may be times when an overwhelming effort is necessary to intimidate an opponent or reassure the populace. But the type and amount of force to be applied, and who wields it, should be carefully

calculated by a counterinsurgent for any operation. An operation that kills five insurgents is counterproductive if the collateral damage or the creation of blood feuds leads to the recruitment of fifty more.

1-114. In a COIN environment, it is vital for commanders to adopt appropriate and measured levels of force that accomplish the mission without causing unnecessary loss of life or suffering. Normally, the counterinsurgent can minimize potential loss of life by employing escalation of force procedures, especially at checkpoints and roadblocks, and during convoy operations. The concept of escalation of force refers to the use of lesser means of force when such use is likely to achieve the desired effects and Soldiers can do so without endangering themselves, others, or the mission. Escalation of force procedures are not limitations on the right of self-defense, including deadly force, when such force is necessary to defend against a hostile act or demonstrated hostile intent. Commanders must be familiar with the concept of force escalation and ensure that their Soldiers are properly trained in its use.

1-115. Who wields force is also important. Providing the police have a reasonable reputation for competence and impartiality, it is better to let police handle urban raids than Soldiers, even if the police are not as well armed or capable as military units, since the populace is likely to view that application of force as more legitimate. In other circumstances, police may be seen as part of a particular ethnic or sectarian group that oppresses the general population, and hence their use may be counterproductive. So, effective counterinsurgents understand the character of the local police and popular perceptions of both police and military units to ensure that the application of force is measured and reinforces the rule of law.

Learn and Adapt

1-116. An effective counterinsurgent force is a learning organization. Insurgents constantly shift between military and political phases and approaches. In addition, networked insurgents constantly exchange information about their enemy's vulnerabilities—including with other insurgents in distant theaters. A skillful counterinsurgent is able to adapt at least as fast as the insurgents. Every unit needs to be able to make observations, draw lessons, apply them, and assess results. Headquarters must develop an effective system to circulate best practices throughout the command quickly. Combatant commanders might also need to seek new laws or policies to authorize or resource necessary changes. Insurgents will shift their areas of operations looking for weak links, so widespread competence is required throughout the counterinsurgent force.

Empower the Lowest Levels

1-117. *Mission command* is the conduct of military operations through decentralized execution based upon mission orders for effective mission accomplishment. Successful mission command results from subordinate leaders at all echelons exercising disciplined initiative within the commander's intent to accomplish missions. It requires an environment of trust and mutual understanding (ANA 1-3.6). It is the Army's preferred method for commanding and controlling forces during all types of operations. Under mission command, commanders provide subordinates with a mission, their commander's intent, a concept of operations, and resources adequate to accomplish the mission. Higher commanders empower subordinates to make decisions within the commander's intent. They leave details of execution to their subordinates and require them to use initiative and judgment to accomplish the mission.

1-118. Mission command is ideally suited to the mosaic nature of insurgency and COIN. Local commanders have the best grasp of their situations. Under mission command, they are given access to or control of the assets needed to produce actionable intelligence and manage information operations and civil-military operations. Effective COIN operations are decentralized. Higher commanders owe it to their subordinates to push as many capabilities as possible down to their level. Mission command encourages subordinates' initiative within legal limits. It facilitates the learning process that must occur at every level. Mission command is a major characteristic of a counterinsurgency force that can adapt and react as quickly as the insurgents.

Support the Nation

1-119. ANA and security forces committed to COIN are there to assist the government. In the end, the nation has to win its own war. Achieving this requires the development of viable local leaders and institutions. ANA forces and agencies can help, but national elements must be able to accept responsibilities to achieve real victory. While it may be easier for ANA military units to conduct operations themselves, it is better to work to strengthen local forces and then assist them. Host governments have the final responsibility to solve their own problems. Eventually all foreign armies are seen as interlopers or occupiers, and the sooner the main effort can be turned over to host-nation institutions, the better.

PARADOXES OF COUNTERINSURGENCY

1-120. The principles and imperatives discussed above reveal that COIN presents a complex and often unfamiliar set of missions and considerations for a military commander. In many ways, the conduct of counterinsurgency is counterintuitive to the traditional view of war—although it has actually formed a substantial part of Afghanistan's actual experience. Some representative paradoxes of COIN are presented here as examples of the different mindset required.

The More You Protect Your Force, The Less Secure You Are

1-121. Ultimate success in COIN is gained by protecting the populace, not the COIN force. If military forces stay locked up in compounds, they lose touch with the people, appear to be running scared, and cede the initiative to the insurgents. Patrols must be conducted, risk must be shared, and contact maintained. This ensures access to the intelligence needed to drive operations and reinforces the connections with the people that establish real legitimacy.

The More Force Used, the Less Effective It Is

1-122. Any use of force produces many effects, not all of which can be foreseen. The more force applied, the greater the chance of collateral damage and mistakes. It also increases the opportunity for insurgent propaganda to portray lethal military activities as brutal. The precise and discriminate use of force also strengthens the rule of law that needs to be established.

The More Successful COIN is, the Less Force That Can be Used and the More Risk That Must be Accepted

1-123. This is really a corollary to the previous paradox. As the level of insurgent violence drops, the requirements of international law and the expectations of the populace allow less use of military actions by the counterinsurgent. More reliance is placed on police work. Rules of engagement get stricter, and troops have to exercise increased restraint. Soldiers may also have to accept more risk to maintain involvement with the people.

Sometimes Doing Nothing is the Best Reaction

1-124. Often an insurgent carries out a terrorist act or guerrilla raid with the primary purpose of enticing the counterinsurgent to overreact, or at least to react in a way that can then be exploited. If a careful assessment of the effects of a course of action concludes that more negative than positive effects may result, an alternative should be considered—potentially including a decision not to act.

The Best Weapons for COIN Do Not Shoot

1-125. Counterinsurgents achieve the most meaningful success by gaining popular support and legitimacy for the government, not by killing insurgents. Security plays an important role in setting the stage for other progress, but lasting victory comes from a vibrant economy, political participation, and restored hope. Often dollars and ballots have a more important impact than bombs and bullets. Soldiers prepare to engage in a host of nonmilitary missions to support COIN. Everyone has a role in nation-building!

The Local Government Doing Something Tolerably is Sometimes Better Than Us Doing It Well For Them

1-126. It is just as important to consider who performs an operation as to assess how well it is done. In cases where ANA have supported a local government, long-term success requires the establishment of viable local leaders and institutions that can carry on without significant support. The longer that process takes, the more popular support in the in the local area will wane, and the more the local populace will question the legitimacy of their own forces and government. If the local government cannot perform tolerably, the COIN force may have to act. Experience, knowledge of the AO, and cultural sensitivity are essential to deciding when such action is necessary.

If A Tactic Works This Week, It Might Not Work Next Week; If It Works In This Province, It Might Not Work In The Next

1-127. Competent insurgents are adaptive and today are often part of a widespread network that constantly and instantly communicates. Insurgents quickly disseminate information about successful COIN practices throughout the insurgency and adapt to them. Indeed, the more effective a COIN tactic is, the faster it becomes out of date because the insurgents have a greater need to counter it. Effective leaders at all levels avoid complacency and are at least as adaptive as their enemies. There is no “silver bullet” set of procedures for COIN. Constantly developing new practices is essential.

Tactical Success Guarantees Nothing

1-128. When COL Harry Summers (USA) allegedly told a North Vietnamese counterpart in 1975 that “You know you never defeated us on the battlefield,” the reply supposedly was, “That may be so, but it is also irrelevant.” Military actions by themselves cannot achieve success in COIN. Tactical actions must not only be linked to operational and strategic military objectives, but also to the essential political goals of COIN. Without those connections, lives and resources may be wasted for no real gain.

Most of the Important Decisions are Not Made By Generals

1-129. Successful COIN relies on the competence and judgment of Soldiers at all levels. Senior leaders set the proper tone for actions by their organizations with thorough training and clear guidance, and then trust their subordinates to do the right thing. Preparation for tactical-level leaders requires more than Service doctrine; they must also be trained and educated to adapt to their local situations, understand the legal and ethical implications of their actions, and exercise subordinates’ initiative and sound judgment to meet their senior commanders’ intent.

SUCCESSFUL AND UNSUCCESSFUL PRACTICES

1-130. Figure 1-3 lists some practices that have contributed significantly to success or failure in past counterinsurgencies.

SUCCESSFUL PRACTICES	UNSUCCESSFUL PRACTICES
<ul style="list-style-type: none"> -Emphasis on intelligence. -Focus on the population, their needs, and security. -Isolate insurgent from the population. -Appoint a single authority, usually a dynamic, charismatic leader. -Conduct effective, pervasive psychological operations. -Provide amnesty and rehabilitation for insurgents. -Place police in the lead with military support. -Expand and diversify the police force. -Train military forces to conduct counterinsurgency operations. -Embed special operations forces and advisors with local authorities. -Deny the insurgents sanctuary. 	<ul style="list-style-type: none"> -Place priority on killing and capturing the enemy, not on engaging the population. -Conduct kandak-sized operations as the norm. -Concentrate military forces in large bases for protection. -Focus special operations forces primarily on raiding. -Place a low priority on assigning quality advisors to local forces. -Build and train local security forces in the image of the ANA. -Ignore peacetime government processes, including legal procedures. -Allow open borders and airspace.

Figure 1-3. Successful and Unsuccessful Counterinsurgency Practices

SUMMARY

1-131. Counterinsurgency is an extremely complex form of warfare—truly “war at the graduate level.” At its core, counterinsurgency warfare is a struggle for the support of the population. Their protection and welfare is the center of gravity for friendly forces.

1-132. Gaining and maintaining that support is a formidable challenge. There are a host of non-military agencies whose efforts must be synchronized and coordinated with those of the military to achieve these aims. Popular support allows counterinsurgents to develop the intelligence necessary to identify and defeat the insurgents. Intelligence drives operations in successful counterinsurgency operations; those operations in turn provide additional intelligence, driving further operations. Designing and then executing a campaign to garner the support of the population requires careful coordination of several logical lines of operations to produce success over time. One of these lines is developing host nation security forces who can take over primary responsibility for combating the insurgency. COIN also places distinct burdens on leaders and logisticians. All of these aspects of COIN are described and analyzed in the chapters that follow.

1-133. Insurgents are also fighting for the support of the population, but are constrained by neither the law of war nor the bounds of human decency. They do anything to preserve their greatest advantage, the ability to hide among the people. These amoral enemies survive by their wits, constantly adapting to the situation. To defeat them, it is

essential that counterinsurgent forces develop the ability to learn and adapt rapidly and continuously. This manual focuses on this “learn and adapt” counterinsurgency imperative as it discusses ways to gain and maintain the support of the people.

Chapter 2

Unity of Effort: Integrating Civilian and Military Activities

Essential though it is, the military action is secondary to the political one, its primary purpose being to afford the political power enough freedom to work safely with the population.

This chapter begins by discussing the principles involved in integrating the activities of military and civilian organizations. It then describes the categories of organizations usually involved in counterinsurgency operations. After that, it discusses how responsibilities may be assigned and the mechanisms used to integrate civilian and military activities. It concludes by listing information commanders need to know about civilian agencies operating in their area of operations.

INTEGRATION

2-1. Although military efforts are necessary and important, they are only effective if integrated into a comprehensive strategy employing all instruments of national power. A successful counterinsurgency (COIN) meets the contested population's needs while protecting it from the insurgents. Effective COIN operations ultimately render the insurgents irrelevant. This requires military forces engaged in COIN to:

- Be acutely aware of the roles and capabilities of international, and governmental partners.
- Include other participants in planning at every level.
- Be supportive of civilian efforts.
- If necessary, conduct or participate in political, social, informational, and economic programs.

2-2. The integration of civilian and military efforts is crucial in COIN and must be focused on supporting the local population and the government. Political, social, and economic programs are usually more valuable than conventional military operations as a means to address root causes of conflict and undermine an insurgency. In COIN, military personnel, diplomats, police, politicians, humanitarian aid workers, contractors, and local leaders are faced with making decisions and solving problems in a complex and acutely challenging environment. Controlling the level of violence is a key element of the struggle. The insurgents often benefit from a high level of violence and societal insecurity that discourages or precludes nonmilitary participants from helping the local population. The higher the level of violence that defines the operational environment, the less likely it is that nonmilitary organizations, particularly external agencies, can work with the local population to address social, political, economic and other challenges. The more benign the security environment, the more likely it is that civilian agencies can provide their resources and expertise, and relieve the burden on the military forces.

2-3. Organized combat is an expertise that only military forces are required to possess. Military forces do apply their combat skills to fighting insurgents; however, they can and

should be engaged in using their capabilities to meet the local population's fundamental needs as well. Only regaining active and continued support of the government by the local population can deprive an insurgency of its power and appeal. The military forces' primary function in COIN is protecting that population. However, military force is not the sole means to provide security or defeat insurgents. Indeed, a dilemma for military forces engaged in COIN is that they frequently have greater potential to undermine policy objectives through excessive emphasis on military force than to achieve the overarching political goals that define success. This dilemma places tremendous importance on the measured application of coercive force by COIN forces.

2-4. Durable policy success requires balancing the measured use of force with an emphasis on nonmilitary programs. Although political, social and economic programs are most commonly and appropriately associated with civilian organizations and expertise, the salient aspect of such programs is their effective implementation, not who performs the tasks. If adequate civilian capacity is not available, members of the military forces must be prepared to fill the gap. COIN programs for political, social, and economic well-being are essential elements for developing local capacity that will command popular support when properly perceived. COIN is also a battle of ideas, and insurgents exploit actions and programs to create misperceptions and further their cause. Comprehensive informational programs are necessary to amplify the messages of positive deeds and to counter insurgent propaganda.

2-5. COIN is fought among the population, and the counterinsurgents bear responsibility for the people's well-being in all its manifestations. These include the following:

- Security from violence and crime.
- Provision of basic economic needs.
- Maintenance of infrastructure.
- Sustainment of key social and cultural institutions.
- Other aspects that contribute to a society's basic quality of life.

The COIN program must address all aspects of the local population's concerns in a unified fashion. Insurgents succeed by maintaining turbulence and highlighting local costs due to gaps in the COIN effort. COIN forces succeed by eliminating turbulence and meeting the population's basic needs.

2-6. Success in counterinsurgency requires the application of national resources along multiple lines of operations. (See Chapter 5.) The fact that efforts along one line of operations can easily affect progress in others means that uncoordinated actions are frequently counterproductive.

2-7. Lines of operations in COIN focus primarily on the population. Each line is dependent on the others. Their interdependence is similar to factors in a multiplication equation: if the value of one of the lines of operations is zero, the overall product is zero. Many of these lines of operations require the application of expertise usually found in civilian organizations. These include:

- Islamic Republic of Afghanistan agencies other than the Ministry of Defense (MOD).
- International organizations (such as the United Nations and its many suborganizations).
- Nongovernmental organizations (NGOs).
- Private corporations.
- Other organizations that wield diplomatic, informational, and economic power.

These civilian organizations bring expertise and capabilities that complement those of military forces engaged in COIN operations. At the same time, civilian capabilities cannot be brought to bear without the security provided by military forces. The interdependent relationship of all these groups must be understood and orchestrated to achieve harmony of action and coherent results.

UNITY OF COMMAND

2-8. Where possible, formal relationships should be established and maintained for unity of command. For all elements of the Islamic Republic of Afghanistan engaged in a particular COIN mission, formal command and control using established command relationships within a clear hierarchy should be taken for granted. Unity of command should also extend to all military forces supporting the nation. The ultimate objective of these arrangements is for local military forces, police, and other security forces to establish effective command and control while attaining a monopoly on the legitimate use of violence within the society.

2-9. As important as the principle of unity of command is to military operations, it is one of the most difficult and sensitive issues to resolve in COIN. Afghan and other external military participation in COIN are inherently problematic, as it influences perceptions of the capacity and legitimacy of local security forces. Although unity of command of military forces may be desirable, it may be impractical due to political considerations. Political sensitivities about the perceived subordination of national forces to those of other states or international organizations often preclude strong command relationships. The differing goals and fundamental independence of NGOs and local organizations frequently prevent formal relationships. In the absence of formal relationships governed by command authority, military leaders seek to persuade and influence other participants to contribute to attaining COIN objectives. Informal or less authoritative relationships include coordination and liaison with other participants. In some cases, direct interaction among various organizations may be impractical or undesirable. Basic awareness and general information sharing may be the most that can be accomplished.

UNITY OF EFFORT

2-10. Informed and strong leadership is a foundation of successful COIN operations. The focus of leadership must be on the central problems that affect the local population. A clear vision of resolution should infuse all efforts, regardless of the specific agencies or individuals charged with their execution (See Chapter 4). All elements supporting the COIN should strive for maximum unity of effort. Given the primacy of political

considerations, military forces often support civilian efforts. However, the mosaic nature of COIN operations means that lead responsibility shifts among military, civilian, and governmental authorities. Regardless, military leaders must be prepared to assume local leadership for COIN efforts and remember that the organizing imperative is to focus on what needs to be done, not on who does it.

2-11. Countering an insurgency begins with understanding the complex environment and the numerous competing forces acting upon it. Gaining an understanding of the environment—to include the insurgents, affected populace, and disparate organizations attempting to counter the insurgency—is essential to an integrated COIN operation. The complexity of resolving the causes of the insurgency and integrating actions across multiple and interrelated lines of operations requires an understanding of the civilian and military capabilities, activities, and vision of resolution. Just as Soldiers use different tactics to achieve an objective, so the various agencies acting to re-establish stability may differ in goals and approaches. When their actions are allowed to adversely impact each other, the population suffers and insurgents identify gaps to exploit. Integrated actions are essential to defeat the ideologies professed by insurgents. A shared understanding of the operation's purpose provides a unifying theme for COIN efforts. Through a common understanding of that purpose, the COIN team can design an operation that promotes effective collaboration and coordination among all agencies and the affected population.

COORDINATION AND LIAISON

2-12. A vast array of organizations can influence successful COIN operations. Given the complex diplomatic, informational, military, and economic context of an insurgency, there is no way for military leaders to assert command over all elements—nor should they try to do so. Among interagency partners, NGOs, and private organizations, there are many interests and agendas that military forces will be unable to control. Additionally, local legitimacy is frequently affected by the degree to which local institutions are perceived as independent and capable without external support. Nevertheless, military leaders should make every effort to ensure that actions in support of the COIN are as well integrated as possible. Active leadership by military leaders is imperative to conduct coordination, establish liaison (formal and informal) and share information among various groups working on behalf of the local population. Influencing and persuading groups beyond a commander's direct control requires great skill and often great subtlety. As actively as commanders may pursue unity of effort, they should also be mindful of the visibility of their role and recognize the wisdom of acting indirectly and in ways that allow credit for success to go to others— particularly local individuals and organizations.

2-13. Local leaders, informal associations, families, tribes, some private enterprises, some humanitarian groups, and the media often play critical roles in influencing the outcome of a COIN but are beyond the control of military forces or civilian governing institutions. Commanders remain aware of the influence of such groups and are prepared to work with, through, or around them.

KEY COUNTERINSURGENCY PARTICIPANTS AND THEIR LIKELY ROLES

2-14. Likely participants in COIN operations include the following:

- ANA forces.
- Multinational forces.
- The government.
- Nongovernmental organizations.
- International organizations.
- Multinational corporations and contractors.
- Civil authorities.

MILITARY FORCES

2-15. The role of military forces in COIN operations is extensive. As one of the most demanding and complex forms of warfare, COIN draws heavily on the broad range of capabilities of the joint force. Military forces must be prepared to conduct a different mix of offensive, defensive and stability operations from that expected in major combat operations. Air, and land elements all contribute to successful operations and to the vital effort to cut off and isolate insurgents from the populations they seek to control. Nonetheless, the Army usually furnishes the principal military contributions to COIN. Within the land forces, special operations forces (SOF) are particularly valuable to COIN due to their specialized capabilities: civil affairs, psychological operations, intelligence, language skills, and regional-specific knowledge. SOF can also provide very light, agile, high-capability teams that can operate discreetly in local communities.

2-16. Afghan military forces are vastly capable. Designed predominantly for conventional warfare, they nonetheless have the essential components to successfully prosecute COIN. The most important assets in COIN are disciplined Soldiers with adaptive, self-aware, and intelligent leaders. There are also elements of the military forces that are particularly relevant to common COIN challenges. For example, COIN often requires dismounted infantry, human intelligence, language specialists, military police, engineers, medical units, logistical support, legal affairs, and contracting elements. All of these elements are found in the Army.

2-17. Afghan forces help paramilitary, and police forces conduct COIN operations, including area security and local security operations. Afghan forces advise and assist in finding, dispersing, capturing, and defeating the insurgent force, while emphasizing the training of other forces to perform essential defense functions. The current and more extensive national security demands for such efforts require that all Afghan Forces be prepared to contribute to the establishment and training of local security forces.

2-18. Land combat forces conduct full spectrum operations to disrupt or destroy insurgent military capabilities. Land forces use offensive combat operations to disrupt insurgent efforts to establish base areas and consolidate their forces. They conduct defensive operations to provide area and local security. They conduct stability operations to thwart

insurgent efforts to control or disrupt people's lives and routine activities. In all applications of combat power, Afghan forces first ensure that likely costs do not outweigh or undermine other more important COIN efforts.

2-19. Most valuable to long-term success in winning the support of the population are the contributions land forces can make by conducting stability operations. A *stability operation* is an operation to establish, preserve, and exploit security and control over areas, populations, and resources (ANA 1-3). Forces engaged in stability operations establish, safeguard, or restore basic civil services. They act directly and in support of governmental agencies. Success in stability operations enables the local population and government agencies of the nation to resume or develop the capabilities needed to conduct COIN operations and create the conditions that will permit Afghan military forces to disengage.

2-20. Military forces can also use their capabilities to enable the efforts of nonmilitary participants. Logistics, transportation, equipment, personnel, and other assets can support interagency partners and other civilian organizations.

MULTINATIONAL MILITARY FORCES

2-21. Afghan military forces may operate in a COIN environment with coalition forces. In a COIN operation, Afghan forces will probably operate with the security forces of the local population. Many other countries' military forces bring cultural backgrounds, historical experiences, and other capabilities that can be particularly valuable to COIN efforts.

2-22. However, nations join coalitions for varied policy aims. Although missions may be ostensibly similar, rules of engagement, home-country policies, and sensitivities will differ among multinational partners. Afghan military leaders require a strong cultural and political awareness of other multinational military partners.

NONMILITARY COUNTERINSURGENCY PARTICIPANTS

2-23. Many nonmilitary organizations may be engaged in supporting the ANA as it confronts an insurgency. Some of these organizations are discussed below.

Government Organizations

2-24. Commanders must be familiar with government organizations and aware of the capabilities they can provide for COIN. During planning, all forces should determine which organizations are supporting their function or operating in their AO. Commanders and civilian leaders of government organizations should collaboratively plan and coordinate actions to avoid conflict or duplication of effort. Within the Islamic Republic of Afghanistan, key organizations include:

- Ministry of Defense.
- Ministry of the Interior.

- Ministry of Transportation/Aviation.
- Ministry of Justice.
- Ministry of Finance.
- Ministry of Agriculture.
- Ministry of Commerce.
- General Department of Intelligence.

Nongovernmental Organizations

2-25. Doctrine defines a *nongovernmental organization* as a private, self-governing, not-for-profit organization dedicated to alleviating human suffering; and/or promoting education, health care, economic development, environmental protection, human rights and conflict resolution; and/or encouraging the establishment of democratic institutions and civil society (MOD Dictionary of Military Terms). There are several thousand NGOs of many different types. Their activities are governed by their organizing charters and the motivations of their members. Some NGOs receive at least part of their funding from national governments or international governmental organizations and may become implementing partners in accordance with specific grants or contracts. (For example, USAID provides some NGO funding.) In these cases, the funding organization often gains oversight and authority over how the funds are used.

2-26. Some NGOs maintain strict independence from governments and other belligerents in a conflict and do not want to be seen directly associating with military forces. Gaining their support and coordinating operations with them can be difficult. While establishing basic awareness of these groups and their activities may be the most commanders can achieve, it is important to note the role of NGOs in resolving an insurgency. Many of these NGOs arrive before military forces and remain long afterwards. They can support lasting stability. To the greatest extent possible, the military should complement and not override their capabilities. Building a complementary and trust-based relationship is vital. Examples of NGOs include:

- International Committee of the Red Cross.
- Afghan Red Crescent
- World Vision.
- Médecins sans Frontières (Doctors Without Borders).
- Cooperative for Assistance and Relief Everywhere (CARE).
- Oxford Committee for Famine Relief (OXFAM).
- Save the Children.
- Mercy Corps.
- Academy for Educational Development.

International Organizations

2-27. The most notable international organization is the United Nations (UN). Regional organizations like the European Union may be involved in some COIN operations. The UN in particular has many subordinate or affiliated agencies that are active around the world. Depending on the nature of the situation and the needs of the country involved, any of several UN organizations may be present, such as the following:

- Office of the Chief of Humanitarian Affairs.
- Department of Peacekeeping Operations.
- World Food Program.
- UN Refugee Agency (known by the acronym for its director, the UN High Commissioner for Refugees—UNHCR).
- UN High Commissioner for Human Rights.
- UN Development Program.

Multinational Corporations and Contractors

2-28. Multinational corporations often engage in reconstruction, economic development, and governance activities. At a minimum, commanders should know which companies are present in their AO and where those companies are conducting business. Such information can prevent fratricide or destruction of private property.

2-29. Recently, private contractors from firms providing military-related services have become more prominent in theaters of operations. This category includes armed contractors providing an array of security services to the Islamic Republic of Afghanistan, NGOs, and private businesses. There are also many businesses that market expertise in areas related to supporting governance, economics, education, and other aspects of civil society. Providing capabilities similar to some NGOs, these firms often attain contracts through government agencies.

2-30. When contractors or other businesses are being paid to support Afghan military or other government agencies, the principle of unity of command should apply. Commanders should be able to influence contractors' performance through Islamic Republic of Afghanistan contract supervisors. When under contract to the Afghan National Government, such contractors should behave as an extension of the organizations or agencies for which they work. Commanders should identify contractors operating in their AO and determine the nature of their contract, existing accountability mechanisms, and appropriate coordination relationships.

National Civil Authorities

2-31. Sovereignty issues are among the most difficult for commanders conducting COIN operations, both in regard to forces contributed by other nations and by the Islamic Republic of Afghanistan. Often, commanders are required to lead through coordination, communication, and consensus, in addition to traditional command practices. Political sensitivities must be acknowledged. Commanders and subordinates often act as diplomats as well as warriors. Within military units, legal officers and their staffs are particularly valuable for clarifying legal arrangements with the host nation. To avoid adverse effects on operations, commanders should address all sovereignty issues through the chain of command. As much as possible, sovereignty issues should be addressed before executing operations. Examples of key sovereignty issues include the following:

- Collecting and sharing information.
- Basing.
- Overflight rights.

- Aerial ports of debarkation.
- Location and access.
- Border crossings.
- Force protection.
- Jurisdiction over members of multinational forces.

2-32. Commanders should create coordinating mechanisms, such as committees or liaison elements, to facilitate cooperation and build trust with authorities. Military or nonmilitary representatives should have leading roles in such mechanisms. These organizations facilitate operations by reducing sensitivities and misunderstandings while removing impediments. Sovereignty issues can be formally resolved through the development of appropriate technical agreements to augment existing or recently developed status of forces agreements. In many cases, security assistance organizations, NGOs, and international organizations have detailed local knowledge and reservoirs of good will that can facilitate the establishment of a positive and constructive relationship with the local authorities.

2-33. Coordination and support should exist down to local levels (such as villages and neighborhoods). Soldiers should be aware of the political and societal structures in their AOs. Political structures usually have designated leaders responsible to the government and people. However, the societal structure may include informal leaders who operate outside the political structure. These leaders may be economic (such as businessmen), theological (such as mullahs), informational (such as newspaper publishers or journalists), or family-based (such as elders or tribal leaders). Some societal leaders may emerge due to charisma or other intangible influences. Commanders should identify the key leaders and the manner in which they are likely to influence COIN efforts.

KEY RESPONSIBILITIES IN COUNTERINSURGENCY

2-34. Noted counterinsurgency author David Galula wisely stated, “To confine soldiers to purely military functions while urgent and vital tasks have to be done, and nobody else is available to undertake them, would be senseless. The soldier must then be prepared to become...a social worker, a civil engineer, a schoolteacher, a nurse, a boy scout. But only for as long as he cannot be replaced, for it is better to entrust civilian tasks to civilians.”

PREFERRED DIVISION OF LABOR

2-35. The preference in COIN is always to have civilians carry out civilian tasks. Civilian agencies or individuals with the greatest expertise for a given task should perform it—with special preference for legitimate local civil authorities. Although there are many international civilian agencies that possess greater expertise than military forces for meeting the fundamental needs of a population under assault, the ability of such agencies to deploy to in sustainable numbers and with ready access to necessary resources is usually limited. The degree of violence in the AO also affects the ability of civilian agencies to operate. The more violent the environment, the more difficult it is for civilians to operate effectively. Hence, the preferred or ideal division of labor is

frequently unattainable. The more violent the insurgency, the more unrealistic is this preferred division of labor.

REALISTIC DIVISION OF LABOR

2-36. By default, military forces often possess the only readily available capability to meet many of the fundamental needs of local populations. Human decency and the law of war require land forces to assist populations in their AOs. Leaders at all levels prepare to address civilian needs. Leaders identify people in their units with regional expertise, interagency know-how, civil-military competence, and other critical skills that can usefully support a local population and the local government. Useful skill sets may include the following:

- Knowledge, cultural understanding, and appreciation of the region.
- Functional skills for interagency and local government coordination (for example, liaison, negotiation, and appropriate social or political relationships).
- Language skills enabling more effective coordination with NGOs and multinational partners.
- Knowledge of the civil foundations for infrastructure, economy, governance, or other lines of operation being pursued as part of the COIN effort.

2-37. Islamic Republic of Afghanistan and international agencies rarely have the resources and capabilities needed to address all tasks required in a COIN environment. Successfully accomplishing a COIN mission requires leaders who are adaptive in their thinking and understand that they must be prepared to address the required tasks with available resources. They must understand that the overall purpose is always guided by the fact that long-term security does not come solely or even primarily from a gun; it comes from an integrated and balanced application of efforts along all lines of operations, with the goal of supporting the local population and achieving legitimacy of the government.

TRANSITIONS

2-38. Regardless of the division of labor, an important recurring feature of COIN is the transition of responsibility and participation in key lines of operations. As consistently and conscientiously as possible, military leaders ensure continuity in meeting the needs of the local government and the local population. The same general guidelines that govern battle handovers apply to transitions between participants in COIN. Whether the transition is from one military unit to another or from a military unit to civilian agencies (external or local), everyone involved requires a clear understanding of tasks and responsibilities to be passed from one element to the next. Maintaining unity of effort is particularly important during transitions, especially between elements of different capabilities and capacity. Relationships tend to break down during transitions. Transition is not a single event, where all activity happens at once. It is a rolling process of little handoffs between different actors along several streams of activities, and there are usually multiple transitions for any one stream of activity over time. Using the coordination mechanisms in the next section can help to create and sustain the linkages that support effective transitions without compromising unity of effort.

CIVILIAN AND MILITARY INTEGRATION MECHANISMS

2-39. Applying the principle of unity of effort is possible in many organizational forms. The first choice should be to identify existing coordination mechanisms and incorporate them into comprehensive COIN efforts. This includes existing Islamic Republic of Afghanistan, multinational, and local government mechanisms. Context is extremely important. Although many of these structures exist and are often employed in other types of missions, there is an acute and fundamental difference in an insurgency environment. The nature of the conflict and its focus on the population makes civilian and military unity a decisive point for the insurgents. The following discussion highlights some of the well established, general mechanisms for civilian and military integration. Many civil-military organizations and mechanisms have been created for specific missions. Although the names and acronyms differ, in their general outlines they usually reflect the concepts portrayed in the following sections.

2-40. The Islamic Republic of Afghanistan influences events nationally through the effective employment of the instruments of national power. These instruments are diplomatic, informational, military and economic and are coordinated by the appropriate agency.

2-41. The Ministry of Defense and the Ministry of the Interior are the President's principal forums for considering national security and foreign policy matters. They serve as the President's principal means for coordinating policy among various interagency organizations.

JOINT INTERAGENCY COORDINATION GROUP

2-42. A Joint Interagency Coordination Groups (JIACGs) helps commanders in the conduct of COIN operations by providing interagency support of plans, operations, contingencies, and initiatives. The goal of a JIACG is to provide timely, usable information and advice from an interagency perspective to the commander by information sharing, integration, synchronization, training, and exercising. JIACGs may include representatives from other national ministries and agencies, province and local authorities, and liaison officers from other components. The interagency representatives and liaison officers are the subject matter experts for their respective agencies and commands, and provide the critical bridge between the commander and interagency organizations.

2-43. In a protracted counterinsurgency, ANA forces may be spread extensively throughout the country. This creates a greater need for additional mechanisms to extend civilian oversight and assistance to match the scope of the challenge. Operating with a clear understanding of the guiding political aims, members of the military at all levels must be prepared to exercise judgment and act without the benefit of immediate civilian oversight and control. At each subordinate political level of the government, military and civilian leaders should establish a coordinating structure, such as a civil-military operations center (CMOC), that includes representatives of the government, security forces, as well as multinational forces and agencies. CMOCs facilitate the integration of

military and political actions. Below the national level, additional structures may be established where military commanders and civilian leaders can meet directly with local leaders to discuss issues. Where possible, international organizations and NGOs should be encouraged to participate in coordination meetings to ensure their actions are integrated with military and national government plans.

CIVIL-MILITARY OPERATIONS CENTER

2-44. Another mechanism that can be used for bringing elements together for coordination is the CMOC. CMOCs can be established at all levels of command. CMOCs coordinate the interaction of the ANA and multinational military forces with a wide variety of civilian agencies. A CMOC is not designed, nor should it be used as, a command and control element. However, it does provide a useful venue to transmit the commander's guidance to other agencies and exchange information, and to facilitate complementary and unified efforts.

2-45. Overall management of a CMOC may be assigned to a multinational force commander, shared by an ANA and a multinational commander, or shared by an ANA commander and a civilian agency head. A CMOC is an operations center that can be used to build on-site, interagency coordination to achieve unity of effort. There is no established structure for a CMOC; its size and composition depend on the situation. Senior civil affairs officers normally serve as the CMOC director and deputy director. Other military participants usually include civil affairs, legal, operations, logistics, engineering, and medical sections of the supported headquarters. Civilian members of a CMOC may include U.S. government organizations, multinational partners, international organizations, Islamic Republic of Afghanistan members or other local organizations, and NGOs.

TACTICAL-LEVEL INTERAGENCY CONSIDERATIONS

2-46. Tactical units may find interagency expertise pushed to their level when they are responsible for large AOs in a COIN environment. Tactical units down to company level must be prepared to integrate their efforts with civilian organizations.

2-47. To ensure integration of interagency capabilities, units should conduct coordination with all interagency representatives and organizations that enter their AO. Despite the best efforts to coordinate, often the fog and friction inherent in COIN will lead to civilian organizations entering an AO without prior coordination. Below is a suggested list for conducting coordination with interagency and other nonmilitary organizations who may operate in a unit's AO:

- Identify organizational structures and leadership.
- Identify key objectives, responsibilities, capabilities, and programs.
- Develop common courses of action or options for inclusion in planning, movement coordination, and security briefings.
- Develop relationships that enable the greatest possible integration.
- Assign liaison officers to the most important civilian organizations.
- Define problems in clear and unambiguous terms.

2-48. Other useful information about the organizations includes the following:

- Intended duration of operations.
- Location of bases of operations.
- Number of personnel (names, descriptions).
- Type, color, number and license numbers of civilian vehicles.
- Other resources in the AO.
- Local groups and agencies with whom they are working.
- Terms of reference or operating procedures.

SUMMARY

2-49. As President John F. Kennedy, of the United States, eloquently noted, “You [military professionals] must know something about strategy and tactics and logistics, but also economics and politics and diplomacy and history. You must know everything you can know about military power, and you must also understand the limits of military power. You must understand that few of the important problems of our time have...been finally solved by military power alone.” Nowhere is this insight more relevant than in COIN. Successful COIN requires unity of effort in bringing all instruments of national power to bear. Civilian agencies can contribute directly to military operations, particularly by providing intelligence. That theme will be developed in more detail in the next chapter.

Chapter 3

Intelligence in Counterinsurgency

Everything good that happens seems to come from good intelligence.

General Creighton Abrams

Effective, accurate, and timely intelligence is essential to the conduct of any form of warfare. This maxim applies especially to counterinsurgency operations, as the ultimate success or failure of the mission depends on the effectiveness of the intelligence effort. This chapter builds upon previous concepts to further describe insurgencies, requirements for intelligence preparation of the battlefield and pre-deployment planning, collection and analysis of intelligence in counterinsurgency, intelligence fusion, and general methodology for integrating intelligence to support operations. This chapter does not supersede processes in ANA military doctrine but instead provides specific guidance for counterinsurgency.

SECTION I – INTELLIGENCE CHARACTERISTICS IN COUNTERINSURGENCY

3-1. Counterinsurgency (COIN) is an intelligence war. The function of intelligence in COIN is to facilitate understanding of the operational environment, with emphasis on the populace, nation, and insurgents, so commanders can best address the issues driving the insurgency. Both insurgents and counterinsurgents require an effective intelligence capability to be successful. They attempt to create and maintain intelligence networks while trying to neutralize their opponent's intelligence capabilities.

3-2. Intelligence in COIN is about people. ANA forces must understand the people of the nation, the insurgents, and the local government. Commanders and planners must have insight into cultures, perceptions, values, beliefs, interests and decision-making processes of individuals and groups. These requirements are the basis for collection and analytical efforts.

3-3. Intelligence and operations feed back on one another. Effective intelligence drives effective operations, which produce more intelligence. Similarly, ineffective or inaccurate intelligence produces ineffective operations, which reduce the availability of intelligence.

3-4. All operations have an intelligence component to them. This is because all Soldiers are potential intelligence collectors whenever they interact with the people. Operations should therefore always include intelligence collection requirements.

3-5. Insurgencies are local. They vary greatly in time and space. The insurgency one Kandak faces will often be different from that of an adjacent Kandak. This shifting mosaic nature of insurgencies coupled with the fact that all Soldiers are intelligence collectors means all echelons are both intelligence producers and consumers, resulting in a bottom-up flow of intelligence. This pattern also means that tactical units at brigade and

below will require a great deal of support for both intelligence collection and analysis, as their organic intelligence structure will often be inadequate.

3-6. Counterinsurgency occurs in a joint, interagency, and multinational environment at all echelons. Soldiers must coordinate intelligence collection and analysis with foreign militaries, foreign intelligence services, and many different intelligence organizations.

SECTION II – PREDEPLOYMENT PLANNING AND INTELLIGENCE PREPARATION OF THE BATTLEFIELD

3-7. The purpose of pre-deployment planning and intelligence preparation of the battlefield (IPB) is to develop an understanding of the operating environment to drive planning and pre-deployment training. Pre-deployment intelligence must be as detailed as possible and focus on the nation, its people, and insurgents in the AO. Commanders and staffs use pre-deployment intelligence to establish a plan for addressing the underlying causes of the insurgency and to prepare their units to interact with the populace in an appropriate manner. The desired end state is that commanders and their subordinates are not surprised by what they encounter.

3-8. Preparation for deployment begins with IPB. This is the systematic, continuous process of analyzing the threat and environment in a specific geographic area. It is accomplished via the four steps:

- Define the operational environment.
- Describe the effects of the environment.
- Evaluate the threat.
- Determine threat courses of action.

3-9. IPB in COIN places great emphasis on people and leaders in an area of operations (AO). (IPB is covered in depth in Appendix B.) Though IPB is a continuous process and products resulting from it will be revised throughout the mission, the initial products created prior to deployment are of particular importance for the reasons explained above. Whenever possible, personnel must conduct a very thorough and detailed IPB in preparation for deployment. IPB in COIN requires intelligence personnel to work in areas such as economics, anthropology, and governance that may be outside their expertise. Therefore, integrating staffs and drawing upon the knowledge of non-intelligence personnel and external subject matter experts with local and regional knowledge are critical to effective unit preparation.

3-10. If there are already units deployed, these are the best potential sources of intelligence available. Deploying units should make an effort to reach forward to units in the field. Governmental agencies are often able to provide country studies and other background information on the enemy. Open-source intelligence is also very important to pre-deployment IPB. In many cases, background information on the populace, cultures, languages, history, and government of an AO may be found in open sources. These include books, magazines, encyclopedias, web sites, maps, and atlases.

DEFINE THE OPERATIONAL ENVIRONMENT

3-11. The *operational environment* consists of the air, land, and associated adversary, friendly, and neutral systems (political, military, economic, social, informational, infrastructure, legal, and others) that are relevant to a specific operation. At the tactical and operational levels, defining the operational environment involves defining a unit's AO and then establishing an area of interest. AOs may be relatively static, but people and information flow through the AO continuously. Therefore, when defining an area of interest, both physical and human geography are taken into account. This is because an AO will often cut across not just physical lines of communication, such as roads, but also areas that are tribally, economically, or culturally interrelated. For instance, tribal and family groups in Afghanistan cross national borders into neighboring countries. The cross-border ties allow insurgents safe haven outside of their country and aid them in cross-border smuggling. The area of interest can be large relative to the AO, as it must often account for the various influences that affect the AO such as:

- Cultural geography: family, tribal, ethnic, religious, or other links that go beyond the AO.
- Communications links to other regions.
- Economic links to other regions.
- Media influence on the local populace and multinational partners.
- External financial, moral, and logistic support of the enemy.

3-12. At the theater level, this can mean the area of interest is global if enemy forces have an international financial network or are able to affect popular support or multinational partners. At the tactical level, this means commands must be aware of activities in neighboring regions and population centers that affect the population in their AO.

3-13. As explained in Chapter 2, another consideration for defining the operational environment is to learn the lower, adjacent, and higher units of the COIN force. In addition, determine the non–Ministry of Defense (MOD) agencies, multinational forces, nongovernmental organizations, and organizations in the AO. Knowledge of these units and organizations allows for establishment of working relationships and procedures for sharing intelligence. These relationships and procedures are critical to developing a comprehensive common operational picture (COP) and enabling unity of effort.

DESCRIBE THE EFFECTS OF THE OPERATIONAL ENVIRONMENT

3-14. This step involves developing an understanding of the operational environment and is critical to the success of operations. It includes:

- Civil considerations, with emphasis on the people, history, and local government in the AO.
- Terrain analysis (physical geography): with emphasis on complex terrain, suburban and urban terrain, key infrastructure, and lines of communication.
- Weather analysis, with attention given to the weather's effects on activities of the population, such as agriculture, smuggling, or insurgent actions.

3-15. All staff members are involved in this step. This improves the knowledge base used to develop an understanding of the AO. For instance, civil affairs personnel receive training in analysis of populations, cultures, and economic development, and can contribute greatly to understanding the civil considerations of an AO.

3-16. The products that result from describing the effects of the operational environment influence operations from the theater level down to the fire team. The description informs political activities and economic policies of theater-level commanders, and drives information operations and civil-military operations planning. The knowledge gained affects the way Soldiers interact with the populace.

CIVIL CONSIDERATIONS: SOCIO-CULTURAL FACTORS ANALYSIS

3-17. *Civil considerations* are how the manmade infrastructure, civilian institutions, and attitudes and activities of the civilian leaders, populations, and organizations within an area of operations influence the conduct of military operations. The memory aid ASCOPE expresses the six characteristics of civil considerations: areas, structures, capabilities, organizations, people, and events.

3-18. While all characteristics of civil considerations are important, understanding the *people* characteristic (cultural awareness) is particularly key in COIN. Cultural awareness involves understanding of socio-cultural factors and their impact on military operations. Socio-cultural factors analysis is used to develop cultural awareness. There are six socio-cultural considerations:

- Society.
- Social structure.
- Culture.
- Power and authority.
- Interests.
- Economics.

Society

3-19. A *society* can be defined as a population whose members are subject to the same political authority, occupy a common territory, have a common culture, and share a sense of identity. A society is not easily created or destroyed, but it is possible to do so through genocide or war.

3-20. No society is homogeneous. A society usually has a dominant culture, but can also have a vast number of secondary cultures. Different societies may share similar cultures, but societies are not static. Societies change over time due to war or migration.

3-21. Understanding the societies in the AO allows COIN forces to achieve objectives and gain support. Commanders also consider societies outside the AO whose actions, opinions, or political influence can affect the mission.

Social Structure

3-22. Each society is composed of both social structure and culture. Social structure refers to the relations among groups of persons within a system of groups. Social structure is persistent over time, meaning that it is regular and continuous despite disturbances, and the relation between the parts holds steady even as groups expand or contract. In an army, for example, the structure consists of the arrangement into groups like brigades, Kandaks, and companies, and the arrangement into ranks. In a society, the social structure includes groups, institutions, organizations, and networks. Social structure involves the arrangement of the parts that constitute society, the organization of social positions, and the distribution of people within those positions.

Groups

3-23. A *group* is two or more people regularly interacting on the basis of shared expectations of others' behavior and who have interrelated statuses and roles. In an AO, the social structure will include a variety of groups, including racial groups, ethnic groups, religious groups and/or tribal groups and other kinship-based groups.

3-24. A *race* is a human group that defines itself or is defined by other groups as different by virtue of innate physical characteristics. Biologically, there is no such thing as race among human beings; race is a social category.

3-25. An *ethnic group* is a human community whose learned cultural practices, language, history, ancestry, or religion, distinguish them from others. Members of ethnic groups see themselves as different from other groups in a society, and are recognized as such by others. Religious groups may be subsets of larger ethnic groups.

3-26. *Tribes* are generally defined as autonomous, genealogically structured groups in which the rights of individuals are largely determined by their ancestry and belonging to a particular lineage. Tribes are essentially adaptive social networks, organized by extended kinship and descent, with common needs for physical and economic security.

3-27. Understanding the composition of groups in the AO is of vital importance for COIN operations, especially because insurgents may organize around racial, ethnic, religious, or tribal identities. Furthermore, tensions or hostilities between groups in an AO may destabilize a society and provide opportunities for insurgents. Commanders should thus identify powerful groups both inside and outside of their AO, and identify the formal relationships (such as treaties or alliances) and the informal relationships (such as tolerance or friction) between groups. Commanders should identify cleavages between groups and cross-cutting ties (for example, religious alignments that cut across ethnic differences). Insurgent leadership and their rank and file may belong to separate groups, or the bulk of the population may differ from the insurgents. These characteristics may suggest courses of action aimed at reinforcing or widening seams among insurgents or between insurgents and the population.

Networks

3-28. *Networks*, which are a series of direct and indirect ties from one actor to a collection of others, may be an important element within a social structure. Common types of networks include elite networks, prison networks, tribal networks, and neighborhood networks. Networks can have many purposes: economic, criminal, and emotional. Network analysis should consider both the structure of the network and the nature of the interactions between network actors.

Institutions

3-29. Groups engaged in patterned activity to complete a common task are called *institutions*. Educational institutions bring together groups and individuals whose statuses and roles concern teaching and learning. Military institutions bring together groups and individuals whose statuses and roles concern defense and security. Institutions, the basic building blocks of societies, are continuous through many generations and continue to exist even when the individuals that compose them are replaced.

Organizations

3-30. *Organizations*, both formal and informal, are institutions that have bounded membership, defined goals, established operations, fixed facilities or meeting places, and a means of financial or logistic support. In an AO, organizations may control, direct, restrain, or regulate the local populace. Thus, commanders should identify influential organizations both inside and outside of their AO, which members of what groups belong to the organization, and how their activities may affect military operations. The next step is to determine how these organizations affect the local populace, whose interests they fulfill, and what role they play in influencing local perceptions. Planners can generally group these organizations into communicating, religious, economic, governance, and social.

3-31. *Communicating* organizations have the power to influence a population's perceptions.

3-32. *Religious* organizations regulate norms, restrain or empower activities, reaffirm worldviews, and provide social support. A religious organization differs from a religious group: whereas a religious group is a general category, such as Islam, a religious organization is a specific community, such as Shia or Sunni Islam..

3-33. *Economic* organizations provide employment, help regulate and stabilize monetary flow, assist in development, and create social networks.

3-34. *Social* institutions, such as schools, civil society groups, and sports teams, provide support to the population, create social networks, and can influence ideologies. Organizations may belong to more than one category. For instance, an influential religious organization may also be a communicating organization.

Roles and Statuses

3-35. To facilitate COIN operations, the most common roles, statuses, and institutions within the society must be identified. Individuals in any given society interact as members with social positions, referred to as a status. Most societies associate particular statuses with particular social groups, such as family, lineage, ethnicity, or religion. Statuses may be achieved by meeting certain criteria, or may be ascribed by birth. Statuses are often reciprocal, such as that of husband and wife or teacher and student. Every status carries a cluster of expected behaviors, such as how a person in that status is expected to think, feel, and act, as well as expectations about how they should be treated by others.

Social Norms

3-36. Violation of a role prescribed by a given status, such as failing to feed one's children, results in social disapproval. The standard of conduct for social roles is known as a 'social norm.' A social norm is what people are expected to do or should do, rather than what people actually do. Norms may be either moral (incest prohibition, homicide prohibition) or customary (prayer before a meal, removing shoes before entering a house). When a person's behavior does not conform to social norms, the person may be sanctioned. Understanding roles, statuses, and social norms within an AO can clarify and provide guidance to COIN forces about expected behavior.

Culture

3-37. Once the social structure has been thoroughly mapped out, COIN forces should identify and analyze the culture of the society as a whole, and of each major group within the society. Whereas social structure (groups, institutions, organizations) comprises the relationships among groups, institutions, and individuals within a society, culture (ideas, norms, rituals, codes of behavior) provides the meaning to individuals within the society. For example, families are a core institutional building block of social structure, found universally. However, marital monogamy, expectations of a certain number of children, and willingness to live with in-laws are all matters of culture, and are highly variable in different societies. Social structure can be thought of as a skeleton, and culture is like the muscle on the bones. The two are mutually dependent and reinforcing, and a change in one results in a change in the other.

3-38. Culture is "web of meaning" shared by members of a particular society or group within a society. Culture has the following characteristics:

- Culture is a system of shared beliefs, values, customs, behaviors, and artifacts that the members of society use to cope with their world and with one another.
- Culture is learned, though a process called enculturation.
- Culture is shared by members of a society; there is no "culture of one."
- Culture is patterned, meaning that people in a society live and think in ways that form definite, repeating patterns.

- Culture is changeable, meaning it is constantly changing through social interactions between people and groups.
- Culture is arbitrary, meaning that Soldiers should make no assumptions regarding what a society considers right and wrong, good and bad.
- Culture is internalized, in the sense that is habitual, taken-for-granted, and perceived as “natural” by people within the society.

3-39. Culture might also be described as an operational code that is valid for an entire group of people. Culture conditions the individual’s range of action and ideas, including what to do (and what not to do), how to do it (or not do it), whom to do it with (or whom not to do it with), and under what circumstances the “rules” shift and change. Culture influences how people make judgments about what is right and wrong, assess what is important and unimportant, categorize things, and deal with things that do not fit into existing categories. Cultural rules are flexible in practice.

Identity

3-40. Each individual belongs to multiple groups, through birth, assimilation, or achievement. Each group to which the individual belongs influences his or her beliefs, values, attitudes, and perceptions. Individuals rank their identities consciously or unconsciously into primary (national, racial, religious) identities and secondary identities (hunter, fisherman, coffee drinker). Frequently, individuals’ identities may be in conflict, and COIN forces can use these conflicts to influence key leaders’ decision-making processes.

Beliefs

3-41. Beliefs are concepts and ideas accepted as true. Beliefs can be core, intermediate, or peripheral.

3-42. *Core* beliefs are those views that are part of a person’s deep identity, and are not easily changed. Examples include belief in religion, the value of democratic government, and the role of the family. Core beliefs are unstated, taken for granted, resistant to change, and not consciously considered. Attempts to change the central beliefs of a culture may result in significant unintended second- and third-order consequences. Decisions to do so are made at the national-strategic level.

3-43. Beliefs in the *intermediate* region are predicated on reference to authority figures or authoritative texts. Thus, intermediate beliefs can be influenced through co-optation of the opinion leaders.

3-44. From intermediate beliefs flow *peripheral* beliefs, which are open to debate, consciously considered, and easiest to change. For example, political affiliation, numbers of children a family should have derive from beliefs in governmental leadership and immediate family norms.

Values

3-45. A *value* is an enduring belief that a specific mode of conduct or end state of existence is preferable to an opposite or converse mode of conduct or end state of existence. Each group to which an individual belongs ingrains that individual with its values and their ranking of importance. Individuals do not unquestioningly absorb all the values of the groups to which they belong, but accept some and reject others. The values of each culture to which individuals simultaneously belong are often in conflict: religious values may conflict with generational values, gender values with organizational practices. Commanders should evaluate the values of each group, such as toleration, stability, prosperity, social change, and self-determination. Commanders should also consider whether the values promoted by the insurgency correspond to the values of other social groups in the AO or to those of the government, and whether these differences in values can be exploited by ANA forces.

Attitudes and Perceptions

3-46. Attitudes are affinities for and aversions to groups, persons, and objects. Commanders should consider groups' attitudes toward other groups, outsiders, their government, the Islamic Republic of Afghanistan, the ANA, globalization, and so forth. Attitudes affect perception, which is the process by which an individual selects, evaluates, and organizes information from the external environment.

Belief Systems

3-47. The totality of the identities, beliefs, values, attitudes, and perceptions that an individual holds—and the ranking of their importance—is that person's belief system. Religions, political ideologies, and all types of "isms" fall in this category.

3-48. The belief system acts as a filter for new information: it is the lens through which people perceive the world. Understanding the belief systems of various groups in an AO allows COIN forces to more effectively influence the population.

3-49. The belief systems of insurgents and other groups within the AO should be given careful attention. The insurgency may frame its objectives in terms of a belief system or may use a belief system to mobilize and recruit followers from among the population. Where there are differences between the belief system of the insurgents and civilian groups, an opportunity exists for counterinsurgents to engineer a split between the insurgency and the larger population.

Cultural Forms

3-50. *Cultural forms* are the concrete expression of the belief systems shared by members of a particular culture. Cultural forms, such as rituals, symbols and narratives, are the medium for communicating ideologies, values, and norms that influence thought and behavior. Each culture constructs or invents its own cultural forms, through which

cultural meanings are transmitted and reproduced. COIN forces can identify the belief systems of a culture by observing and analyzing its cultural forms.

3-51. The most important cultural form for COIN forces to understand is the narrative. A *cultural narrative* is a story recounted in the form of a causally linked set of events that explains an event in group's history and expresses the values, character, or self-identity of the group. Narratives are the means through which ideologies are expressed and absorbed by individuals in a society. By listening to narratives, COIN forces can identify the basic core values of the society.

3-52. Other cultural forms include ritual and symbols. *Ritual* is a stereotyped sequence of activities involving gestures, words, and objects, performed to influence supernatural entities or forces on behalf of the actors' goals and interests. Rituals can be either sacred or secular. A *symbol* is the smallest unit of cultural meaning and is filled with a vast amount of information that can be decoded by a knowledgeable observer. Symbols can be objects, activities, words, relationships, events, or gestures. Institutions and organizations often use cultural symbols to amass political power or to generate resistance against external groups. Careful attention should be paid to the meaning of the common symbols and how various groups in the AO use them.

Power and Authority

3-53. Once the social structure has been mapped and the culture is understood, COIN forces must understand how power is apportioned and used within a society. Understanding power is the key to manipulating the interests of groups within the society.

3-54. There may be many power holders in a society, both formal and informal. Understanding the formal political system (including central governments, local governments, political interest groups, political parties, unions, government agencies, and regional and international political bodies) is necessary but not sufficient for COIN operations. Informal power holders are often more important for COIN operations, and may include ethno-religious groups, social elites, or religious figures.

3-55. For each group within the AO, COIN forces should identify what type of power the group has, what they use their power for (such as amassing resources, protecting followers, and so forth) and how they acquire and maintain power. Commanders should also identify which leaders have power within particular groups, what type of power they have, what they use their power for, and how their power is acquired and maintained. There are four major forms of power in a society: coercive force, social capital, economic resources, and authority.

Coercive Force

3-56. *Coercion* is the ability to compel a person to act through threat of harm or by use of physical force. Coercive force can be positive, in the sense that a group may provide security to its members (such as policing and defense of territory), or it may be negative,

in the sense that a group may intimidate or threaten group members or outsiders. One essential role of government is to monopolize coercive force within its territory in order to provide physical security to its citizens. Where the state fails to provide security to its citizens or becomes a threat to them, citizens may seek alternative security guarantees from an ethnic, political, religious, or tribal group in the AO. Insurgents, and other nongovernmental groups, may possess considerable coercive force, in the form of paramilitary units, tribal militias, gangs, or organizational security personnel that they use to gain power over a civilian population. These groups may be using their coercive force for a variety of purposes unrelated to the insurgency, such as protecting their own community members, carrying out vendettas, or engaging in criminal activities. For example, what may appear to be insurgent violence against “innocent civilians” could in fact be a tribal blood feud unrelated to the insurgency.

Social Capital

3-57. *Social capital* refers to the power of individuals and groups to utilize social networks of reciprocity and exchange to accomplish their goals. In many non-Western societies, patron-client relationships are an important form of social capital. In a system based on patron-client relationships, an individual in a powerful position provides goods, services, security, or other resources to followers in exchange for political support or loyalty, thereby amassing power. COIN forces must identify, where possible, which groups and individuals have social capital and how they attract and maintain followers.

Economic Power

3-58. *Economic power* is the power of groups or individuals to use economic incentives and disincentives to change people’s behavior. Economic systems can be formal or informal, or a mixture of both. In weak or failed states, where the formal economy may be functioning in a diminished capacity, the informal economy plays a central role in people’s daily lives. For example, in many societies, monies and other economic goods are distributed through the tribal or clan networks and are connected to indigenous patronage systems. Those groups able to provide their members with economic resources through an informal economy (whether smuggling, black market activities, barter, or exchange) gain followers and may amass considerable political power. Counterinsurgents must therefore be aware of the local informal economy and evaluate the role played by various groups and individuals within it. Insurgent organizations may also attract followers through criminal activities that provide income.

Authority

3-59. *Authority* is power that is attached to positions and is justified by the beliefs of the obedient. There are three primary types of authority:

- Rational-legal authority, which is grounded in law and contract, codified in impersonal rules, and commonly found in developed, capitalist societies.

- Charismatic authority, which is exercised by leaders who develop allegiance among their followers because of their unique, individual charismatic appeal, whether ethical, religious, political, or social.
- Traditional authority, which is usually invested in a hereditary line or in a particular office by a higher power.

3-60. Traditional authority, which relies on the precedent of history, is a common type of authority in non-Western societies. In particular, tribal and religious forms of organization rely heavily on traditional authority. Traditional authority figures often wield enough power, especially in rural areas, to single-handedly drive an insurgency. Understanding the types of authority at work in the formal and informal political systems of the AO helps COIN forces identify the agents of influence who can help or hinder the accomplishment of objectives.

Interests and Economics

3-61. After mapping the social structure, evaluating the culture of the society as a whole and that of each group within the society, and identifying who holds formal and informal power and why, COIN forces should consider how to use the capabilities at their disposal to reduce support for insurgents and gain support for the legitimate government.

3-62. To accomplish this task, requires COIN forces to understand the population's *interests*, meaning the core motivations that drive behavior, such as physical security, basic necessities, economic well-being, political participation, and social identity. During times of instability when the government cannot function, the groups and organizations to which an individual belongs provide physical security, basic necessities, economic resources, and political identity. Understanding a group's interests illuminates the various opportunities available to a commander to meet or frustrate those interests with the capabilities at his or her disposal. A group's interests may become grievances if the government does not fulfill the group's needs.

Physical Security

3-63. During an insurgency or any period of political instability, the primary interest of the civilian population is physical security for themselves and their families. When government forces fail to provide security or threaten the security of civilians, the civilian population is much more likely to seek alternative security guarantees from insurgents, militias, or other armed groups. This process can drive an insurgency. However, when government forces provide physical security, civilians are more likely to support the government against the insurgents. Commanders should therefore identify who is providing security to each group within the civilian population. The provision of security must occur in conjunction with political and economic reform.

Essential Services

3-64. Other interests of a population include that which is necessary to sustain life, such as food, water, clothing, shelter, and medical treatment. Stabilizing a populace requires meeting all these essential needs. People pursue these needs until they are met, at any cost and from any source. If an insurgent source provides for the populace's needs, the populace will support that source. This may impede mission accomplishment. If the government provides that which is necessary to sustain life, the population is more likely to support the government. Commanders should therefore identify who is providing basic life necessities to each group within the civilian population.

Economy

3-65. Individuals and groups within a social system satisfy their economic interests through the production, distribution, and consumption of goods and services. How individuals within a society satisfy their economic needs depends on the level and type of economic development. For instance, in a rural-based society, land ownership may be a chief component of any economic development plan. For a more urban society, jobs in both the public and private sector may be the biggest issue of contention.

3-66. Economic disparities between groups may drive political instability, and economic disenfranchisement may be a core grievance of insurgent groups. Insurgent leadership or traditional authority figures often use real or perceived societal injustices to drive an insurgency, such as economic disenfranchisement, exploitative economic arrangements, or a significant income disparity that creates (or allows for) intractable class distinctions. The economic system within an AO may be adversely affected by military operations and/or insurgent actions. This can cause the population to resent the government. On the other hand, restoration of production and distribution systems can energize the economy, create jobs and growth, and positively influence local perceptions. Commanders should evaluate whether the society has a functioning economy, whether civilians have fair access to land and property, and how to minimize the economic grievances of the civilian population in order to reduce support for insurgency and increase support for the government.

Political Participation

3-67. Another interest of the civilian population is political participation. Many insurgencies begin because certain groups within the society perceive that they have been denied political rights. In order to satisfy their political interests, groups may use preexisting cultural narratives and symbols to mobilize for political action. Very often, they will come together around traditional or charismatic authority figures. Commanders should investigate whether all members of the civilian population have a guarantee of political participation; whether there is ethnic, religious, or other discrimination; and whether there are legal, social, or other policies that contribute to the insurgency. Commanders should also identify what narratives mobilize political action within the group and who their traditional or charismatic authority figures are.

LANGUAGES

3-68. The languages used in an AO have a major impact on operations. Languages must be identified so language training, communication aids such as phrase cards, and requisitioning of translators can be accomplished. Translators are critical for intelligence collection, interaction with local citizens and community leaders, and development of products for information operations. The mission cannot proceed without them.

3-69. Another aspect of language involves transliteration of names not normally written using the English alphabet. This affects all intelligence operations, to include collection, analysis, fusion, and targeting. In countries that do not use the English alphabet, a theater-wide standard should be set for spelling names. Without a spelling standard, it can be difficult to conduct effective analysis. (This problem is compounded in cultures where people use different names depending on the context in which the name is asked.) Unfamiliar and similar place names can confuse map reading and cause targeting errors. In addition, insurgents may be released from custody if their name is misidentified. To overcome these problems, there must be one spelling standard for a theater. Because of the interagency nature of COIN operations, the standard must also be agreed upon by non-ANA agencies.

EVALUATE THE THREAT

3-70. The purpose of evaluating the insurgency and other related threats to the mission is to understand the enemy, enemy capabilities, enemy vulnerabilities, and opportunities commanders may be able to exploit. Evaluating an insurgency is difficult. Neatly arrayed enemy orders of battle are not available and are not the critical information commanders require. Commanders require knowledge of difficult-to-measure characteristics of the threat, such as insurgent goals, grievances exploited by the insurgents, means used by the insurgents to generate support, the organization of insurgent forces, and accurate locations of key insurgent leaders. However, insurgents usually look no different from the general populace and do their best to blend with noncombatants. The structure of insurgent groups is often adaptive and flexible, and they may publicly claim different motivations and goals than what is truly driving their actions. Further complicating matters, insurgent organizations are often rooted in ethnic or tribal groups and they often take part in criminal activities or link themselves to political parties, charities, or religious organizations. This blurs the lines as to what and who the threat is. The following characteristics of an insurgency provide a basis for evaluating the threat and are discussed in depth in Appendix B:

- Insurgent objectives.
- Insurgent motivations.
- Popular support/tolerance.
- Support activities, capabilities, and vulnerabilities.
- Information activities, capabilities, and vulnerabilities.
- Political activities, capabilities, and vulnerabilities.
- Violent activities, capabilities, and vulnerabilities.
- Organization.

- Key leaders and personalities.

3-71. Of the preceding characteristics, knowledge of objectives, motivations, and means of generating popular support/tolerance will often be the most important intelligence requirements and the most difficult to ascertain. In particular, generating popular support/tolerance often has the greatest impact on the insurgency's long-term effectiveness. This is usually the center of gravity of an insurgency. Support/tolerance, provided either willingly or unwillingly by the populace, results in safe havens, freedom of movement, logistic support, financial support, intelligence, and new personnel for the insurgency. It should be noted that support/tolerance is often generated using violent coercion and intimidation of the people. In these cases, even if the people do not favor the insurgent cause, they are forced to tolerate the insurgents or provide them material support.

3-72. Generating popular support has a positive effect on an insurgent organization. As the insurgent group gains support, its capabilities grow, which in turn enables it to gain more support. Insurgents generally view popular support as a zero-sum game in which a gain in support for their movement is a loss for the government and a loss of support for the government is a gain for the insurgents.

3-73. Although violence is generally the most visible aspect of the insurgency, it can represent only a small portion of the insurgent effort. Support activities, such as recruitment, securing finances, and securing logistics, are more difficult to detect, but often more widespread and important to the insurgency than violence. It is important to track the violent actions of insurgents, but this should not be done at the expense of understanding the other characteristics of the insurgency.

3-74. As explained in chapter 1, insurgents are by nature an asymmetric threat. They do not use terrorist and guerrilla tactics because they are cowards afraid of a "fair fight." They use these tactics because they are the best means available for achieving their goals. Terrorist and guerrilla attacks are usually planned to achieve the greatest political and informational impact with the lowest amount of risk to the insurgents. This means that commanders must not simply understand insurgent tactics and targeting; they must also understand how violence is used to achieve the goals of the insurgent organization and how violent actions are linked to political and informational actions.

3-75. Attitudes and perceptions play a very important role in understanding the threat. It is important to know how the population perceives the insurgents, the host nation, and your forces. In addition local government and insurgent perceptions of one another and of your forces is also very important. Attitudes and perceptions of different groups and organizations inform decision-making processes and shape popular thinking on the legitimacy of the actors in the war.

Insurgency-related Threats

3-76. The presence of an insurgency with widespread support in a state usually means the government of the state is weak and losing control. In such situations, criminal organizations and nongovernmental militia forces can become powerful.

Criminal Networks

3-77. Though not necessarily a part of the insurgency, criminal networks can further undermine the authority of the state through banditry, hijackings, kidnappings, smuggling, and other disruptive activities. Insurgent organizations often link themselves to criminal networks in order to secure additional sources of funding and logistics. In some cases, insurgent networks and criminal networks become indistinguishable. As commanders work to reassert government control of an area, they need to know what criminal networks are present, what their activities are, and how they interact with the insurgency.

Nongovernmental Militias

3-78. As the state weakens and violence increases, people look for ways to protect themselves. If the state cannot provide protection, people may organize into armed militias to protect themselves. Examples of this are the warlords that inhabit remote parts of the Islamic Republic of Afghanistan. If militias are outside of the control of the government, they are often disruptive to ending the insurgency. They may become more powerful than the government, particularly at a local level. They may also fuel the insurgency and a downward spiral into full-scale civil war if they conduct their own armed attacks on insurgents.

3-79. Although militias may not be an immediate threat to ANA forces, they constitute a long-term threat to the law and order within the state. They should be tracked by intelligence in the same manner as an insurgent group. The intent of this analysis is to understand what role militias play in the insurgency, what role they play in politics, and how they can be disarmed.

Opportunities

3-80. As the threat is evaluated and the interests and attitudes of the people are learned, it becomes possible to identify divisions between the insurgents and the people as well as between the government and the people. For instance, if the insurgent ideology is not popular, the insurgents may rely on intimidation to generate support. Another example would be discovering that the insurgents gain support by providing social services that the government neglects. Determining such divisions provides opportunities for crafting friendly operations that expand splits between the insurgents and the people or lessen the divides between the government and the people.

DETERMINE THREAT COURSES OF ACTION

3-81. The purpose of this IPB step is to understand insurgent strategies and tactics so they may be effectively countered. The initial determination of threat courses of action focuses on two levels of analysis. The first is determining the overall strategy, or combination of strategies, selected by an insurgency to achieve its goals. The second is determining tactical courses of action used in support of the strategy.

INSURGENT STRATEGIES

3-82. As indicated in Chapter 1, there are five general strategies insurgents may follow:

- Conspiratorial.
- Protracted popular war.
- Traditional.
- Military-focus.
- Urban warfare.

3-83. These approaches may be combined with one another or occur in parallel in the same AO as different insurgent groups follow different paths. In addition, insurgents may change strategies over time. The type of strategy pursued affects the insurgents' organization, the types of activities they conduct, and the emphasis they place on different activities. It should be noted that insurgents may be inept at the use of a given strategy, or they may misread the operational environment and use an inappropriate strategy. Knowledge of misapplication of strategy or the use of different strategies by different insurgent groups may provide opportunities that can be exploited by counterinsurgents.

Conspiratorial

3-84. A conspiratorial strategy relies on the secret creation of a political body that exploits popular revolution, the actions of other insurgents, or weakness in the government to seize control. Insurgent organizations following this strategy generally conduct very few overt violent or informational actions until they believe the conditions are set for them to seize power. Their cadre is large relative to the number of the combatants in the organization and they may have a small mass base or no mass base at all. The organization will usually be small, secretive, disciplined, and tightly controlled by leadership. Insurgencies following a conspiratorial strategy may be countered effectively by targeting leaders and cadre through direct action. However, information operations and political or economic programs should be used to prevent the government from weakening to the point that conspiratorial insurgents can seize power.

Military-focus

3-85. The military-focus strategy relies almost completely on violence. Followers of this strategy believe the populace shares a general resentment for the government and that violence will create the conditions for overthrowing the government. They further believe

that, as the populace sees insurgents fighting the government on their behalf, it will be motivated to support the insurgency. Insurgent organizations following this strategy tend to have leaders and combatants, but little, if any, cadre or mass base. This strategy has rarely been effective historically, although the Cuban revolution is a well-known success. Targeting leaders and combatants through direct action is often the best way to counter an insurgent group using a military-focus strategy. However, political, economic, and social programs can be used to bolster support for the government and make it impossible for the insurgents to gain support through violent actions.

Urban

3-86. An urban strategy relies on terrorism in urban areas. The intent of the terrorist activities is to incite repression by COIN forces that bolsters support to the insurgency. In addition, practitioners of the urban strategy may seek to tie-down large numbers of COIN forces in cities so they may gain freedom of movement in rural areas. They may also infiltrate and subvert government and security forces in urban areas. Insurgent organizations using this strategy tend to be composed of small, compartmentalized cells. Like the military-focus strategy, the cadre and mass base in the organization will generally be small relative to the number of combatants. Countering the urban strategy relies on effectively securing cities without being repressive. As in countering other strategies, information operations, political programs, economic programs, and social programs may be used to isolate the insurgents and ensure support to the government.

Protracted Popular War

3-87. Protracted popular war is the best-known, most successful insurgent strategy and is most closely associated with Mao Zedong. It relies on the slow development of popular support while simultaneously undermining the will, legitimacy, and popular support of counterinsurgents. This strategy makes the best use of asymmetries between insurgents and counterinsurgents.

3-88. It need not follow those phases. The insurgents also need not progress to conventional war. Information and political activities supported by terrorism and/or guerrilla warfare may be sufficient to defeat counterinsurgents. In some cases, information and political activities may be effective without any violent action.

3-89. There are many different ways of structuring an insurgent organization to follow this strategy, and the structure will likely change with both time and location on the battlefield. However, they tend to rely on a large mass base of supporters. Other indicators of this strategy are overt violence, heavy use of information and political activities, and focus on building popular support for the insurgency. Protracted popular war is best countered by winning the “hearts and minds” of the populace and separating the leaders, cadre, and combatants from the mass base through information operations, civil-military operations, economic programs, social programs, and political action.

Traditional Strategy

3-90. A traditional strategy relies on building an insurgency along the lines of ethnic, tribal, or religious groups. Such insurgencies draw heavily upon the identity of a group to differentiate themselves from the government. When this strategy is used effectively, entire communities may join the insurgency together. This strategy is strongly associated with liberation insurgencies as insurgent leaders create an “us-and- them” gap between the government and the ethnic, tribal, or religious group and use this division to encourage others to join the insurgency. Insurgencies following this strategy tend to have a large mass base of passive and active supporters built around pre-existing social networks. There also tend to be many auxiliaries. The number of cadre is generally small, as the insurgency relies on traditional authority structures and is generally not intent on spreading a new political system. The number of combatants varies, but there are often large numbers of part-time combatants. There may or may not be many full-time combatants. Leaders usually come from traditional leadership positions, such as religious leaders, tribal chiefs, or tribal councils. Insurgencies using a traditional strategy can be difficult to counter, particularly if they are fighting to liberate their group from the government. Generally speaking, political or economic deals are necessary to end the conflict.

TACTICAL COURSES OF ACTION

3-91. Insurgents base their tactical courses of action on their capabilities and intentions. The capabilities of an organization are the support, information, political, and violent capabilities evaluated in the third step of IPB. The intentions come from goals, motivations, strategy, culture, perceptions, and leadership personalities. It is important to understand that many different courses of action can happen in any given region at any given time and that tactical courses of action change with both time and location. People and their attitudes, both within the nation and often without, are the ultimate targets of the insurgents in all operations. Therefore, special attention must be paid to what effects insurgent courses of action have on the people and how the insurgents achieve those effects. Finally, it is important to note that tactical actions can have strategic effects. This is because insurgent propaganda and media reporting can reach a global audience, multiplying the effects of insurgent tactical actions. (Tactical courses of action are covered in greater depth in Appendix B.)

SECTION III – INTELLIGENCE, SURVEILLANCE, AND RECONNAISSANCE OPERATIONS

3-92. The purpose of intelligence, surveillance, and reconnaissance (ISR) operations is to develop the intelligence necessary for addressing the issues that drive the insurgency. Several factors are particularly important for ISR operations in COIN environments. These include:

- A focus on the local populace.
- Collection occurring at all echelons.
- Localized nature of insurgencies.

- All Soldiers are collectors.
- Insurgent use of complex terrain.

3-93. Intelligence gaps and information requirements determined during IPB may range from the location of insurgent leaders, to local perceptions of insurgents by the populace, to the status of the local political parties. In general, collection focuses on the populace, the insurgents, and the local government.

3-94. The fact that all units collect and report information combined with the localized nature of insurgencies means that the flow of intelligence in COIN is more bottom up than top-down. Pushing intelligence collection assets down to the tactical level therefore benefits all echelons. Its advantages include improving the collection capabilities of tactical units, ensuring reports go through appropriate channels to reach higher-echelon audiences, and getting collectors to where the insurgents are.

3-95. While collection may occur in any unit and collectors may be pushed down to the lowest levels, the overall intelligence synchronization plan (formerly the collection plan) must remain synchronized so that all echelons receive the information they require. There are several means of accomplishing this. One is to ensure priority intelligence requirements (PIRs) are embedded at all echelons. They may be tailored to local or regional circumstances, but local and theater collection should support one another. Headquarters monitor requests for information from lower echelons and tasking from higher echelons so they can get information to units that require it in a timely manner. It is important to ensure all Soldiers understand the PIRs. This enables them to know when they should report something they have seen or heard and what they should report.

3-96. Feedback from analysts and operators to collectors is important to synchronize the ISR effort. This response lets collectors know a report is of interest and that there should be follow-up. Such feedback may come from any unit at any echelon.

3-97. Also affecting intelligence synchronization is the requirement to work closely with governmental agencies, national security and intelligence organizations, and third-country intelligence organizations. Synchronization of the efforts of the various agencies and organizations is driven by national-level ISR planning, but this coordination occurs at all echelons. Communication among collection managers and collectors down to the Kandak level is important to ensuring work is not duplicated unnecessarily and circular reporting does not occur. (See the Intelligence Collaboration and Fusion section, below).

3-98. Insurgents often seek to use complex terrain to their advantage. Collection managers do not ignore areas of complex terrain. In addition, insurgents use “seams” between maneuver units to their advantage (Seams are boundaries between units not adequately covered by any unit.). Collection managers must have a means of monitoring seams in order to ensure the enemy cannot establish undetected bases of operation.

THE INTELLIGENCE–OPERATIONS DYNAMIC

3-99. Intelligence and operations have a dynamic relationship in all operations. Intelligence drives operations and successful operations generate intelligence. For instance, an operation increasing the security and general happiness of a town often increases the amount of information offered by its inhabitants. This results in more effective operations. The reverse of this is also true. Operations conducted without accurate intelligence may upset the people and cause them to offer less information.

3-100. In many cases, tactical units new to an AO have little intelligence on the AO. Operations will be conducted with the purpose of gathering intelligence. Even in permissive environments where a great deal is known about the enemy, there is an intelligence aspect to all operations.

3-101. Because intelligence and operations are so closely related, it is important that collectors be linked directly to the analysts and operators they support and remain responsive to their requirements. Further, collectors should not passively wait for requirements, but closely monitor the operational environment and recommend requirements on their own.

HUMAN INTELLIGENCE AND OPERATIONAL REPORTING

3-102. *Human intelligence* (HUMINT) is a category of intelligence derived from information collected and provided by human sources. During COIN operations, much intelligence is based on information gathered from people, to include informants (HUMINT sources) and captured insurgents. HUMINT is often the primary intelligence category in COIN. Because every Soldier is a potential collector, any interaction with the populace may result in human intelligence reporting. This means that HUMINT will often be based on information from operational reporting as well as dedicated HUMINT collectors.

3-103. The lives of people offering HUMINT are in danger. Insurgents continuously try to defeat ISR collection operations by intimidating or murdering sources. Soldiers must protect the identity of HUMINT sources.

3-104. ANA forces should not expect people to willingly provide information if insurgents have the ability to violently intimidate them. HUMINT reporting increases if COIN forces protect the populace from the insurgents and people begin to believe the insurgents will lose the conflict. To maintain increased cooperation from the people, it is very important that insurgents not be allowed to return and murder or intimidate them. If insurgents do return to an area, COIN forces lose credibility with its inhabitants.

3-105. Residents may approach patrols and offer them information. Soldiers should take the information offered and, if appropriate, establish a means of contacting the individual. Patrol members receiving the information should then report it as part of their debriefing.

If possible, trained HUMINT personnel should be involved in any contacting of the source. This is to ensure the safety of both ANA personnel and local residents.

3-106. People will often provide inaccurate information to ANA Soldiers. They may simply be spreading rumors or providing inaccurate information purposefully to use ANA forces to settle tribal, ethnic, or business disputes. In some cases, insurgents provide bad information to Soldiers to lead them into ambushes, to get them to undertake an operation that will upset the population, to learn about ANA planning time and tactical procedures, or to stretch ANA forces thin by causing them to react to false reports. For these reasons, the accuracy of HUMINT should be verified before being used to support direct action.

HUMAN INTELLIGENCE NETWORKS

3-107. An effective means of HUMINT collection is to build a network of HUMINT sources. A HUMINT network provides the COIN equivalent of the reconnaissance and surveillance conducted by scouts in conventional operations. These networks serve as “eyes and ears” on the street and provide an early warning system for tracking insurgent activity. Although Soldiers will regularly get “walk-in” or “walk-up” intelligence reports from citizens, the only counterintelligence personnel are trained and authorized personnel to operate a HUMINT network. With the potential danger informants face if identified, and the potential danger to troops involved, only counterintelligence personnel should operate a HUMINT networks and develop HUMINT sources. All Soldiers may record information given to them by walk-up informants or contacts with whom they have a regular liaison relationship; however, they may not develop HUMINT sources or networks.

NONTRADITIONAL HUMAN INTELLIGENCE SOURCES

3-108. As previously stated, the interactions of any Soldier with the populace can generate HUMINT reporting if troops know PIRs and conduct after-action debriefings. It is therefore imperative that Soldiers know what information is reportable and that every patrol is debriefed. These debriefings should be as detailed as possible in order to ensure PIRs are accurately answered. In addition, because of their continuous contact with the populace, Soldiers regularly generate new potential sources for HUMINT personnel to develop. Analysts and HUMINT collectors should work closely with operations staffs and other personnel to ensure new sources are properly developed. Some valuable sources of HUMINT include the following:

- **Patrol debriefings and after-action reviews.** Patrols regularly encounter individuals offering information and observe new enemy tactics and techniques. Patrol debriefings are especially important to units at brigade level and below, though the information collected can be of higher echelon significance.
- **Civil affairs action reports.** These are especially useful for gathering information about politics, economy, and infrastructure. Intelligence personnel also regularly come into contact with individuals offering information.

- **Psychological operations (PSYOP) action reports.** Intelligence personnel conduct opinion polls and gather information on community attitudes, perceptions, and interests/grievances. Intelligence personnel also regularly encounter individuals offering information.
- **Commando reporting.** Commandos and other special forces often work closely with local nationals and produce valuable HUMINT reports.
- **Leadership liaison.** Commanders and leaders regularly meet with their counterparts in the local government security forces and with community leaders. These meetings often result in the passing of information or tips.
- **Contracting.** Contracting officers work with national contractors, both local and external, performing support functions or building national infrastructure. Contractors may offer information to contracting officers.
- **Multinational operations centers.** These provide a venue for sharing information between coalition and ANA personnel.
- **Tips hotlines.** Telephone or e-mail hotlines provide a means for local citizens to provide information without undue exposure to insurgent retribution. They are especially useful for time-sensitive intelligence, such as warning of an attack, or the current location of an insurgent.
- **Local personnel.** There will be times when local civilians, such as contractors or journalists, offer information to Soldiers. In addition, military intelligence personnel can collect information concerning local people.

CAPTURED INSURGENTS AND DEFECTORS

3-109. Captured insurgents and defectors from the insurgency are a very important source of HUMINT. The information they provide about the internal workings of an insurgency are usually better than any other HUMINT source can provide. In addition, they have valuable insight into the perceptions, motivations, goals, morale, organization, and tactics of an insurgent organization. Both captured insurgents and defectors should be thoroughly questioned on all aspects of an insurgency discussed in the IPB discussion, above. The answers provided should be compared with captured equipment, pocket litter, and documents to build a better understanding of the insurgency. While properly trained Soldiers can conduct immediate tactical questioning of captured insurgents or defectors, only trained HUMINT personnel can thoroughly interrogate such subjects (Refer to Chapter 7 and Appendix C of this manual, for more information on interrogation of captured personnel.).

SURVEILLANCE AND RECONNAISSANCE CONSIDERATIONS

3-110. Because all Soldiers are potential collectors, all day-to-day tactical operations are addressed in the ISR plan. This means every patrol or mission should be provided intelligence collection requirements in addition to operations requirements.

3-111. Overt area and zone reconnaissance are excellent means for tactical units to learn more about their AO, to include the terrain, infrastructure, people, government, local leaders, and insurgents. Overt reconnaissance by patrols allows commanders to fill

intelligence gaps and develop relationships with local leaders, while simultaneously providing security to the populace.

3-112. Covert reconnaissance and surveillance operations employing scouts or concealed observation posts are often ineffective in urban areas, suburban areas, close-knit communities, and other places where the populace is alert and suspicious of outsiders. Under these circumstances, it is very difficult for scouts to conduct reconnaissance or surveillance without being observed by insurgents or people who may tip off insurgents. It is important that commanders and collection managers understand that reconnaissance of a target may be noticed and cause insurgents to leave the area. Likewise, small groups of scouts may be attractive targets for insurgent attacks if the scouts' location is known. For these reasons, the use of a HUMINT network or aerial imagery intelligence platforms is often preferable to ground-based reconnaissance and surveillance. Successful ground reconnaissance in populated areas requires leaders to be creative in how they put personnel in place. For instance, dismounted movements at night, leaving a small "stay behind" observation post while the rest of a patrol moves on, or secretly photographing a place of interest while driving by may all be effective. However, commanders weigh the benefits of these operations with the potential cost of insurgents having early warning of counterinsurgent intentions.

CONSIDERATIONS FOR OTHER INTELLIGENCE DISCIPLINES

3-113. An *intelligence discipline* is a well-defined area of intelligence collection, processing, exploitation, and reporting using a specific category of technical or human resources. The following discussion addresses COIN-specific considerations for selected intelligence disciplines and information types.

OPEN-SOURCE INTELLIGENCE

3-114. Open-source intelligence (OSINT) is a valuable tool for understanding the environment. It is often more useful than any other discipline for understanding public attitudes and public support for insurgents and counterinsurgents. OSINT is also an important means of determining the effectiveness of information operations. Monitoring a wide variety of media in multiple languages benefits the COIN effort. If possible, this should occur at every echelon with collection requirements, varying by the kinds of media that are important at each level. For instance, reporting by major news networks often matters a great deal at the theater level, while local newspapers or radio stations may be of importance to a tactical unit.

IMAGERY INTELLIGENCE

3-115. Static imagery, such as photos of facilities, is useful in operational planning and for detecting long-term changes in structures or activities.

3-116. Real-time video is critical to assessing whether particular locations are likely sites of insurgent activity and may be used to track insurgents during operations.

TARGET EXPLOITATION AND DOCUMENT EXPLOITATION

3-117. Documents and pocket litter, as well as information found in computers and cell phones, can provide critical information analysts need to map insurgent organization, capabilities and intent. Target Exploitation (TAREX) and document exploitation (DOCEX) are also of great benefit to interrogators in substantiating what detainees know and whether they are telling the truth.

3-118. TAREX in a COIN environment is like evidence collection in a law enforcement environment. Units must have procedures in place to ensure captured equipment and documents are tracked accurately and attached to the correct insurgents. While this evidence may not need to be sufficient to convict in a court of law (though in some cases it does), it needs to be sufficient to justify the use of operational resources to apprehend the individuals in question. Pushing HUMINT or law enforcement personnel to the kandak level and below can improve TAREX/DOCEX by tactical units. Procedures for ensuring that tactical units get the results of higher-level TAREX/DOCEX are also important. Units must be able to receive intelligence collected from the documents, equipment, and personnel they capture in a timely manner to fully benefit from the operation and adapt to their local situation.

PROPERTY OWNERSHIP RECORDS

3-119. Property ownership records include census records, deeds, and other means of determining ownership of land and buildings. They help counterinsurgents to determine who should or should not be living in a specific area and aid in securing the populace. In some cases, it may be necessary for Soldiers to go door to door and collect census data themselves.

TECHNICAL INTELLIGENCE

3-120. Insurgents often adapt their tactics, techniques, and procedures rapidly. This may include the use of improvised explosive devices, homemade mortars, and other pieces of customized military equipment. Technical intelligence on insurgent equipment is of benefit for understanding their capabilities.

SECTION IV – COUNTERINTELLIGENCE AND COUNTERRECONNAISSANCE

3-121. Insurgents place heavy emphasis on gathering intelligence. They do so using informants, double agents, reconnaissance, surveillance, open-source media, and open-source imagery. Insurgents can potentially use any person interacting with ANA or multinational personnel as an informant. These include all of the same people that ANA forces use as potential HUMINT sources. This makes operations security very important. It also means ANA personnel must carefully screen the contractors, informants, translators, and other personnel working with them.

3-122. Background screenings should include the collection of personal and biometric data and a search through available reporting databases to determine that the person is not an insurgent. Identification badges may be useful for local nationals working on ANA and local government facilities. However, these badges may be forged or stolen, and insurgents can use them to identify people working with the government.

3-123. Insurgents, criminals, political organizations, and disaffected individuals may also provide ANA personnel with false information. They do so to create animosity between troops and the populace, to get Soldiers to act against local enemies, to learn about the reaction time and patterns of ANA operations, and to confuse the COP. This means HUMINT collectors should screen informants and get feedback from analysts and operations personnel on the accuracy of intelligence provided.

3-124. Insurgents have their own reconnaissance and surveillance networks. Because they usually blend well with the populace, they can execute reconnaissance of targets without easily being identified. They also have an early warning system composed of citizens who inform them of ANA movements. Identifying the techniques and weaknesses of enemy reconnaissance and surveillance enables commanders to detect signs of insurgent preparations and to surprise insurgents by neutralizing their early warning system.

3-125. Insurgents may also have a SIGINT capability based on commercially available scanners and radios, wire taps, or captured equipment. If Soldiers use unencrypted radios or phones, it is possible for insurgents to collect information from them. From an operations security standpoint, it is therefore preferable for troops to not use commercial radios or phones. If Soldiers have to use commercial equipment or unencrypted communications, they should employ brevity codes to reduce insurgents' ability to collect on them.

SECTION V – ANALYSIS

3-126. The purpose of analysis is to fuse raw intelligence into products that support COIN operations. Intelligence analysis in COIN is very challenging. This is due to the need to understand perceptions and culture, the need to track hundreds or thousands of personalities, the local nature of insurgencies, and the tendency of insurgencies to change over time.

3-127. Databases are very important for analyzing insurgent activities and personalities. At a minimum, there should be a common NATIONAL database of insurgent actions and another containing all intelligence reporting. These should be accessible by all analysts in theater and include all reporting from all units and organizations. This is to ensure a common operational picture can be developed.

3-128. Because all echelons collect and use intelligence, all staffs are heavily involved in analysis. Units are simultaneously intelligence producers and consumers. While this is normal at brigade and above, Kandak staffs often do not have the personnel to collect patrol debriefs, analyze incoming intelligence from multiple sources, produce finished

intelligence products, and disseminate products to the appropriate consumers. In many cases brigade intelligence sections may also not be adequate for a COIN environment.

3-129. Pushing additional analysts down to Kandak and brigade staffs is important to ensure tactical units have the analytical support they require. There are instances when an analyst can be beneficial at the company level. This is the case when a maneuver company must collect large amounts of information on the local populace and insurgents. An analyst can aid the company commander and leaders in the collection and processing of this information and develop an operational picture of the AO. Pushing analysts down to the brigade level and below places analysts closer to collectors, improves the COP, and helps ensure higher echelon staffs receive answers to their PIRs. If no additional analysts are available, commanders may assign non-intelligence personnel to work in the intelligence section.

3-130. Tactical analysis at the brigade and below is the basis for operational-level intelligence developed at higher echelons. This is due to the bottom-up flow of intelligence in COIN. Kandaks and brigades develop intelligence for their AOs, while higher echelons fuse it into NATION-wide intelligence of the insurgency. Operational-level intelligence adds national and international politics and their effects on the operational environment.

3-131. There are two basic kinds of analysis done at all echelons: analysis of enemy actions and network analysis. Analysis of enemy actions is commonly known as current operations. It focuses on what the enemy is doing now. Network analysis focuses on the people in an AO and develops an understanding of interrelationships between them and the ideas and beliefs driving their actions. Generally speaking, current operations information provides threat warning and metrics of enemy capabilities, while network analysis provides intelligence for targeting and planning.

CURRENT OPERATIONS

3-132. Current operations intelligence supports a commander's understanding of what the enemy is currently doing. The basic tasks of analysts working in current operations are:

- Conduct analysis on past and current enemy actions (event-pattern analysis) and look for changes in insurgent tactics or strategy.
- Track the effects of friendly operations on the populace and enemy.
- Provide intelligence support to ongoing operations.
- Disseminate immediate threat warnings to appropriate consumers.

3-133. Intelligence for current operations comes from a variety of sources, but operations reports are particularly important. This is because current enemy activities are more often reported by patrols, units conducting raids, or observation posts than they are by dedicated intelligence collectors. Observation Intelligence (OSINT) will also be important for tracking the effects of information operations. Current operations analysis depends on the insurgent actions database for determining changes in insurgent tactics and techniques.

NETWORK ANALYSIS

3-134. The purpose of network analysis is to provide commanders with an understanding of the insurgency and what is driving it. Network analysis requires a large investment of time. Analysts may have to spend weeks or months going through large amounts of multiple-source intelligence reporting in order to provide an accurate picture of insurgent groups. The investment is worth it, however. The more accurate and thorough the intelligence on insurgent organizations and the operational environment, the more effective friendly operations become. It is easy for intelligence personnel to be drawn into current operations due to the time-sensitive and high-profile demands of such activity. However, commanders must ensure that network analysis still occurs. The tasks of network analysts are to:

- Identify insurgent goals and motivations.
- Identify the grievances exploited by insurgents.
- Determine how culture, interests, and history inform insurgent and government decision making.
- Understand the links between political, religious, tribal, criminal, and other social networks.
- Determine how various networks and groups interact with insurgent networks.
- Determine the structure and function of insurgent organizations.
- Identify key insurgent activities and leaders.
- Understand popular and insurgent perceptions of the nation, the insurgency, and ANA military forces and how these affect the insurgency.

3-135. There are many techniques and tools used in network analysis. What makes them all similar is that they examine interactions among individuals, groups, and beliefs within the historic and cultural context of the operational environment. One of the more important products of network analysis is an understanding of how the people in an AO think. This knowledge allows predictive analysis of enemy actions along with the development of effective information operations and civil-military operations. Such cultural analysis is difficult because it requires a Soldier to understand the mindset of an insurgent or average citizen. However, this knowledge is critical to ensuring operations are effective (Network analysis is covered in more depth in Appendix D.).

INTELLIGENCE REACH

3-136. Intelligence reach (sometimes called reachback) refers to the ability to exploit resources, capabilities, and expertise not physically located in the theater of operations. Deployed or deploying units often use reach capabilities to “outsource” time-intensive aspects of network analysis or socio-cultural factors analysis. This is particularly useful when deployments occur with little warning and when organizations used for reach have a great deal of expertise available on a given subject. Analysts may receive reach assistance from the commands above them or from external sources.

CONTINUITY

3-137. The complexity of analyzing an insurgency means it often takes analysts months to fully understand the operational environment and the insurgency. For this reason, analysts should maintain situational awareness of the insurgency for as long as possible. This can be accomplished by having intelligence and other staff sections track the fight from their home station. This flattens the learning curve of units rotating in to a theater and increases their effectiveness during the critical first months of deployment.

SECTION VI – INTELLIGENCE COLLABORATION AND FUSION

3-138. The purpose of intelligence collaboration and fusion is to organize the collection and analytical efforts of various units and organizations into a coherent and mutually supportive intelligence effort. The common operational picture for an insurgency is complex. Insurgencies don't normally lend themselves to generalizations like "if this leader is removed the insurgency is over" or "this group drives the insurgency." It is important not to oversimplify an insurgency. However, analysts and commanders still require a means of defining and describing the enemy that can be commonly understood. One means of aiding this process is to track and report the insurgency by region, insurgent organization, key personalities, or by insurgent goals and motivations.

3-139. As noted earlier, insurgencies are often localized but have national or international aspects to them. This complicates intelligence fusion between adjacent units and various echelons. For instance, if numerous insurgent groups operate in one country, adjacent Kandaks may face very different threats. The higher-echelon analysts must then understand multiple insurgent organizations and determine what links there are, if any, between them. Usually, Kandaks focus on the population and insurgents in their AO. Higher-echelon analysts determine links and interactions among the people and insurgents across unit boundaries. Theater-level analysts determine the major linkages within the theater and internationally. Based on these requirements, a common database based on intelligence reporting is a prerequisite for effective intelligence fusion.

3-140. Also complicating fusion is the fact that many government agencies and foreign security forces are involved in COIN operations. Analysts must establish good working relationships with various agencies in order to ensure they are able to fuse intelligence.

INTELLIGENCE CELL AND WORKING GROUPS

3-141. Intelligence community assets operating in an AO work in or coordinate with the intelligence cell in one of the unit's command posts under the staff supervision of the unit intelligence officer. Examples of intelligence community assets operating in a potential AO include the following:

- MOI intelligence assets.
- MOD intelligence assets.
- HUMINT case officers.
- Reports officers.

- Document exploitation teams.
- Case officers.
- Reports officers.
- Special Operations Forces.
- Special mission units.
- Civil Affairs teams.
- PSYOPS teams.

3-142. As necessary, intelligence officers form working groups/boards to synchronize collection, analysis, and targeting efforts. Cells and working groups conduct regular meetings to establish and maintain joint situational awareness, share collection priorities, resolve conflicting activities and operations, discuss target development, and share results of operations. These meetings build mutual trust and understanding of each member's mission, capabilities, and limitations. They are integrated with meetings of other staff cells and working groups/boards.

3-143. An effective intelligence cell enhances the commander's knowledge of enemy activity, local peculiarities, and friendly forces operating in the unit's AO. Incorporating local government representatives and multinational partners into the intelligence cell should also be considered in a COIN environment to foster teamwork, gain insight into local customs and activities, and prepare the nation to assume the mission when multinational partners depart the area.

PROTECTING SOURCES

3-144. Protection of sources is another important consideration when sharing intelligence. Acting on intelligence can compromise its sources. This is why organizations may sometimes choose to not share intelligence. However, use of the targeting process to synchronize targeting decisions is usually a better means of protecting sources. This is because the targeting board draws on information from the COP rather than specific sources (See the targeting discussion in Chapter 5.).

NATIONAL INTEGRATION

3-145. COIN operations potentially require ANA personnel to work closely with personnel from other nations. Sharing of intelligence with multinational forces is an important and effective means of supporting COIN efforts.

3-146. Infiltration of the security forces by insurgents can create drawbacks to intelligence sharing. Insurgents may learn what is known about them, gain insight into intelligence sources and capabilities, and get early warning of targeting efforts.

3-147. When sharing intelligence it is important to understand the level of infiltration by insurgents. Insofar as possible, intelligence should be tailored so required intelligence still gets to the consumers, but it does not give away information about sources and capabilities. In addition, care should be taken when providing targeting information and it

should be done in such a way that insurgents do not receive early warning of an upcoming operation. This will make the COIN effort more effective.

SECTION VII – SUMMARY

3-148. What makes intelligence analysis for COIN so distinct and so challenging is the amount of cultural information that must be gathered and understood. However, to truly grasp the environment of operations, commanders and their staffs must expend at least as much effort understanding the people they are supporting as the enemy. All this information is essential to get at the root causes of the insurgency and to determine the best ways to combat it. Identifying the real problem and developing solutions is the essence of the operational design process that is discussed in the next chapter.

Chapter 4

Designing Counterinsurgency Operations

This chapter describes considerations for designing counterinsurgency campaigns and the associated planning and operations. While campaign design is most often associated with a general staff, understanding of design is necessary by all commanders and staffs.

THE IMPORTANCE OF CAMPAIGN DESIGN

4-1. In Chapter 1, insurgency was defined as an organized, protracted politico-military struggle designed to weaken government control and legitimacy while increasing insurgent control. Ultimately the long-term objective for both sides in that struggle remains acceptance by the people of the state or region of the legitimacy of one side's claim to political power. If insurgency is a struggle between an insurgent group and government authorities over the granting of legitimacy by the populace, then where does the struggle begin and over what? The reason why an insurgency forms to challenge the existing order is different in each case. For an ANA military commander directed to counter an insurgency, knowing "why" an insurgency movement has gained support and the purpose of external involvement is essential in designing the counterinsurgency (COIN) campaign. Failure to do this can have disastrous consequences, as illustrated by Napoleon's experience in Spain.

4-2. Design and planning are qualitatively different yet interrelated activities essential for solving complex problems. While planning activities receive consistent emphasis in both doctrine and practice, discussion of design remains largely abstract and is rarely practiced. Presented a problem, staffs often rush directly into planning without a clear understanding of the complex environment of the situation, the purpose of military involvement, and the approach required to address the real core issues. This situation is particularly problematic when dealing with insurgencies. Campaign design informs and is informed by planning and operations with an intellectual foundation that aids continuous assessment of operations and the operational environment. The commander should lead this design process and communicate the resulting design framework to other commanders for planning and execution.

THE RELATIONSHIP BETWEEN DESIGN AND PLANNING

4-3. It is important to understand the distinction between design and planning (See Figure 4-1). While both activities seek to formulate ways to bring about preferable futures, they are cognitively different. Planning applies established procedures to solve a largely understood problem within an accepted framework. Design inquires into the nature of a problem to conceive a framework that can be used for solving that problem. In general, planning is problem *solving*, while design is problem *setting*. Where planning focuses on generating a plan—a series of executable actions—design focuses on learning about the nature of an unfamiliar problem.

4-4. When situations do not conform to established frames of reference—when the hardest part of the problem is figuring out what the problem is—planning alone is inadequate and design becomes essential. In these situations, absent a design process to come to grips with the essential nature of the problem, planners default to doctrinal norms, developing plans based on the familiar rather than an understanding of the real situation. Design provides a means to conceptualize and hypothesize about the underlying causes and dynamics that explain an unfamiliar problem. Design provides a means to gain understanding of a complex problem and insights towards achieving a workable solution. Although design should precede planning, design is continuous throughout the operation, continuously testing and refining to ensure the relevance of military action to the situation. In this sense, design guides and informs planning, preparation, execution, and assessment. However, planning is necessary to translate a design into execution.

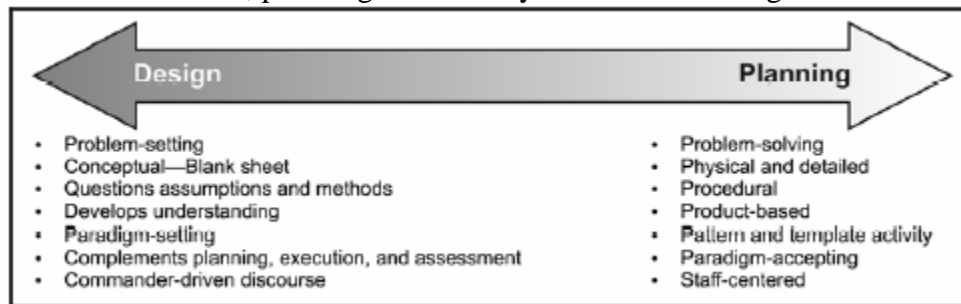


Figure 4-1. Design Planning Continuum

4-5. Planning focuses on the physical actions intended to have a direct effect on the enemy or environment. A planner typically is assigned a mission and a set of resources, and required to devise a plan to use those resources to accomplish that mission. The planner starts with a design (whether explicit or implicit) and focuses on generating a plan—a series of executable actions and control measures. Planning generally is analytical and reductionist. It breaks the design into manageable pieces assignable as tasks, which is essential to transforming the design into an executable plan. Planning implies a stepwise process in which each step produces an output that is the necessary input for the next step.

THE NATURE OF DESIGN

4-6. Given the difficult and multifaceted problems an insurgency presents, dialogue among the commander, principal planners, members of the interagency team, and government representatives provides many benefits to the design process. This involvement of all participants is essential for effective COIN. The object of this discourse is to achieve a level of situational understanding at which the approach to the solution of the problem becomes clear. The underlying premise is that when participants achieve a sufficient level of understanding the situation no longer appears complex; they can exercise logic and intuition effectively. As a result, design focuses on rationalizing the problem rather than explicitly developing courses of action.

4-7. COIN campaign design must be iterative because, by their nature, COIN efforts require repeated assessments from different perspectives to see all the various factors and

relationships required to gain adequate understanding. Every iteration is an opportunity to learn more about the situation and make incremental improvements to the design. The design team engages in constructing and continuously modifying two complementary logics, or mental models. The first is the governing logic of the problem. The aim here is to rationalize the problem situation—to construct a logical explanation, in the form of an abstract model, of events observed in the real world. The second is the counter-logic—the guiding logic of the campaign that unravels the problem logic. The essence of this counter-logic is the success mechanism or sequence of interactions envisioned to achieve a desired end state. This mechanism may not be a military activity—or it may involve military actions in support of activities in other lines of operations. Once the designers have constructed these models they are obligated to identify measures of effectiveness and related information requirements that allow them to test the models over time. This feedback becomes the basis for subsequent design iterations, which refine or reconstruct the logics.

ELEMENTS OF DESIGN

4-8. The key elements of the design process include the following:

- Discourse.
- Systems thinking.
- Model making.
- Intuitive decision making.
- Continuous assessment.
- Structured learning.

4-9. *Discourse* is rigorous and structured critical discussion that provides an opportunity for interactive learning, deepening shared understanding, and leveraging the collective intelligence and experiences of many actors to enable design.

4-10. *Systems thinking* involves developing an understanding of the relationships within the insurgency and the environment, also the relationships of actions within the various lines of operations. This element is based on the perspective of the system sciences that seeks to understand the interconnectedness, complexity, and wholeness of the elements of systems in relation to one another.

4-11. In *model making*, the model describes an approach to the COIN campaign, initially as a hypothesis. The model includes operational terms of reference and concepts that shape the language governing the conduct (planning, preparation, execution, and assessment) of the operation. It addresses questions like these: Will planning, preparation, execution, and assessment activities use traditional constructs like center of gravity, decisive points, and lines of operations? Or are other constructs—such as leverage points, fault lines, or critical variables—more appropriate to the situation?

4-12. *Intuitive decision making* involves the act of reaching a conclusion that emphasizes pattern recognition based on knowledge, judgment, experience, education, intelligence, boldness, perception, and character. This approach focuses on assessment of the situation

vice comparison of multiple options. The design emerges intuitively as understanding of the insurgency deepens.

4-13. *Continuous assessment* is essential as an operation unfolds because of the inherent complexity of COIN. Any design or model necessarily has mismatches with reality. The object of continuous assessment is to identify where and how the design is working or failing and to consider opportunities for redesign.

4-14. The objective of *structured learning* is to develop a reasonable initial design and then learn, adapt, and iteratively and continuously improve that design as more about the dynamics of the COIN problem become evident.

CAMPAIGN DESIGN FOR COUNTERINSURGENCY

4-15. Through design commanders gain an understanding of the problem and the intervention's purpose within the strategic context. Communicating this understanding of the problem, purpose, and context to subordinates allows them to exercise subordinates' initiative. It facilitates decentralized execution and iterative assessment of operations at all levels throughout the campaign. While traditional aspects of campaign design as expressed in service doctrine remain relevant, they are not adequate for a discussion of the broader design construct for a COIN environment. Inherent in this construct is the tension created by understanding that military capabilities provide only one component of an overall approach to a COIN campaign. Design of a COIN campaign must be viewed naturally. Only a comprehensive approach employing all relevant design components, including the other instruments of national power, is likely to reach the desired end state.

4-16. Campaign design begins with identification of the campaign's purpose, as derived from the policy aim. The purpose of the campaign provides context and logic for operational and tactical decision making. Consequently, strategic goals must be communicated clearly to commanders at every level. While strategy drives campaign design, which in turn drives tactical actions, the reverse is also true. The observations of tactical actions result in learning and greater understanding that may generate modifications to the campaign design, which in turn may have strategic implications. The COIN imperative to "learn and adapt" is essential in making the campaign design process work correctly. Figure 4-2 (below) illustrates the iterative nature of COIN campaign design and the large number of factors involved.

THE OPERATIONAL NARRATIVE

4-17. Guided by the purpose of the campaign, commanders articulate an operational logic for the campaign that expresses in clear, concise, conceptual language a broad vision of what they plan to accomplish. The operational logic is the commander's assessment of the problem and approach toward solving it. Ideally, the operational logic is expressed in comprehensive terms, such as what the commander envisions achieving with various components or particular lines of operations. Included in this operational logic is a narrative of how the commander sees the campaign achieving the desired end state and a

rationale for the design and required actions. This narrative, or “vision of resolution,” is expressed as a broad goal. It helps subordinate commanders and planners, as well as members of other agencies and organizations, see the direction the campaign is going. In the same way, the vision of resolution can act as a unifying theme for interagency planning.

COMPLEX PROBLEMS DEMAND COMPREHENSIVE SOLUTIONS

4-18. As in any other operation, effective problem solving is dependant on a detailed understanding of the environment. This is particularly important in COIN. Although members of the force never achieve perfect situational understanding, their understanding should be aspirational—a continuous learning affair. The COIN environment is more complex and uncertain than that associated with conventional military operations due to the preeminence of a difficult and tangled web of complicated societal issues. Identification of the problem is one of the most challenging aspects of COIN operations, because that task demands an appreciation of how social, cultural, political, economic, and physical conditions have supported or even fomented discontent among the population. The problem and potential solutions must therefore be viewed from a comprehensive campaign perspective. As has been noted earlier, the development of a campaign should include discourse among joint, interagency, multinational and governmental partners. Given a shared appreciation of the root causes of discontent, the respective capabilities of the partners involved in COIN can be applied in a cohesive way. In order to develop a comprehensive campaign design, the following lines of operations can be employed as a means to both assess the problem and articulate the commander’s vision of resolution:

- Training and advising security forces.
- Essential services.
- Economic development.
- Promotion of governance.
- Information.
- Combat operations (protection of the civil populace).

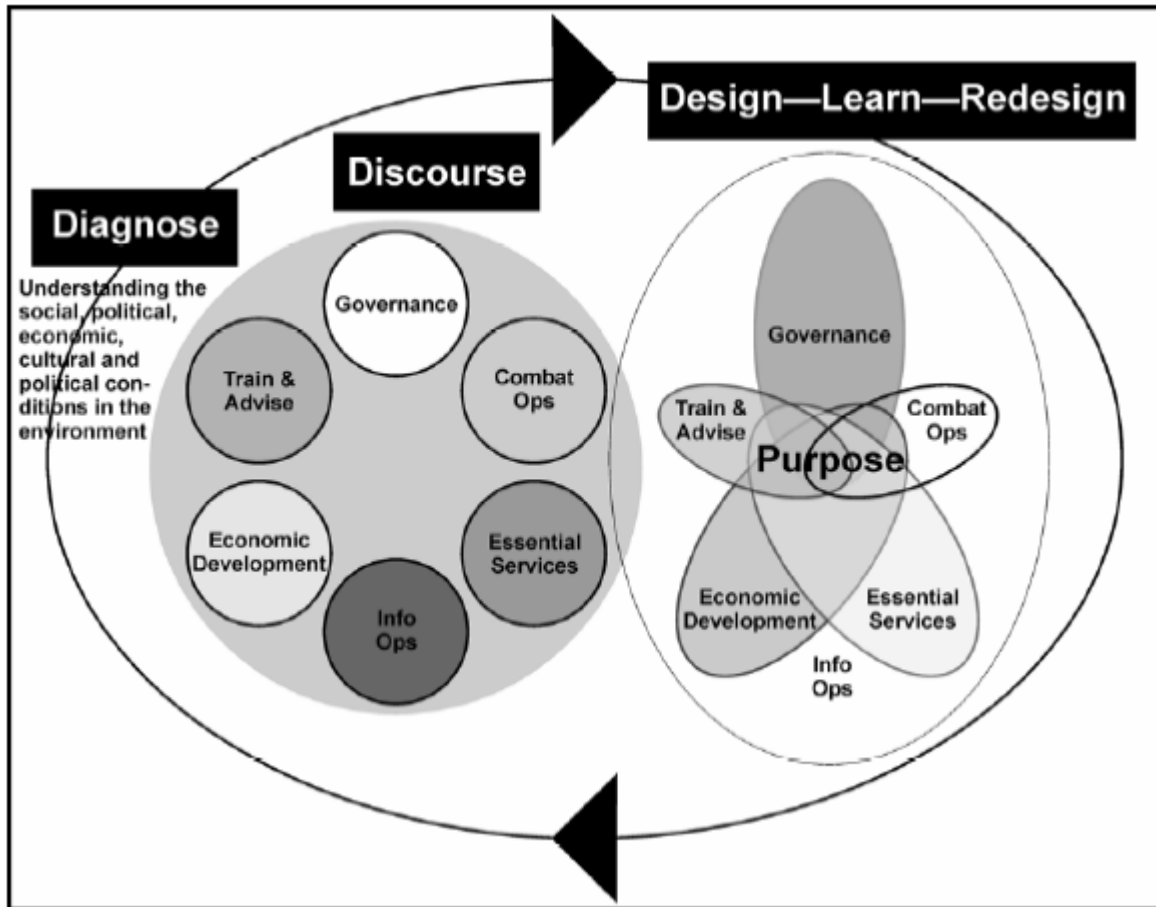


Figure 4-2 Iterative Campaign Design

4-19. Not intended as a “success template,” these lines of operations require judgment in application. The mosaic nature of COIN and the shifting circumstances within each area of operations (AO) requires a different emphasis on and interrelationship among the various lines. The situation may also require that military forces closely support, or temporarily assume responsibility for, tasks normally accomplished by other government agencies and private organizations. By broadly describing how the lines of operations interact to achieve the end state, the commander provides the operational logic to link the various components in a comprehensive campaign framework. This framework guides the initiative of subordinate commanders as they establish local conditions that support the overall campaign design. It also promotes unity of effort among interagency, multinational, and government partners.

LOCAL RELEVANCE

4-20. Informed by that operational logic, subordinate commanders tailor and prioritize their actions within the lines of operations based on the distinct and evolving circumstances within their respective AOs. While military forces are accustomed to unity of command, the interagency and multinational nature of COIN operations will likely make such arrangements unlikely. Not all participating organizations share the same

attitudes and goals. General cooperation on matters of mutual concern, established through informal agreements, may be the most practicable arrangement. The campaign design must therefore guide and empower subordinate leaders to conduct the coordination, cooperation, and innovation required to achieve the campaign purpose in a manner best suited to local conditions.

LEARNING IN EXECUTION

4-21. Before commanders deploy their units, they make every effort to mentally prepare their Soldiers for the anticipated challenges, with a particular focus on environmental understanding of the anticipated AO. This environmental understanding is only an initial appreciation, but it is a chance for commanders to establish a common frame of reference. Design begins based on this initial understanding. Elements of the problem and the means of solving them do not remain static. Conditions are seldom consistent throughout any given operational environment and continue to change based on stimulus from friendly, enemy, neutral, and other involved parties. Rather than being uniform in character, such environments are likely to consist of a complex and shifting mosaic of conditions. To be effective, commanders—and indeed all personnel—must continually develop and enhance their understanding of the mosaic peculiar to their AO. Observing tactical actions and the resulting changing conditions deepens understanding of the environment and enables commanders to relearn and refine their design and implementation actions.

4-22. Initially, understanding of the environment will probably be relatively low and the campaign design will, by necessity, require a number of assumptions, especially with respect to the populace and the force's ability to positively influence their perception of events. The campaign design can be viewed as an experiment that tests the operational logic, with the expectation of a less than perfect solution. As the experiment unfolds, interaction with the population and the insurgents reveals the validity of those assumptions, identifying the strengths and weaknesses of the design. Effective assessment, the ability to recognize changing conditions and determine their meaning, is crucial to successful adaptation and innovation by commanders within their respective AOs. A continuous discourse among commanders at all echelons provides the feedback necessary to refine the campaign design. The discourse is supported by formal assessment techniques and red teaming to ensure commanders are fully cognizant of the causal relationships between their actions and the adversary's adaptations. Accordingly, assessment is a learning activity and a critical aspect of design. This learning leads to redesign. Therefore, design can be viewed as a perpetual design-learn-redesign activity, with the campaign purpose and commander's vision of resolution providing the unifying themes.

4-23. The critical role of assessment necessitates establishing measures of effectiveness during the design of COIN operations. Commanders should choose these carefully so that they always align with the campaign's purpose and reflect the emphasis on and interrelationship among the lines of operations. Sound assessment blends qualitative and quantitative analysis with the judgment and intuition of all leaders. Great care must be

applied here, as COIN often involves complex societal issues that may not lend themselves to quantifiable measures of effectiveness. Moreover, bad assumptions and false data can undermine the validity of both the measures of effectiveness and the conclusions drawn from them. Data and metrics can inform a commander's assessment. However they must not be allowed to dominate it in uncertain situations. Subjective and intuitive assessment must not be replaced by a focus on data or metrics. Commanders must exercise their professional judgment in determining the proper balance.

GOALS IN INTERVENTION

4-24. In an ideal world, the commander of military forces engaged in COIN would enjoy clear and well defined goals for the campaign from the very beginning. However, the reality is that many goals emerge only as the campaign develops. For this reason, COIN forces usually have a combination of defined and emerging goals on which to work. Likewise, the complex problems encountered during COIN operations can be so difficult to understand that a clear design cannot be developed at the outset. Often, the best choice is to create iterative solutions to better understand the problem. In this case, these iterative solutions allow the initiation of intelligent interaction with the environment.

SUMMARY

4-25. Campaign design may very well be the most important aspect in countering an insurgency. It is certainly the area in which the commander and staff can have the most influence. Design is not a function to be accomplished, but rather a living process. Design should reflect ongoing learning and adaptation and the growing appreciation COIN forces share for the environment and all actors within it, especially the insurgents, populace, and the government. Though design precedes planning, it does not stop when aspects are turned over for planning, preparation, and execution. Rather, it is dynamic, even as the environment and the counterinsurgents' understanding of the environment is dynamic. The resulting growth in understanding requires integrated assessment and a rich dialogue among leaders at various levels and throughout the entire cross-section of the COIN force. Design should reflect a comprehensive approach that works across all relevant lines of operations in a manner applicable for the stage of a campaign in which it exists. There should only be one campaign and therefore one campaign design. This single campaign should bring in all players, with particular attention placed on the governmental participants. Campaign design and operations are integral to the COIN imperative to "**learn and adapt**," enabling a continuous cycle of design-learn-redesign to achieve the campaign's purpose.

Chapter 5

Executing Counterinsurgency Operations

It is a persistently methodical approach and steady pressure which will gradually wear the insurgent down. The government must not allow itself to be diverted either by countermoves on the part of the insurgent or by the critics on its own side who will be seeking a simpler and quicker solution. There are no short-cuts and no gimmicks.

Sir Robert Thompson,

Defeating Communist Insurgency: The Lessons of Malaya and Vietnam

This chapter addresses principles and tactics for executing counterinsurgency (COIN) operations. It begins by describing the different stages of a COIN operation and logical lines of operations that commanders can use to design one. It continues with discussions of three COIN approaches and how to continuously assess a COIN operation. The chapter concludes by describing lethal and non-lethal targeting in a COIN environment.

THE NATURE OF COUNTERINSURGENCY OPERATIONS

5-1. Counterinsurgency (COIN) is a violent political struggle waged with military means. The political issues at stake for the contestants defy nonviolent solutions because they are often rooted in culture, ideology, societal tensions, and injustice. Military forces can compel and secure but cannot, by themselves, achieve the necessary political compromise among the principle players. A successful COIN force—which includes civilian agencies, ANA military forces, and multinational forces—purposefully attacks the insurgency rather than just its fighters and addresses the host nation’s core problems in a comprehensive fashion. The government leaders must be purposefully engaged in this comprehensive approach.

5-2. There are five overarching considerations in COIN operations:

- The commander and government together must select the logical lines of operations for attacking the insurgents’ strategy and focusing their effort to establish government legitimacy.
- The government and COIN forces must establish control of one or more areas from which to operate. The government forces must secure the people continuously within these areas.
- Operations should be initiated from the government’s areas of strength against areas under the insurgents’ control. The government must regain control of the major population centers to achieve stability.
- Regaining control of insurgent areas requires the government to expand operations to secure and support the population. If the insurgency has established firm control of a region, its military apparatus there must be eliminated and its politico-administrative apparatus rooted out.
- Information operations must be aggressively employed to accomplish the following:
- Favorably influence perceptions of government legitimacy and capabilities.

- Garner local, regional, and international support for COIN operations.
- Publicize insurgent violence.
- Discredit insurgent propaganda.

5-3. COIN operations combine offensive, defensive, and stability operations to achieve a stable environment for the growth of government legitimacy. COIN operations are conducted by an integrated joint, interagency, and multinational team working with the government. The weight of effort in COIN operations generally progresses through three indistinct stages of development that can be envisioned as a medical analogy.

Understanding this evolution and recognizing the relative maturity of the operational environment are important for operational design, planning, and execution. With this knowledge, commanders can ensure that their activities are appropriate to the current situation.

INITIAL STAGE: “STOP THE BLEEDING”

5-4. Initially, COIN operations are characterized by emergency first aid for the patient. The intent is to protect the population from further injury, set the insurgency back (break their initiative and momentum), and set the conditions for further engagement. Limited offensive operations may be undertaken, but not at the expense of stability operations focused on civil security. During this stage, civil security, force protection, the common operational picture, intelligence collection, and initial assessments and estimates are being developed. COIN forces also begin shaping the information environment, including the expectations of the local populace.

MIDDLE STAGE: “IN-PATIENT CARE—RECOVERY”

5-5. This stage is characterized by efforts aimed at assisting the patient through long-term recovery or restoration of health—which in this case is stability. The COIN force is most active here, working aggressively along all lines of operations. The desire in this stage is to develop and build resident capability and capacity in the government and security forces. As civil security is assured, focus expands to include civil control, provision of essential services, and the stimulation of economic development. Relationships with government counterparts and the local population are developed and strengthened. With the establishment of these relationships with the local government agencies, the public, and the local security forces comes an increase in the flow of human intelligence and other types of intelligence. These facilitate measured offensive operations against the insurgency in conjunction with the security forces. The nation increases its legitimacy through the provision of security for its people, the expansion of effective governance and provision of essential services, and achieving incremental success in meeting the public’s expectations.

LATE STAGE: “OUT-PATIENT CARE—MOVEMENT TO SELF-SUFFICIENCY”

5-6. Stage three is characterized by the expansion of stability operations across contested regions, ideally using governmental forces. The main goal for this stage is on transition to local leadership and execution of operations. In this mature stage, the multinational force works with the host nation in an increasingly supporting role, turning over responsibility wherever and whenever appropriate. Reaction forces and fire support capabilities may still be needed in some areas, but more functions along all lines of operations will be performed by governmental forces with the low-key assistance of multinational advisors. As the security, governing, and economic capacity of the nation increases, the need for foreign assistance is reduced. At this stage, the nation has established (or re-established) the requisite systems needed to provide effective and stable government that supports and sustains the rule of law. The government secures its citizens continuously, sustains and builds legitimacy through effective government, effectively isolates the insurgency, and is able to manage and incrementally meet the expectations of the nation’s entire population.

LOGICAL LINES OF OPERATIONS IN COUNTERINSURGENCY

5-7. The technique of logical lines of operations (LLOs) emerged to address situations when positional reference to enemy or adversary forces has little relevance. Using LLOs is an appropriate technique for synchronizing operations against an enemy that hides among the population. A plan based on LLOs unifies the efforts of interagency, multinational, and governmental forces toward a common purpose. Each LLO represents a conceptual category along which the government and commander of the COIN force intend to attack the insurgent strategy and establish government legitimacy. The LLOs are closely related and depend upon closely coordinated action among all elements of the COIN force.

5-8. Success in one LLO complements activities in other LLOs. Progress in each LLO contributes toward the attainment of a stable and secure environment for the host nation. Stability is reinforced by popular recognition of the legitimacy of the local government, improved governance, and progressive, substantive reduction of the root causes of the insurgency. LLOs combine the following:

- Information operations.
- Offensive, defensive, and stability operations.
- Training and employment of governmental security forces.
- Establishment or restoration of essential services.
- Better governance.
- Support for economic development.

LLOs attack the insurgency’s subversive strategy on multiple fronts to weaken the insurgency’s ability and will to continue the struggle.

5-9. LLOs are not exclusive to any level of conflict. In the same way that a comprehensive campaign is designed at the strategic or operational level by a commander, commanders and their staffs at lower levels may also use LLOs. Their operations, also comprehensive in nature, are nested with the higher echelon's operational design, but should be specifically formulated to each unit's specific environment.

5-10. The commander's vision of resolution and LLOs serve as expressions of the design for a COIN operation where conventional objectives like terrain features or enemy positions have little relevance. The commander and staff orchestrate and integrate the LLOs to gain unity of effort. This approach ensures the LLOs converge on a well-defined, commonly understood end state.

5-11. LLOs are directly related to one another and internally connect actions within the operation that, when achieved or accomplished, support the overall purpose. Operations designed to use LLOs typically employ an extended, event-driven timeline with short-, mid-, and long-term goals combining the complementary, long-term effects of civil-military operations as well as cyclic, short-term events like combat operations and provision of essential services. Figure 5-1. is an example of counterinsurgency lines of operation, while working in another country. Each and every insurgency has different lines of operation, based on the type of insurgency and the different areas stressed by military and political leadership.

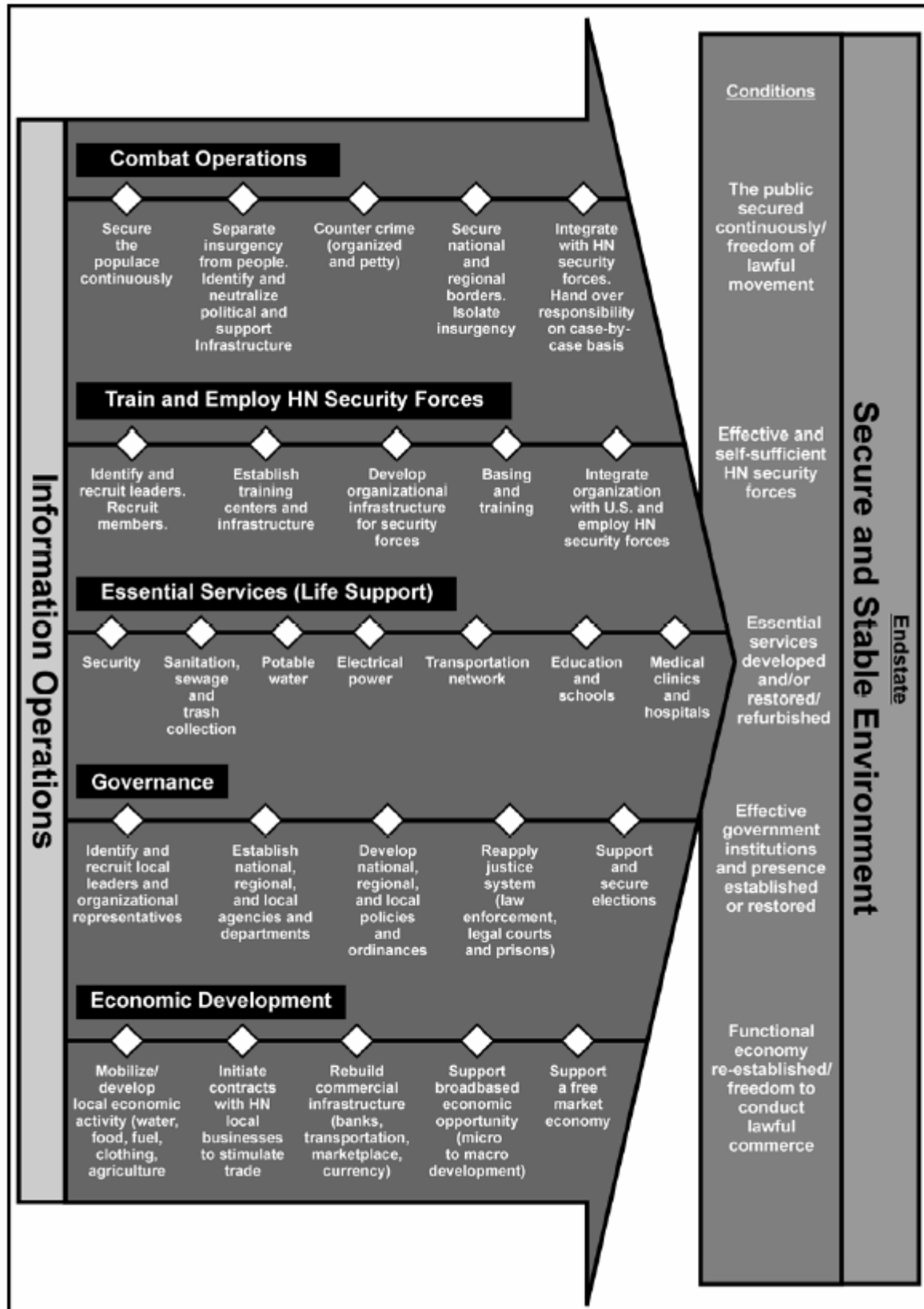


Figure 5-1. Common Counterinsurgency Operational-Level Lines of Operation

5-12. Commanders determine which LLOs are applicable to their operational environment and how they connect with and support one another. For example, establishing continuous security for the public as part of stability operations behind a shield of offensive and defensive operations creates a safe environment in which activities for life support and reconstruction operations can take place. People may perceive that the environment is safe enough to leave their family at home while they seek employment or conduct public economic activity. This perception facilitates the further provision of essential services and development of greater economic activity, and can facilitate the attraction of outside capital for further development. Neglecting one LLO will inevitably create vulnerable conditions in another LLO that the insurgency can exploit. Achieving the desired end state requires linked successes on all LLOs. At the operational level, proper execution along the LLOs should lead to increased popular support for a legitimate government (See Figure 5-2).

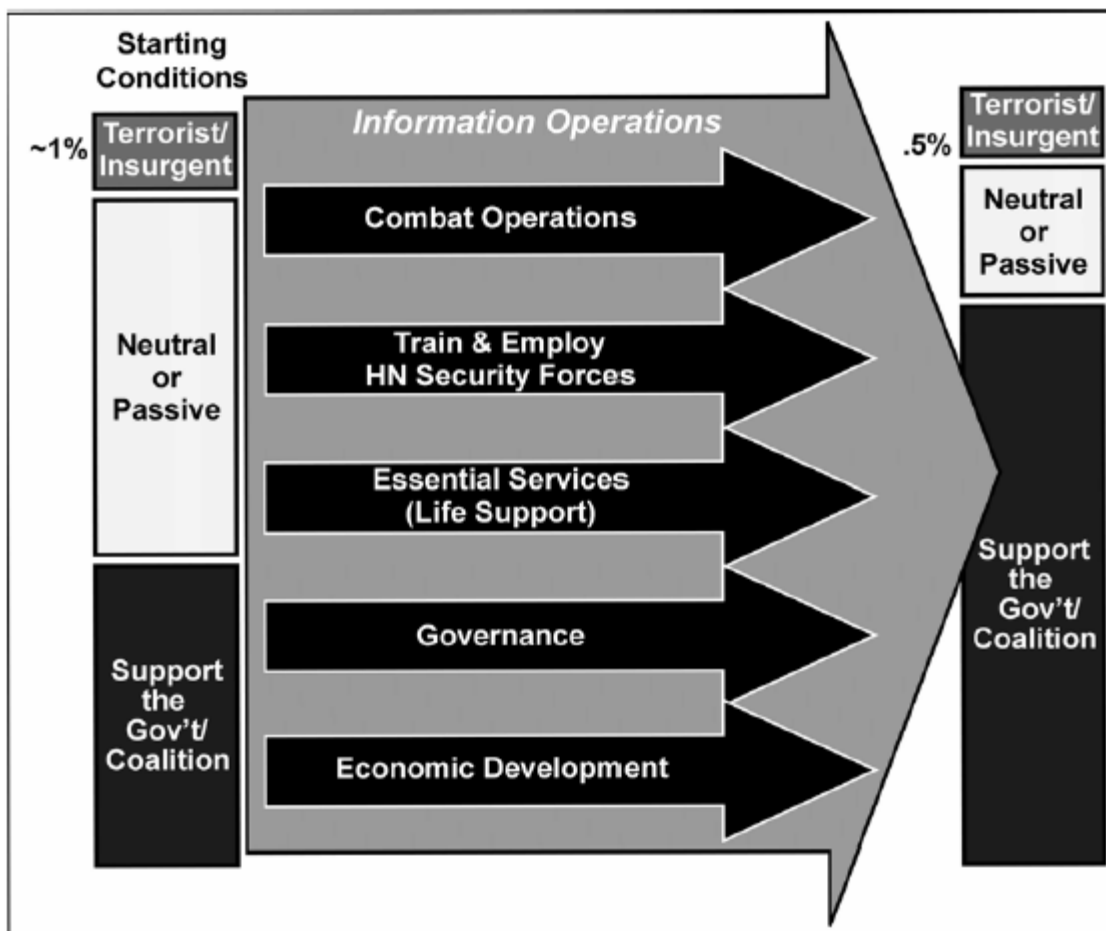


Figure 5-2. The Effect of Proper Application of LLOs in Counterinsurgency

5-13. The LLOs are analogous to a rope. Each LLO is a separate string, which by itself may be relatively weak and incapable of addressing the weight of issues in a COIN operation. However, a strong rope is created when strands are woven together. The overall COIN effort is further strengthened through information operations, which support and enhance the operation by highlighting the successes in each LLO

(See Figure 5-3.).

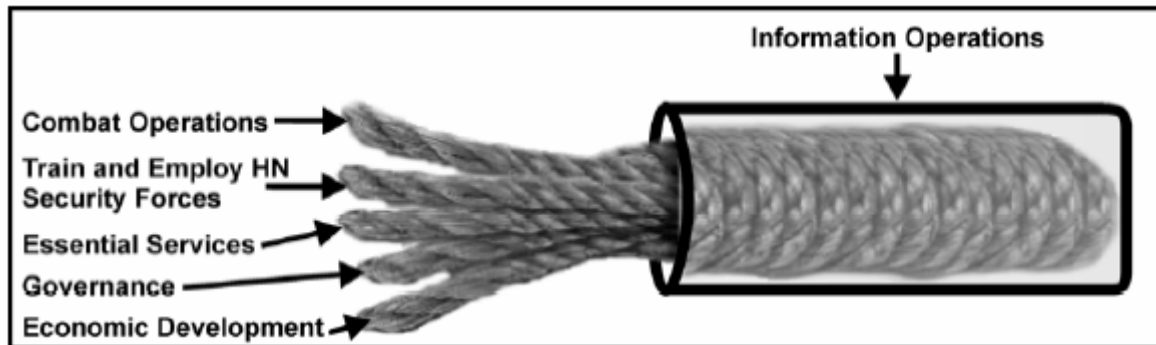


Figure 5-3. The Strengthening Effect of Interrelated LLOs

5-14. Using LLOs, tactical commanders develop missions and tasks, allocate resources, and assess the effectiveness of operations. The commander ought to specify the LLO that is the decisive operation and those that have a shaping role. This prioritization usually changes as insurgency vulnerabilities are created, the insurgency reacts or adjusts its activities, or the environment evolves. In this sense, commanders adapt their operations not only to the state of the insurgency, but also to the condition of the overall environment, which ideally should be moving toward greater stability.

5-15. LLOs are mutually supportive between echelons as well as adjacent organizations. For example, similar LLOs among brigade combat teams produce complementary effects; while the collective set of brigade accomplishments reinforce the goals at the corps level. LLOs are normally used at brigade and higher levels, where the leadership, staff, and unit resources are sufficiently robust to plan and employ them; however, Kandaks can use the LLOs in a similar fashion to that of their higher headquarters. Commanders at various levels may expect their subordinate commanders to converse with them in these terms.

5-16. LLOs are formulated and coordinated during the course of action development step of the military decision-making process. Beginning with the broadly defined end state, conditions for success, and other aspects of the commander's intent, the commander and staff perform a mission analysis of the situation and environment to determine the objectives necessary to set those conditions and achieve the intent. Related objectives are grouped based on their purpose to ensure unity of effort. If decisive actions can be identified, these are expressed within the context of an LLO, and a logical connection is made between these actions deemed decisive and the commander's intent. The operational design, including the LLOs, is translated into missions, objectives, and tasks, and then assigned to subordinate commanders.

COMMON LOGICAL LINES OF OPERATIONS IN COUNTERINSURGENCY

5-17. Commanders at all levels should select the LLOs that relate best to what they desire to achieve in the manner they envision achieving it. This following list is not all inclusive, but gives commanders a place to start:

- Information.
- Combat operations.
- Development of government security forces.
- Essential services.
- Governance.
- Economic development.

These lines can be customized, renamed, changed altogether, or simply not used. LLOs should be used to isolate the insurgency from the population, address and correct the root causes of the insurgency, and create or reinforce the societal systems required to sustain the legitimacy of the government. The sections that follow discuss six common LLOs that appear in most operations. Though information operations (IO) is a separate strand in the coil of LLOs, it is probably the most important, since it is interwoven throughout all the others and surrounds them.

INFORMATION

5-18. The information LLO is decisive in that it assists in setting conditions for success of all other LLOs. By publicizing government policies, the actual situation, and counterinsurgent accomplishments, IO can neutralize insurgent propaganda and false claims. The major task categories follow:

- Identify all the audiences (local, regional, and international), the various news cycles, and how to reach them with the government's message.
- Manage local population expectations regarding what COIN forces can achieve.
- Develop common, multi-echelon themes based on and consistent with government policies and the operation's objectives, and sustain unity of the message.
- Coordinate and provide a comprehensive information preparation of the operational environment using all communications means and incorporating the activities of all other LLOs.
- Remember actions always speak louder than words—every Soldier is an integral part of IO communications. IO is executed every day through the actions of firm, fair, professional, and alert Soldiers on the streets with the people.

Information Operations

5-19. Commanders and staffs orchestrate IO in harmony and cooperation with the activities in the other LLOs. The information LLO should address and manage the public's expectations by explaining what the government and COIN forces are doing and why. The information LLO can effectively address the subject of root causes the insurgency uses to gain support.

5-20. Information should be localized to address the concerns of the inhabitants of each AO. IO should educate the public regarding successfully completed projects and improvements within all LLOs, including accomplishments in security, infrastructure,

essential services, and economic development. This information facilitates popular acceptance of the legitimacy of the government.

5-21. The information LLO should use consistent themes based on policy, facts, and deeds—not claims or future plans, because these can be thwarted. Themes must be reinforced by actions along all LLOs. Making unsubstantiated claims can undermine the credibility and legitimacy of the government in the long term. COIN forces should never knowingly make a promise or obligate themselves to an action that cannot be completed. However, when a promise cannot be fulfilled, COIN forces should take the initiative and publicly address the reasons why this occurred in order to reduce the negative impact.

5-22. Information themes are based on policy and should be distributed simultaneously or as soon as possible using all available means, such as radio, television, newspapers, flyers, billboards, and the Internet. Polling and analysis should be conducted to determine which media allow the widest dissemination of the themes to the desired audiences at the local, regional, national, and international levels.

5-23. Insurgencies are not constrained by truth and create propaganda that serves their purpose. Insurgent propaganda may include lying, deception, and creating false causes to gain support for the insurgency. Historically, insurgencies change their message to address whatever issue gains them support in the changing environment. The information LLO should publicly identify the insurgency's propaganda and lies to the local populace. Doing so creates doubt in the mind of the uncommitted public and supporters of the insurgency regarding the viability of the insurgents' short- and long-term intentions.

5-24. Impartiality is a common theme for information activities when there are political, social, and sectarian divisions in the nation. COIN forces should avoid taking sides, if possible, as perceived favoritism can exacerbate civil strife and make the COIN force a more desirable target for sectarian violence.

Media and the Battle for Perceptions

5-25. Effective commanders directly engage in a dialogue with the media and communicate IO themes. With the proliferation of sophisticated communication technologies throughout the global information environment, the nature of media coverage has a significant impact on COIN operations at all echelons. Civilian and military media coverage influences the perceptions of the political leaders and public in the nation and throughout the international community. The media directly influence the support of key audiences for COIN forces, the execution of their operations, and the opposing insurgency. Recognition of this influence creates a war of perceptions between insurgents and COIN forces that is conducted continuously through the communications media.

5-26. The media are a permanent part of the information environment and effective media/public affairs operations are critical to successful military operations. Every aspect of a military operation is subject to immediate scrutiny. Well planned, properly

coordinated, and clearly expressed IO significantly clear the fog of war and improve the effectiveness and morale of COIN forces, the will of the Afghan public, and the support of the people for their government. The right messages can reduce misinformation, distractions, confusion, uncertainty, and other factors that cause public distress and undermine the COIN effort. Constructive and transparent information enhances understanding and support for continuing operations against the insurgency.

5-27. There are numerous methods available to commanders for working with the media to facilitate accurate and timely information flow. These include the following:

- Embedded media.
- Press conferences.
- Applying resources.
- Network with media outlets.

5-28. Embedded media representatives get to know the Soldiers' perspectives in the context of the COIN environment. Embedding for days rather than weeks runs the risk of media representatives not gaining any real understanding of the context of operations and may lead to unintended misinformation. Media representatives embedding for weeks become better prepared to present an informed report. The media should be given access to the young men in the field. These young people nearly always do a fantastic job articulating the important issues for a broad audience and, given a chance, can share their courage and sense of purpose with the Afghan people.

5-29. Weekly press conferences might be held, particularly with media, to explain operations and provide transparency to the people most affected by COIN efforts. Such venues also provide an opportunity to highlight the accomplishments of COIN forces and the government.

5-30. Commanders should apply time, effort, and money to establish the proper combination of media outlets and communications to transmit the repetitive themes of government accomplishments and insurgent violence against the populace. This might require COIN forces to be proactive, alerting media to news opportunities and perhaps providing transportation or other services to ensure proper coverage. Assisting in the establishment of effective media is another important COIN requirement. A word of caution here: there can be no perception by the populace or the media that the media is being manipulated by COIN forces. Even the slightest appearance of impropriety here can undermine the credibility of the COIN force and the nation.

5-31. Establishing relationships between COIN leaders and responsible members of the media is in the interests of the Nation. Without a clear understanding of the COIN efforts, media representatives relay a message to the Afghan public as best they can. Through these professional relationships, the military can ensure Afghan citizens better understand what their military is doing in support of the Nation's interests. Operations security must always be maintained, but that should not be used as an excuse to create a media blackout that can lead to misinformation. Similar relationships can be established with international media sources.

5-32. The media are ever present and influence perceptions of the COIN environment. Therefore, successful leaders engage the media, create positive relationships, and help the media tell the story. Otherwise the media develops a story of its own that may not be as accurate and may not include the COIN force perspective.

5-33. In developing the information LLO consider the following:

- Consider word choices carefully. Words are important—they have specific meanings and describe policy. For example, is the COIN force a liberator or an occupier? Occupiers generate a “resistance,” whereas liberators may be welcomed for a time. Soldiers can be influenced likewise. In a conflict among the people, terms like “battlefield” influence perceptions and confuse the critical nature of a synchronized approach. Refrain from referring to and considering the area of operations (AO) as a “battlefield” or it may continue to be one.
- Publicize insurgent violence and use of terror to discredit the insurgency.
- Admit mistakes (or actions perceived as mistakes) quickly, and explain these mistakes and actions—including mistakes committed by COIN forces. However, do not attempt to explain actions by the government. Instead encourage officials to handle such information themselves. They know better the cultural implications of their actions, and honesty should help to build legitimacy.
- Highlight government and COIN force successes promptly. Positive results speak loudly and resonate with people. Do not delay communications waiting for all results. Initiate communications immediately to let people know what the COIN force is doing and why. Delaying announcements creates “old news” and misses news cycles.
- Respond quickly to insurgent propaganda. As stated above, delaying a response can let the insurgent story dominate many news cycles, allowing their version of events to become widespread and accepted. This consideration may require giving increased information assets and responsibilities to lower-level leaders, since they are also at the “point of the spear” for IO.
- Shape expectations of the populace. Generally people expect too much too soon, and when the government or COIN force is slow to deliver, people become easily and perhaps unfairly disgruntled.
- Give the people some means to voice their opinions and grievances, even if that activity appears at first to cause short-term friction with ongoing efforts. This applies not just to the formal political process, but even more to the informal, local issues (where government actually touches the people). Develop a feedback loop from populace to local government to ensure needs are identified and perceptions aligned.
- Keep troops engaged with the people. Presence patrols facilitate Soldiers mingling with the populace. The communication flow works both ways, as the people and COIN forces learn to know each other better.
- Conduct ongoing audience analysis and seek to identify key personnel that influence the people at the local, regional, and national levels. Seek to determine with great specificity the relevant lines of loyalty of a population.
- Take a census as soon as is practicable. Help the local government do this. This information can be helpful for learning about the people and meeting their needs.

- Assist the government in the production and distribution of identification cards. This is an effort to register all citizens—or, at least those nearing a predetermined, adult age. Identification cards may help to track people’s movements, which are useful in identifying illicit activity.
- Treat detainees professionally and publicize their treatment. Arrange for local leaders to visit and tour your detention facility. Consider allowing them to speak to detainees. If news media visit your detention facility, allow them as much access as is prudent. (Provide a guided tour and explain your procedures.)
- Consider initiating a dialogue with the opposition. This does not equate to “negotiating with terrorists,” and is an attempt to open the door to mutual understanding. There may be no common ground and the enmity may be such that nothing specifically or directly comes of the dialogue. However, if COIN forces are talking, they are using a positive approach—and may learn something. Consider adopting a “We understand why you fight” mentality—and maybe stating this to the insurgents.
- Work to convince insurgent leadership that the time for resistance has ended and that there are other ways to accomplish what they desire.
- Take the insurgents’ demands and turn them on the insurgents. Examine the disputed issues objectively, and then work with the government to resolve them where possible. Then communicate any success as a sign of responsiveness and improvement.
- Communicate the message that the COIN force is robust and persistent, and will assist the population through their present difficulty.
- Learn the insurgent’s messages or narratives and develop counter-messages and counter-narratives to attack the insurgents’ ideology. An understanding of indigenous culture is required for this activity, and government personnel can play a key role.

COMBAT OPERATIONS

5-34. This line of operations is the most familiar to military forces. Care must be taken not to apply too many resources to this LLO at the expense of other LLOs that facilitate the development or reinforcement of the legitimacy of the government.

5-35. An inherent trait of an insurgency is the use of unlawful violence to weaken a government, intimidate people into passive or active support, and murder those who oppose the insurgency. There is always some element of measured combat operations required to address insurgents who cannot be co-opted into operating inside the rule of law. However, COIN is “war amongst the people.” Combat operations must therefore be executed with an appropriate level of restraint on the use of force to minimize or avoid killing or injuring innocent people who are not involved with the conflict. Not only is there a moral basis for the use of restraint or measured force; there are practical reasons as well. The COIN force does not want to turn the will of the people against the COIN effort by harming innocents. Discriminating use of fires and calculated, disciplined response should characterize performance in COIN, where kindness and compassion can be as important as killing and capturing.

5-36. In general, Kandak-sized and smaller unit operations are often the most effective for countering insurgent activities. The COIN force needs to get as close as possible to the people to secure them, glean the maximum amount of quality information, and thereby gain a fluidity of action equal or superior to that of the enemy. This does not mean larger unit operations are not required. The brigade is usually a synchronizing headquarters while the corps shapes the environment to set conditions and facilitate brigade and Kandak success. The sooner the COIN force can execute small unit operations effectively, the better.

5-37. In developing this LLO, consider the following:

- Develop cultural intelligence, which assumes a prominent role. Make every effort to learn as much about the environment as possible. Human dynamics tend to matter the most.
- Ensure that rules of engagement adequately guide Soldiers and engaged in combat while encouraging the prudent use of force commensurate with mission accomplishment and self-defense.
- Consider how the populace might react when planning tactical situations, even for something as simple as a traffic control point. Understand how people will respond to the operation.
- Identify and focus the COIN force on legitimate tasks for the supporting COIN force. These are tasks the government and population generally perceive to be productive and appropriate for an outside force.
- Win over, exhaust, divide, capture, or eliminate the senior- and mid-level insurgent leaders as well as network links.
- Frustrate insurgency recruitment.
- Disrupt base areas and sanctuaries.
- Organize local security and support forces.
- Deny outside patronage (external support). Make every effort to stop the insurgency from importing material support across international and territorial borders.
- When executing any form of unit sweep operation, clear only what the unit intends to hold— otherwise, reconsider the operation and its goals.
- When Soldiers interact with the population, encourage them to treat people with respect to avoid alienating anyone and assisting the insurgency.

DEVELOPMENT OF NATIONAL SECURITY FORCES

5-38. Security is the key facilitating mechanism for most societal and government functions. Although Afghan and multinational forces can provide direct assistance to establish and maintain security, this situation is at best a provisional solution. Ultimately, the nation must secure its own people.

5-39. The Islamic Republic of Afghanistan military, working with other government agencies and multinational partners, is able to help the host nation develop the security forces required to establish and sustain stability within its borders. This assistance can

take many forms, to include the development, equipping, training, and employment of security forces. The assistance may extend to operations in which multinational military units fight alongside the newly formed, expanded, or reformed government forces.

5-40. Though this LLO is discussed in detail in Chapter 6, some ideas are worth highlighting here. In developing this LLO, consider the following:

- Understand the security problem. The function, capabilities, and capacities required for governmental security (military and police) forces should align with the theater strategy and the threat they face.
- Start at the earliest planning stage with a comprehensive approach to local needs in consultation with local representatives. This process should be undertaken in partnership with the government and military authorities, and in consultation with multinational partners and those international organizations that may be involved.
- Establish separate training academies for military and police forces. Staff them with multinational personnel if available. (Tap into the talents of as many nations as possible for this).
- Establish mobile training teams.
- Train the government cadres first, and focus on identifying leaders. When trained, these key personnel can establish new units, staff the training academies, and in some cases, staff mobile training teams.
- Create general-purpose forces and special-purpose forces. These special-purpose forces should be based on need and ideally should be limited. For police, this consideration could entail the development of a special intelligence branch like the British have to prevent espionage and subversion as well as to provide security for key targets and public figures.
- Put liaison officers with multinational units.
- Identify insurgents who might seek to join the security forces under false pretext. However, encourage insurgents to change sides—welcome them in with an “open-arms” policy. Vetting “turncoats” is a task for the government in partnership with the military.

ESSENTIAL SERVICES

5-41. The essential services LLO addresses the life support needs of population. The military’s primary involvement is normally to provide a safe and secure environment that facilitates planning and actions to develop the supporting services or infrastructure needed to provide or restore essential services. Due to security problems, the military may initially have the leading role. Other agencies may not be initially present to assume this role or might not have sufficient capability or capacity. Therefore, the military must be prepared to conduct these tasks for an extended period.

5-42. The COIN force should work closely with the government in establishing achievable goals. If lofty goals are set and not achieved, both the COIN force and the government can lose the respect of the population. The long-term objective for this LLO is to transition to complete government responsibility and accountability. Establishing activities that the government will be unable to sustain on their own may be

counterproductive. IO must be nested within this LLO to manage expectations and ensure that the public has a coherent understanding of the problems requiring redress, to include infrastructure sabotage by insurgency forces. The major categories follow:

- Transportation and public works.
- Public utilities.
- Telecommunications and public communications.
- Public health and sanitation.
- Life-support and humanitarian relief.
- Education.

5-43. Figure 5-4. (below) illustrates how a unit might apply the essential services LLO through the acronym SWEAT-MS. Each category includes a set of missions that set the conditions for success. Those conditions, in turn, contribute to achieving the higher commander's desired end state.

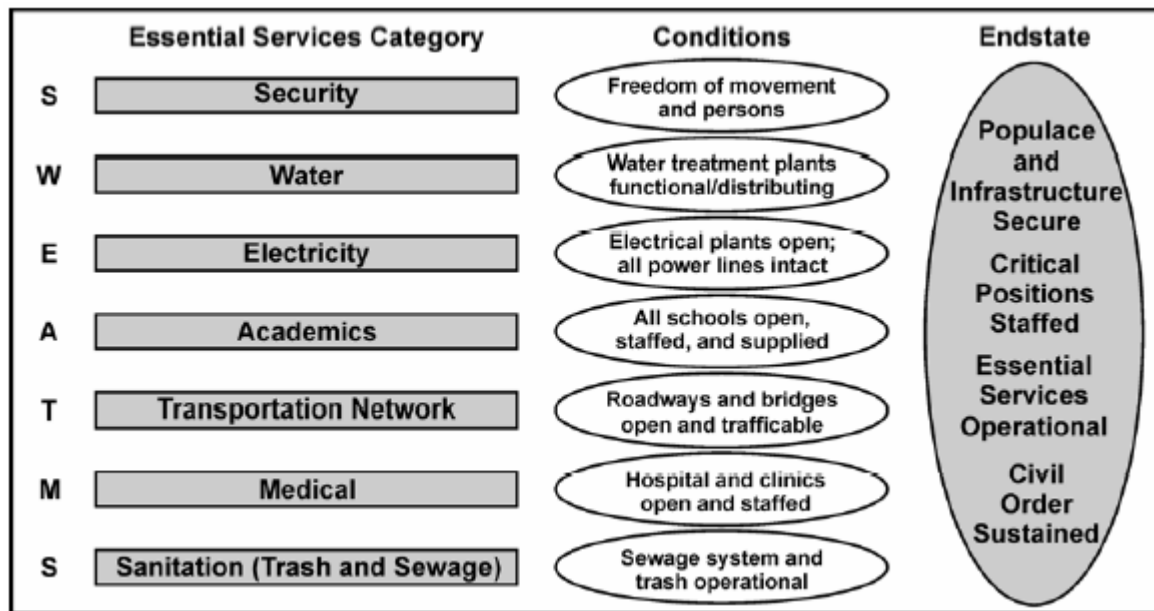


Figure 5-4. Unit Application of the Essential Services Logical Lines of Operations

5-44. In developing this LLO, consider the following:

- Make this effort a genuine partnership between the COIN force and government authorities. Use as much local leadership, talent, and labor as soon as possible.
- Plan for a macro and a micro assessment effort. Acknowledge up front what is known and not known about the environment—and begin an honest appraisal of what needs to be accomplished. The macro assessment concerns operational design functions and is long term in focus. The micro assessment effort, by necessity, focuses on the local level and determines, with regional sensitivity, what the actual and specific needs are in the immediate future.
- Appreciate local desires. A needs assessment must reflect a great deal of cultural sensitivity; otherwise great attention (time and expense) could be wasted on something the people do not consider to be of real value. Ask, How do I know this effort is important from a local perspective? If there is no answer to that question,

- it may not be. Authorities are a good place to start with this question, and local polling of the populace may be useful.
- Make a point of establishing realistic, measurable goals, and put in place methods of assessment towards the achievement of those goals. Form interagency planning teams to discuss design, assessment, and redesign. Learn early to understand and use an interagency language and recognize and understand other agencies' institutional cultures. COIN activities are interagency activities—whether agencies beyond the military are initially present or not.
 - Meet with representatives from organizations beyond the government team. Nongovernmental organizations seldom want to give the appearance of being too closely aligned with the COIN effort. Encourage their participation in planning, even if it means holding meetings in neutral areas. In your meetings with these organizations, help them understand that there are mutual interests in achieving the COIN force objectives of local security, stability, and relief.
 - Be as transparent as possible with the local people. Do your best to help people understand what the COIN force is doing, and the basis for decisions that affect them.
 - Consider the role women play in the society and how this cultural factor may influence activities in this LLO.
 - Consider that, in some situations, the local people may form an impression that the COIN force (especially the military side of it) has arrived to “save the day,” or in contrast, that their arrival will only cause greater problems. Such reactions are especially likely concerning essential services. Understanding these phenomena and working to keep expectations manageable avoids the frustrations that inevitably result from unrealized local expectations.

GOVERNANCE

5-45. This LLO relates to the capability and capacity of the government to secure its people, establish and maintain order, and perform all necessary government activities that pertain to a legitimate, sovereign nation.

5-46. In more rudimentary cases, where no government exists at all, this LLO may involve creating and organizing a governmental capability and capacity to govern. In the long run, the activities in this LLO will probably affect the lives of the people the most and may lead to the elimination of the root causes for the insurgency. Activities in this LLO are among the most important of all in establishing lasting stability for a region or nation.

5-47. Good governance is normally a key requirement to achieve legitimacy for the government. Necessary activities include the following:

- Security activities (military and police isolating the insurgency as part of public safety).
- Establishing and enforcing the rule of law.
- Public administration.
- Justice (judiciary system, prosecutor/defense representation, and corrections).
- Property records and control.

- Public finance.
- Civil information.
- Historical, cultural, and recreational services.
- Electoral process for representative government.
- Disaster preparedness and response.

5-48. In developing this LLO, consider the following:

- Encourage local leaders to step forward and participate. If no local council exists, encourage the populace to create such a body. Teachers, businessmen, and others who enjoy the respect of the community should be strongly encouraged to come together and form a temporary council to serve in such capacity until a more permanent organization can be elected.
- Assist (or encourage) the government to remove or reduce genuine grievances, expose imaginary ones, and resolve contradictions where possible immediately. Note that this consideration may be very difficult to achieve because:
 - Genuine grievances may be hard to ascertain. Solutions might involve the government giving up power or control in a fashion they are unable or unwilling to accommodate.
- Make only such promises as can be fulfilled in the foreseeable future.
- Help the government develop and empower competent and responsive leaders and strengthen their civil service and security forces. This is traditionally difficult to do, and backing an incompetent (or worse) local leader can backfire. Do not be afraid to step in and make a bold change where necessary. A corrupt official, such as a chief of police who is working at the behest of both sides, can be doing more harm than good. You may be forced to replace him. If so, move decisively. Arrange the removal of all officials necessary such that, although the pain of the affair may be acute, it is brief and final. Wherever possible, have other government authorities conduct the actual removal.
- Provide accessibility to ensure two-way communications with the populace. Establish rapport with the local public for national government and military forces.
- Encourage the host nation to grant local demands and meet acceptable aspirations. Some of these might be driving the insurgency.
- Emphasize the national perspective in all governmental activities, downplaying sectarian divides.
- Provide liaison officers to government ministries or agencies. Even better, do this in an interagency fashion, using a team approach. Obviously these proposed teams differ in composition, depending on function.
- Once the legal system is established or reestablished, send someone to observe firsthand a person or persons moving through the legal system (arrest by police, trial, and punishment by confinement to a correctional facility). Ask to see the docket of the judges at the provincial courthouse. If there is no one on the docket or if it is full and there are no proceedings, there may be a problem.
- Create a system for citizens to pursue legal redress for perceived wrongs by authorities. Rule of law must include a citizen's right and ability to petition the government for redress of wrongs committed by the government—or to petition

- the COIN force for redress of wrongs perpetrated by that force (intentionally or otherwise).
- Provide adequate security for the populace to resume their lives and livelihoods. This is an essential requirement for effective governance.
 - Whenever and wherever possible, build on extant capabilities. The host nation often has some capability and supporting COIN forces may just need to help it develop greater capacity.

ECONOMIC DEVELOPMENT

5-49. The economic development LLO includes both a short-term and a long-term aspect. The short-term aspect deals with immediate problems, such as large-scale unemployment and means to jump-start an economy from the local level through the national level. The long-term aspects of the LLOs should work to stimulate an indigenous capability and capacity that produces robust and broad economic activity for the local population. Any stability a nation enjoys may be directly related to its population's economic situation and adherence to the rule of law. The basic economic health of a nation is also dependent on a government's ability to continuously secure its population.

5-50. Formulating a plan for economic development requires planners to understand the society, culture, and the operational environment. For example, in a rural society, land ownership and the availability of agricultural equipment, seed, and fertilizer may be the chief components of any economic development plan. In a more urban and diversified society, the availability of jobs and the infrastructure to support commercial activities may be more important for constructive economic development. With the exception of completely socialist economies, governments do not create jobs except in the public bureaucracy. However, the micro-economy can be positively stimulated through the advancement of small businesses. To jump-start small businesses, there is a requirement for microfinance in the form of some sort of banking activities. So then, work in this LLO requires attention to both the macro-economy and the micro-economy.

5-51. Without a viable economy and employment opportunities, the public is likely to pursue false promises offered by an insurgency, which may be fostering the very conditions keeping the economy stagnant. Insurgencies attempt to exploit a lack of employment/job opportunities to gain active and passive support for their cause and ultimately delegitimize a government. The major categories of economic activity include the following:

- Fossil fuels, mining, and related refining infrastructure.
- Generation and transmission of power and energy.
- Transportation and movement networks.
- The banking industry.
- Manufacturing and warehousing.
- Building trades and services.
- Agriculture, food processing, fisheries, and stockyard processing.
- Labor relations.
- Education and training.

5-52. In developing this LLO, consider the following:

- To draw the most out of the local population, work with the host nation to strengthen the economy and quality of life. In the long run, success in COIN is about supporting the livelihoods of the populace.
- Create an environment where business can thrive. In every state (except perhaps a completely socialist one), business drives the economy. To strengthen the economy, find ways of encouraging and supporting legitimate business activities. Even the provision of security is part of this positive business environment.
- Work with the government to reduce unemployment to a manageable level.
- Seek to understand the impact of military operations on business activities and vice versa in the AO. Understand the impact of outsourcing and military support on the local economy and the level of employment. Focus on governmental capability and capacity.
- Use economic leverage for entry into new areas and to reach new people. Remember that in many societies, monies are distributed through the tribal or clan networks. For instance, making sure an important clan leader gets a large contracting job may ensure that many local men are employed—and therefore not as available to the insurgency. It may be necessary to pay more than seems fair for a job, but this form of economic leverage is cheap if it keeps people from supporting the insurgency.
- Ensure that noncompliance with government policies has an economic price. Likewise, show early that compliance with those policies is profitable. In the broadest sense, the operational design should reflect that “peace pays.”
- Program funds for commanders to use from the beginning of any intervention for economic projects in their AO. No one has a better appreciation of the specific situation than those “on the ground.” Creating these funds may require ministerial action. A more detailed description of relevant funding sources is in Appendix C.

COUNTERINSURGENCY APPROACHES

5-53. There are many approaches to using LLOs to achieve success in a COIN effort. Each approach consists of components that are not mutually exclusive to any particular strategy and are often shared among multiple strategies. The strategies described below are not the only choices available, are neither discrete nor exclusive, and may be combined depending on the environment and resources available. But the following methods and their components are offered as examples that have proven effective in the past. Making any of these methods effective in the future requires adapting them to the demands of the local environment. The three examples of approaches discussed are:

- Clear-hold-build.
- Combined action.
- Limited support.

CLEAR-HOLD-BUILD

5-54. COIN efforts should begin by controlling key areas. Security and influence then spread out from these secured areas like an oil spot. The pattern of this approach is to

clear, hold, and build one village, area, or city, and then to expand to other areas, reinforcing success. This approach aims to develop a long-term, effective governmental framework and presence that secures the people and facilitates the meeting of their basic needs, thereby reinforcing the legitimacy of the government. The primary tasks to accomplish clear-hold-build are:

- Provide continuous security for the local populace.
- Eliminate insurgent presence.
- Reinforce political primacy.
- Enforce the rule of law.

To create success that can spread, a clear-hold-build operation should not begin by assaulting the main insurgent stronghold or by focusing on areas where the population overtly supports the insurgents.

5-55. Clear-hold-build objectives require a considerable expenditure of resources and time. ANA commanders and their government counterparts should prepare for a long-term effort. All operations require a focused unity of effort by civil authorities, intelligence agencies, and security forces. Coherent IO is also needed. A clear-hold-build operation is executed in a specific, high-priority area experiencing overt insurgency and has the following objectives:

- Creating a secure physical and psychological environment.
- Establishing firm government control of the population and the area.
- Gaining the support of the population as manifested by their participation in the government programs to counter the insurgency.

5-56. Clear-hold-build operations should expand outward from a secure base, such as an urban industrial complex whose population supports the government effort and where security forces are in firm control. No area or its population that has been subjected to the intensive organizational efforts of a subversive insurgency organization can be won back until certain conditions are created:

- The commander responsible for the clear-hold-build operation has security forces clearly superior to the insurgent force known or suspected to be operating in the area or immediately available in an adjacent area.
- Sufficient nonmilitary resources are allocated to effectively carry out all essential improvements needed to provide basic services and control the population.
- The insurgency is cleared from the area.
- The insurgency organizational infrastructure and its support have been neutralized or eliminated.
- A government presence is established to replace that of the insurgency, and the local population willingly supports this presence.

5-57. The following discussion describes some examples of activities involved in a clear-hold-build approach. It execution involves activities across all LLOs. There can be overlap between required steps, especially between hold and build, where relevant activities are often conducted simultaneously.

Clearing the Area

5-58. *Clear* is a tactical mission task that requires the commander to remove all enemy forces and eliminate organized resistance in an assigned area. Clearing operations lead to the destruction or retreat of insurgent combatants. This task is most effectively initiated by a clear-in-zone or cordon-and-search operation to disperse insurgent forces or force reaction by major insurgent elements in the area. Once this action has been initiated, units employ a combination of offensive small unit operations, such as area saturation patrolling and interdiction ambushes.

5-59. These combat operations are only the beginning, not the end state. Removal of the visible insurgent forces does not remove the entrenched insurgent infrastructure. While their infrastructure exists, insurgents continue to recruit among the population, attempt to undermine the government, and try to coerce the populace through intimidation and violence. After insurgent combatant forces have been eliminated, removing the infrastructure begins. This should be done in a way to minimize the impact on the local population and is essentially a police action that relies heavily on courts and legal processes.

5-60. If insurgent combat forces are not eliminated but instead are expelled or have broken into smaller groups, they must be prevented from re-entering the area in force or re-establishing an organizational structure inside the area. Once COIN forces have established their support bases, security elements cannot remain static. They should be mobile and establish a constant presence throughout the area. Use of special funds should be readily available for all units to pay compensation for damages that occur while clearing the area of insurgent forces. Combat actions continue to maintain gains and set the stage for future activities by:

- Isolating the area to cut off external support and to catch insurgents trying to escape.
- Conducting periodic sweeps of the area to identify, disrupt, eliminate, and/or expel insurgents.
- Employing security forces and government representatives throughout the area to secure the people and facilitate follow-on stages of development.

5-61. Clearing operations are supplemented by IO focused particularly on two key audiences: the local population and the insurgents. The purpose of the message to the population is to gain and maintain their overt support for government security forces with promises to protect the people from insurgent forces and activities. Conversely, the population should understand that if they actively support the insurgency, they are prolonging combat operations and creating a risk to themselves and their neighbors. The purpose of the IO message to the insurgents is to convince them that they cannot win against the government efforts, and that the most constructive course of action is to surrender or cease their activities.

Holding with Security Forces

5-62. Ideally this part of the clear-hold-build approach is handled by ANA and ANP elements. Establishment of security forces in bases among the population facilitates the continued disruption, identification, and elimination of the local insurgent leadership and infrastructure. The success or failure of the effort depends on effectively and continuously securing the populace, and then on the effectiveness of reestablishing a government presence (and operational systems) at the local level. Measured combat operations will continue against insurgent combatants as opportunities arise, but the main effort is focused on the population.

5-63. Key infrastructure must be secured. Since resources are always limited, those elements of the infrastructure that are both vital for stability and vulnerable to attack should be protected. Ask in planning, What elements of infrastructure are in jeopardy? For instance, a glass-making factory may be important for economic recovery, but it may not be at risk of insurgent attack and therefore may not require security.

5-64. There are three key IO audiences during the hold stage:

- Populace.
- Insurgents.
- COIN force.

5-65. The IO message to the population should affirm that security forces supporting the government are in the area to accomplish the following:

- Protect the population from so-called “revolutionary justice.”
- Eliminate insurgent leaders and infrastructure.
- Improve basic life support where possible.
- Reinstate government presence.

IO should also state that the security forces will remain for several years and will not leave. This message of a persistent presence can be reinforced by making long-term contracts with the local populace for various supply or construction requirements.

5-66. The IO message to the insurgents calls on them to surrender or leave the area, emphasizing the permanent nature of the government victory and presence. The government might try to exploit success by offering a local amnesty. Insurgent forces will most likely not surrender, but may cease hostile actions against the government in that area.

5-67. The commander’s message to the COIN force should explain the changes in missions and responsibilities that are associated with creating or reinforcing the legitimacy of the government. The importance of securing the people to protect them, gaining the people’s support by assisting them, and using measured force when fighting the insurgents should be reinforced and understood.

5-68. Operations during this stage are designed to:

- Continuously secure the population to separate them from the insurgency.
- Establish a firm government presence and control over the area and population.
- Recruit, organize, equip, and train local people to provide area security.
- Establish a government political apparatus to replace the insurgency apparatus.
- Develop a dependable network of informants.

5-69. Major actions occurring during this stage include:

- Designating and allocating area-oriented security forces to continue offensive operations in the area. Other security forces that participated in clearing actions are released or are assigned to other tasks.
- Thorough population screening to identify and eliminate remaining insurgents and to identify any lingering insurgent support structures.
- Conducting area surveys to determine resources and specific needs of the people and area. Local leaders should be involved.
- Constructively influencing the people's motivation through environmental improvements designed to convince the population to support and participate in the active security of their area and in the area reconstruction effort.
- Training of local paramilitary security forces, including arming and integrating them in successful operations against the insurgents.
- Establishing a communications system integrating the area into the larger secure communications grid and system.

Building Support and Protecting the Population

5-70. The population in the AO must be protected from the insurgents in order to make any progress in building support for the government. If the people are not secure or they perceive they are not, then COIN efforts are greatly hindered. The security forces must conduct patrols and use measured force against insurgent targets of opportunity on a continuous basis to ensure the protection of the people in the AO.

5-71. This contact with the population is critical to the success of the local COIN effort. Actions designed to completely eliminate the remaining covert insurgent political infrastructure must be continued, as its presence will continue to threaten and influence people.

5-72. Special funds (or other available resources) should be available as wages to reimburse the population for accomplishing applicable required tasks. Tasks that provide an overt and direct benefit for the population and for which reimbursement is appropriate are key, initial priorities. These tasks can begin the process of securing and reconciling the population to the government. Some sample tasks are:

- Collecting and clearing trash from the streets.
- Removing or painting-over insurgency symbols or colors.
- Building and improving roads.
- Digging wells.
- Preparing and building indigenous local security force infrastructure.
- Securing, moving, and distributing supplies.

- Providing guides, sentries, and translators.

Monitoring the Population

5-73. Population control measures include determining who lives in the area and what they do. This process requires research into family, clan, tribe, interpersonal, and professional relationships. Establishing control normally begins with a census and the issuing of identification cards. A census must be advertised and executed systematically. Census tasks include establishing who resides in which building and the responsible family head for each household. Those responsible for the household are held accountable to report any future changes to the appropriate agencies. The collected census records provide intelligence regarding real property ownership, relationships, and business associations.

5-74. Insurgents may try to force the people to destroy their identification cards. The incentive for the people to retain their identification cards must be sufficient. Insurgents will participate in the census to gain valid identification cards themselves. Requiring applicants to bring two men from outside their family to swear to their identity is a method to reduce this probability. Those who affirm the status of the identification card applicant are accountable for their official statements made on behalf of the applicant. Identification cards should have a code that indicates where the holders live.

5-75. Some other control measures are:

- Establishing and enforcing a curfew.
- Setting up a pass system administered by security forces or civil authorities and establishing limits on the length of time people can travel.
- Establishing limits on the number of visitors from outside the area.

5-76. Once control measures are in place, the government should have an established system of punishments for various offenses. These should be announced to the population and enforced. The establishment of this system should be initiated by the government to ensure the same system is enforced everywhere, and there is consistency with the rule of law throughout its territory. The government must have the means to impose fines and other punishments for civil infractions of this nature.

Increasing Popular Support

5-77. COIN forces should use all available resources and capabilities to capitalize on every opportunity to help the population and meet its needs and expectations. Projects to improve their economic, social, cultural, and medical needs can begin immediately. Actions speak louder than words. Once the insurgent political infrastructure has been destroyed and local leaders begin to establish themselves, any necessary political reforms can be implemented. Other important tasks include:

- Establishing agencies of the government to carry out routine administrative functions and to begin improvement programs.

- Providing government support to those willing to participate in reconstruction. Selection for participation should be based on determinations of need and ability to help. People should also be willing to secure what they create.
- Begin progressive efforts—such as participation of the population in local elections of leaders, community-sponsored environmental improvement, formation of youth clubs, and other projects—to develop regional and national consciousness, and rapport between the population and its government.

5-78. There are key IO audiences and messages in this stage, as well.

5-79. The IO message to the population has three facets.

- First, it should aim to gain understanding or approval for the actions of security forces that are affecting the population, such as the control methods or a census. This is relatively easy to achieve by telling the people what is to be done and for what purpose.
- The second aim is to establish human intelligence sources that lead to identification and destruction of any remaining insurgent infrastructure in the area.
- The third aim should be to win over those people who are still passive or neutral by demonstrating how the government is going to make their life better.

5-80. The IO message to the insurgents should aim to create divisions between the leadership and the mass base by emphasizing failures of the insurgency and successes of the government. Success is indicated when elements of the insurgency abandon it and return to work with the government.

5-81. The commander should emphasize to COIN forces that they must remain friendly towards the populace while staying vigilant against insurgent actions. Commanders must ensure Soldiers understand their rules of engagement, which will become even more restrictive as peace and stability return.

5-82. The most important activities during the build stage are conducted by nonmilitary agencies. Government representatives reestablish political offices and normal administrative procedures. National and international development agencies rebuild infrastructure and key facilities. Local leaders are developed and given authority. Life for the area's inhabitants begins to return to normal. Activities along the combat and security force LLOs become secondary to those involved in essential services, good governance, and essential services LLOs.

COMBINED ACTION

5-83. Combined action is a technique that involves joining ANA and local troops in a single organization, usually a platoon or company, to conduct counterinsurgency operations. This technique is appropriate in environments where large insurgent forces do not exist or they lack resources and freedom of maneuver. Combined action normally involves joining an ANA rifle squad or platoon with a local platoon or company, respectively. The purpose of this approach is to hold and build while providing a

persistent COIN force presence among the populace. This approach attempts to first achieve security and stability in a local area, followed by offensive operations nearby enemy forces now denied access or support. Not designed for offensive operations themselves, combined action units rely on more robust combat units for this task. Combined action units can also establish mutual support among villages to secure a wider area.

5-84. Combined action programs can only be instituted in areas with limited insurgent activity and should not be used to isolate or expel a well established and supported insurgent force. Combined action is most effective after an area has been cleared of armed insurgents.

5-85. The following geographic and demographic factors can also influence the probability of success:

- Towns relatively isolated from other population centers are simpler to continuously secure.
- Towns and villages with a limited number of roads passing through are easier to secure than towns with many routes in and out, because all these approaches must be guarded.
- Existing avenues of approach into a town should be observable from the town to facilitate the interdiction of an insurgent force and the control of population movements.
- The town's population should be small and constant, where people know one another and can easily identify outsiders. In towns or small cities where a large number of inhabitants are not acquainted with each other, conducting a census is the most effective tool to establish initial accountability for everyone.
- The town and combined action/local defense force must establish mutual support with other adjacent or nearby towns where combined action forces are operating. Larger reaction or reserve forces as well as close air support, attack aviation, and air assault support should be quickly available to assist each combined action unit.

5-86. Combined action unit members must develop and build positive relationships with their associated government security forces and with the town leadership. By living among the people, combined action units serve an important purpose. They demonstrate the commitment and competence of COIN forces while sharing experiences and relationships with the local people. These working relationships build trust and enhance the legitimacy of the government. To further build trust, ANA members should request that the local security forces provide training on local customs, key terrain, possible insurgent hideouts, and relevant cultural dynamics, as well as provide a description of recent local events.

5-87. While combined action units are integrated into a regional scheme of mutually supporting security and influence, they should remain an organic asset of the parent unit from which they are drawn. Positioning reinforced squad-sized units (9 to 11 Soldiers) among local citizens creates a dispersal risk the parent unit can mitigate with on-call reserve and reaction forces along with mutual support from adjacent villages and towns.

5-88. The thorough integration of ANA and local combined action personnel supports the effective teamwork that is critical to the success of each team and the overall program. ANA members should be drawn from some of the parent unit's best personnel. Commanders should designate potential members prior to deployment to facilitate specific training and team-building to enable the success of the combined action unit once it arrives in the area of operation. Preferably, team members should have had prior experience in the area. Other desirable characteristics for combined action members include:

- Ability to operate effectively as part of a team.
- Strong leadership qualities, among them:
 - Communicates clearly.
 - Shows maturity.
 - Leads by example.
 - Makes good decisions.
- Ability to apply the commander's intent in the absence of orders.
- Possession of cultural awareness and understanding of the local environment.
- Absence of any obvious prejudices.
- Mutual respect when operating with local personnel.
- Experience with the language or the ability to learn languages.
- Patience and tolerance when dealing with language and translation barriers.

5-89. Combined action units should be used in cleared and semi-cleared areas to work with the local people, help provide continuous security in towns, and train and conduct operations with local security forces. Secondary missions include conducting civic action along established LLOs in support of their parent unit, gathering information for COIN forces, and providing other appropriate assistance to the local government to further develop its legitimacy.

5-90. Appropriate tasks include but are not limited to the following:

- Assisting local security forces in maintaining entry control points and providing reaction force capabilities through the parent unit.
- Conducting multinational, coordinated day and night patrols to secure the town and area.
- Facilitating local contacts to gather information in conjunction with local security force representatives. (Ensure information gathered is made available promptly and on a regular basis to the parent unit for timely fusion and action.)
- Conducting training in leadership and general military subjects so local security forces can secure the town/area on their own.
- Conducting operations with other multinational forces and units, if required.
- Operating as a team with local security forces to instill pride, leadership, and patriotism.
- Assisting government representatives with civic action programs to establish an environment where the people have a stake in the future of their town and nation.
- Protecting and assisting judicial and government representatives in establishing the rule of law.

LIMITED SUPPORT

5-91. Not all COIN efforts require deployments of large combat formations. In many cases, support is limited, focused on missions like security forces advisory duty, fire support, or logistic sustainment. The purpose of the limited support approach is to focus on building local capacity and capability. Local security forces are expected to conduct combat operations, including any clearing and holding that has to be accomplished.

ASSESSMENT OF COUNTERINSURGENCY OPERATIONS

“The two best guides, which can not be readily reduced to statistics or processed through a computer, are an improvement in intelligence voluntarily given by the population and a decrease in the insurgents’ recruiting rate. Much can be learnt merely from the faces of the population in villages that are subject to clear-and-hold operations, if these are visited at regular intervals. Faces which are at first resigned and apathetic, or even sullen, six months later are full of cheerful welcoming smiles. The people know who is winning”.

Sir Robert Thompson

5-92. *Assessment* is the continuous monitoring and evaluation of the current situation and progress of an operation. Commanders, assisted by the staff, continuously assess the environment, situation, and the progress of the operation, and compare it with the commander’s visualization and intent. Assessment precedes and is integrated into every operations-process activity. Assessment involves comparing projected outcomes to actual events, using conceptual tools to determine progress toward success. It entails two distinct tasks:

- Continuously monitoring the current situation (including the environment) and progress of the operation.
- Evaluating the operation against established criteria using measurement tools and criteria.

Based on their assessments, commanders adjust the operation and associated activities to better achieve the desired end state.

DEVELOPING MEASUREMENT CRITERIA

5-93. Commanders and staffs want to know why and when they are achieving success within the LLOs. Traditionally, they look for discrete quantitative and qualitative measurements to indicate success. However, the complex nature of COIN makes progress difficult to measure. Subjective assessment at all levels is essential to understand the diverse and complex nature of COIN problems and to measure local success or failure against the overall operation’s purpose. Additionally, since commanders want to know how effectively the LLO are working together, planners must evaluate not only progress along each LLO, but also how they are affecting activities along other LLOs.

ASSESSMENT TOOLS

5-94. Assessment tools help commanders and staffs determine:

- Completion of tasks and their impact.
- Level of achievement of objectives.
- Whether a condition of success has been developed or established.
- Whether the operation's end state has been attained.
- Whether the commander's intent was achieved.

For example, planning for transition of responsibility to the local government is an integral part of COIN operational design and planning because of the fundamental requirement to support development of the local government's legitimacy. Assessment tools may be used to assess the geographic and administrative transfer of control and responsibility to the local government as it develops its capabilities. Assessments differ for every mission, task, and LLO, and for different phases of an operation. Leaders adjust assessment methods as the insurgents adapt to COIN force tactics and the environment changes.

5-95. The two most common assessment measures are measures of effectiveness (MOEs) and measures of performance (MOPs).

5-96. A *measure of effectiveness* is a criterion used to assess changes in system behavior, capability, or operational environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect. MOEs focus on the results or consequences of actions. MOEs answer the question, Are we achieving results that move us towards our desired end state, or are additional or alternative actions required?

5-97. A *measure of performance* is a criterion to assess friendly actions that is tied to measuring task accomplishment. An MOP answers the question, Was the task or action performed as the commander intended?

5-98. Leaders may use observable, quantifiable, objective data as well as subjective indicators to assess progress measured against expectations. A combination of both types of indicators is recommended to reduce the chance of misconstruing trends.

5-99. All MOEs and MOPs for assessing COIN operations should be designed with the same characteristics. These four characteristics are:

- **Measurable.** MOEs and MOPs must have quantitative or qualitative standards against which they can be measured. The most effective measurement would be a combination of quantitative and qualitative measures to guard against an inaccurate view of results.
- **Discrete.** Each MOE and MOP must measure a separate and distinct aspect of the task, purpose, or condition.
- **Relevant.** MOEs and MOPs must be relevant to the measured task, outcome, and condition. Local, regional, and national leaders and nongovernmental

organization personnel may provide practical, astute, and professional ideas and feedback to craft relevant MOPs and MOEs.

- **Responsive.** Assessment tools must detect environmental/situational changes quickly and accurately enough to facilitate the commander's development of an effective response or counter.

BROAD INDICATORS OF PROGRESS

5-100. Numerical and statistical indicators have limits when measuring social environments. For example, in South Vietnam U.S. forces used the body count as an indicator of success or failure within what this chapter describes as the combat LLO. Yet, the body count indicator only communicated a small part of the information commanders needed to assess their operations and was therefore misleading. Body count can only be a partial and effective indicator when adversaries and their identities can be verified through a uniform or possession of an insurgent political identification card. Additionally, COIN forces require the exact number of insurgent armed fighters initially present to gain an accurate appreciation of what the number of insurgent casualties might indicate in respect to enemy strength or capability. This discrete indicator fails to inform as to which side the local population blames for collateral damage, whether this fighting and resultant casualties damaged the insurgent infrastructure and affected the insurgency strategy in that area, and where the families of the dead insurgents reside and how they might react. For another example, within the essential services LLO the number of schools built or renovated does not equate to the effective operation of an educational system.

5-101. Planners should start with broad measures of social and economic health or weakness when assessing environmental conditions. Here are some possible examples of useful indicators in COIN:

- **Refugees.** Refugees are a product of the deliberate violence associated with insurgencies and their counteraction. People and families exiled from or fleeing their homes and property and people returning to them are measurable and revealing. The number, population, and demographics of refugee camps or the lack thereof are a resultant indicator.
- **Human movement and religious attendance.** In societies where the culture is dominated by religion, activities related to the predominant faith may indicate the ease of movement and confidence in security, people's use of free will and volition, and the presence of freedom of religion. Possible indicators include the following:
 - Flow of religious pilgrims or lack thereof.
 - Development and active use of places of worship.
- **Value of the regional and/or national currency.** If the currency is traded on international markets, the international perception of its stability, and by inference that of the economy as a whole, can be evaluated by whether the currency is rising, falling, or stationary against other currencies.
- **Presence and activity of small- and medium-sized businesses.** When danger or insecure conditions exist, these businesses close.

- **Level of agricultural activity.** Is a region/nation self-sustaining, or must life-support-type foodstuffs be imported? Has the annual need increased or decreased?
- **Presence or absence of associations.** Formation and presence of multiple political parties, independent, professional associations, and trade unions.
- **Participation in elections,** especially when an insurgency publicly threatens violence against those who participate.
- **Government services available,** such as:
 - Police stations operational and police officers present throughout the area.
 - Clinics and hospitals in full operation, and new whether facilities sponsored by the private sector are open and operational.
 - Virtually all schools and universities are open and functioning.
- **Industry exports.**
- **Employment/unemployment rate.**

TARGETING

5-102. The targeting process focuses operations and the use of limited assets and time. Commanders and staffs use the targeting process to achieve effects that support the lines of operations in a COIN campaign plan. It is important to understand that targeting is done for all operations, not just attacks against insurgents. The targeting process can support IO, civil-military operations, and even meetings between commanders and local leaders, based on the commander's desires. The targeting process occurs in the targeting cell of the appropriate command post.

5-103. Targeting in a COIN environment requires the creation of a targeting board or working group at all echelons. The intelligence cell provides representatives to the targeting board/working group to synchronize targeting with intelligence sharing and ISR operations. The goal is to prioritize targets and determine the best means of engaging them in order to have effects on the people, nation, and insurgency that support the commander's intent and operation plan.

5-104. The focus for targeting is on people, both insurgents and noncombatants. There are two major types of targets: key personalities and areas. Key personalities include insurgent personnel, community or political elites, and other individuals with power over the populace. Areas include segments of the population and regions under insurgent control.

5-105. Personality and area targets can be further broken down into lethal targets and non-lethal targets. Lethal targets are best addressed via operations to capture or kill, while non-lethal targets are best dealt with via civil-military operations, IO, negotiation, political programs, economic programs, social programs and other non-combat methods. Non-lethal targets are usually more important than lethal targets and will never be less important.

5-106. Personality targets include the following:

- **Lethal.** Insurgent leaders to be captured or killed.
- **Nonlethal.**

- Personnel such as community leaders and insurgents, who should be engaged through outreach, negotiation, meetings, and other interaction.
- Corrupt local leaders who may have be replaced.

5-107. Area targets include the following:

- **Lethal.**
 - Insurgent bases and insurgent logistic depots or caches.
 - Smuggling routes that can be interdicted.
- **Lethal and nonlethal mix.**
 - Populated areas where insurgents commonly operate.
 - Populated areas controlled by insurgents where the presence of ANA personnel providing security could undermine support to insurgents.
- **Nonlethal.** Populations potentially receptive to civil-military operations or IO.

5-108. The basic targeting process are:

- Decide what targets must be addressed.
- Detect the targets.
- Deliver (conduct the operation).
- Assess the effects of the operation.

5-109. The first two activities are often switched in sequence, however. Rather than *decide-detect-deliver, assess*, the process may become *detect-decide-deliver-assess*. This is because the targets are individuals or groups of people rather than a fixed enemy order of battle. It is impossible to decide who/what to target without first knowing who/what the targets are.

DETECT

5-110. The detect activity is performed on a continuous basis. It requires a great deal of analytical work by intelligence personnel. They analyze large quantities of all-source intelligence reporting to determine the validity of threats, how important different potential targets actually are, what means should be used to engage the targets, and the expected effects of engaging the targets. This requires a detailed understanding of social networks, insurgent networks, insurgent actions, and community atmospherics. (See Appendix D)

5-111. As noted earlier, attention must be paid to intelligence regarding the perceptions and interests of the populace. This intelligence is crucial to IO and civil-military operations targeting. It is also important for developing political, social, and economic programs.

DECIDE

5-112. The decide activity is the culmination of previous intelligence work. Intelligence personnel, with the commander and other staff members, must decide when analysis is sufficiently developed to warrant engagement. Continuous staff integration and regular

meetings of the intelligence cell and targeting board smooth and enable this process. Staff personnel take finished intelligence products, fuse them with their own understanding of the AO, and help the commander and operations officer make decisions about who/what to target and how. Intelligence personnel provide information on the relative importance of different target personalities and areas, and the projected effects of lethal or nonlethal engagement.

5-113. At the end of the decide activity, the targeting board has produced a prioritized list of targets and a recommended course of action associated with each. Fragmentary orders by operations personnel often come about based on the decide activity. Each of these orders is an operation that should be nested with the higher headquarters' plan and the commander's intent. The intelligence synchronization plan may have to change, based on targeting decisions.

DELIVER

5-114. The deliver activity is simply executing the missions decided upon by the commander.

ASSESS

5-115. The assess activity occurs continuously throughout an operation. During assessment, it is critical that collectors and analysts review the results of the operation and change intelligence synchronization plans and analyses appropriately. In addition to assessing changes to their own operations, intelligence personnel look for reporting that indicates the effects on all aspects of the operational environment, to include insurgents and civilians. Relevant reporting can come from any of the intelligence disciplines, open sources, or operational reporting. Depending on the effects, commanders may choose to expand the operation, maintain it as is, halt it, initiate a branch or sequel, or take steps to correct the damage of a mistake. Therefore, an accurate after-action assessment is very important. Metrics often include the following:

- Changes in local attitudes.
- Changes in public perceptions.
- Changes in the quality or quantity of intelligence provided by individuals or groups.
- Changes in the economic or political situation of an area.
- Changes in insurgent patterns.
- Captured/killed insurgent personnel.
- Captured equipment and documents.

5-116. As indicated in Chapter 3, detainees, captured documents, and captured equipment may provide a great deal of additional information. Its exploitation and processing into intelligence often adds to the overall understanding of the enemy and precipitates additional targeting decisions. In addition, the assessment of the operation should be fed back to collectors. This allows them to see if their intelligence sources are credible. In

addition, effective operations often cause locals to provide more intelligence, which drives future operations.

LEARNING AND ADAPTATION

5-117. Once the operation plan has been initiated, a commander may conduct operations to develop the situation to gain a more thorough understanding of specific elements of the environment. This increased environmental understanding represents a form of operational learning and applies across all LLOs. The commander and staff should expect to adjust the operation's design and plan based on what they learn. The result is an ongoing design-learn-redesign cycle.

5-118. COIN operations involve complex, changing relations among all the direct and peripheral participants, and these participants adapt, respond, and react to each other throughout an operation. A cycle of adaptation usually develops between insurgents and the counterinsurgents in which both sides continually adapt to neutralize existing adversary advantages and develop a new (albeit usually short-lived) advantage of their own. Victory is gained through a tempo or rhythm of adaptation that is beyond the other side's ability to achieve or sustain. Therefore, the COIN force should seek to gain and sustain advantages over insurgents through emphasis on the learning and adaptation that is emphasized throughout this manual.

5-119. This process of learning and adapting in COIN is made even more difficult because of the complexity of the problems to be solved. Generally, there is not a monolithic adversary that can be singularly classified as the enemy. Many insurgencies consist of multiple competing insurgency groups (more than 40 groups in some historical cases such as Sri Lanka). The government and COIN force must adapt based on understanding this very intricate environment. But the key to effective COIN operational design and execution remains the ability to adjust better and faster than the insurgents.

SUMMARY

5-120. The challenge of COIN is complex, demanding, and tedious in execution. There are no simple or quick solutions. Success may often seem elusive. However, contributing to the complexity of the problem is the manner in which the environment is viewed by the COIN force and how success is defined. The specific architecture of the COIN operation and the manner in which it is executed must be based on a realistic treatment of the environment and remain focused on the commander's vision of resolution. Success will be gained from unity of effort across all LLOs to achieve goals that relate directly to the purpose for the COIN operation—to establish legitimacy for the government and gain popular support. Operational design and execution cannot really be separated. They are both part of the same whole.

Chapter 6

Developing National Security Forces

“Helping others to help themselves is critical to winning the long war”.

This chapter addresses aspects of developing national security forces. It begins with a discussion of the challenges involved and the resources required. It provides a framework for organizing the development effort. It concludes with a discussion of the role of police in counterinsurgency operations.

OVERVIEW

6-1. Success in COIN requires the establishment of a legitimate government which has the support of the people and is able to address the fundamental causes that the insurgents use to gain popular support. Achieving these goals requires the nation to defeat or render irrelevant the insurgent forces, uphold the rule of law, and provide a basic level of essential services and security for the population. Key to all these tasks is the development of an effective security force.

6-2. Just as an insurgency and counterinsurgency (COIN) are defined by a complex array of factors, the job of training the national security forces is also affected by a variety of determinants. These include whether sovereignty in the nation is being exercised by an indigenous government or by a multinational element. The second gives the COIN force more freedom of maneuver, but the first is important for legitimate governance, a key goal of any COIN effort. If the nation is sovereign, the quality of the governance it provides also has an impact. The scale of the effort is another factor; what works in a small country might not work in a large one. Terrain and civil considerations are also important. A nation that is compartmentalized by mountains, rivers, or ethnicity presents different challenges for the COIN effort. A large “occupying” force or international COIN effort is a factor that can facilitate success in training local security forces, but also clearly complicates the situation. There are certainly many more factors: what type of security forces previously existed, whether the effort requires “building from scratch” or “simply” changing what already exists, sectarian challenges within the forces, resources available, popular support, and so fourth. This chapter describes some doctrinal foundations for training security forces. However, these foundations must be adapted to the situation on the ground and the particular insurgency at hand.

6-3. The term “security forces” in this chapter includes all forces under national control with the mission of protecting against internal and external threats. Elements of the security forces include, but are not limited to, military forces, police, corrections personnel, and border guards at the local through national levels. With this in mind, this chapter addresses methods to develop security forces, realizing that the range of assistance varies depending on the situation.

CHALLENGES, RESOURCES, AND END STATE

6-4. Each instance of developing security forces will be as unique as each insurgency. Many factors influence the amount and type of aid required. These are discussed in more detail later, but include the following:

- Existing capabilities of the national security force.
- Character of the insurgency.
- Terrain, the culture.
- Level of commitment and sovereignty of the nation.
- Level of commitment from the external sources.

6-5. While U.S. and multinational forces may be required to assist the nation in improving security; the insurgency will use the presence of foreign forces as another reason to question the legitimacy of the government. A government reliant on foreign forces for internal security runs the risk of not being recognized as legitimate. While combat operations with significant multinational participation may be necessary, multinational combat operations are secondary to enabling the Islamic Republic of Afghanistan's ability to provide for its own security.

CHALLENGES TO THE DEVELOPMENT OF EFFECTIVE SECURITY FORCES

6-6. There have been a number of common problems and issues in the training missions undertaken by various countries. These problems generally fall under differing national perspectives in one of four broad categories:

- Resources.
- Leadership.
- Exercising power.
- Organizational structures.

6-7. Governments must properly balance national resources to meet the expectations of the people. Funding for services, education, and health care can limit resources available for security forces. The result of the nation's spending priorities may be a security force capable of protecting only the capital and key government facilities, leaving the rest of the country unsecured. Conducting effective COIN operations requires an allocation of resources that ensures integration of efforts to develop all aspects of the security force. Recognizing the interrelationship of security and governance, the central government must also ensure adequate resources are devoted to meeting such basic needs as health care, clean water, and electricity.

6-8. The existing national approach to leadership may need to be adjusted. Leaders may be appointed and promoted on the basis of family ties or on the basis of membership in a party or faction, rather than on demonstrated competence or performance. Leaders may not seek to develop subordinates. The need to ensure the welfare of the troops may not be a commonly shared trait. In some cases, leaders enforce the obedience of their

subordinates by pure fear and use their position to exploit them. Positions of power can also lead to corruption, which can also be affected by local culture.

6-9. The behavior of national security force personnel is often a primary cause of public dissatisfaction. The corrupting influences of power must be guarded against. Cultural and ethnic differences within a population may lead to significant discrimination within the security forces and by the security forces against minority groups. In more ideological struggles, the prejudicial treatment may be manifested against personnel of other political parties, whether in a minority cultural group or not. Security forces that abuse civilians do not win the trust and confidence of the population. A program of comprehensive security force development requires identifying and addressing biases along with improper or corrupt practices.

RESOURCES

6-10. The mission of developing national security forces is more than just a task assigned to a few specialists. The scope and scale of training programs today and the scale of the programs likely to be required in the future is now a core competency of the ANA and other national assets. Multinational partners are often willing to help a nation fight insurgency by assisting with training national forces. Partner nations may develop joint training teams or assign teams to a specific element of the security force or a particular specialty. Training resources may be received from the following organizations and programs:

Special Operations Forces

6-11. With their focus on specific regions of the world and study of languages and cultures, multinational special operations forces (SOF) have long been the lead organization in training and advising foreign armed forces. While SOF personnel may be ideal for some training and advisory roles, their limited numbers restrict their ability to carry out large-scale missions to develop national security forces. In a low-level COIN, SOF personnel may be the only forces assigned to the training mission; at the higher end of the spectrum, SOF may be allocated to training only their counterparts in the ANA.

Ground Forces

6-12. Large-scale training and advisory missions require the employment of large numbers of land forces that may not have SOF language training or regional expertise. However, such conventional forces may have some advantages in training members of the ANA with similar missions. Linguistic augmentation and additional cultural training are required for both SOF and conventional ground forces. Assignment of the best-qualified personnel to training and advisory missions is necessary.

Interagency/Intergovernmental Resources

6-13. Interagency resources can be applied in numerous ways to support training security forces. Perhaps most important is training nonmilitary security forces. The Ministry of the Interior has the capability of sending law enforcement specialists to train and advise the ANP. During intensive counterinsurgencies, the effectiveness of civilian police advisers and trainers may be limited by the high-threat nature of the environment. These forces are most effective when operating in a benign environment or when security is separately provided.

Multinational Resources

6-14. Multinational partners also assist materially in training security forces. Some nations may be more willing to train ANA forces than to provide troops for combat operations. Some multinational forces come with significant employment restrictions. Each international contribution is assessed on its own merits, but decisions to decline such assistance are rarely made.

Contract Support

6-15. In some cases, additional training support is contracted to enable uniformed forces to be more efficiently utilized. Contractor support can be used to provide training and education to include the following:

- Institutional training.
- Development of security ministries and headquarters.
- Establishment of administrative and logistic systems.

Contracted police development capabilities can provide expertise that is not resident in the military.

Organizing Forces to Develop Security Forces

6-16. Developing security forces is a complex and challenging mission. The Islamic Republic of Afghanistan and its multinational partners can only succeed if that mission is approached with the same deliberate planning and preparation, energetic execution, and appropriate resourcing as the combat aspects of the COIN operation. Accordingly, the force commander and staff need to consider the task of developing security forces as part of their initial mission analysis. That task must then be an integral part of all assessments, planning, coordination, and preparation.

6-17. As planning unfolds, mission requirements should drive the initial organization for the unit charged with developing security forces. To achieve unity of effort, a single organization should be given this responsibility.

6-18. In an area in which COIN operations are already being conducted, the development of security forces could be assigned to a specific unit, such as a Kandak or a support unit.

6-19. For large, long-duration missions, a separate organization with the sole responsibility of developing security forces and subordinate to a corps commander may be required. Such an organization may be multinational, and interagency.

6-20. The internal structure of the organization charged with developing security forces must reflect the desired end state of those security forces. For example, if army, police, air, and special forces are being developed, the organization in charge of those programs requires teams charged specifically with each of those tasks. If civilian security components, such as a ministry of defense or interior, are being developed, then ministerial teams are also required. Because the quality of the developing security forces in terms of professionalism and ethics is so important, a separate training element focused on those values may be needed.

6-21. The designated force responsible for these programs also requires a headquarters and staff task-organized for all the functions required to support the full all aspects of the development of security forces. (See paragraph 6-31.) In addition to traditional staff functions, some or all of the following may require a more robust capability than normal:

- Comptroller, for managing the significant monetary resources required for training, equipping, and building security forces. A separate internal auditor may be required as a check to ensure the nation's resources are safeguarded and effectively managed.
- Staff judge advocate, with specific specialties and a robust capability for contract law, military justice, and law of land warfare.
- Construction engineer management, to oversee and manage the construction of security forces infrastructure, such as bases, ranges and training areas, depots and logistics facilities, and police stations.
- Political-military advisers, to ensure integration of the development of security forces with the development of civilian ministries and capabilities.
- Public affairs, with a focused capability to build confidence of the population in their security forces and to develop the public affairs capability of the ANA/ANP forces.
- Force protection and focused intelligence staff, to address the challenge of and threats to the relatively small teams that may be embedded with security forces and not co-located with robust ANA forces or bases.
- Materiel management, until such a capability is developed in the security forces. The equipping and supplying of new security forces is critical to their development and employment.
- Health affairs, since security forces personnel will be more likely to stay in new units and fight if they are confident that they will be properly treated if wounded. Additionally, disease is a significant threat that must be addressed with preventive medicine and robust care.
- Security assistance to manage the external training efforts and foreign military sales, and employ well-developed procedures for purchasing weapons, equipment, goods, and services. In a COIN these functions are likely embedded in the staff elements of the higher headquarters.

- Staff officers with a civilian law enforcement background or actual civilian law enforcement personnel can play a vitally important role in advising the commander.

6-22. An effective security force development organization is flexible and adaptive. The requirements for developing the type, character, composition, and quantity of security forces will change with the growth of security forces and the maturity of the COIN operation. The organization must be able to anticipate such changes. Temporary duty and contract personnel support may be used to provide niche capabilities or to fill gaps until more permanent individuals or units can be added to the organization.

DESIRED END STATE

6-23. Training security forces is a slow and painstaking process, and does not lend itself to any “quick fixes.” Real success does not appear as a single decisive victory. To ensure long-term success, the end state of training programs needs to be clearly stated at the start. The end state is usually a set of military characteristics common to all militaries. Those characteristics have nuances in different states, but a well-trained security forces should:

- Be able to provide reasonable levels of security.
- Be able to provide reasonable levels of internal security without infringing upon the citizens’ civil liberties.
- Be founded upon the rule of law.
- Be sustainable by the nation after external supporting forces depart.

6-24. Because of the demands of dealing with an insurgency, the military and police forces may be performing functions that are not normally considered conventional. The military may be filling an internal security role usually reserved for the police, and the police may have forces that are so heavily armed that they would normally be part of the military. In the near term, the security forces should:

- Be focused on COIN operations, integrating military capabilities with those of national, regional, and local police.
- Maintain the flexibility to transition to more conventional roles of external and internal defense, based on long-term requirements.

6-25. To meet both near and long term objectives, trainers remember the cumulative effects of training. Effective training programs have impacts in the short, mid, and long terms.

6-26. To achieve this end state and intermediate objectives, the nation should develop a plan—with multinational assistance, when necessary—that simply and accurately addresses all aspects of force development. ANA doctrine divides force development into the following domains: doctrine, organization, training, materiel, leadership and education, personnel and facilities (DOTMLPF). Doctrine is listed first, but these elements are tightly linked, simultaneously pursued, and difficult to prioritize. The commander monitors progress in all domains. There is always a temptation for Soldiers

involved in such programs to impose their own doctrine and judgment on the nation. National security force doctrine, like the remaining DOTMLPF domains discussed throughout this chapter, must be appropriate to national capabilities and requirements.

6-27. The objective of development programs is to create security forces with the following characteristics:

- Flexible, a force that is capable of accomplishing the broad missions required by the nation—not just to defeat insurgents or defend against outside aggression, but to increase security in all areas. This requires an effective command and organizational structure that makes sense for the nation.
- Proficient.
- Security forces that are capable of working effectively in close coordination with each other to suppress lawlessness and insurgency.
- Military units that are tactically and technically proficient, capable of ensuring their aspect of national security, and capable of integrating with allies.
- Nonmilitary security forces that are competent in maintaining civil order, enforcing laws, controlling borders, and detaining criminal suspects.
- Nonmilitary security forces that are thoroughly trained in modern police ethos and procedures, and understand the basics of investigation, evidence collection, and proper court and legal procedures.
- Self-sustained, forces capable of managing their own equipment throughout its lifecycle (procurement to disposal) and conducting administrative support.
- Well led, leaders at all levels who possess sound professional standards and appropriate military values, and are selected and promoted based on competence and merit.
- Professional.
- Security forces that are honest, impartial, and committed to protecting and serving the entire population, operating under the rule of law, and respecting human rights.
- Security forces that are loyal to the central government and serve national interests, recognizing their role as servants of the people and not their masters.
- Integrated into society, a force that is representative of the nation’s major ethnic groups and is not seen as the instrument of just one faction. Cultural sensitivities toward the incorporation of women must be observed.

FRAMEWORK FOR DEVELOPMENT

6-28. The mission to develop national security forces can be organized around these processes:

- Assess.
- Organize.
- Build.
- Train.
- Equip.
- Advise.

These incorporate all DOTMLPF requirements. Although described sequentially, these processes will normally be conducted concurrently. For example, training and equipping operations must be integrated and, as the operation progresses, assessments will lead to changes.

ASSESS

6-29. As with every major military operation, the first step is to assess the situation. The assessment should be one part of the comprehensive program of analyzing the insurgency and normally includes a social and economic analysis. Assessment of the security situation and its influence on other lines of operation must be continuous. From the assessment, planners develop short-, mid-, and long-range goals and programs, but those goals and programs must remain responsive to changing circumstances. A raging insurgency might require the employment of national forces at various stages of development. Some existing security forces might be discovered to be so dysfunctional or corrupt that they have to be disbanded rather than rehabilitated. In some cases, leaders will need to be replaced in order for the unit to become functional.

6-30. While every situation is different, the following factors should be assessed throughout planning, preparation, and execution of the operation:

- Social structure, organization, demographics, interrelationships, and education level of the elements of the security force.
- Methods, successes, and failures of national COIN efforts.
- State of training at all levels and the specialties and education of leaders.
- Equipment and priority placed on maintenance.
- Logistics and support structure and its ability to meet the requirements of the force.
- Level of sovereignty of the government.
- Extent of acceptance of ethnic and religious minorities.
- Laws and regulations governing the security forces and their relationship to national leaders.

6-31. The mission analysis should provide a basis for determining the scope of effort required. The national security forces may require complete re-establishment, or they may only require assistance to increase capacity. They may be completely devoid of a capability (for example, internal affairs, federal investigative department, corrections, logistics for military forces, formal schools for leaders), or they may only require temporary reinforcement. As with other military operations, efforts to assist security forces should reinforce success. For example, instead of building new police stations in every town, improve the good stations and use them as a model for weaker organizations.

6-32. Decisions are needed on what shortfalls to address first. The extent of the insurgency combined with resource limitations inevitably forces the commander to set priorities. Follow-on assessments should start by reviewing areas to which resources have been restricted, determining where resources should be committed or redirected, and

deciding where additional resources should be requested. It is always better to take efforts to legitimize the local leaders by including them in decisions.

6-33. The process of developing a strategic analysis and outlining a strategic plan for training the forces of a country facing an insurgency is not necessarily a long one. In fact, the characteristics of a situation featuring a security vacuum or very active insurgency often require the initiation of necessary programs as soon as possible. Assessment is a continuous, and a quick initial assessment and the programs it inspires can be adjusted as more experience and information is gained.

ORGANIZE

6-34. The best organization for national forces depends on the social and economic conditions of the country as well as cultural and historical factors and the security threat the nation faces. The aim is to develop an effective and efficient organization with a command, intelligence, logistic, and operational structure that makes sense for the host nation. General-purpose forces with limited special purpose teams (such as explosive ordnance disposal and special weapons and tactics [SWAT]) are preferred, as elite units divert a large share of the best leadership and remove critical talent from the regular forces. Doctrine should be standard across the force, as should unit structures. The organization must facilitate the collection, processing, and dissemination of intelligence across and throughout all security forces.

General Organizational Considerations

6-35. To the maximum extent possible, decisions on the structure of security force organization should be made at the national level. The nation may be amenable to proposals from multinational forces, but should at least approve all organizational designs. As the government gets stronger, external leaders and trainers should expect increasingly independent organizational decisions. These may include changing the numbers of forces, types of units, and internal organizational designs. Culture and conditions might result in security forces in nontraditional roles and missions. Police may be more paramilitary than other models, and the military may have a role in internal security. Eventually, the role of police should be to counter crime and the role of the military should be to address greater threats, though the exact nature of these missions depends on the situation in that nation. Police and military roles should be clearly delineated.

6-36. Units should be organized to include all appropriate warfighting functions, or some adaptation for police forces. Some systems may be initially excluded for a variety of reasons (for example, artillery is expensive, takes a large investment in training and is not easily applied to a counterinsurgency), but organizational plans should foresee eventual establishment of all appropriate capabilities.

6-37. Organization should address all elements of the security forces, from the ministerial level to the patrolling police officer and soldier. The complex matrix of simultaneous

development programs is illustrated in Figure 6-1 (below). Building a competent civilian infrastructure—including civilian command and control systems—is critical for success in COIN. The force commander should work with ministries responsible for national and internal security, including the ministry of defense, the interior ministry, and the justice ministry. The strengths and weaknesses of the ministerial organization should be assessed, as well as the requirements for training of civilian defense officials and employees.

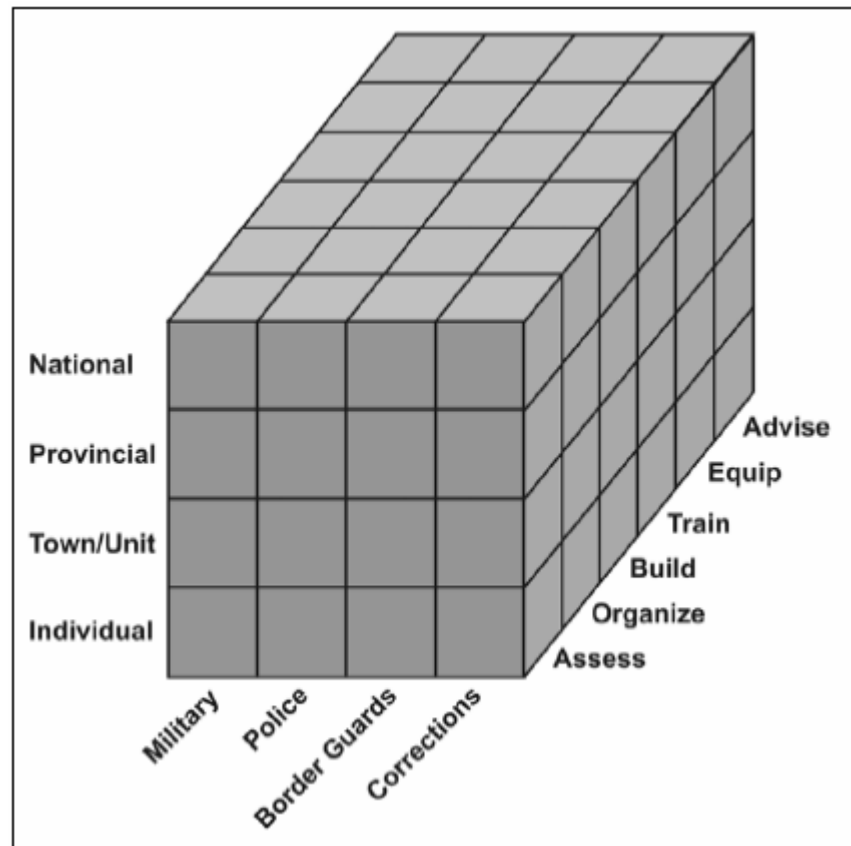


Figure 6-1. Matrix of Security Force Development

6-38. A thorough review of national military and police doctrine is a necessary first step in setting up a training program. Advisers should review security force regulations to ensure they provide clear and complete instructions for discipline, acquisitions, and support activities. Doctrine (including tactics, techniques, and procedures) should be reviewed and refined to address COIN operations. Regulations should be appropriate for the level of education and sophistication of the security force personnel. The treatment of prisoners, detainees and suspected persons should be spelled out clearly and be consistent with the norms of international and military law.

Organizational Personnel Issues

6-39. Organizing a security force requires resolving issues related to the following areas:

- Recruitment.
- Promotion screening/selection.
- Pay and benefits.
- Leader recruitment and selection.
- Personnel accountability.
- Demobilization of security force personnel.

Recruitment

6-40. Recruitment is critical to the establishment of security forces. The recruitment program should be crafted by the nation and take local culture into account, using themes that resonate with the local population. It should ensure that all the major demographic groups are properly represented in the security forces. A mobile recruiting capability should be established in order to target specific areas, ethnic groups, or tribes to ensure demographic distribution within the security forces. Moderate groups and factions within hostile or potentially hostile ethnic groups should be contacted and the members of minority factions encouraged to support recruitment of their group members into the security forces. Even moderate success in recruiting from disaffected ethnic groups provides an enormous payoff in terms of building the legitimacy of the security forces and in quieting the often legitimate fears of such ethnic groups regarding their relationship with the government. An effective disarmament, demobilization, and reintegration strategy for former insurgent individuals and groups must be a component of the overall COIN operation and must therefore be accounted for in the recruitment effort.

6-41. A clear set of appropriate mental, physical, and moral standards needs to be established and enforced. Ideally, recruits are centrally screened and inducted. Recruitment centers need to be in areas that are safe and secure from insurgent attacks, as these centers are attractive targets for insurgents. All recruits should undergo a basic security check and be vetted against lists of suspected insurgents. As much as possible, this process should be conducted by national agencies and personnel. Membership in illegal organizations needs to be carefully monitored. Past membership need not preclude joining the security forces, but any ongoing relationship of a recruit with an illegal unit needs constant monitoring, and care is required to ensure that no single military or police unit contains too many prior members of an illegal unit, tribal militia, or other militant faction.

Promotion Screening/Selection

6-42. Selection for promotion based on proven performance and aptitude for increased responsibility is essential. Objective evaluations ensure promotion is by merit and not through influence or family ties. Two methods may be worth considering for selecting leaders. One is to identify the most competent performers, train them, and recommend

them for promotion. The second is to identify those with social or professional status within the training group, then train and recommend them for promotion. The first method may lead to more competent leaders but could be resisted for cultural reasons. The second method ensures the new leader will be accepted culturally, but may sacrifice competence. The most effective solution is often a combination of the two methods.

Pay and Benefits

6-43. Appropriate compensation levels help prevent a culture of corruption in the security forces. It is cheaper to spend the money for adequate wages and produce effective security forces than to pay less and end up with corrupt and abusive forces that alienate the population. This is especially important for the police, who have the greatest opportunity for corruption in the nature of their duties and contact with the civilian community. Some important considerations concerning pay are the following:

- Pay for commissioned officers, NCOs, and technical specialists should be competitive with other professions in the nation. Police officers need to be paid a sufficient wage so that they do not have to supplement their income with part-time jobs, or resort to illegal methods to supplement their salary.
- Pay should be disbursed through national government channels.
- Cultural norms should be addressed to ensure that any questionable practices such as the “taxing” of subordinates are minimized.
- Good pay and attractive benefits must be combined with a strict code of conduct that allows for the immediate dismissal of corrupt security personnel.
- Pensions should be available to compensate the families of security force members in the event of a service-related death.
- Pay for military forces should come from central government budgets and specifically not from kickbacks or locally procured revenue. If this happens, the military’s loyalty will always be in question and corruption will be likely.

6-44. Effective security forces can help improve the social and economic development of the nation through the benefits each member receives. Every recruit should be provided a basic level of literacy, job training, and morals/values instruction.

Leader Recruitment and Selection

6-45. Officer candidate standards should be high. Candidates should be in good health and pass an academic test set to a higher standard than enlisted recruits. Officer candidates should be carefully vetted to ensure that they do not have close ties to any radical or insurgent organization.

6-46. NCOs should be selected from the best of the enlisted security force members. Objective standards, including proficiency tests, should be established and enforced to ensure that promotion to the NCO ranks is by merit and not through influence or family ties.

Personnel Accountability

6-47. Accountability of personnel in the security force units must be tracked carefully. Proper personnel accountability reduces corruption, particularly in manual banking systems where pay is provided in cash. In addition, the number of personnel failing to report for duty can be an indicator of possible attacks, unit morale, or insurgent and militia influences upon the security forces.

Demobilization of Security Force Personnel

6-48. Programs should be developed to prevent the formation of a class of impoverished and disgruntled former officers and soldiers who have lost their livelihood. During the conflict it will be necessary to remove officers and NCOs from the security forces for poor performance or for failure to meet the new, higher standards of the force. Some form of government-provided education grants or low-interest business loans will enable them to earn a living outside the military. Officers and NCOs who have served for several years and who are then removed should be given a lump sum payment or a small pension to ease their transition to civilian life. These programs should not apply to those who are guilty of human rights abuses or major corruption.

6-49. As a conflict winds down, some security forces may need to be disarmed, demobilized, and reintegrated into civil society. To avoid producing a pool of recruits for the insurgency, programs should be established to ensure that large numbers of demobilized security force members do not become immediately unemployed. Civil service departments should provide a strong hiring preference to people who have completed an honorable term of service. Government-financed education programs for the demobilized members are another possibility.

BUILD/REBUILD FACILITIES

6-50. Requirements for sustaining security forces include the infrastructure necessary to support the force: barracks, ranges, motor pools, and other military facilities. Because of the long lead times required for construction, early investment in such facilities is essential if they are to be available when needed. Force protection must be considered in any infrastructure design, including headquarters facilities, as they will be attractive targets for insurgents.

6-51. During an insurgency, the military and police forces are likely to be operating from a variety of local bases. A long-term force-basing plan needs to be established for building training centers and unit garrisons. If possible, garrisons should include housing for the commissioned officers, NCOs, and families; government-provided medical care for the families; and other amenities that make national service attractive.

6-52. Extensive investment of time and resources might be required to restore or create the nationwide infrastructure necessary to effectively command and control security forces. Communications facilities are especially important. Besides building local bases

and police stations, functional regional and national headquarters and ministries are required.

TRAIN

6-53. Analysis should address shortfalls at every level with the purpose of establishing training systems that are self sustaining. This may come from national assets or external multinational assets.

Establishing Training Standards

6-54. Although the nature of insurgencies and their corresponding responses from targeted governments, vary widely, clear metrics for individual, leader, and unit training for security forces can still be established. These sets of standards include many of the same skills required for individuals and units to be effective in conventional military operations as well as additional requirements for COIN. Due to the small unit nature of most COIN operations, effective COIN forces require a high level of junior leadership. Values training should be integrated into all levels of training for all components. Metrics to evaluate units should include subjective measures, such as loyalty to the national government, as well as competence in purely military tasks. Soldiers are familiar with the evaluation of military training. However, the more difficult task of gauging the acceptance of values, such as ethnic equality or the rejection of corruption, could very well provide more important measures of the training effectiveness in some COIN situations.

6-55. Effective training programs require the establishment of clear individual, leader, and unit performance standards in detail, taking into account cultural factors that directly affect the ability of the individual or unit to operate. For example, training a unit to conduct effective operations requires more time where the average soldier is illiterate. Similarly, staff training is more difficult in a country with a varying educational level. With this in mind, it is usually advantageous to take advantage of existing military personnel to form units and cadres for units, rather than starting from the beginning. As previously mentioned, a vetting process may be required, but this is still usually better than the alternative.

6-56. Poorly trained leaders and units are far more prone to human rights violations than well-trained, well-led units. Leaders and units unprepared for the pressure of active operations tend to employ indiscriminate force, target civilians, and abuse prisoners—all actions that can threaten the popular support and government legitimacy so essential for success in COIN. Badly disciplined and poorly led security forces have served very effectively as recruiters and propagandists for the insurgents.

6-57. Setting realistic objective and subjective metrics for security forces and following through on training plans are time consuming. The pressure will be strong to find training shortcuts, employ “quick fixes,” or to train personnel on the job. Such approaches should be resisted for, in the long term, they create more problems than they solve. However,

trainers should also avoid the temptation to create long, complex training programs based on unrealistic standards. The program must take into account the culture, resources, and short-term security needs. To a certain extent, the insurgent threat dictates how long training can take. As security improves, training programs can be expanded to facilitate achievement of the long-term end state.

Training Methods

6-58. There are a number of possible training methods that have proven successful, many of which also enhance the development of training capability:

- Formal schools run by the ANA and multinational partners, forces with graduates selected to return as instructors. This includes entry-level individual training.
- Mobile training teams to reinforce individual or collective training on an as-needed basis.
- Partnership training, with U.S. combat units tasked to train and advise ANA units with whom they are partnered. The U.S. unit provides support to the ANA unit. As training progresses, ANA squads, platoons, and companies may work with their multinational partners in security or combat operations. Habitual training relationships should be maintained between multinational partners until ANA units meet established standards for full capability.
- Advisor teams detailed to assist ANA units. Advisor teams are a particularly good method for training senior ministry personnel.
- Contractors can also be used to assist with training, though care must be taken to ensure the training is supervised and meets standards.

Training Soldiers

6-59. Security force members must be developed through a systematic training program that first builds their basic skills, then teaches them to work together as a team, and finally allows them to function as a unit. Basic military training for forces involved in COIN should focus first on COIN-related skills, such as first aid, marksmanship, and fire discipline. Leaders should be educated on tactics, including patrolling and urban operations. Everyone must master rules of engagement and the law of armed conflict. Units should train to standard for conducting the major COIN missions they will face. Requirements include the following:

- Manage their own security.
- Provide effective personnel management.
- Conduct logistic (planning, maintenance, sustainment, and movement) operations.
- Conduct basic intelligence functions.
- Coordinate indirect fires.
- Provide for effective medical support

Training Leaders

6-60. The effectiveness of the security forces is directly related to the quality of their leadership. Building an effective leadership cadre requires a comprehensive program of

officer, staff, and specialized training. The ultimate success of any involvement in COIN depends on the ability to create viable leadership capable of carrying on the fight at all levels and building their nation on their own.

Leader Training Standards

6-61. The training methodology adopted must reinforce the different levels of authority within the security forces. The roles and responsibilities of each commissioned officer and NCO rank must be firmly established so recruits can understand what is expected of them. Their subordinate relationship to civilian authorities must also be reinforced to ensure civilian control. In addition, training should be conducted in a way that establishes team dynamics. Military forces in some cultures may require training to understand the vital role played by those who are not necessarily in primary leadership positions.

6-62. In addition to tactical skills, commissioned officers should be trained in accountability, decision making, delegation of authority, values, and ethics. Special requirements for COIN should be the primary focus of the initial curriculum. These subjects include the following:

- Intelligence collection.
- Day and night patrolling.
- Point security.
- Cordon and search operations.
- Operations with police.
- Treatment of detainees and prisoners.
- Psychological operations.
- Civic action.

As the insurgency declines, the curriculum can be adjusted for a long-term focus.

6-63. In addition, training of leaders should be conducted in a way that shows:

- How to work as a team.
- How to develop and take advantage of the skills of subordinates.
- How to train subordinates.
- How to maintain discipline and assume responsibility for one's actions and the actions of subordinates.
- How to understand and enforce the rules of engagement.

Basic Officer Education

6-64. Various models for basic officer education exist. These include The National Military Academy and Officer Candidate School (OCS). Time available may be the key indicator as to which model should be used as the primary commissioning source. If the state of the insurgency allows, the multi-year course at the National Military Academy will provide capable officers. If not, the OCS model may be better. Theoretically, it may be better to have a few high-quality officers than many adequate ones, but the insurgents

may not allow this luxury. Citizens being attacked would much rather have an adequate officer and unit now than to wait years for the better leader and organization.

6-65. Under an OCS-style program, outstanding individuals are taken from the enlisted ranks or from society and given the opportunity to go to an officer training course. An OCS-style course should be followed by additional specialized branch training.

Intermediate and Advanced Commissioned Officer Education

6-66. Military units only become effective when their commanders and staffs can effectively plan, prepare, execute, and assess operations. Initial intermediate-level commissioned officer training should focus on building effective commanders and staffs for small units, then progressively move to higher echelons. Thus, initial intermediate-level officer training should be focused at the company- and Kandak-levels (or police station-level). Later courses address higher echelons, depending on the size of the overall force to be developed.

6-67. A cadre of carefully selected low- and mid-level commissioned officers can be provided advanced- level education at existing formal schools in the United States or other partner nations through International Military Education and Training (IMET)-like programs. The object of this type of program is to build a qualified leadership cadre. This cadre can, upon their return to Afghanistan, assume leadership positions and become faculty for schools. These officers should have increased credibility when they return to Afghanistan. Officer students usually make and maintain strong personal connections with their hosts during and after their stay abroad. Since one of the key goals for developing security forces is to professionalize them, the first-hand experience of the officers training in foreign military schools, living abroad, and seeing military professional standards practiced, is invaluable. As with officer commissioning programs, time is a key consideration. IMET-like programs are expensive and time-consuming. The best officers—those normally selected for such training— may be needed more in the country's combat forces fighting the insurgency today.

Operational Employment of Newly Trained Forces

6-68. Building up the morale and confidence of security forces should be a primary strategic objective. Committing poorly trained and badly led forces results in high casualties and invites tactical defeats. While defeat in a small operation may have little strategic consequence in a conventional war, even a small tactical defeat of national forces can have serious strategic consequences in COIN. Insurgent warfare is largely about perceptions, and minor insurgent wins can be quickly turned into major propaganda victories. Defeat of one government force can quickly degrade the morale of the others. Failure by national forces can also result in a loss of confidence of the public in the government's ability to protect them. A string of relatively minor insurgent victories can cause widespread loss of morale in the security forces and encourage the "neutral majority" to side with the insurgents. In short, the national security forces must be prepared for operations so that they have every possible advantage. The decision to

commit units into their first actions and their employment method requires careful consideration. As much as possible, they should begin with easy missions and, as their confidence and competence grows, assume more difficult assignments. Partnering with multinational units can be an effective way to allow new security units to become gradually accustomed to the stresses of combat.

6-69. Newly trained units should enter their first combat supporting more experienced national, or multinational forces. Operational performance of such inexperienced organizations should be carefully monitored and assessed so that weaknesses can be quickly corrected. The employment plan for security units should allow considerable time after each operation for additional training. By introducing units into combat gradually, the poor leaders can be weeded out while the most competent leaders are identified and given greater authority and responsibility.

Training Civilians in the Defense Ministry

6-70. Forces training with ANA personnel must also ensure that the military and security forces have capable management in the top ranks. The commander should consider placing experienced ANA officers inside the Islamic Republic of Afghanistan Defense and Interior Ministries as trainers and advisers for their managers and leaders. ANA forces should also develop a training program for civilian personnel of the Ministry of Defense. Personnel training should address the following:

- Equipment acquisition.
- Departmental administration.
- Personnel management.
- Financial and resource management.

Selected Ministry of Defense personnel may receive specialized training in defense management through multinational partner nation schools, or in civilian institutions that specialize in graduate programs for security studies.

EQUIP

6-71. The strategic plan for security force development should outline requirements for appropriate equipment for the nation. Equipment should meet the nation's requirements. Equipment meets the standard when it is affordable and suitable against the threat. The nation must also be able to train on the equipment. Interoperability may be a desired goal in some cases. A central consideration must be the nation's long-term ability to support and maintain the equipment provided.

6-72. The initial development plan should include phases with goals to be met by the security forces over a period of three to four years. Due to the highly adaptive nature of insurgents and the often rapidly changing situation on the ground, the direction and progress of developing security forces must be continually assessed.

6-73. The requirement to provide equipment may be as simple as assisting with maintenance of existing formations or as extensive as providing everything from shoes

and clothing to vehicles, communications, investigation kits, and so forth. If the insurgents are using heavy machine guns and rocket-propelled grenades, security forces need comparable or better equipment. This is especially important for police forces, which are generally lightly armed and vulnerable against well-armed insurgents.

6-74. Maintainability, ease of operation and long-term sustainment costs should be primary considerations. In COIN operations it may be better to have a large number of versatile vehicles that are easy to maintain and operate than a few highly capable armored vehicles or combat systems that require extensive maintenance to keep operational. Developing an effective maintenance system often begins with major maintenance conducted by contracted firms. The program then progresses to partnership arrangements with multinational forces as national personnel are trained to carry out the support mission.

6-75. Sources for materiel include ANA stockpiles, multinational or third-nation resale of property, contracts with internal suppliers, or national purchases on the international market. Appendix C provides amplification on relevant legal considerations. The nation should have the flexibility necessary to obtain equipment that meets force needs for quality, timeliness and cost.

ADVISE

6-76. Advisers from multinational units may be assigned to work with ANA units. Advisers live, work and fight with their ANA counterparts. The relationship between advisers and ANA forces is vital. Commanders must be aware that advisers are not just liaison officers, nor do they command ANA units.

6-77. Effective advisers are an enormous force enhancer. The importance of the job means that the most capable individuals will be picked to fill these positions. Advisers could be either Soldiers known to take the initiative and who set the standards for others.

6-78. More than anything else, professional knowledge and competence will win the respect of ANA troops. Effective advisers develop a healthy rapport with their Afghan hosts.

6-79. Advisers who understand the military culture understand that local politics have national effects. It is important to recognize and employ the cultural factors that support commitment and teamwork. Part of the art of the good advisor is to employ the positive aspects of the local culture to get the best performance out of each security force member and leader.

6-80. Important guidelines to be followed by advisers include the following:

- Try to learn enough of the language for simple conversation.
- Be patient. Be subtle. In guiding your counterparts, explain the benefits of an action and convince them to accept the idea as their own. Respect the rank and positions of your counterparts.

- Be diplomatic in correcting your security force counterpart. Praise each success and work to instill pride in the unit.
- Understand that an advisory team is not the unit commander but an enabler. The security forces commander must make decisions and command the unit.
- Keep your counterpart informed.
- Work to continually train and improve the unit, even in the combat zone. Help your counterparts.
- Develop unit standing operating procedures.
- Be prepared to act as a liaison to multinational assets.
- Maintain liaison with civil affairs and humanitarian teams in the area of operations.
- Be ready to advise on the maintenance of equipment and supplies.
- Have a thorough knowledge of light infantry tactics and unit security procedures.
- Use “confidence” missions to validate training.
- Don’t isolate yourself from the unit you’re working with.
- Be aware of the operations around you in order to prevent fratricide.
- Insist on adherence to the recognized human rights standards concerning treatment of civilians, detainees, and captured insurgents. Violations that are observed must be reported to the chain of command.
- Be objective in their reports on unit and leader proficiency and report gross corruption or incompetence.
- Train units to standard and fight alongside them. Consider limitations and adjust accordingly. Flexibility is key. It is impossible to plan completely for everything in this type of operation. Therefore constantly look forward to the next issue and be ready to develop solutions to problems that cannot be answered with a doctrinal solution.
- Remember that most actions have long-term strategic implications.
- Maintain a proper military bearing and professional manner.

POLICE IN COUNTERINSURGENCY

6-81. The primary front line COIN force is often the police—not the military. Few military units can match a good police unit in developing an accurate human intelligence picture of their area of operations. Because of their frequent contact with populace, police are often the most appropriate force to counter small insurgent bands that receive support from the civilian population. In COIN operations, special police strike units may be moved to different areas of operations, while patrol police remain in the local area on a daily basis and build a detailed intelligence picture of the insurgent strength, organization, and support.

ORGANIZING THE POLICE

6-82. The police are normally organized into several independent but mutually supporting forces. These may include the following:

- Criminal and traffic police.
- Border police.

- Transport police for security of public transport.
- Specialized paramilitary strike forces.

In addition, the country may establish a variety of reserve police units or home guards to provide local security. The force may include paramilitary or gendarmerie-like units. Police might be organized on a national or local basis. Whatever police organization is in place, it is important for the ANA to understand the system in order to operate more effectively. This often means dealing with a variety of police organizations and developing appropriate plans for potential training with them.

6-83. While military forces might have to perform police duties at the start of an insurgency, in the long term it is best to establish police forces to take over these duties as soon as possible. As quickly as possible, the government and any multinational partners should institute a comprehensive program of police training. Moreover, plans for police training need to envision a several-year program to systematically build institutions and leadership.

6-84. Although the roles of the police and military in COIN may be blurred, there are important distinctions between the two forces. If insurgents are considered criminals, the police may retain the primary responsibility for their arrest, detention and prosecution.

6-85. Combating insurgency requires a police force that is visible day and night. The nation will not gain legitimacy if the populace believes that insurgents and criminal bands control the city and village streets. Well-sited and protected police stations are one means to establish a presence in communities as long as the police do not hide in those stations. Police presence provides security to communities and builds support for the legitimacy of the government. The police are also in daily contact with the civilian community, thus serving as key information collectors for COIN forces.

6-86. Good pay and attractive benefits must be combined with a strict code of conduct that follows the rule of law and allows for the immediate dismissal of police personnel for corruption. Planning must ensure that police pay, housing, benefits, and work conditions are good enough to attract a high quality police recruit, and to serve as a shield against the temptation of the petty corruption that undermines the public's confidence in the police and government. One of the most important steps in organizing a police force is to set up an independent review board, with the authority to investigate charges of police abuse and corruption, oversee the complaints process, and dismiss and fine police found guilty of misconduct. This board should be composed of experts, government officials or nongovernmental organization members. It should not be under the direct command of the police force or responsible government ministry.

TRAINING THE POLICE IN COUNTERINSURGENCY

6-87. Police training is best conducted as an interagency and multinational operation. In a multinational effort, a separate multinational police training and advisory command could work in tandem with the military training command. Civilian police have personnel with

extensive experience in large city operations. Multinational police organizations also have extensive experience operating against organized crime groups. Experience countering organized crime is especially relevant to COIN, as most insurgent groups are more similar to organized crime in their organizational structure and relations with the population than they are to military units. Military police units serve best when operating as a support force for the professional civilian police trainers. However, there may be times when military forces are given the primary responsibility for police training, and they must be prepared to assume that role if required (More details on police training responsibilities are discussed in Appendix C.).

6-88. If mandated to do so, military police are capable of providing much of the initial police training and are especially suited to teach the local police forces the following skills:

- Weapons-handling.
- Small unit tactics.
- Special weapons employment.
- Convoy escort.
- Riot control.
- Traffic control.
- Prisoner/detainee handling and processing.

Higher-level police—skills such as civilian criminal investigation procedures, anti-organized crime operations, and police intelligence operations—are best taught by civilian experts.

6-89. Military police or corrections personnel can also provide training for detention and corrections operations. Local police personnel should be trained to handle and interrogate detainees and prisoners in accordance with internationally recognized human rights norms. Prisoner and detainee management procedures should provide for the security and the fair and efficient processing of those detained.

6-90. Police forces, just like military forces, need effective support personnel to be effective. This requires training teams to ensure that training in support functions is established. Specially trained personnel required by police forces include the following:

- Armorers.
- Supply specialists.
- Communications personnel.
- Administrative personnel.
- Vehicle mechanics.

6-91. Effective policing also requires an effective justice system with trained judges, prosecutors, defense counsel, prison officials, and court personnel who can process arrests, detentions, warrants, and other judicial records. These elements are important components for establishing the rule of law.

6-92. Advisers should assist the host nation in establishing and enforcing the roles and authority of the police. The authority to detain and interrogate, procedures for detention facilities, and human rights standards are important considerations during this process.

Chapter 7

Leadership and Ethics for Counterinsurgency

“Leaders must have a strong sense of the great responsibility of their office; the resources they expend on war are human lives”.

There are leadership and ethical imperatives that are prominent and in some cases unique to counterinsurgency. The dynamic and ambiguous environment of modern counterinsurgency places a premium on leadership at every level, from sergeant to general. Combat in counterinsurgency is frequently a small unit leader’s fight; however, the actions of commanders at the brigade and corps levels are often more significant because the senior leader sets the conditions and the tone for all actions by subordinates. Today’s Soldiers are required to be competent in a broad array of tasks. They must also rapidly adapt cognitively and emotionally to the numerous challenges of counterinsurgency, and master new competencies as well as new contexts. Those in leadership positions must provide the moral compass for their subordinates as they navigate this complex environment. Underscoring these imperatives is the fact that exercising leadership in the midst of ambiguity requires intense, discriminating professional judgment.

LEADERSHIP IN COUNTERINSURGENCY

7-1. Military leaders, as members of Afghan society, are expected to act ethically in accordance with shared national values and Constitutional principles, which are reflected in law and the military oaths of service. Military leaders have the unique professional responsibility of exercising military judgment on behalf of the Afghan people they serve. They continually reconcile mission effectiveness, ethical standards, and thoughtful stewardship of the nation’s precious resources—human and material—in the pursuit of national aims.

7-2. Military leaders work proactively to establish and maintain the proper ethical climate of their organizations. They serve as visible examples for every subordinate, demonstrating cherished values and military virtues in their decisions and actions. Army leaders are responsible for ensuring the trying environment of counterinsurgency does not undermine the values of their Soldiers. Under all conditions, they must remain faithful to basic standards of proper behavior and respect for the sanctity of life.

7-3. Leaders educate and train their subordinates. They create standing operating procedures and other internal systems to prevent violations of legal and ethical rules. They check routinely on what their Soldiers are doing. Effective leaders respond quickly and aggressively to indications of illegal or unethical behavior. The Nation’s and profession’s values are not negotiable. Violations of them are not just mistakes; they are failures in meeting the fundamental standards of the profession of arms.

LARGE AND SMALL UNIT LEADERSHIP TENETS

7-4. There are basic leadership tenets that are applicable for all levels of command and leadership in counterinsurgency, though their application and importance may vary.

7-5. Leaders are responsible for ensuring that Soldiers are properly trained and educated, including cultural preparation for the environment in which they will operate. In a COIN environment, it is often counterproductive to employ troops who are poorly trained or unfamiliar with operating in close proximity to the local populace. COIN forces aim to mobilize the good will of the people against the insurgents. Therefore, the populace must feel protected, not threatened, by COIN forces' actions and operations.

7-6. Proper training addresses many of the possible scenarios of the COIN environment. Education should prepare Soldiers to deal with the unexpected and unknown. Senior commanders should, at a minimum, ensure that their small unit leaders possess tactical cunning and mature judgment. Tactical cunning is the art of employing the fundamental skills of the profession in shrewd and crafty ways to out-think and out-adapt the adversaries. Developing mature judgment and cunning requires a rigorous regimen of preparation that begins before deployment and continues throughout. These skills are particularly important for junior leaders in COIN because of the decentralized nature of operations.

7-7. Senior leaders are responsible for determining the purpose of their operations. This entails, as discussed in Chapter 4, a design process that focuses on learning about the nature of unfamiliar problems. Effective commanders know the people, topography, economy, history, and culture of their area of operations (AO). They know every village, road, field, population group, tribal leader, and ancient grievance within it. The COIN environment changes continually; good leaders appreciate that state of flux and constantly assess their situation.

7-8. Another part of analyzing a COIN mission involves assuming responsibility for everyone in the AO. This means that leaders feel the pulse of the local population, understand their motivations, and care about what the people want and need. Genuine compassion and empathy for the populace provides an effective weapon against insurgents.

7-9. Senior leaders exercise a leadership role for everyone within their AO. They exert a direct influence on those in the chain of command, but equally important is the indirect leadership provided to everyone within their AO. All elements engaged in COIN efforts look to the military for leadership. Therefore military actions and words must be beyond reproach. The greatest challenge for leaders may be in setting an example for the local population. Effective senior and junior leaders embrace this role and understand its significance. It involves more than just killing insurgents; it includes the responsibility to serve as a moral compass that extends beyond the COIN force and into the community. It is that moral compass that distinguishes Soldiers from the insurgents.

7-10. Senior commanders are responsible for maintaining the “moral high ground” in all deeds and words of their units. Information operations complement and reinforce actions, and actions reinforce the operational narrative. All COIN force activity is wrapped in a blanket of truth. Maintaining credibility requires immediately investigating all allegations of immoral or unethical behavior, and providing a prudent degree of transparency.

7-11. Military leaders emphasize to subordinates that, on the battlefield, the principles of honor and morality are inextricably linked. They do not allow subordinates to fall victim to the enormous pressures associated with the strain of prolonged combat against an elusive, unethical, and indiscriminate foe. While the environment that fosters insurgency is characterized by violence, immorality, distrust, and deceit, ANA leaders continue to demand and embrace honor, courage, and commitment to the highest standards. They know when to inspire and embolden their Soldiers, and when to enforce restraint and discipline. Effective leaders at all levels get out and around their units and among the people. Such leaders see what they are actually doing, engage in discourse, and most importantly, listen, in order to get a true sense of the complex situation in their AO.

7-12. Leaders at every level establish an ethical tone and climate that guards against the moral complacency and the frustrations that build up in protracted counterinsurgency. Leaders remain aware of the emotional toll that constant combat takes on their subordinates and the potential resulting emotional injury. Such injuries can result from cumulative stress over a prolonged period, witnessing the death of a comrade, or killing other human beings. Caring leaders recognize these pressures and provide emotional “shock absorbers” for their subordinates. It is critical that Soldiers have outlets to share their feelings and reach closure on traumatic experiences. These psychological burdens may be carried around for a long time. Leaders watch for the signs of possible emotional injury within individuals and units. These include:

- Physical and mental fatigue.
- Lack of respect for human life.
- Loss of appetite; trouble with sleep; no interest in physical hygiene.
- Lack of unit cohesion and discipline.
- Depression and fatalism.

7-13. Combat requires commanders to be prepared to take some risk, especially at the tactical level. Though this tenet is true for the entire spectrum of conflict, it is particularly important during COIN operations, where the insurgent seek to hide among the local populace.

7-14. Leaders prepare to indirectly inflict suffering on their Soldiers by sending them into harm’s way to accomplish the mission while attempting to avoid, at great length, injury and death to innocents. This requirement gets to the very essence of what some describe as “the burden of command.” The steadfast ability to regularly lose Soldiers, yet continue day-in and day-out to close with the enemy, requires a resoluteness and mental toughness in commanders and units that must be developed in peacetime through study and hard training, and then maintained in combat.

7-15. Success in COIN operations requires small unit leaders agile enough to transition among many types of missions and able to adapt to change. They must be able to shift through the spectrum of conflict from unstable peace to combat and back again in the course of days or hours. Alert junior leaders recognize the dynamic context of a tactical situation and can apply informed judgment to achieve the commander's intent in a stressful and ambiguous environment. COIN operations are characterized by rapid changes in tactical and operational environments and a high degree of ambiguity due to the presence of a civilian population within which insurgents may disappear. Adaptable leaders scan the rapidly changing situation, identify its key characteristics, ascertain what has to be done, and determine the most appropriate manner to accomplish the mission.

7-16. Cultural awareness has become an increasingly important competency for small unit leaders. Perceptive junior leaders learn how cultures affect military operations. They develop their knowledge of major world cultures and learn the specifics of the new operational environment as a matter of priority when deployed. Different solutions are required in different cultural contexts. Effective small unit leaders remain aware of how their words and actions might be interpreted in different cultural settings and adapt to new situations. Like all other competencies, cultural awareness requires self-awareness, self-directed learning, and adaptability.

7-17. Self-aware leaders understand the need to continually assess their capabilities and limitations. They are humble, self-confident, and brave enough to admit their faults and shortcomings. More important, self-aware leaders work at improving and growing. After-action reviews, dialogues, and open discussion throughout a COIN force are essential to achieve understanding and improvement. Soldiers can become better, stronger leaders through a similar habit of self-examination, awareness, and focused corrective effort.

7-18. Commanders exercise initiative as leaders and fighters. Learning and adapting with appropriate decision making authority are critical to gaining an advantage over insurgents. Effective senior leaders establish a leadership climate that promotes decentralized modes of command and control, what the Army calls mission command. Under mission command, commanders create the conditions for subordinates' success by providing general guidance and the commander's intent, assigning authority commensurate with responsibility to small unit leaders, and establishing control measures to monitor their actions and keep them within bounds without micromanaging everything they do. At the same time, it is important that the commander's presence be felt throughout the AO, especially at decisive points. The operation's purpose and commander's vision of resolution must be clearly understood throughout the force.

7-19. Sharing hardship and danger with subordinates builds confidence and esprit. Soldiers who know their leaders are committing them to schemes of maneuver based on firsthand knowledge of the point of contact are more confident in their chances of success. However, this fighter/leader concept does not absolve leaders from remembering their position and avoiding needless risk.

7-20. COIN operations require leaders to exhibit patience, persistence, and presence. Successful commanders lead Soldiers, cooperate with the entire COIN force, leverage the capabilities of multinational partners and nongovernmental organizations, and gain the confidence of the local population, while at the same time defeating and discrediting their adversary.

ETHICS

7-21. Conflict brings to bear enormous moral challenges, as well as the burden of life and death decisions with profound ethical considerations. Combat, including COIN and other forms of irregular warfare, often obligates Soldiers to choose the riskier course of action to minimize harm to noncombatants. This risk-taking is an essential part of the Warrior Ethos. In conventional conflicts, balancing competing responsibilities of mission accomplishment at least friendly cost with protection of noncombatants is difficult enough. Complex COIN operations place even tougher ethical demands on Soldiers and their leaders.

7-22. Even in conventional operations, Soldiers are not permitted to use force disproportionately or indiscriminately. Typically, more force reduces risk. But military values obligate Soldiers to accomplish their missions while taking measures to limit the destruction, particularly in terms of harm to noncombatants, caused by military operations. This restriction is based on the belief that it is wrong to harm innocents, regardless of their citizenship.

7-23. Limiting the misery caused by war requires combatants to consider certain rules, principles, and consequences that restrain the amount of force they may apply. At the same time, combatants are not required to take so much risk that they fail their mission or forfeit their lives. As long as their use of force is proportional to the gain to be achieved and discriminate in distinguishing between combatants and noncombatants, Soldiers may take actions where they knowingly risk, but do not intend, harm to noncombatants.

7-24. Ethically speaking, COIN environments can be much more complex than conventional ones. Insurgency is more than combat between armed groups; it is a political struggle with a high level of violence intended to destabilize and ultimately overthrow a government. COIN forces using excessive force to limit short-term risk alienate local residents. In doing this, they deprive themselves of the support or tolerance of the populace. This situation is what the insurgents want. It increases the threat they pose. Sometimes lethal responses are counterproductive. At other times, they are essential. The art of command includes knowing the difference and directing the appropriate action.

7-25. A key part of any insurgent's strategy is to attack their domestic and international opposition's political will. One of the insurgents' most effective means to undermine and erode political will is to portray their opposition as untrustworthy or illegitimate. These attacks are especially effective when insurgents can portray the opposition as unethical by their own standards. To combat these efforts, Soldiers treat noncombatants and detainees

humanely and in accordance with national values and internationally recognized human rights standards. In COIN, preserving noncombatant lives and dignity is central to mission accomplishment. This imperative creates a complex ethical environment that requires combatants to treat prohibitions against harming noncombatants as absolute. Further, it can sometimes require combatants to forego lethal solutions altogether. In practical terms, this consideration means that mission accomplishment sometimes obligates combatants to act more like police than warriors. That requirement imposes a very different calculus for the use of force.

WARFIGHTING VERSUS POLICING

7-26. In counterinsurgencies, warfighting and policing are dynamically linked. The moral purpose of combat operations is to secure peace. The moral purpose of policing is to maintain peace. In COIN operations, military forces defeat enemies to establish civil security; then, having done so, these same forces preserve it until indigenous police forces can assume responsibility for maintaining the civil order. When combatants conduct stability operations in a way that undermines civil security, they undermine the moral and practical purposes they serve. There is a clear difference between warfighting and policing. COIN operations require that every unit be adept at both and capable of moving rapidly between one and the other, depending on circumstances.

7-27. In COIN operations, the environment frequently and rapidly shifts from warfighting to policing and back again. There are numerous examples from counterinsurgencies where forces drove insurgents out of urban areas but, because of the difficulty of maintaining civil security afterwards, the insurgents later returned and reestablished operations. The insurgents had to be dealt with as an organized combatant force all over again. To prevent this situation from occurring, forces that establish civil security need to be prepared to maintain it. And maintaining civil security entails very different ethical obligations than establishing it.

7-28. Civil security holds when institutions, civil law, courts, prisons, and effective police are in place and can protect the recognized rights of individuals. Typically this requires that:

- The enemy is defeated or transformed into a threat not capable of challenging a government's sovereignty.
- Institutions necessary for law enforcement, including police, courts, and prisons, are functioning.
- These institutions are credible, and people trust them to resolve disputes.

7-29. Where a functioning civil authority does not exist, COIN forces are obligated to work to establish it. Where forces are trying to build a credible government, the interim military government should transition to civilian authority as soon as possible. Accomplishing this requires COIN forces to work within the framework of the institutions established to maintain order and security. In these conditions, COIN operations more closely resemble police work than combat operations.

7-30. The most salient difference between warfighting and policing is the moral permissibility of noncombatant and bystander casualties. In warfighting, noncombatant casualties are permitted as long as combatants observe the restrictions of proportionality and discrimination. In policing, bystanders may not be harmed intentionally under any circumstances. Failure to observe this rule undermines the peace—often tenuous in these circumstances—that military action has achieved. In maintaining the peace, police are permitted to use only the least force possible to achieve the immediate goal.

PROPORTIONALITY AND DISCRIMINATION

7-31. Because of the importance of gaining popular support and establishing legitimacy for the government, practicing proportionality and discrimination during COIN is an operational necessity as well as a legal and moral one. Proportionality and discrimination require combatants not only to minimize the harm to noncombatants, but also to make positive commitments to:

- Preserve noncombatant lives by limiting the damage they do.
- Assume additional risk to minimize potential harm.

7-32. Proportionality requires that the advantage gained by a military operation not be exceeded by the collateral harm. Combatants must take all feasible precautions in the choice of means and methods of attack to avoid and minimize loss of civilian life, injury to civilians, and damage to civilian objects.

7-33. In conventional operations, proportionality is usually calculated in simple utilitarian terms: civilian lives and property lost versus enemy destroyed and military advantage gained. But in COIN operations, advantage is best calculated not in terms of how many insurgents are killed or detained, but rather which enemies are killed or detained. If certain key insurgent leaders are essential to the insurgents' ability to conduct operations, then military leaders need to consider their relative importance when determining how best to pursue them. In COIN environments, the number of civilian lives lost and property destroyed needs to be measured against how much harm the targeted insurgent could do if allowed to escape. If the target in question is relatively inconsequential, then proportionality requires combatants to forego severe action, or seek non-combative means of engagement.

7-34. Further, when conditions of civil security exist, COIN forces are prohibited from taking any actions in which noncombatants will knowingly be harmed. However, this does not mean COIN forces are prohibited from taking risks that might place civilian lives in danger. But those risks are subject to the same considerations of proportionality. The benefit anticipated must outweigh the risk taken.

7-35. Discrimination requires combatants to differentiate between enemy combatants who represent a threat and noncombatants who do not. In conventional operations, this restriction means that combatants cannot intend to harm noncombatants, though proportionality permits them to act knowing some noncombatants may be harmed. In policing situations, combatants cannot act in any way in which they know bystanders may be harmed.

7-36. In insurgencies, it is not only difficult to distinguish combatant from noncombatant; it is also difficult to determine whether the situation permits harm to noncombatants. Two levels of discrimination are necessary:

- Deciding between targets.
- Determining an acceptable risk to noncombatants and bystanders.

7-37. Discrimination also applies to the means by which combatants engage the enemy. The law and morality of war prohibit the use of certain weapons, such as chemical munitions, soft lead bullets, and others against combatants. In COIN environments, combatants must not only discriminate among the kinds of weapons used but also whether lethal means are permitted in the first place. Where civil security exists, even tenuously, COIN forces are obligated to pursue non-combat and non-lethal means first, using lethal force only when necessary.

DETENTION AND INTERROGATION

7-38. Detentions and interrogations are critical components to any military operation. But the nature of COIN operations produces the potential for complex detainee situations due to insurgents' deliberate mingling with the civilian population and lack of distinctive uniforms. Interrogators are often under extreme pressure to get information that can save the lives of noncombatants and Soldiers. While enemy prisoners in conventional war are considered moral and legal equals, the moral and legal status of insurgents is ambiguous and often contested. What is not ambiguous is the legal obligation of Soldiers to treat all prisoners and detainees according to the law (Appendix C provides more guidance on the legal issues concerning detention and interrogation.).

LIMITS ON DETENTION

7-39. Mistreatment of noncombatants, including prisoners and detainees is illegal and immoral. It will not be condoned.

7-40. In COIN environments, distinguishing an insurgent from a civilian is difficult and often impossible. Treating the second like the first, however, is a sure recipe for failure. Individuals suspected of insurgent or terrorist activity may be detained for two reasons:

- To prevent them from conducting further attacks.
- To gather information in order to prevent other insurgents and terrorists from conducting attacks.

These reasons allow for two classes of persons to be detained and interrogated:

- Persons who have engaged in, or assisted those who engage in, terrorist or insurgent activities.
- Persons who have incidentally attained knowledge regarding insurgent and terrorist activity, but who are not guilty of associating with such groups.

By engaging in such activities, persons in the first category may be detained as criminals or enemies, depending on the context. Persons in the second category may be detained

and questioned for specific information. However, since they have not, by virtue of their activities, represented a threat, they may be detained only long enough to obtain the relevant information. Since persons in the second category have not engaged in criminal or insurgent activities, they must be released even if they refuse to provide information.

7-41. At no time is it permissible to detain family members or close associates in order to compel suspected insurgents to surrender. This kind of hostage taking is both unethical and illegal.

LIMITS ON INTERROGATION

7-42. Abuse of detained persons is immoral, illegal, and unprofessional. Those who engage in cruel or inhuman treatment of prisoners betray the standards of the profession of arms and the laws of the Islamic Republic of Afghanistan. They are subject to punishment under military law. The Geneva Conventions as well as the Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment agree on what is unacceptable for interrogation. Torture and cruel, inhumane, and degrading treatment is never a morally permissible option, even in situations where lives depend on gaining information. No exceptional circumstances permit the use of torture and other cruel, inhuman or degrading treatment.

7-43. The ethical challenges posed in COIN require commanders' attention and action. Proactive commanders establish procedures and checks to ensure subordinate leaders do not allow apparent requirements of the moment to result in violations of proper detainee-handling procedures. Prohibitions against mistreatment may sometimes clash with leaders' moral imperative to accomplish their mission with minimum losses. Such situations place leaders in the difficult situation where they must choose between obedience to the law and the lives of their troops. However, Afghan law and professional values compel commanders to forbid mistreatment of noncombatants in their hands, including captured enemies. It is essential that senior commanders make the limits of acceptable behavior clear to their subordinates and take positive measures to ensure their standards are met.

7-44. To the extent that the work of interrogators is indispensable to fulfilling the state's obligation to secure its citizens' the lives and liberties, conducting interrogations is a moral obligation. The methods used, however, must reflect the Nation's commitment to human dignity and international humanitarian law. A commander's need for information remains valid and can be met while observing relevant regulations and ethical standards. Acting morally does not necessarily mean that leaders give up obtaining critical information. Acting morally does require that leaders relinquish certain ways of obtaining information, even if that means that members of the military and intelligence professions must take greater risk.

THE LEARNING IMPERATIVE

7-45. Today's operational environment requires military organizations at all echelons to prepare for a broader range of missions than ever before. The ANA is preparing for preventative stability operations or post-conflict reconstruction tasks with the same degree of professionalism and study given to the conduct of combat operations. Similarly, COIN operations are receiving the attention and study merited by their frequency and potential impact. This broader mission set implies significant leadership development, education, and training implications, especially for land forces. The next chapter highlights how COIN requirements affect logistic operations.

7-46. ANA leaders need to visualize the operational impact of many tactical actions and relate their operations to larger strategic purposes. Effectively blending traditional military operations with other forms of influence is necessary. Effective leaders are placing a stronger emphasis on organizational change, developing subordinates, and empowering them to execute critical tasks in consonance with broad guidance. Leaders are required to directly and indirectly influence the behavior of others outside their chain of command. Finally, leaders are increasingly responsible for creating environments in which individuals and organizations learn from their experiences and for establishing climates that tap the full ingenuity of subordinates. Open channels of discussion and debate are needed to encourage growth of a learning environment in which experience is rapidly shared and lessons adapted for new challenges. The velocity of organizational adaptation must outpace the enemy's efforts to identify and exploit weaknesses or develop countermeasures.

7-47. Effective individual professional development programs develop and reward initiative and adaptability in junior leaders. Self-development, life-long learning, and reflection on experience should be encouraged and rewarded. Cultural sensitivity, development of non-authoritarian interpersonal skills, and foreign language ability must be mastered. Institutional professional development programs must develop leaders' judgment to help them recognize when situations change from combat to policing. Leaders must be as skilled at limiting lethal force as they are in concentrating it. Indeed, they must learn that non-lethal solutions may often be preferable to "breaking things and killing people."

SUMMARY

7-48. Senior leaders must model and transmit to their subordinates appropriate respect for professional standards of self-discipline and adherence to ethical values. Effective leaders create command climates that reward professional conduct and penalize unethical behavior. They also are comfortable with delegating authority. However, as always, accountability for the overall behavior and performance of a command cannot be delegated. Commanders remain accountable for the attainment of objectives and the manner in which they are attained.

Chapter 8

Building and Sustaining Capability and Capacity

...the object [is to]...restore government authority in an area and establish a firm security framework.... "Winning" the population can tritely be summed up as good government in all its aspects....More desirable than outright gifts are schemes which are self-perpetuating or encourage a chain reaction. For example, building plans should stimulate the production of local building material....All this helps to give the impression notonly that the government is operating for the benefit of the people, but that it is carrying out programs of a permanent nature...It gives people a stake in stability and hope for the future....

Sir Robert Thompson

This chapter begins with a general discussion and analysis of how logistics in counterinsurgency (COIN) operations are different from logistics in conventional operations. This is followed by a survey of COIN-specific factors that affect how commanders can leverage available logistic assets and assign logisticians to meet special requirements needed to support different COIN logical lines of operations. The discussions that follow acknowledge that COIN operations may be entered into from a variety of military conditions ranging from unstable peace to general war. Furthermore, due to the long-term commitment usually required for successful COIN, logistic units need to become more adept at relief-in-place operations that maintain continuity of progress between rotations.

LOGISTIC CONSIDERATIONS IN COUNTERINSURGENCY OPERATIONS

8-1. In counterinsurgency (COIN) operations, logistic units are asked to not only support combat efforts as they always have, but also to provide decisive or shaping support as well. Logistic providers are now no longer the tail but the nose of a counterinsurgent force. Among the most valuable services that military logisticians can provide to COIN operations are the means and knowledge required for setting up or restarting self-perpetuating sustainment schemes that give the people a stake in stability and hope for the future. One of the paradoxes of counterinsurgency is that many of the logisticians' best weapons for countering an insurgency do not shoot. In this respect, logistic units can provide some of the most versatile and effective non-lethal resources available to ANA forces. Logisticians supporting COIN operations prepare to provide support across all logical lines of operations (LLOs) visualized and articulated by the commander. In many cases, logisticians already supporting COIN combat operations may be the only available source able to provide essential knowledge, capabilities, and materials in the most timely manner. While this chapter focuses heavily on the capabilities and responsibilities of logistic units and logisticians, commanders of all types of units at all levels should also be aware of the distinct characteristics of COIN support.

WHAT IS DIFFERENT ABOUT LOGISTICS IN COIN OPERATIONS

8-2. In COIN operations, logistic units and other logistic providers find themselves performing all the functions they normally do in conventional operations, as well as some new ones. Conventional operations usually involve two recognizable military-like organizations engaged in force-on-force operations in contiguous areas of operations. What is different in COIN operations is that all the usual logistic functions, as well as the COIN-specific new activities, must now all be performed in a frequently disorienting environment in which security conditions can rapidly change from moment to moment and every few hundred yards over a wide variety of terrain conditions.

	Conventional Operations	Counterinsurgency Operations
Mission	Support combat unit missions. Sustain and build combat power.	Same as conventional operations plus support COIN-specific LLOs.
	Supporting a mobile force with a clear organization and structure. Typically in direct support	Supporting both a static force and mobile force. Increased requirements of area support operations.
	Logistics units and assets conduct only sustaining operations (focused on the force).	Logistic units and assets can be assigned as decisive and shaping operations (focused on the environment).
Enemy	Enemy forces have supply trains and support echelons.	Insurgents use non-standard, covert supply methods that are difficult to template.
	Friendly operational surprise (masking possible). Difficult for enemy to conduct pattern analysis.	Limited operational surprise. Easy for enemy to observe patterns in friendly logistics operations.
	Targeting logistic units is the enemy's shaping effort and considered a second front.	Insurgents place a high value on attacking logistics units and other less formidable "softer, high pay-off targets".
Terrain	Fought in a definable AO. Focus destruction of enemy combat forces. Few constraints.	Operational environment poorly defined with multiple dimensions. Population is the center of gravity. Constrained time to achieve results, yet many COIN tasks are inherently time consuming.
	Contiguous areas of operations, echeloned formations, and discernable hierarchical logistic organizations supporting well defined deep, close and rear areas.	Non-contiguous and wide dispersion of units. No front; everything is potentially close, yet far.
	Relatively secure LOCs facilitate distribution operations from corps to brigade to Kandak.	Need to maximize multiple LOC capacity/greater complexity. Potentially decreased throughput capabilities. Increased area support requirements. LOCs very vulnerable.

Troops and Support Available	Uniformed personnel: always suitable. Contractor personnel: Suitable for secure areas only.	Uniformed personnel: Usually suitable. Contractor personnel: Case by case. Task and location dependent;; must be part of economic pluralism promotion plan.
Time Available	Tempo quicker. Geared toward decisive major operations.	Long duration operations. Continuity/logistics hand-off planning often required.
Civil Considerations	Secondary to considerations of how to defeat the enemy.	Primarily considered as the center of gravity. May figure prominently in logistic planning.
AO = Area of Operations	LOC = Line of Communication	LLO = Logical Line of Operation

Figure 8-1 Conventional and Counterinsurgency Operations Contrasted

8-3. These differences between the characteristics of logistic support to conventional operations and COIN operations are listed in Figure 8-1 (above).

8-4. Differences in COIN logistics are summarized into the following major considerations:

- Logistic units are an essential part of the COIN fight.
- Logistic units are perceived by insurgents as high-payoff targets and potential sources of supplies; COIN lines of communications (LOCs) are a main battle area for insurgents.

8-5. The significant difference in COIN operations is that logistic units must be prepared to provide conventional logistic support to highly lethal, mid-intensity combat operations while simultaneously supporting humanitarian operations (until conditions stabilize locally and civilian organizations can assume those duties).

8-6. This complex operational environment, with numerous competing demands, means that logisticians need to creatively seek distribution efficiencies wherever possible. In the COIN environment, it is highly desirable to eliminate backtracking and unnecessary distribution traffic. Methods of logistic throughput that bypass, either on the ground or by air, population centers and heavily used civilian transportation nets are desirable. The benefits derived from such practices are especially valuable in COIN operations because they improve logistic security, speed delivery of required support, and minimize adverse effects and stress on the civilian population that is supposed to benefit from the COIN operation.

8-7. Because of the diversity of requirements for COIN operations, logisticians must be involved from the very beginning of the planning process, and they must begin planning in detail as early as possible. Because of the complexity and diversity of logistic requirements as well as the variety of conditions under which COIN operations are pursued, a careful logistic preparation of the area of operations (AO) is required.

LOGISTIC PREPARATION OF THE COUNTERINSURGENCY AREA OF OPERATIONS

8-8. Logistic preparation of the AO is related to and can be treated as a COIN-specific logistic preparation of the theater. In COIN operations, detailed analysis of civil logistic and economic assets takes on an even greater importance because of their potential significance for supporting the insurgency as well as their potential value to the development and sustainment of national security forces and the restoration of other essential services. Some examples of essential information for COIN logistic planning include the following:

- Analysis of the nation's conventional force's existing logistics as source of supply for developing security forces and the potential insurgents/black market.
- Effects of requirements generated by combat operations/collateral damage.
- Effects of multinational distribution requirements on national lines of commerce.
- The national economic base (industry/manufacturing/agricultural).
- The national lines of commerce (such as main supply routes, industrial cities, technical cities, pipelines, and airports).
- The national public works/utilities/health/transportation/legal/justice systems.
- Potential or existing displaced person populations/refugee requirements.

ANALYSIS OF INSURGENT LOGISTIC CAPABILITIES

8-9. In COIN operations, analysis of the logistic capabilities/shortfalls of the insurgent forces is especially significant. Logisticians, together with intelligence personnel perform what is known as reverse-BOS (battlefield operating systems) analysis. The purpose of this analysis is not just the targeting of enemy logistic capabilities and LOCs; it also includes an assessment of the suitability of various sources of supply for the development and sustainment of insurgent forces. This analysis includes an assessment of black market material, including salvage goods that might still be useful to the insurgents in an improvised manner.

LOGISTIC SUPPORT TO LOGICAL LINES OF OPERATIONS

8-10. Although logisticians support all LLOs, logistic support during COIN focuses on the following:

- Combat operations.
- Training and employment of national security forces.
- Essential services.
- Governance.
- Economic development.

SUPPORTING COMBAT OPERATIONS

8-11. The combat operations LLO is the line of operations most familiar to logisticians and non-logisticians alike. The paramount role of logistic units will always remain to support Soldiers in accomplishing the commander's intent and other responsibilities. The

use of logistic units to augment civil programs supporting other lines of operations must not take away from the logistic system's capability to support maneuver forces engaged in combat operations.

Support to and from Operating Bases

8-12. Logistic support to COIN combat operations is often accomplished from bases or forward operating bases. Operating bases provide combat units with relatively secure locations from which to plan and prepare for operations. As a result, these bases take on new significance in operations executed in a non-contiguous COIN environment.

Considerations for Situating Operating Bases

8-13. In COIN, base site selection becomes extremely important for more reasons than providing optimal support to combat operations. Under certain geographic conditions, such as in rugged mountains with few passes or desolate desert terrain, placement of secure operating bases astride or near the insurgents' LOCs can improve the COIN force's interdiction and disruption capabilities. In other environments, such as urban areas, the advantages of such an operating base position may be negated by the insurgents rerouting their LOCs around the base,

8-14. Other reasons for carefully considering base placements in COIN operations involve the sensitivities and concerns of the local population. The potential for ill-considered bases to be substantially disruptive and to produce unintentionally negative effects on the daily lives and operations of the population is significant, even if the COIN force arrives with the most positive of intentions. Other related concerns include taking care to set up bases so that they do not project an image of undue permanency or a posture suggestive of a long-term foreign occupation. Similarly, logistic postures that project an image of unduly luxurious living by foreign forces while the local population suffers in poverty undermines the COIN message and mission. Such perceptions derived from logistic practices can be construed and twisted by insurgent propaganda into evidence of malign intentions by COIN forces. While all these considerations take on special significance in COIN, none of them override the primary concern that operating bases be securable and defensible.

8-15. Operating base site selection and development in support of COIN operations also requires the careful consideration and balancing of several other factors. In COIN operations, it is desirable to provide support through a carefully optimized mix of supply-based or supply-point ("just-in-case") practices with distribution-based or unit distribution ("just-in-time") logistic methods. In COIN operations, situations can swiftly develop that require equally rapid logistic responses to prevent further deterioration of security conditions. Under these COIN-specific circumstances, "just-in-time" practices may still not be quick enough and use of "just-in-case" capabilities may be much more appropriate, effective, and timely, while economizing resources. This dilemma of COIN logistics is best illustrated by a fire-fighting analogy. When a fire is small and confined to a pan on the stove, the five-pound extinguisher hanging on the wall in the kitchen can

easily put it out. But when this small but important resource is not immediately available to put out the fire, half of the house may be consumed by the time the fire department arrives. The problem of the fire now requires thousands of gallons of water, trucks, and hoses, not to mention construction materials to restore the house to its former state. The challenge for logisticians supporting COIN operations is to correctly identify which materials are the COIN forces' "five-pound extinguishers" and to make sure these items are supply-based at the most appropriate operating bases.

8-16. This carefully considered balancing between distribution- and supply-based methods supports the goal of minimizing operating base footprints. Not only are minimal footprint bases easier to relocate as required; they are also less intrusive and antagonizing to the local population, all characteristics which significantly assist COIN operations.

8-17. Another consideration in operating base selection is the base's purpose. If, for instance, extensive logistic throughput is anticipated, planners pay close attention to entry and exit points. Ideally, there should be more than one entry/exit point. Where possible, at least one of these points should not require convoys to travel through a heavily populated area. Space should be allotted near an entry point for staging areas for logistic convoys so that they do not have to transit the base to form up.

8-18. Due to the noncontiguous nature of COIN operations, logisticians give special care to the development of web-like LOCs and main supply routes between operating bases and logistic bases. The advantage of web-like linkages between bases is twofold. It minimizes by means of dispersion the intrusive effects of COIN logistic operations on the population. It also provides redundancy in distribution capabilities, making the system more robust and impervious to the effects of insurgent interdiction of any one LOC. Additionally, more ground LOC routings provide more opportunities to observe the population and gather information from them. For these reasons, wherever possible in COIN operations, multiple LOCs between bases should be identified.

Force Protection

8-19. Force protection of all logistic activities takes on greater significance during COIN operations. Historically, insurgents deliberately seek out and engage logistic units, particularly those that they assess as poorly defended and easy targets. Because of the intensive manpower requirements and dispersed nature of COIN operations, logistic units cannot assume that combat arms units will be available to assist them with force protection. For this reason, logistic units play a much greater role in base and LOC defenses and also must assume responsibility for protecting civilian logistic augmentees working in their AOs.

Combat Logistic Patrolling

8-20. During COIN operations, every logistic package (LOGPAC) or resupply operation becomes a mounted combat operation, or combat logistic patrol. From the insurgents' perspective, attacks on resupply operations are not only a potential source of dramatic

propaganda but can also be a source of supplies and materiel. For this reason LOGPAC convoys should project a resolute image that suggests that they will not be an easy target. Logistic convoys should project their available combat power to the maximum extent possible as would any other combat patrol. Under these conditions, logistic units, or anyone else involved in resupply operations, conducts a detailed intelligence preparation of the battlefield and prepares a fire support plan as well as identifying usable intelligence, surveillance, and reconnaissance assets. Additionally, combat logistic patrols should gather information, report on road statuses, and be a valuable source of contributions to intelligence collection plans. Logisticians should be mindful that, in the COIN environment, distribution-based practices may actually provide insurgents with more opportunities to target resupply activities, due to the large blocks of time materiel is in motion towards the customer. Correspondingly, logisticians remain aware that insurgents constantly and deliberately seek out adaptive countermeasures to logistic activities, such as development and proliferation of improvised explosive devices (IEDs)—a natural counter to a distribution-based doctrine. For these reasons, it is essential that logisticians conduct careful analysis of conditions and thorough combat preparations before launching combat logistic patrols.

Unit Equipment for COIN

8-21. Due to the rapidly shifting nature of COIN operations, logistic units and the combat units they support usually deploy with at least some of their equipment unsuitable for the prevailing operational and tactical trends when they arrive. This dynamic of COIN operations causes logisticians to actively seek equipment modifications and new items on behalf of customer and logistic units. For this reason, COIN operations may be particularly well suited to the adoption of improved and new procurement programs, such as rapid fielding initiatives (RFIs) and the purchase of commercial off-the-shelf (COTS) items. These approaches make sense when one realizes that, in many cases, the source of the insurgents' surprising capabilities also comes from their creative exploitation of commercially available technologies and materials as well as their lack of bureaucratic encumbrance.

8-22. By utilizing more streamlined materiel procurement procedures, COIN forces can benefit from closer to real-time satisfaction of previously unforeseen needs generated by specific and localized environmental and cultural conditions. Examples of COIN requirements that fit into these categories for COTS are:

- Public address systems.
- Language translation devices.
- Nonlethal weapons.
- Back-pack drinking water systems.
- Commercial mobility systems.

8-23. Examples of RFIs are:

- Up-armor kits for light wheeled vehicles.
- Body armor improvements.
- Improved explosive detectors.

- IED signal jammers.

8-24. A potential drawback when adopting COTS equipment is that maintenance support packages and repair parts may be inadequate or difficult to obtain in theater. Many civilian commercial product manufacturers have no experience or infrastructure in place to support their equipment under military conditions and in quantity, operating in hostile austere theaters, far from their regular markets and customer base. It may take time to get needed parts into normal supply channels and trained personnel into theater to fix such novel equipment. Actions to be considered to permit more continuous operation of newly vital equipment are the establishment of pools of COTS “floats” and allocating time for floated equipment to be evacuated to locations where maintenance and repairs can be performed.

8-25. Units conducting COIN operations may be required to temporarily draw additional or specialized equipment in theater. For long-term COIN operations, theater property books may be established for the maintenance and accountability of rotationally issued additions to standard equipment, as well as specialized or specially modified equipment. In-theater special issues and fieldings may include materiel and equipment procured through military channels, RFIs, or COTS sources. Depending on the unit’s non-COIN primary function, supplementary or modified equipment might be drawn to a greater or lesser degree. Other examples of items that might be provided as required to COIN forces by this method include:

- Up-armored vehicles.
- Cargo trucks.
- Commercial mobility systems.
- IED jammers.
- Body armor.

8-26. Units in COIN operations can expect somewhat different maintenance requirements than in conventional operations. For instance, units may put very high mileage on their wheeled vehicles and therefore need more frequent servicing. Armor packages may wear out shock absorbers and springs much faster; these would require replacement sooner than normal (compared to conventional operations). Due to the mission and the remoteness of many operating bases, unit leaders should expect their maintenance sections to have to perform higher echelons of maintenance than normal and therefore to need greater organic capability.

Unit Basic Loads and Operational Reach

8-27. Because of rapidly developing situations can keep units without access to resupply for extended periods, units conducting activities away from supporting bases maximize the amount of basic supplies (for example, water, food, ammunition, first aid, and equipment batteries) that they carry with them on their vehicles. Additionally, some COIN operations can consume surprisingly high quantities of ammunition (specifically small arms) because of combined defensive and offensive actions. Logisticians supporting these types of operations adjust stockage levels for unit basic loads and other

sustainment commodities. In turn, logisticians and their supported units should rethink how their supporting vehicles can best be configured as supply platforms that meet these COIN-specific needs. Successful solutions should be validated by competent authorities and standardized across formations to ensure safety and to support planning for effective employment.

8-28. Unit leaders, when developing their operating base requirements, should plan for ammunition/explosive storage areas. Ideally, units are issued ammunition and explosives, anticipating that it may be some time before resupply is affected. Units normally carry only their basic load. The rest should be staged appropriately.

Aerial Distribution

8-29. During COIN operations, intra-theater aerial resupply should be utilized to the maximum extent possible. This practice not only reduces the vulnerability of resupply activities to ground-based attacks by insurgents, but also has the added benefit of minimizing the negative effects of COIN logistic activities on public roadways and reduces the potential for alienating the population. Site selection for bases and forward operating bases includes assessment of aircraft support capabilities and seeks to maximize the possible options for aerial delivery (that is, by rotary- and fixed-wing aircraft, air drops, and landings).

SUPPORTING THE TRAINING AND EMPLOYMENT OF HOST-NATION SECURITY FORCES

8-30. One of the most important missions and LLOs for forces engaged in COIN operations is the establishment and employment of national security forces. Security sector reform is done through various support and training activities, all of which may substantially involve military logisticians. The development and support of police forces and their training normally falls under the auspices of non-MOD agencies, such as the Ministry of the Interior, or UN mandated missions. The development and support of military forces is a COIN mission that military logisticians prepare to undertake, from planning at the strategic level to practical implementation on the ground. (Chapter 6 covers the support of national security forces in more detail.)

8-31. Some tasks required to establish national security forces may initially fall to military logistics units until other government agencies' programs start, other logistic support can be contracted, or national logistic organizations are in operation. They are:

- Providing operating base space or establishing another supportable secure location for the recruiting, reception, and training of national security forces.
- Providing initial logistic support to forming national security forces, to include possibly equipping, arming, feeding, billeting, fueling, and medical support.
- Providing logistic training to newly formed national security force logistic organizations.

Equipping and Sustaining National Security Forces

8-32. Logisticians involved in the development of plans and programs for the sustainment of national security forces should take care to ensure that equipment selected is suitable to and sustainable through the nation's capabilities. Logisticians remain mindful that equipment and support programs must be within the nation's resources, including budget and technological capabilities. In many cases "good enough to meet standards" equipment that is indigenously sustainable is preferable to "high-tech, best available" that requires substantial assistance for maintenance support for years to come, all the while providing the insurgent movement with a valuable propaganda point that could negate any potential technological advantages.

8-33. One of the acknowledged difficulties in establishing national security forces is identifying where suitable materiel and equipment is to come from. Often, plans developed in a joint or multinational environment include provisions for such forces to be initially equipped from multiple donor nations and agency sources. As a result, logisticians may be compelled to familiarize themselves with the capabilities of these agencies and nations' supply and maintenance systems, though support packages may not be included with the donation.

National Security Forces Logistics

8-34. Logisticians involved in the training of national security force logistic personnel need to be aware that a large part of the problem with previously dysfunctional military cultures in many developing countries was that pervasive climates of corruption and graft crippled their attempts to develop effective support services. Logisticians conducting such training should expect to find themselves repeatedly emphasizing the long term benefits of supply discipline and materiel accountability and the importance of those practices to the security and development of the nation. For this reason, emphasis should be placed on inventory procedures. Simultaneously the black market should be monitored for the presence of pilfered military equipment and as a means of determining the effectiveness of logistic procedures and accountability training. Of all the capabilities being developed for national security forces, logistic functions may take the longest to impart due to their inherent complexity and potential cultural challenges. For these reasons, it may be a long time before national security forces are able to operate independently of multinational logistic support.

8-35. Nationally produced materiel should be procured and used to support national security forces if it is reasonably and reliably available and deemed adequate to meet requirements. Not only does this help stimulate the economic base; it also promotes an attitude of self-sufficiency on the part of forces and reinforces the important political message that the security forces are of the population and not the agents of foreign powers. When promoting these practices, logisticians may find themselves stepping into roles somewhat beyond the normal scope of their duties when they assess the suitability of locally available materials and provide advice on how such materials might be made suitable for self-sustainment. In this case, the most valuable lesson logisticians may be

communicating to security forces and those tasked with supporting them is not “what to do” but “how to think about the problem of sustainment” and its linkage to security effectiveness.

ESSENTIAL SERVICES

8-36. In general, according to existing military logistic doctrine, there is no provision for ANA forces to become decisively or exclusively engaged in providing essential services to the local population during COIN operations. However, this doctrinal position does not prohibit units from using applicable skills and expertise resident in their military organizations to help assess essential local service needs. In conjunction with these assessments, logistic and other units can also be used to meet immediate needs where possible and in the commander’s interest, and to assist in the handoff of essential service functions to appropriate government agencies and other civil support organizations.

Assessing Essential Services Requirements

8-37. Military logisticians should already have good insights into capabilities, requirements, and shortfalls from their logistic preparation of the theater and more detailed assessment of COIN-specific issues. As a work in continuous progress, this assessment should be merged later with information from civil affairs area assessments. Areas of civil affairs concern where logisticians and logistic branches can contribute to the area assessment include, for example:

- **Sanitation.**
 - *Quartermaster.* Water specialists.
 - *Engineer.* Earth moving specialists, plumbing construction, soil analysis, concrete casting, and sanitary landfill management.
 - *Ordnance.* Heavy wheeled vehicle, pump, and mechanical repair
- **Water.**
 - *Quartermaster.* Water purification.
 - *Medical service.* Preventive medicine and sanitation specialists.
 - *Ordnance.* Pumps and mechanicals repair.
- **Electricity.** *Engineer.* Power generation specialists.
- **Academic.**
 - *Engineer.* Vertical construction specialists.
 - *All.* Training and education.
- **Transportation.**
 - *Engineer.* Assessment of bus facilities, roadway/bridge assessments, and airfield capabilities/upgrades.
 - *Transportation.* Assessment of bus capacities.
 - *Ordnance.* Assessment of mechanical maintenance of bus/truck operating equipment.
 - *Military police.* Roadway and traffic flow assessments.
- **Medical.** *Medical service/medical corps.* Assess local health care capabilities/needs
- **Security.** *Military police.* Security survey, crowd control

- **Food Supply.**
 - *Veterinary corps.* Food source/quality, vector control.
 - *Quartermaster.* Food packaging and distribution
- **Fuel.** *Quartermaster.* Fuel specialists, testing of locally procured fuel supplies
- **Financial.** *Finance.* Requirements to reestablish accountability/security of national funds/captured funds, assess financial support requirements banking/currency access, and so forth.

Time as a Logistic Commodity

8-38. Success in COIN operations and buy-in of the population into COIN efforts, may hinge on there being as small a gap as possible between the time assessments of essential services needs are determined and the time that initial remediation efforts are begun. In order to keep this time gap as small as possible and manage the development of popular expectations, COIN logistic units may be compelled to begin to remediate essential services until civilian authorities and agencies can assume these functions. The rationale for logistic units taking up this mission is similar to that applied to a metaphor of lifesaving trauma care. If one thinks of the populace as a patient destabilized by the trauma of insurgency, in COIN operations, logistic and other units may need to function much like the first-responder medic on the scene, conducting initial assessments of patient's needs, providing lifesaving first aid, and letting the hospital know what more specific higher-level care is required. Both medical and COIN first responders are most effective when they can assess and initiate life support treatment immediately. In COIN operations though, "immediately" may last weeks or months and is harder to determine without obvious calibrated vital signs, such as blood pressure, pulse, and temperature. For this reason, COIN logistic units may be required to take whatever measures they are able to immediately provide for stabilizing essential services and preventing deteriorating conditions.

8-39. The ways in which logistic and other units can be used to bridge the essential services gap is an extension of the assessment capabilities of these units. Some examples of how military logistic assets and capabilities can be used to meet immediate and essential service needs are:

- **Contingency contracting officer** procures commercial public utility equipment and then employs theater contractors and external theater subject matter experts/trainers to maintain the asset.
- **Reverse osmosis water purification unit** provides immediate source of potable water until the water pumps at a purification plant can be restored.
- **Distribution companies and supply support activities** provide temporary storage and distribution of foreign humanitarian assistance.
- **Explosive ordnance disposal**, supported by logistic transportation, disposes of munitions in populated areas.
- **Combat logistic patrols** provide security for nongovernmental organization (NGO) transportation of critical humanitarian assistance. (Not all NGOs agree to this.)

- **Medical units** provide a medical civic action program (MEDCAP) team to conduct a visiting clinic at a small or remote village; may augment an NGO (for example, Doctors without Borders).
- **Brigade surgeon/brigade engineer** work with the contracting officer representative to restore a clinic/hospital service.
- **Medical personnel/units** assist with upgrading/restoring medical training programs to meet civil healthcare provider critical shortfalls.
- **Senior power generation technicians** provide advice and troubleshoot for a municipal power source.
- **Rations section** accounts for, preserves, and distributes humanitarian rations.
- **Truck companies** move internally displaced persons (IDPs).
- **Logistic units** tasked with providing life support to IDP (or refugee) camps, that is, billeting, food service, personnel (biometric) accountability, and work placement).
- **Preventive medicine team**, in conjunction with veterinary support, conducts vector/parasite analysis on farm livestock (local food source).
- **Engineers** repair a critical highway, renovate a bridge, or build a building (such as a clinic or school).

Handoff of Essential Services

8-40. Frequently logisticians who have provided stopgap essential services may be the only personnel with accurate knowledge of essential services needs and priorities. For this reason, logisticians providing these services should expect to be actively involved in the handoff process to other government agencies and designated civil organizations until those agencies and activities are reasonably functional and adequately able to meet essential services needs. A poor handoff can provide the insurgents with propaganda opportunities and evidence of the “insincerity” of COIN efforts.

8-41. Through the restoration and transition of essential services to the government, one of the principal causes exploited by the insurgents is removed. This action greatly assists the government in its struggle for legitimacy. For this reason, the insurgents can be expected to conduct attacks against restored services. During this handoff period, multinational logistic assets may need to maintain a logistic quick reaction force to ensure the continuity of services and marginalization of the insurgents’ counteractions and messages.

Public Transportation, Population Movement, and Life Support to Internally Displaced Persons and Refugees

8-42. Under conditions of national crisis or insurgency, public transportation systems often fall into disarray. COIN forces may be faced with the task of recovering stolen or misappropriated buses, trucks, cars, and other government vehicles (including former military equipment), and restoring them to public service. This action not only helps alleviate urgent requirements for public transportation; it sends an unmistakable message of resumption of governmental authority, and it can substantially reduce the amount

of replacement equipment that must be procured from other sources. Logistic units and personnel can expect to be significantly involved in this process, from reestablishing accountability procedures to assessing repair and maintenance needs, until competent public or government authorities can resume these duties.

8-43. While not a specified essential services task or an LLO, one of the most common problems arising on short notice during an insurgency is the creation of substantial groups of IDPs and refugees. Attending to IDP and refugee needs can quickly become an urgent logistic requirement, drawing on all essential services in the process of providing secure emergency shelter (IDP/refugee camps) and life support (food, water, medical care). While it is normally the mission of NGOs and other civilian agencies to furnish this type of support to IDPs and refugees, conditions may prevent them from providing these services in a timely manner. Furthermore, in COIN operations, IDP and refugee security may take on heightened military importance because traumatized and dislocated persons may become vulnerable to insurgent threats and recruitment. Restoration and maintenance of public transportation services can also be helpful for IDP and refugee support. Figure 8-2 (below) shows that, as essential services projects take root and start to provide tangible benefits for the population, management of these activities can be handed-off from military forces to civilian aid agencies and ultimately to authorities. Progress in these individual endeavors may experience individual setbacks as programs and projects are calibrated to specific localized needs, but overall progress should be measurable before agency transfers are implemented. As essential services become more effective, insurgent activities are marginalized and generate less popular support.

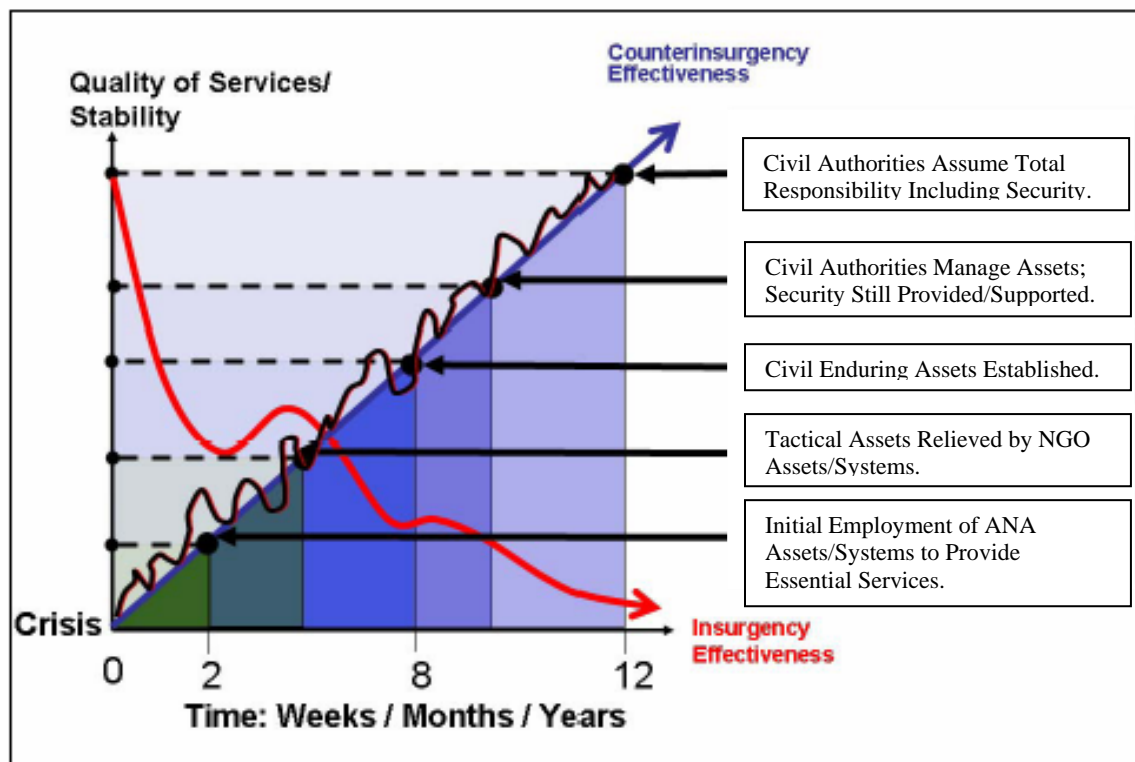


Figure 8-2 Comparison of Essential Services Availability to Insurgency Effectiveness

GOVERNANCE SUPPORT

8-44. One of the main objectives of COIN operations is the restoration of the rule of law, order, and civil procedures to the authority of the government. All actions of Soldiers conducting COIN operations must be congruent with those of agents of a legitimate and law-abiding government. Multinational and other military units brought in to support this objective remain mindful that all of their actions will be scrutinized by the population to see if they are indeed consistent with this avowed purpose. For this reason, legal support to COIN operations is of particular significance and sensitivity. Inconsistencies in this area can furnish insurgent forces with valuable issues for manipulation in propaganda.

Legal Support to Operations

8-45. Legal support to COIN operations can cover many areas. (See Appendix C of this manual.) One of the most significant areas of legal support in COIN operations is the continuous monitoring and evaluation of rules of engagement as they are applied in a constantly changing environment. This legal status may also affect the conduct of contractors and their requirements for protection. Another area of legal support is status of forces agreements, which will need to be negotiated between the Islamic Republic of Afghanistan and any multinational forces involved in the counterinsurgency. Status of forces agreements affect how legal disputes between foreign forces and local nationals are handled, including those disputes emerging from contracting and other commercial activities. Contracts and claims require sensitive and fair construction and execution, so perceptions of exploitation and favoritism do not undermine overall COIN initiatives. Since COIN operations often depend upon a variety of complex funding sources, judge advocate legal advice on fiscal law is particularly important to ensure compliance with domestic statutes governing the funding of military and nonmilitary activities. In these contexts, judge advocates may also be asked to advise the government at all political levels, about how to establish and administer appropriate legal safeguards.

Legal Aspects of Contracting and Claims

8-46. In COIN operations, two circumstances may require extensive civil law support. The first situation is when COIN forces engage in commercial contracts with local sources for provision of goods and or services. The second occasion is when Afghan nationals seek compensation for damages, injuries, or deaths that individuals or their relatives claim to have suffered due to the actions of COIN forces.

8-47. Legally reviewing COIN contracts negotiated with local sources establishes several important conditions. First the process makes clear to the sources that there are indeed established procedures rooted in law that govern such transactions, and it sends the message that favoritism and partisanship are not part of the process in a legitimate government. Second, this review potentially forestalls contracts going to individuals who may be part of the insurgency and may already be named or identified as subjects of other ongoing investigations or legal actions.

8-48. In the case of claims for damages allegedly caused by COIN forces, legal reviews show genuinely wronged citizens that their grievances are indeed taken seriously. In the case of insurgents or opportunists misrepresenting the terms or conditions under which “damages” occurred, legal reviews provide an effective method of assessing the validity or falsehood of such claims and thereby prevent COIN forces from squandering resources or at worst inadvertently supporting the insurgents.

Restoration of Civil Judicial Functions

8-49. In periods of extreme unrest and insurgency, governmental legal structures (such as courts, prosecutors, defense assistance, prisons) may fail to exist or function at any level. Under these conditions, in order to establish legal procedures and precedents for dealing with captured insurgents and common criminals, provisions may be made for the establishment of special tribunals under the auspices of either a provisional authority or a United Nations mandate. While legal actions are being handled under these provisions, COIN forces can expect to be substantially involved in providing sustainment and security support as well as legal support and advice on these functions.

8-50. Even when judicial functions are restored to local authorities, COIN forces may have to provide logistic and security support to judicial activities for a prolonged period if insurgents continue to demonstrate interest in disrupting all activities supporting the legitimate rule of law. With restoration of judicial functions to the government, COIN forces must recognize and acknowledge that not all laws passed by the popular legislative or parliamentary branches of the government will be consistent with those experienced by multinational forces in their home countries. Under such conditions, COIN forces need to look to their legal advisors, commanders, and diplomatic representatives for appropriate guidance on dealing with these sensitive matters.

ECONOMIC DEVELOPMENT

8-51. Many commanders are unfamiliar with the tools and resources required for promoting economic pluralism. In COIN operations, economic development is probably the LLO with the greatest logistic significance. This LLO is usually exercised by military commanders using resource managers (comptrollers) and contingency contracting officers. The challenge for these staff officers is to deliver financial resources such that they:

- Maximally benefit the local population.
- Support the COIN force’s other LLO objectives.
- Ensure the funds are not diverted into insurgent hands.

Achievement of these objectives depends upon the efforts of logisticians maintaining a thorough and accurate logistic preparation of the theater and commanders and contracting officers obtaining goods and services consistent with its assessments. Such purchasing must also promote vendors and businesses whose practices are supportive of widespread job stimulation and local investment. In addition to the logistic preparation of the theater issues, some other areas for assessment and analysis are:

- Local economic capabilities and shortfalls suitable for filling by external means.
- Methods of determining land and other real property ownership, means of transfers, and dispute resolution.
- Methods for promoting and protecting property and asset rights, and open access to trade goods and services.
- Prevailing wage rate standards and correlation to occupational category (unskilled/skilled/ professional labor).
- Historic market demographics.
- Identification of potential vendors with local sources of supply in the AO.

Sources of Funding

8-52. COIN operations are usually supported by a variety of funding sources. The principal source of funding will be from the Islamic Republic of Afghanistan.

8-53. Other sources of funding that may be encountered in COIN operations are those provided by Nongovernmental Organizations (NGOs), other donor nations and agencies, or the United Nations. In some cases misappropriated or illicit funds may be seized or captured by national government or COIN forces and redistributed to fund COIN activities. Under these complex fiscal circumstances, resource managers and staff judge advocates are the best sources of guidance on the legal use of different types of funds (This subject is covered in more detail in Appendix C.).

Contracted Logistic Support

8-54. In COIN operations, ANA forces can expect to be supported by contracted logistic support. Contractor activities fall into three different categories:

- Theater support contractors.
- External support contractors.
- System contractors.

8-55. For the purposes of promoting economic pluralism in COIN operations, national support contractors are the most significant because this type of contractor is the most reliant on local employees and vendors. External support contractors are designed to provide logistic services, usually through large-scale prearranged contracts with major contractors, who may in turn subcontract various components of their large contracts to smaller national-based providers. Systems contracts are designed by systems program managers to support special or complex equipment and generally have little influence on promoting economic pluralism.

NATIONAL SUPPORT CONTRACTORS

8-56. National support contractors can be obtained either under prearranged contracts or by contracting officers serving under the direct authority of the national principle assistant responsible for contracting. National support contractors usually obtain most of their materials, goods, and labor from the local manufacturing and vendor base. Some

examples of goods and services that can often be obtained from theater support contractors are:

- Construction, delivery, and installation of concrete security barriers for the defense of COIN force bases and government public buildings.
- Construction of security fencing.
- Public building construction and renovations (for example, site preparation, structure construction, electrical and plumbing installation, and roofing).
- Sanitation services.
- Maintenance augmentation in motor pools.
- Road construction and repair.
- Trucking and cartage.
- Manual labor details (for example, grounds maintenance, and sandbag filling).
- Housekeeping (such as warehouses).

COIN CONTRACTOR CONSIDERATIONS

8-57. In a COIN environment, the employment of national support contractors and locals must be carefully considered and supervised so as not to undermine larger COIN objectives. Due to the subversive nature of many insurgent activities, all contractors and their employees require vetting through the intelligence services, as well as tamperproof photograph biometric-tagged identification, coded to indicate access areas and level of security and supervision required. Particularly in the case of local employees, “badging” can also function as a valuable accountability tool if the badges are issued and returned at entry control points on a daily basis. While contractor security breaches are one concern, so is the security and safety of the contractor’s employees. Though they may be targeted by insurgents, logistic contractors and their employees are not combatants. They are classified as “civilians accompanying the force.” This status must not be jeopardized and the military units with which they work are responsible for their security in the workplace. Units employing local contractors and employees need to be on the lookout for signs of exploitive or corrupt business practices that may alienate segments of the local population and inadvertently undermine COIN objectives. Treated fairly and respectfully, local employees can become good sources of insights into the local language, culture, and perceptions of COIN activities as well as other issues affecting communities in the AO.

EXTERNAL SUPPORT CONTRACTORS

8-58. Many of the same considerations that apply to theater contractors apply to external support contractors and their subcontracted employees, particularly if they are local or in-theater hires who are not foreign or multinational partner citizens.

SYSTEM CONTRACTORS

8-59. System contractors generally work on technologically complicated military systems, such as vehicles, weapons systems, aircraft, and information systems. They are

provided under prearranged contracts negotiated by program executive officers and program managers. These contractors provide systems expertise.

CONTINGENCY CONTRACTING OFFICERS AND OTHER AGENTS

8-60. In COIN operations the timely and well-placed distribution of funds at the local level can serve as an invaluable force multiplier. Challenges to accomplishing payments and purchases in the COIN environment are many, including the following:

- Problems with the security of financial institutions, agents, and instruments.
- Potential for sudden volatility in the local economy.
- Reliability issues with local supplier and vendors.
- Peculiarities of local business cultures.

8-61. The challenge for contracting officers and other agents authorized to make payments to support COIN activities is that it is often difficult to obtain reliable information upon which to make decisions and conduct negotiations. Military means for accomplishing this type of purchasing are found at two levels:

- The contingency contracting officer, who acts upon unit-generated purchasing request and committals.
- The ordering officer for smaller purchases.

CONTINGENCY CONTRACTING

8-62. Because contingency contracting officers are able to set contracts for larger amounts than ordering officers, they normally place purchasing request and committal requirements out for bid to local vendors. During COIN operations, it is especially important to spread contracts across different vendors to forestall any appearance of partiality.

FIELD ORDERING AND PROJECT ORDERING OFFICER TEAMS

8-63. Both field ordering and project ordering officer teams consist of the respective contracting officer agent, a paying agent, and a security detail, and they operate under similar regulatory constraints. These officers' duties differ with respect not only to the type of funds they disburse, but also in the increment caps applied. Consult with your Corps Finance Office concerning the contractual capabilities of both of the field and project ordering officer teams. In both cases, these teams provide an invaluable asset for reaching into the local communities and promoting economic pluralism while assessing the economic effects of purchasing activities and economic stability initiatives.

8-64. Due to their activities throughout the community and their cultivation of local business connections, field ordering and project ordering officer teams should not be overlooked as a potential information gathering and distribution sources. Vendor observations and actions may also reveal much about the real status of the COIN effort. These indicators may be as simple as vendor comments about outsiders moving into the area, contractors failing to show up for work and deliver goods, or employees asking to

leave early because they have been tipped off about an impending attack. By doing business with COIN forces, local contractors and vendors may be putting themselves at great risk. Protection of their activities can pose a great challenge and must be seriously considered when doing business with them.

SUMMARY

8-65. Logistic activities are an integral part of counterinsurgency operations. These activities take on both the traditional form of support to combat and security forces as well as the unconventional form of providing mixes of essential and timely support to a wide variety of local security and stability-enhancing activities that may seem to be purely civil in character. Initially this support may have to be conducted by uniformed military logistic providers, but one of the logistic objectives of COIN operations should be to encourage and promote local providers as soon as security conditions make this reasonably feasible. This transition is a delicate one. Logistic providers must be continuously aware of how their practices are or are not contributing to their long-term objectives and adjust their methods accordingly. If there is a final paradox in counterinsurgency, it is that logistic postures and practices are a major part of the fight and may well determine if COIN forces are able to deliver the desired political end state.

Appendix A

A Guide for Action: Plan, Prepare, Execute, and Assess

Translating the lessons of this manual into practice begins with planning and preparation for deployment. Successful counterinsurgents execute wisely and continually assess their area of operations, the impact of their own operations, and their enemy's strategy and tactics to adapt and win. This appendix discusses several techniques that have proven successful during counterinsurgency operations. They are discussed within the framework of the operations process. However, this does not limit their use to any operations process activity. Successful counterinsurgents assess the operational environment continuously and apply the appropriate techniques when they are needed.

PLAN

A-1. *Planning* is the process by which commanders (and staff if available) translate the commander's visualization into a specific course of action for preparation and execution, focusing on the expected results. Planning for counterinsurgency (COIN) operations is no different than for conventional operations. However, effective counterinsurgency planning requires paying at least as much attention to aspects of the environment as to the enemy force.

ASSESS DURING PLANNING: PERFORM MISSION ANALYSIS

A-2. Learn about the people, topography, economy, history, religion, and culture of the Area of Operations. Know every village, road, field, population group, tribal leader, and ancient grievance. Become the world expert on these topics. If the precise destination is unknown, study the general area. Focus on the precise destination when it is determined. Understand factors in adjacent AOs and the information environment that can influence AO. These can be many, particularly when insurgents draw on global grievances.

A-3. Read the map like a book. Study it every night before sleep, and redraw it from memory every morning. Do this until its patterns become second nature. Develop a mental model of the AO. Use it as a framework into which to fit every new piece of knowledge.

A-4. Study handover notes from predecessors. Better still, get in touch with the unit in AO and pick their brains. In an ideal world, intelligence officers and area experts provide briefings. This may not occur. Even if it does, there is no substitute for personal mastery.

A-5. Require each subordinate leader, including noncommissioned officers, to specialize on some aspect of the AO and brief the others.

ANALYZE THE PROBLEM

A-6. Mastery of the AO provides a foundation for analyzing the problem. Who are the insurgents? What drives them? What makes local leaders tick? An insurgency is

fundamentally a competition among many groups, each seeking to mobilize the population in support of its agenda. Thus, COIN is always more than two-sided.

A-7. Understand what motivates the people and how to mobilize them. Knowing why and how the insurgents are getting followers is essential. This requires knowing the real enemy, not a cardboard cut-out. Insurgents are adaptive, resourceful and probably grew up in the AO. The locals have known them since they were young. ANA troops are the outsiders. The worst opponents are not the psychopathic terrorists of the movies; rather, they are charismatic warriors who would do well in any armed force. Insurgents are not necessarily misled or naive. Much of their success may be due to bad government policies or security forces that alienate the population.

A-8. Work the problem collectively with subordinate leaders. Discuss ideas, and explore possible solutions. Once all understand the situation, seek a consensus on how to address it. If this sounds un-military, get over it. Such discussions help subordinates understand the commander's intent. Once in the AO, situations requiring immediate action will arise too quickly for orders. Subordinates will need to exercise subordinates initiative and act based on the commander's intent informed by whatever knowledge they have developed. Sergeants and privates will have to make quick decisions that may result in actions with strategic implications. Such circumstances require a shared situational understanding and a leadership climate that encourages subordinates to assess the situation, act on it, and accept responsibility for their actions. Employing mission command is essential in this environment.

PREPARE

A-9. *Preparation* consists of activities by the unit before execution to improve its ability to conduct the operation including, but not limited to, the following: plan refinement, rehearsals, reconnaissance, coordination, inspections, and movement. Compared with conventional operations, preparing for COIN operations requires greater emphasis on organizing for intelligence and for working with nonmilitary organizations, preparing small unit leaders for increased responsibility, and maintaining flexibility.

ORGANIZE FOR INTELLIGENCE

A-10. Intelligence and operations are always complementary, especially in COIN operations. COIN operations are intelligence-driven, and units often develop much of their own intelligence. Commanders must organize their assets to do that.

A-11. Each company may require an intelligence section, including analysts and an individual designated as the "S-2." Platoon leaders may also have to designate individuals to perform intelligence and operations functions. A reconnaissance and surveillance element is also essential. Augmentation for these positions is normally not available, but the tasks must be performed. Put the smartest troops in the intelligence section and the reconnaissance and surveillance element. Doing these things results in one less rifle squad, but intelligence section pays for itself in lives and effort saved.

ORGANIZE FOR INTERAGENCY OPERATIONS

A-12. Almost everything in COIN is interagency. Everything from policing to intelligence to civil-military operations to trash collection involves working with interagency and indigenous partners. These agencies are not under military control, but their success is essential to accomplishing the mission. Train troops in conducting interagency operations. Get a briefing from the Ministry of the Interior (MOI), aid agencies and the local police or fire departments. Designate interagency subject matter experts in each subordinate element and train them. Realize that many civilians find rifles, helmets, and body armor intimidating. Learn how not to scare them. Look at the situation through the eyes of a civilian who knows nothing about the military. Most importantly, know that military operations create temporary breathing space, but that long-term development and stabilization by civilian agencies are required to prevail.

TRAVEL LIGHT AND HARDEN YOUR SUSTAINMENT ASSETS

A-13. A normal combat load includes body armor, rations, extra ammunition, communications gear, and many other things—all of which are heavy. Insurgents may carry a rifle or rocket-propelled grenade, a head scarf, and a water bottle. This situation requires ruthlessly lightening troops' combat load and enforcing a habit of speed and mobility. Otherwise, the insurgents consistently outrun and outmaneuver them. However, make sure troops can always reach back for fires or other support.

A-14. Also, remember to harden sustainment bases. Insurgents often consider them weak points and attack there. Most insurgent attacks, other than combat actions, are against sustainment installations and convoys. Ensure sustainment assets are hardened and have communications. Make sure the troops there are trained in combat operations. They may do more fighting than some rifle squads.

FIND A POLITICAL/CULTURAL ADVISOR

A-15. A force optimized for COIN would have political/cultural advisors at company level. This situation requires lower-echelon commanders to improvise. They must select a political/cultural advisor from among their troops. This person may be a commissioned officer, but may not. The position requires someone with “people skills” and a feel for the environment. Commanders should not try to be their own cultural advisor. They must be fully aware of the political and cultural dimension, but this is a different role. Also, this position is not suitable for intelligence professionals. They can help, but their task is to understand the environment. The political advisor's job is to help shape it.

TRAIN THE SQUAD LEADERS—THEN TRUST THEM

A-16. COIN is largely executed by squads and platoons. Small-unit actions in a COIN environment often have greater impacts than similar actions during major combat operations. Engagements are often won or lost in moments; whoever can bring combat power to bear in seconds wins. The on-scene leader controls the fight. This situation

requires mission command and subordinates' initiative. Leaders at the lowest echelons must be trained to act intelligently and independently without orders.

A-17. Training should focus on basic skills: marksmanship, patrolling, security on the move and at the halt, and basic drills. When in doubt, spend less time on company and platoon training, and more time on squads. Ruthlessly replace ineffective leaders. Once troops are trained, give them a clear commander's intent and trust them to exercise subordinates' initiative within it. This allows subordinates to execute COIN operations at the level at which they are won.

IDENTIFY AND USE TALENT

A-18. Not everyone is good at COIN. Many leaders don't understand it, and some who do can't execute it. COIN is difficult and anyone can learn the basics. However, people able to intuitively grasp, master, and execute COIN techniques are rare. Learn how to spot these people and put them into positions where they can make a difference. Rank may not indicate the required talent. In COIN, a few good troops under a smart junior noncommissioned officer doing the right things can succeed, while a large force doing the wrong things will fail.

CONTINUE TO ASSESS AND PLAN DURING PREPARATION: BE FLEXIBLE

A-19. *Commander's visualization* is the mental process of developing situational understanding, determining a desired end state, and envisioning how to move the force from its current state to that end state. It begins with mission receipt and continues throughout any operation. The commander's visualization forms the basis for conducting (planning, preparing for, executing and assessing) an operation.

A-20. Commanders continually refine their visualization based on their assessment of the operational environment. They describe and direct any changes they want made as the changes are needed. They do not wait for a set point in any process. This flexibility is essential during preparation for COIN operations. Some are tempted to try and finalize a plan too early. They then prepare to execute the plan rather than what changes in the operational environment require. However, as commanders gain knowledge, their situational understanding improves. They get a better idea of what needs to be done and of their own limitations. This lets them refine their visualization and direct changes to the plan and their preparations. Even with this, any plan will change once operations begin. It may need to be scrapped if there is a major shift in the environment. But a plan is still needed, and developing it gives leaders a simple robust idea of what to achieve, even if the methods change. Directing changes to it based on continuous assessment is one aspect of the art of command.

A-21. One planning approach is to identify phases of the operation in terms of major objectives to achieve: for example, establish dominance, build local networks, and marginalize the enemy. Make sure the force can easily transition between phases, both forward to exploit successes and backward to recover from setbacks. Insurgents will

adapt their activity to friendly tactics. The plan must be simple enough to survive setbacks without collapsing. This plan is the solution that began with the shared analysis and consensus that began preparation. It must be simple and known to everyone.

EXECUTE

A-22. *Execute* means to put a plan into action by applying combat power to accomplish the mission and using situational understanding to assess progress and make execution and adjustment decisions. The execution of counterinsurgency operations demands all of the skills required to execute conventional operations. In addition, it also requires mastery of building alliances and personal relationships, paying attention to the local and global media, and a number of additional skills that are not as heavily tasked in conventional operations.

ESTABLISH AND MAINTAIN A PRESENCE

A-23. The first rule of COIN is to establish the force's presence in the AO. If troops are not present when an incident happens, there is usually little they can do about it. The force can't be everywhere at once; however, the more time troops spend in the AO the more likely they are to be where the action is. If the force is not large enough to establish a presence throughout AO, then determine the most important places and focus on them. This requires living in the AO close to the population. Raiding from remote, secure bases doesn't work. Movement on foot, sleeping in villages, and night patrolling all seem more dangerous than they are—and they are what ground forces are trained to do. Being on the ground establishes links with the locals. They begin to see troops as real people they can trust and do business with. Driving around in an armored convoy degrades situational awareness. It makes troops targets and is ultimately more dangerous than moving on foot and remaining close to the population.

ASSESS DURING EXECUTION: AVOID HASTY ACTIONS

A-24. Don't act rashly; get the facts first. Continuous assessment, important during all operations, is vital during COIN. Violence can indicate several things. It may be part of the insurgent strategy, interest groups fighting among themselves, or individuals settling vendettas. Or, it may just be daily life. Take the time to learn what normality looks like. Insurgents may try to goad troops into lashing out at the population or making a similar mistake. Unless leaders are on the spot when an incident occurs, they receive only second-hand reports and may misunderstand the local context or interpretation. This means that first impressions are often highly misleading, particularly in urban areas. Of course, leaders cannot avoid making judgments. But when there is time, ask an older hand or a trusted local for their opinion. If possible, keep one or two officers from your predecessor unit for the first part of the tour. Avoid rushing to judgment.

BUILD TRUSTED NETWORKS

A-25. Once the unit is settled into the AO, its next task is to build trusted networks. This is the true meaning of the phrase “hearts and minds,” which comprises two separate components. “Hearts” means persuading people their best interests are served by the COIN’s success. “Minds” means convincing them that the force can protect them and that resisting it is pointless. Note that neither concerns whether people like the troops. Calculated self-interest, not emotion, is what counts. Over time, successful trusted networks grow like roots into the population. They displace enemy networks, forcing enemies into the open. That lets the force seize the initiative and destroy them.

A-26. Trusted networks are diverse. They include local allies, community leaders, and local security forces. Nongovernmental organizations, other friendly or neutral nonstate actors in the AO, and the media should also be included.

A-27. Building trusted networks begins with conducting village and neighborhood surveys to identify community needs. Then follow through to meet them, build common interests, and mobilize popular support. This is the true main effort; everything else is secondary. Actions that help build trusted networks support the COIN effort. Actions that undermine trust or disrupt these networks, even those that provide a short-term military advantage, help the enemy.

GO WITH THE GRAIN AND SEEK EARLY VICTORIES

A-28. Don’t try to crack the hardest nut first. Don’t go straight for the main insurgent stronghold or try to take on villages that support the insurgents. Instead, start from secure areas and work gradually outwards. Extend influence through the locals’ own networks. Go with, not against, the grain of local society. First win the confidence of a few villages, and then work with those with whom they trade, intermarry, or do business. This tactic develops local allies, a mobilized population, and trusted networks.

A-29. Seek a victory early in the operation to demonstrate dominance of the AO. This may not be a combat victory. Early combat without an accurate situational understanding may create unnecessary collateral damage and ill will. Instead, victories may involve resolving a long-standing issue or co-opting a key local leader. Achieving even a small early victory can set the tone for the tour and help commanders seize the initiative.

PRACTICE DETERRENT PATROLLING

A-30. Establish patrolling tactics that deter enemy attacks. An approach using combat patrols to provoke, then defeat, enemy attacks is counterproductive. It leads to a raiding mindset, or worse, a bunker mentality. Deterrent patrolling is a better approach. The aim of deterrent patrolling is to keep the enemy off balance and the population reassured. Constant, unpredictable activity over time deters attacks and creates a more secure environment. Accomplishing this requires one- to two-thirds of the force to be on patrol at any time, day or night.

BE PREPARED FOR SETBACKS

A-31. Setbacks are normal in COIN, as in all operations. Leaders make mistakes and lose people. Troops occasionally kill or detain the wrong person. It may not be possible to build or expand trusted networks. If this happens, drop back to the previous phase of the plan, recover, and resume operations. It is normal in company-level COIN operations for some platoons to be doing well while others are doing badly. This situation is not necessarily evidence of failure. Give subordinate leaders the freedom to adjust their posture to local conditions. This creates flexibility that helps survive setbacks.

REMEMBER THE GLOBAL AUDIENCE

A-32. The global reach of today's news media affects the conduct of military operations more than ever before. Satellite receivers are common, even in developing countries. Internet articles and print, radio, and television reporters monitor and comment on everything military forces do. Insurgents use terrorist tactics to produce graphic images that they hope will influence public opinion—both locally and globally.

A-33. Train troops to consider how the global audience might perceive their actions. Troops should assume that everything they say or do will be publicized. Also, treat the media as an ally. Help reporters get their story. That helps them portray military actions favorably. Trade information with media representatives. Good relationships with non-embedded media, especially indigenous media, can dramatically increase situational awareness.

ASSESS CONTINUOUSLY DURING EXECUTION

A-34. Develop measures of effectiveness early and refine them as the operation progresses. They should cover a range of social, informational, military, and economic issues. Use them to develop an in-depth operational picture and how it is changing, not in a mechanistic, traffic-light, fashion. Typical measures of effectiveness include the following:

- Percentage of engagements initiated by friendly forces versus those initiated by insurgents.
- Longevity of friendly local leaders in positions of authority.
- Number and quality of tips on insurgent activity that originate spontaneously.
- Economic activity at markets and shops.

These mean virtually nothing as a snapshot; trends over time are the true indicators of progress.

A-35. Avoid using body counts as a measure of effectiveness. They actually measure very little and may provide misleading numbers. Using body counts to measure effectiveness accurately requires the following information:

- How many insurgents there were to start with.
- How many moved into the area.

- How many transferred from supporter to combatant status.
- How many new fighters the conflict has created.

Accurate information of this sort is usually not available.

MAINTAIN MISSION FOCUS THROUGHOUT

A-36. Once a unit is established in its AO, troops settle into a routine. A routine is good as long as the mission is being accomplished. However, leaders should be alert for the complacency that often accompanies routines.

A-37. It will probably take troops at least one-third of the time in an area to become effective. Toward the end of an assignment in an area, leaders struggle against the “short-timer” mentality. So the middle part of the tour is often the most productive. However, leaders must work to keep troops focused on the mission and attentive to the environment.

EXPLOIT A SINGLE NARRATIVE

A-38. Since COIN is a competition to mobilize popular support, it pays to know how people are mobilized. Most societies include opinion-makers: local leaders, religious figures, media personalities, and others who set trends and influence public perceptions. This influence often follows a single narrative—a simple, unifying, easily expressed story or explanation that organizes people’s experience and provides a framework for understanding events. Nationalist and ethnic historical myths and sectarian creeds are examples of such narratives. Insurgents often try to use the local narrative to support their cause. Undercutting their influence requires exploiting an alternative narrative. An even better approach is tapping into an existing narrative that excludes the insurgents.

A-39. Higher headquarters usually establishes the COIN narrative. However, only leaders and troops at the lowest levels have the detailed knowledge needed to tailor it to local conditions and generate leverage from it. For example, a nationalist narrative can be used to marginalize foreign fighters. A narrative of national redemption can undermine former regime elements seeking to regain power. Company level leaders apply the narrative gradually. They get to know local opinion-makers, win their trust, and learn what motivates them. Then they build on this knowledge to find a single narrative that emphasizes the inevitability and rightness the COIN’s success. This is art, not science.

LOCAL FORCES SHOULD MIRROR THE ENEMY

A-40. Local indigenous forces need to mirror the enemy’s capabilities and seek to supplant the insurgent’s role. This does not mean they should be irregular in the sense of being brutal or outside proper control. Rather, they should move, equip, and organize like the insurgents but have access to ANA support and be under the firm control of their parent societies. Combined with a mobilized population and trusted networks, this allows local forces to isolate the enemy from the population.

A-41. ANA forces should support local forces. At the company level, this means raising, training, and employing local auxiliary forces (police and military). These tasks require high-level clearance, but if permission is given, companies should each establish a training cell. Platoons should aim to train one local squad and then use that squad as a nucleus for a partner platoon. The company headquarters should train an indigenous leadership team. This process mirrors the development of trusted networks. It tends to emerge naturally with the emergence of local allies willing to take up arms to defend themselves.

CONDUCT CIVIL-MILITARY OPERATIONS

A-42. COIN can be characterized as armed social work. It includes attempts to redress basic social and political problems while being shot at. This makes civil-military operations a central COIN activity, not an afterthought. Civil-military operations are one means of restructuring the environment to displace the enemy from it. They must focus on meeting basic needs first. A series of village or neighborhood surveys, regularly updated, are invaluable to understanding the population's needs and tracking progress in meeting them.

A-43. Effective civil-military operations require close cooperation with national, international, and local interagency partners. These partners are not under military control. Many NGOs, for example, do not want to be too closely associated with military forces because they need to preserve their perceived neutrality. Interagency cooperation may involve a shared analysis of the problem, building a consensus that allows synchronization of military and interagency efforts. The military's role is to provide protection, identify needs, facilitate civil-military operations, and use improvements in social conditions as leverage to build networks and mobilize the population.

A-44. There is no such thing as impartial humanitarian assistance or civil-military operations in COIN. Whenever someone is helped, someone else is hurt—not least the insurgents. So, civil and humanitarian assistance personnel are often targeted. Protecting them is a matter not only of close-in defense, but also of creating a secure environment by co-opting the local aid beneficiaries and their leaders.

SMALL IS BEAUTIFUL

A-45. Another tendency is to attempt large-scale, mass programs. This usually does not work. Often small-scale programs succeed because of local conditions or because their size kept them below the enemy's notice and helped them flourish unharmed. Company-level programs that succeed in one AO often also succeed in another; however, small-scale projects rarely proceed smoothly into large programs. Keep programs small. This makes them cheap, sustainable, low-key, and (importantly) recoverable if they fail. New programs—also small, cheap, and tailored to local conditions—can be added as the situation allows.

FIGHT THE ENEMY’S STRATEGY

A-46. When COIN efforts are succeeding, insurgents often transition to the offensive. COIN successes create a situation dangerous to insurgents by threatening to separate them from the population. Insurgents attack military forces and the population to reassert their presence and continue the insurgency. This activity does not necessarily indicate an error in COIN tactics (though it may: it depends on whether the population has been successfully mobilized). It is normal, even in the most successful operations, to have spikes of offensive insurgent activity.

A-47. The obvious military response is a counteroffensive to destroy the enemy’s forces. This is rarely the best choice at company level. Only attack insurgents when they get in the way. Try not to be distracted or forced into a series of reactive moves by a desire to kill or capture them. Provoking combat usually plays into the enemy’s hands by undermining the population’s confidence. Instead, attack the enemy’s strategy. If insurgents are seeking to recapture a community’s allegiance, co-opt that group against him. If they are trying to provoke a sectarian conflict, transition to peace enforcement operations. The possible situations are endless, but the same principle governs the response: fight the enemy’s strategy, not enemy forces.

ASSESS DURING EXECUTION: RECOGNIZE AND EXPLOIT SUCCESS

A-48. Implement the plan developed early in the campaign and refined through interaction with local partners. Focus on the environment, not the enemy. Aim at dominating the whole district and implementing solutions to its systemic problems. Continuously assess the results and adjust as needed.

A-49. Achieving success means that, particularly late in the campaign, it may be necessary to negotiate with the enemy. Members of the population supporting the COIN operation know the enemy’s leaders. They may have grown up together. Valid negotiating partners sometimes emerge as the campaign progresses. Again, close interagency relationships are needed to exploit opportunities to co-opt segments of the enemy. This helps you wind down the insurgency without alienating potential local allies who have relatives or friends among the insurgents. As an insurgency ends, a defection is better than a surrender, a surrender better than a capture, and a capture better than a kill.

PREPARE DURING EXECUTION: GET READY FOR HANDOVER FROM DAY ONE

A-50. It is unlikely the insurgency will end during the tour. There will be a relief in place, and the relieving unit will need as much knowledge as can be passed to them. Start handover folders in every platoon and specialist squad immediately upon arrival, if they are not available from the unit being relieved. The folders should include lessons learned, details about the population, village and patrol reports, updated maps, and photographs—anything that will help newcomers master the environment. Computerized databases are fine, but keep good back-ups and ensure you have hard copy of key artifacts and

documents. Developing and keeping this information current is boring, tedious work. But it is essential to both short- and long-term success. The corporate memory this develops gives troops the knowledge they need to stay alive. Passing it on to the relieving unit does the same for them. It also reduces the loss of momentum that occurs during any handover.

ENDING THE TOUR

A-51. As the end of the tour approaches, the key leadership challenge becomes keeping the troops focused. They must not drop their guard. They must continue to monitor and execute the many programs, projects, and operations underway.

A-52. The tactics discussed above remain applicable as the end-of-tour transition approaches. However, there is an important new one: keep the transition plan secret. The temptation to talk about home becomes almost unbearable toward the end of a tour. The locals know you are leaving and probably have a good sense of the generic transition plan. They have seen units come and go. But the details of the transition plan must be protected; otherwise, the enemy might use the handover to undermine any progress made during the tour. Insurgents may stage a high-profile attack. They may try to recapture the population's allegiance by scare tactics that convince them they will not be protected after the transition. They may try to persuade the locals that the successor unit will be oppressive or incompetent. Keep the transition plan details secret within a tightly controlled compartment in the headquarters. Tell the troops to resist the temptation to say goodbye to locals.

THREE "WHAT IFS"

A-53. The discussion above describes what should happen, but things do go wrong. Here are some "what ifs" to consider.

WHAT IF YOU GET MOVED TO A DIFFERENT AREA?

A-54. Efforts made preparing for operations in one AO are not wasted if a unit is moved to another. In mastering the first area, troops learned techniques they can apply to the new one. For example, they know how to analyze an AO and decide what matters in the local societal structure. The experience provides a mental structure for analyzing the new AO. They can focus on what is different, making the process easier and faster. They need to apply this same skill when they are moved within a Kandak or brigade AO.

WHAT IF YOU HAVE NO RESOURCES?

A-55. Things can be things done in a low-priority AO. However, leaders need to focus on self-reliance, keeping things small and sustainable, and ruthlessly prioritizing efforts. Local community leaders can help. They know what matters to them. Leaders should be honest with them, discuss possible projects and options, and ask them to recommend priorities. Often they can make introductions with key personnel, find building supplies,

or expertise. They may only expect support and protection in making their projects work. And negotiation and consultation can help mobilize their support and strengthen social cohesion. Setting achievable goals is key to making the situation work.

WHAT IF THE THEATER SITUATION SHIFTS?

A-56. Sometimes everything goes well at the tactical level, but the theater situation changes and invalidates those efforts. When that happens, drop back a stage, consolidate, regain balance, and prepare to expand again when the situation allows. A flexible, adaptive plan is helpful in such situations. Friendly forces may have to cede the initiative for a time; however, they must regain it as soon as the situation allows.

CONCLUSION

A-57. This appendix has summarized one set of tactics for conducting COIN operations. Like all tactics they need interpretation. Constant study of the AO is needed to apply them to the specific circumstances a unit faces. Observations and experience helps Soldiers apply them better. Whatever else is done, the focus must remain on gaining and maintaining the support of the population. With their support, victory is assured; without it, COIN efforts cannot succeed.

Appendix B

Intelligence Preparation of the Battlefield

The purpose of the appendix is to provide commanders and staffs with a framework for performing intelligence preparation of the battlefield during counterinsurgency operations.

SECTION I – INTELLIGENCE PREPARATION OF THE BATTLEFIELD STEPS

B-1. As explained in Chapter 3, intelligence preparation of the battlefield (IPB) in (COIN) follows the same process as conventional operations. However, it places greater emphasis on civil considerations, especially the people of the area of operations (AO). In addition, the threats evaluated in COIN differ greatly from a conventional military threat and must therefore be evaluated differently. The steps of IPB are:

- Define the operational environment.
- Describe the effects of the operational environment.
- Evaluate the threat.
- Determine threat courses of action.

SECTION II – DEFINE THE OPERATIONAL ENVIRONMENT

B-2. When defining the area of interest for a unit, commanders and staffs must account for the movement of people and information to and from the AO, and how this might affect the AO. Some of the important factors which must be evaluated include the following:

- Cultural geography: family, tribal, ethnic, religious, or other social links that go beyond the AO.
- Communication links to other regions.
- Economic links to other regions.
- Media influence on the local populace, national populace, and multinational partners.
- External financial, moral, and or logistic support of the insurgency.

B-3. Another consideration of defining the operational environment is to identify the other organizations with operating in the AO:

- Higher and adjacent units.
- Local security forces and government personnel.
- Multinational forces.
- Nongovernmental agencies.

SECTION III – DESCRIBE THE EFFECTS OF THE OPERATIONAL ENVIRONMENT

B-4. Describing the effects of the operational environment involves developing an understanding of that environment and is critical to the success of operations. This step includes:

- Civil considerations (ASCOPE), with emphasis on the people, history, and the government in the AO.
- Terrain analysis (physical geography), with emphasis on complex terrain, suburban and urban terrain, and lines of communications.
- Weather analysis, with attention given to the weather's effects on activities of the population, such as agriculture, smuggling, or insurgent actions.

CIVIL CONSIDERATIONS (ASCOPE)

B-5. *Civil considerations* concern how the manmade infrastructure, civilian institutions, and attitudes and activities of the civilian leaders, populations, and organizations within an area of operations influence the conduct of military operations. Because the purpose of COIN is to support a government in gaining legitimacy and the support of the population, civil considerations are often the most important factors to consider during mission analysis.

B-6. Civil considerations generally focus on the immediate impact of civilians on operations in progress; however, they also include larger, long-term diplomatic, informational, and economic issues at higher levels. At the tactical level, they directly relate to key civilian areas, structures, capabilities, organizations, people, and events within the AO.

B-7. COIN cannot be conducted effectively without a thorough appreciation of civil considerations consistently applied to all operations. Civil considerations comprise six characteristics, expressed in the memory aid ASCOPE:

- Areas.
- Structures.
- Capabilities.
- Organizations.
- People.
- Events.

AREAS

B-8. Key civilian areas are localities or aspects of the terrain within an AO that have significance to the lives of the people there. This characteristic approaches terrain analysis from a civilian perspective. Commanders analyze key civilian areas in terms of how they affect the missions of individual units as well as how military operations affect these areas. Examples of key civilian areas are:

- Areas defined by political boundaries, such as districts/neighborhoods within a city, municipalities within a region, or provinces within a country.
- Areas of high economic value, such as industrial centers, farming regions, and mines.
- Centers of government and politics.
- Culturally important areas.
- Social, ethnic, tribal, political, religious, criminal, or other important enclaves.
- Trade routes and smuggling routes.
- Possible sites for the temporary settlement of dislocated civilians or other civil functions.

STRUCTURES

B-9. Analyzing a structure involves determining how its location, functions, and capabilities can support the operation. Commanders also consider the consequences of using it. Using a structure for military purposes often competes with civilian requirements for it. Commanders carefully weigh the expected military benefits against costs to the community that will have to be addressed in the future. Some of the important structures in an AO may include:

- Government centers—necessary for the government to function.
- Headquarters and bases for security forces—necessary for the security forces to function.
- Police stations, courthouses, and jails—necessary for countering crime and very beneficial for COIN operations.
- Communications and media infrastructure, such as radio towers, television stations, cellular towers, newspaper offices, or printing presses—important to information flow and the opinions of the populace.
- Roads—allow for movement of populace, goods, insurgents, and COIN forces.
- Bridges—allow for movement of populace, goods, insurgents, and COIN forces.
- Ports of entry, such as airports—allow for movement of populace, goods, insurgents, and COIN personnel.
- Dams—provide electric power, drinking water, and flood control.
- Electrical power stations and substations—enable functioning of the economy and often important for day-to-day life of the populace.
- Storage depots and other sources of fuel—enable functioning of the economy and often important for day-to-day life of the populace.
- Sources of potable water—important for public health.
- Sewage systems—important for public health.
- Clinics and hospitals—important for the health of the populace; these are protected sites.
- Schools and universities—affect the opinions of the populace; these are protected sites.
- Places of religious worship—affect opinions of the populace; often of great cultural importance; these are protected sites.

CAPABILITIES

B-10. Capabilities can refer to the ability of local authorities—those of the host nation or some other body—to provide a populace with key functions or services. Commanders and staffs analyze capabilities from different levels, but generally put priority on understanding the capability of the government to support the mission. The most essential capabilities are those required to save, sustain, or enhance life, in that order. Some of the more important capabilities are:

- Public administration—effectiveness of bureaucracy, courts, and other parts of the government.
- Public safety—provided by security forces, military, police, and intelligence organizations.
- Emergency services—fire departments, ambulance services, and so forth.
- Public health—clinics, hospitals.
- Food.
- Water.
- Sanitation.

B-11. In populated areas, the public services important that need to be assessed may be remembered using the acronym SWEAT-MS. Providing these services is a measure of a government's capabilities. In addition, the relative demand for these services is a measure of some of the interests of the populace:

- Sewage.
- Water.
- Electricity.
- Academic (schools and universities).
- Trash.
- Medical.
- Security.

ORGANIZATIONS

B-12. Organizations are nonmilitary groups or institutions in the AO. They influence and interact with the populace, COIN forces, and each other. They generally have a hierarchical structure, defined goals, established operations, fixed facilities or meeting places, and a means of financial or logistic support. Some organizations may be indigenous to the area. These may include:

- Religious organizations.
- Political parties.
- Patriotic or service organizations.
- Labor unions.
- Criminal organizations.
- Community organizations.

B-13. Other organizations may come from outside the AO. Examples of these include:

- Multinational corporations.

- United Nations agencies.
- Nongovernmental organizations (NGOs), such as the International Red Cross.

B-14. Operations often require commanders to coordinate with international organizations and NGOs. Required information for evaluation includes these groups' activities, capabilities, and limitations. Necessary situational understanding includes knowing how the activities of different organizations may affect military operations and how military operations may affect these organizations' activities. From this analysis, commanders can determine how organizations and military forces can work together toward common goals.

B-15. In almost every case, military forces have more resources than civilian organizations. However, civilian organizations may possess specialized capabilities that they may be willing to share. Commanders do not command civilian organizations in their AOs. However some operations require achieving unity of effort between these groups and COIN forces. These situations require commanders to influence the leaders of these organizations through persuasion, relying on the force of argument and the example of actions.

B-16. See socio-cultural factors analysis below for a more in-depth means of evaluating organizations.

PEOPLE AND SOCIO-CULTURAL FACTORS ANALYSIS

B-17. "People" refers to nonmilitary personnel encountered by military forces. The term includes all civilians within an AO as well as those outside the AO whose actions, opinions, or political influence can affect the mission.

B-18. There can be many different kinds of people living and operating in and around an AO. As with organizations, people may be indigenous or introduced from outside the AO. An analysis of people should identify them by their various capabilities, needs, and intentions. It is useful to separate people into distinct categories. When analyzing people, commanders consider historical, cultural, ethnic, political, economic, and humanitarian factors. They also identify the key communicators and the formal and informal processes used to influence people.

B-19. An understanding of the people in an AO is developed using socio-cultural factors analysis. This analysis addresses the following factors:

- Society.
- Social structure.
- Culture.
- Power.
- Interests.

Society

B-20. Populations with a shared political authority and identity. There will usually be one society in an AO; the presence of a more than one society in a country may contribute to the development of an insurgency.

Social Structure

B-21. Social structure describes the relationships between groups within a society. It can be analyzed in terms of the following:

- Groups.
- Networks.
- Institutions.
- Organizations.
- Roles and statuses.
- Social norms and practices.

Groups

B-22. Racial, ethnic, religious, or tribal identity groups exist within any society. It is important to know the following about them:

- The types of groups present in the AO.
- The size of the groups.
- The locations and distribution of the groups.
- Formal connections and relationships between and within groups, such as treaties or alliances.
- Informal connections and relationships between and within groups, such as tolerance, vendettas, and cooperation.
- Is the insurgent leadership composed of one particular group?
- Is the insurgent rank and file composed of one particular group?
- Is the government leadership composed of one particular group?
- Do key leaders belong to more than one group? If so, do they have conflicting values that may be exploited?
- Are the groups organized as networks, institutions, or organizations?

Networks

B-23. A *network* is a series of direct or indirect ties within a social structure that serve a purpose, such as business, emotional support, or criminal activity (See Appendix D.).

Institutions

B-24. *Institutions* are groups engaged in patterned activity to accomplish a common task. It is important to know which institutions are in the AO and their relative importance.

Organizations

B-25. *Organizations* are institutions that have bounded membership, defined goals, established operations, fixed facilities or meeting places, and a means of financial or logistic support. They include communicating organizations, religious organizations, economic organizations, governance organizations, and social organizations. Important information about them includes the following:

- What organizations are in the AO?
- What activities are they engaged in?
- Are the organizations dominated by members of particular groups?
- How do they interrelate to the government and the insurgency?

Roles and Status

B-26. *Status* is an achieved or ascribed position, such as that of doctor. Each status has an associated role or activity that is the expected behavior of an individual based on their status, such as the doctor's role of practicing medicine. Roles help understand how and why individuals behave in a certain way. Important information includes the following: What are the statuses and roles for each group, organization, and institution within the society?

- What are the social norms associated with different roles?
- Does this particular society have a role for "guests"?
- Are COIN forces considered guests?
- How are guests supposed to behave?

Social Norms and practices

B-27. *Social norms and practices* are unspoken rules associated with statuses and roles. They may either be moral (incest prohibition, homicide prohibition) or customary (prayer before meals, remove shoes before entering house). When behavior does not conform to social norms, it may be sanctioned. Understanding norms allows Soldiers to interact with people positively. Some norms to be understood for each group within the society include the following:

- Requirement for revenge if honor is lost.
- Appropriate treatment of women and children.
- Common courtesies, such as gift giving.
- Standard business practices, such as bribes and haggling.

Culture

B-28. *Culture* is a "web of meaning" shared by members of a particular society or group within a society. There are often multiple cultures within a society.

Identity

B-29. Each individual in the AO belongs to multiple groups, through birth, assimilation, or achievement. Each group to which the individual belongs influences his or her beliefs, values, attitudes, and perceptions. Individuals rank their identities consciously or unconsciously into primary identities (national, racial, religious) and secondary identities (hunter, fisherman, coffee drinker). Frequently, individuals' identities may be in conflict, and COIN forces can use these conflicts to influence key leaders' decision-making processes.

Cultural Forms

B-30. *Cultural forms* are the material, concrete aspects of culture that express the belief system of a group. The most important of these are narratives, symbols, rituals.

B-31. A *narrative* is a story that explains an event in a group's history, and which also expresses values, character, or self-identity of the group. Understanding its narrative is very beneficial to understanding the culture in an AO and how various groups perceive the world. Important information concerning narratives includes the following:

- What narratives are commonly used by each group in the society to explain history and create meaning?
- What narratives are used by the insurgents to mobilize the population?
- What beliefs do these narratives express?
- How can group narratives be used by COIN forces to shift perceptions, gain support or reduce support for insurgents?

B-32. Important information concerning symbols includes the following:

- What symbols are commonly used by each group in the society to explain history and create meaning?
- What symbols are used by the insurgents to mobilize the population?
- What beliefs do these symbols express?
- How can group symbols be used by COIN forces to shift perceptions, gain support or reduce support for insurgents?

B-33. Important information concerning rituals includes the following:

- What rituals are commonly used by each group in the society to explain history and create meaning?
- What rituals are used by the insurgents to mobilize the population?
- What beliefs do these rituals express?
- How can group rituals be used by COIN forces to shift perceptions, gain support or reduce support for insurgents?

Beliefs and Belief Systems

B-34. Beliefs are concepts and ideas accepted as true, such as the existence of God.

B-35. Core beliefs are those views that are part of a person's deep identity, and are not easily changed, to include:

- Religious beliefs.
- Importance of family.
- The importance of individual and collective honor.

B-36. Intermediate beliefs are beliefs that are derived from authoritative figures and texts. These can be changed by formal and informal leaders within an AO.

B-37. Peripheral beliefs change relatively quickly over time. They may be influenced by a variety of factors, but flow from central and intermediate beliefs.

B-38. A belief system is the sum of beliefs, values, attitudes, and perceptions, as reflected through cultural forms. Belief systems include ideologies, religions, and “-isms.” Belief systems form the “lens” through which people perceive the world. Insurgencies are commonly built around a belief system. It is very important to know the following about belief systems:

- What is the belief system of each group in the AO? What are their values, attitudes, and perceptions?
- If people are members of more than one group, are there contradictions in their belief systems that can be exploited?
- What is the belief system of the insurgent group?
- Does the insurgent group use belief systems to gain support and if so, how?
- Can some of these beliefs be changed or co-opted by COIN forces?

Values

B-39. A value is an enduring belief that a specific mode of conduct or end state is preferable or desirable. Each group to which an individual belongs inculcates that individual with its values and their ranking of importance. It is important to understand the following about values:

- What are the values of each group? Such values may include the following: toleration, stability, prosperity, social change, and self-determination.
- Do the values promoted by the insurgency correspond to the values of all the social groups in the AO?
- Do the values promoted by the insurgency correspond to the values of the government?
- Can the differences in values be exploited by ANA forces?

Attitudes

B-40. Attitudes are affinities for and aversions to groups, persons, and objects. It is very important to evaluate public attitudes toward the government, the insurgents, and ANA forces. It is important to understand the following about values:

- Attitude toward other social groups.
- Attitude toward insurgent ideology or ideologies.

- Attitude toward the government that may contribute to the insurgency.
- Attitude toward ANA forces.

Perceptions

B-41. Perception is the process by which people organize external information. Understanding perceptions allows commanders to shape attitudes.

Power

B-42. Power is the probability that one actor within a social relationship will be in a position to carry out his own will despite resistance. In any society, many groups have power. Formal power holders include the following: governments, political interest groups, political parties, unions, government agencies and regional and international political bodies. Informal power holders include the following: ethno-religious groups, social elites, or tribes. Informal power is often very important in states with a weak, failed, or illegitimate government. For each group within the AO, COIN forces should answer the following questions:

- What type of power does the group have?
- What do they use their power for? To protect their followers? Amass resources?
- How is their power acquired and maintained?
- Which leaders have power within particular groups?
- What type of power do they have?
- What do they use their power for?
- How is their power acquired and maintained?

B-43. Types of power include the following: coercive force, social capital, authority, and economic resources.

B-44. *Coercive force* is a form of power expressed by using force or the threat of force to change people's behavior. In a well-functioning state, the government has a monopoly or near monopoly on coercive force. In a weak state, insurgents, militias, criminal networks, and other groups may derive extensive power from coercive force. Coercive force can be positive, in the sense that a group may provide security to its members (such as policing and defense of territory), or it may be negative, in the sense that a group may intimidate or threaten group members or outsiders.

B-45. *Social capital* is the power of individuals and groups to utilize social networks of reciprocity and exchange to accomplish their goals. In a system based on patron-client relationships, an individual in a powerful position provides goods, services, security or other resources to followers in exchange for political support or loyalty, thereby amassing power. This may be seen as corruption, but it is an expression of power through social capital.

B-46. *Authority* is power considered legitimate by certain members of the population, which is attached to positions and is justified by the beliefs of the obedient. The three types of authority are:

- Rational-legal (rule by law and elected government).
- Charismatic (attraction of followers through charismatic appeal).
- Traditional (derived from the historic position of leader or leader's family).
Traditional power in religious and tribal groups can be very important to COIN.

B-47. *Economic resources* comprise the power of groups or individuals to use economic incentives and disincentives to change people's behavior. In weak or failed states, where the formal economy may be functioning in a diminished capacity, insurgent organizations may attract followers through patronage systems, smuggling, and other criminal activities that provide income.

Interests

B-48. Interests comprise the needs, desires, and other core motivations that drive behavior. An interest that has been frustrated may become a grievance, meaning a resentment that motivates action. A group or individual's interests can be satisfied or frustrated by insurgents or counterinsurgents to gain the support of the people. Interests fall into the following basic categories:

Physical security

B-49. Use the following questions to assess the status of physical security:

- Is the civilian population safe from harm?
- Is there a functioning police and judiciary system?
- Are the police fair and non-discriminatory?
- If the police are not providing civilians with physical security, who is?

If the government fails to provide security to civilians, they may look for alternative security guarantees from armed groups such as tribes, militias, and insurgents. Failure to provide security may erode the government's legitimacy in the eyes of its citizens.

Economic resources

B-50. Use the following questions to assess the status of physical security:

- Does the society have a functioning economy?
- Are production, distribution, and consumption systems functioning?
- Do civilians have fair access to land and property?
- Is a multinational corporation or a central government monopolizing the natural resources?
- Who provides basic services (sewage, water, electricity, education, trash/sanitation, medical)?

Political participation

B-51. Use the following questions to assess the status of physical security:

- Do all members of the civilian population have a guarantee of political participation?
- Is there ethnic, religious, or other discrimination?
- Is the government violating human rights?
- Do all civilians have access to basic government services, such as health care, sewage, water, electricity, and so forth?
- Are there legal, social, or other policies that contribute to the insurgency?

Grievances

B-52. COIN forces should use these questions to determine whether these interests have become grievances that are motivating insurgents and their followers:

- What are the insurgents' grievances?
- What are the grievances of the population?
- Would a reasonable person consider them to be valid? Validity of grievance is not effectively assessed by objective condition.
- Are the articulated grievances of the population and those of the insurgency the same?
- What does the government believe to be the grievances of the population? Does it consider those grievances to be valid?
- Are the articulated grievances of the population the same as those perceived by the government?
- Has the government made genuine efforts to address these grievances?
- Are these grievances practically addressable or are they beyond the immediate capacity of the government?
- Can ANA forces address these interests or grievances to elicit support from the civilian population?

Additional Civil Considerations

B-53. The following civil considerations factors should be evaluated:

- Languages and dialects spoken by the populace.
- Nonverbal communication, like hand signals and gestures.
- Education levels, including literacy rates, and availability of education.
- Means of communication and its importance to the populace.
- Interpersonal via face-to-face conversation, e-mail, or telephone.
- Mass media, such as print publications, radio, television, or the Internet.
- National history and political history.
- Events leading to the insurgency.
- Events contributing to the development of the insurgency.
- The availability of weapons to the general population.

EVENTS

B-54. Events are routine, cyclical, planned, or spontaneous activities that significantly affect organizations, people, and military operations. They are often symbols, as described in socio-cultural factors analysis. Examples include the following:

- National and religious holidays.
- Agricultural crop/livestock and market cycles.
- Elections.
- Civil disturbances.
- Celebrations.

B-55. Other events include disasters from natural, manmade, or technological sources. These create hardships and require emergency responses. Examples of events precipitated by military forces include combat operations, deployments, redeployments, and paydays. Once significant events are determined, it is important to template the events and to analyze them for their political, economic, psychological, environmental, and legal implications.

TERRAIN ANALYSIS

B-56. Terrain analysis in COIN includes the traditional examination of terrain's effects on the movement of military units and enemy personnel. However, because the focus of COIN is on people, terrain analysis usually centers on populated areas and the effects of terrain on the people. Soldiers will likely spend a great deal of time in suburban and urban areas interacting with the populace. This is a three dimensional battlefield. Multistory buildings and underground lines of communication, such as tunnels or sewers, can be extremely important. Insurgents also commonly use complex natural terrain to their advantage as well. Mountains, caves, forests, swamps, and other complex terrain are potential bases of operation for insurgents.

B-57. An important terrain consideration in COIN is urban and suburban land navigation. This can be difficult in areas that do not have an address system and in cities where 10 digit grids may not be accurate enough to find the correct apartment. If at all possible, foreknowledge of how locals find one another's houses and what type of address system is used are beneficial. Recent, accurate maps that use overhead imagery are extremely helpful for use in operations. In addition, tourist maps and locally produced maps may be helpful for understanding the names used by locals to describe places.

WEATHER ANALYSIS

B-58. Weather analysis in COIN evaluates how weather affects friendly and enemy operations, but must also include affects on the people of the host nation. Weather factors of importance include the following:

- Visibility.
- Wind.
- Precipitation.
- Cloud cover.

- Temperature.
- Humidity.
- Thermal crossover.
- Natural disasters—flood, drought, or massive storms.

MILITARY ASPECTS OF TERRAIN (OCOKA) AND CIVIL CONSIDERATIONS

B-59. At the tactical level, Service members can use a modified version of the military aspects of terrain to describe the operational environment's effects. For example:

- Observation—surveillance, use of spies and infiltrators, areas with good fields of fire or line of sight.
- Cover and concealment—from fire, from view, use of disguises or false identification badges, hiding supplies underground or in buildings.
- Obstacles—Traffic control points, electronic security systems, guard plan, rules of engagement (enemy using protected place), translators, and ability to communicate with the population, culture, politics.
- Key terrain—the population, key leaders, key structures, economically and politically important areas, access control points, lines of communications.
- Avenues of approach—sewers, rooftops, roads, sidewalks, smuggling routes, infiltration and/or exfiltration routes into a facility or region, ability to blend with the populace, media and other means of influencing popular opinion.

SECTION IV – EVALUATE THE THREAT

B-60. The purpose of evaluating the insurgency and other related threats to the mission is to understand the enemy, enemy capabilities, enemy vulnerabilities, and opportunities commanders may be able to exploit. The following characteristics of an insurgency provide a basis for evaluating the threat:

- Insurgent objectives.
- Insurgent motivations.
- Popular support/tolerance.
- Support activities, capabilities, and vulnerabilities.
- Information activities, capabilities, and vulnerabilities.
- Political activities, capabilities, and vulnerabilities.
- Violent activities, capabilities, and vulnerabilities.
- Organization.
- Key leaders and personalities.

INSURGENCY-RELATED THREATS

B-61. The presence of an insurgency in a state usually means the government of the state is weak and losing control. In such situations, armed criminal and nongovernmental elements can become powerful. Therefore, it is also important to track non-insurgent threats including:

- Criminal networks.

- Nongovernmental militias and armed groups.

OPPORTUNITIES

B-62. As the threat is evaluated and the interests, attitudes, and perceptions of the people are learned, it will be possible to discover divisions between the insurgents and the people and divisions between the nation and the people. Determining such divisions provides opportunities for crafting friendly operations that expand splits between the insurgents and the people or lessen the divides between the government and the people. Some factors that should be tracked include:

- Discrepancies between the insurgent belief systems and the popular belief systems.
- Appeal of insurgent goals.
- Public attitudes toward insurgent and counterinsurgent actions.
- Effectiveness of insurgent strategy and tactics in generating popular support.
- Changes in public interests.

OBJECTIVE AND MOTIVATION IDENTIFICATION

B-63. Insurgents have political objectives and are motivated by ideology or grievances that may be real or perceived. Identification of insurgent objectives and motivations allows COIN forces to address the underlying causes of the conflict. Broadly speaking, insurgencies can be divided into two varieties, national and liberation. Both can be further classified into the eight types explained in Chapter 1.

B-64. In a *national insurgency*, the war is between a country's government and a segment or segments of the country's population. In this type of insurgency, the insurgents seek to change the political system, take control of the country, or secede from the country. A national insurgency polarizes the population of a country and is generally a struggle between the government and insurgents for legitimacy and popular support.

B-65. In contrast, a *liberation insurgency* occurs when insurgents seek to expel or overthrow what they consider a foreign or occupation government. The grievance addressed by the insurgents is a foreign government or foreign intervention into their country. Liberation insurgencies tend to have a unifying effect as the foreign occupation serves to unite insurgents with varying objectives and motivations. However, the insurgency can split into competing factions if the occupiers leave, sending the country into civil war.

B-66. Identification of insurgent goals and motivations can be difficult for a number of reasons. There may be multiple insurgent groups in one country, each with differing goals and motivations. In this case, the goals and motivations of each must be monitored independently. Another problem is that leaders within an insurgent organization may change over time and the goals may change with them. In addition to this, insurgent leaders may have different motivations from their followers. For instance, an insurgent leader may simply want to be a new dictator and may motivate followers through a

combination of political ideology and money. A fourth issue is that insurgents may hide their true motivations and make false claims. For instance, liberation insurgencies are generally easier to unify and mobilize due to the clear differences between the insurgents and the outsiders they are fighting. Therefore, insurgents may try to portray a national insurgency as a liberation insurgency. Finally, the goals of the insurgency may change over time due to changes in the operational environment. The entry of a foreign military force into a COIN effort can transform the insurgency from national to liberation. The reverse may happen if a foreign force exits the country. For all of these reasons, analysts continuously track insurgent actions, internal communications, and public rhetoric to determine insurgent goals and motivations.

POPULAR SUPPORT OR TOLERANCE

B-67. Developing passive support (tolerance) is often critical to survival and growth of an insurgent organization in its early stages. Generating active popular support often has the greatest impact on the insurgency's long-term effectiveness. This is the center of gravity of the insurgency. Popular support results in safe havens, freedom of movement, logistic support, financial support, intelligence, and new personnel for the insurgency. Generating such support has a positive feedback effect on an insurgent organization. As the insurgent group gains in support, its capabilities grow. These enable it to gain more support. Insurgents generally view popular support as a zero-sum game in which a gain in support for the insurgents is a loss for the government, and a loss of support for the government is a gain for the insurgents.

B-68. Popular support comes in many forms. In broad terms, it either originates internally to a country or externally, and is either active or passive. There are four forms of popular support:

- Active external.
- Passive external.
- Active internal.
- Passive internal.

The relative importance of each form of support varies depending on the insurgency, but all of them are beneficial to the insurgency.

B-69. *Active external support* includes finance, logistics, training, fighters, and safe havens provided by a foreign government or by NGOs, such as charities.

B-70. *Passive external support* occurs when a foreign government takes no steps to curtail the activities of insurgents living or operating within its borders. This kind of support can also take the form of a foreign government recognizing the legitimacy of an insurgent group or denying the legitimacy of the government fighting the insurgency.

B-71. *Active internal support* includes the following:

- Individuals or groups joining the insurgency.
- Providing logistic or financial support.

- Providing intelligence.
- Providing safe havens.
- Providing medical assistance.
- Providing transportation.
- Carrying out actions on behalf of the insurgents.

This form of support is usually the most important to an insurgent group.

B-72. *Passive internal support* is also beneficial, however. Passive supporters do not provide material support, but allow insurgents to operate and do not provide information to COIN forces.

B-73. The different kinds of support require commanders to take different approaches to address them. Both active and passive external support often requires diplomatic pressure on the governments or groups supporting the insurgency. In addition, actions like sealing borders may effectively stop active external support. Undermining active and passive internal support is critical to the success of counterinsurgents. In order to deal with internal support effectively, commanders must understand how it is generated by the insurgents. Insurgents use numerous methods to generate popular support. These include the following:

- Persuasion.
- Coercion.
- Encouraging overreaction.
- Apolitical fighters.

B-74. *Persuasion* includes charismatic attraction to a leader or group, esoteric appeal of an ideology, exoteric appeal of insurgent promises to address grievances, and demonstrations of potency such as large-scale attacks or social programs for the poor. Persuasion can be used to get either internal or external support. It can be countered with a counter-ideology, denying insurgents freedom of movement, and provision of basic services.

B-75. *Coercion* includes terrorist tactics, violence, and the threat of violence used to force people to support or tolerate insurgent activities. Coercion may be used to alter the behavior of people, organizations, governments, or counterinsurgents. It is countered by providing security.

B-76. *Encouraging overreaction* is also referred to as provocation of a government response. Insurgents will try to force counterinsurgents to use repressive tactics that alienate the people. It is countered by ensuring responses are appropriate to the operational environment.

B-77. *Apolitical fighters* may be attracted via many non-ideological means, such as monetary incentives, promise of revenge, and the “romance” of fighting a revolutionary war.

B-78. All of these methods of generating support are potentially effective, and insurgent groups often use a mix of them. Of these methods, terrorist tactics and intimidation often get the most media attention. However, they are also the most likely to backfire on the insurgent. Both methods employ force or the threat of force to make people, organizations, and governments alter their behavior to the insurgents' benefit. These methods are often very effective in the short term, particularly at the community level. However, terrorism against the general populace and popular leaders or attacks that negatively affecting people's way of life can undermine insurgent popularity. Likewise, though intimidation is an easy means for insurgents to use to generate passive support, this support will exist only as long as the insurgents maintain the ability to intimidate.

B-79. Demonstrations of potency can be the most effective of the techniques because they can create the perception that the insurgency has momentum and will succeed. However, this method will publicly expose shadow governments or large-scale military actions of insurgents and thereby provide analysts with a great deal of insight into the insurgent organization's support and capabilities.

B-80. Although difficult to quantify, analysts evaluate the popular support an insurgent group receives and its ability to generate more support. This depends largely on open sources and whatever intelligence reporting is available. Among these sources, polling data can be a valuable, though imprecise, means of gauging support to the government and support to the insurgents. Media and other open-source publications are important at all echelons. Assessing community attitudes, by gauging such things as the reactions of locals to the presence of troops or governmental leaders, is also a means of estimating popular support at the tactical level. At a minimum, the following should be known:

- The overall level of popular support to the insurgency relative to the government.
- The forms of popular support the insurgents receive.
- Sources of popular support by type (active, passive, internal, external).
- Segments of the populace supporting the insurgency.
- Foreign government support.
- Support from NGOs, including charities and transnational terrorist organizations.
- Criminal network support.
- Methods used to generate popular support and their relative effectiveness.
- Grievances (real or perceived) exploited by insurgents.
- Capabilities and vulnerabilities in generating popular support.

SUPPORT ACTIVITIES—CAPABILITIES, AND VULNERABILITIES

B-81. Violence is the most noticeable activity of an insurgency but may represent only a small portion of overall insurgent activity. The unseen activity includes recruiting, training, and logistic actions used to maintain the insurgency. These are the support activities of an insurgency. They come from an insurgency's ability to generate popular support. Like a conventional military force, the "logistic tail" of an insurgency is usually larger than the number of combatants. Insurgent support networks may be substantial even if overall levels of violence are low. For this reason, it is easy to overlook the early development of an insurgency.

B-82. Undermining popular support to insurgents is the most effect way to reduce their support capabilities. However, identification of support capabilities and vulnerabilities is still important. This process permits analysts to evaluate potential threat courses of action. Such analysis also allows commanders to target vulnerable parts of the insurgent support network and thereby reduce the insurgents' ability to carry out their operations. Support activities to be evaluated include the following:

- Means of gaining or retaining popular support, to include recruiting (See discussion above.).
- Safe havens.
- Freedom of movement.
- Logistic support.
- Financial support.
- An ability to train recruits in military or terrorist tactics and techniques.
- Means of collecting intelligence.
- Means of maintaining operations security.
- Means of communications.

INFORMATION AND MEDIA ACTIVITIES—CAPABILITIES, AND VULNERABILITIES

B-83. Information and media activities can be the main effort of an insurgency, with violence used in support. Information activities by insurgents undermine the legitimacy of the government, undermine counterinsurgent forces, compel counterinsurgent forces to behave in accordance with national and international laws and norms (while excusing the insurgents' own transgressions), and generate popular support. In order to get these effects, insurgents broadcast their successes, the failures of COIN forces, failures of the government, and illegal or immoral actions taken by counterinsurgents or the government. Their broadcasts need not be factual; they need only find traction with the populace. Insurgents may use any form of media to include the following:

- Word of mouth.
- Speeches by elites and key leaders.
- Fliers and hand-outs.
- Newspapers.
- Journals or magazines.
- Books.
- Audio recordings.
- Video recordings.
- Radio broadcasts.
- Television broadcasts.
- Web sites.
- E-mail.

B-84. In addition to producing their own media, insurgents take advantage of existing private and public media companies through press releases and interviews. These efforts, in addition to use of the Internet, allow the insurgent message to reach a global audience.

By broadcasting to a global audience, insurgents gain the ability to directly attack public support for foreign intervention.

B-85. Insurgents can lie at will, while governments must continuously maintain their integrity to be credible. This often gives the initiative to the insurgents and put the host nation or COIN personnel on the defensive in the information fight. Understanding the information capabilities and vulnerabilities of insurgents is the first step to effectively counter insurgent information activities and take the initiative away from them.

Information and media activities to be evaluated include the following:

- Commitment of assets and personnel to information activities.
- Types of media employed.
- Professionalism of products, such as newspaper articles or videos.
- Effectiveness and reach of information activities.

POLITICAL ACTIVITIES

B-86. Insurgents use political activities as a means of achieving their goals and to enhance the legitimacy of their cause. Political activities are tightly linked to both information and violent activities. Political parties affiliated with an insurgent organization may negotiate or communicate on behalf of insurgents, thereby serving as the public face of the insurgency. Insurgencies may grow out of political parties, or political parties may grow out of insurgencies. It is important to recognize, however, that the links between insurgents and political parties may be weak or easily broken by disputes between insurgents and politicians. In such cases, political parties may not be able to deliver on promises to end violent conflict. It is important to understand not only the links between insurgent groups and political organizations, but also the amount of control each exerts over the other.

B-87. An understanding of insurgent political activities enables effective political engagement of insurgents. Without this knowledge, the wrong political party may be engaged, the wrong messages may be used, or counterinsurgents may make deals with political parties that cannot deliver on their promises. Political activities to be evaluated include the following:

- Links, if any, between the insurgency and political parties.
- Influence of political parties over the insurgency and vice versa.
- Political indoctrination and recruiting by insurgent groups.

VIOLENT ACTIVITIES

B-88. As explained in previous chapters, insurgents are an asymmetric threat. They make up for a lack of conventional power by exploiting the weaknesses of counterinsurgents. Information, political, and violent activities are all means of doing this. In the case of using violence, insurgents usually tie their limited capability for violence to information or political actions to multiply the effects of the violence. In addition, they usually attack in such a way that they conserve their forces while inflicting maximum damage.

B-89. Violent actions by insurgents use three types of tactics, which may occur simultaneously:

- Terrorist.
- Guerrilla.
- Conventional.

B-90. Terrorist tactics employ violence primarily against noncombatants. Terror attacks generally require fewer personnel than guerrilla warfare or conventional warfare. They allow insurgents greater security and relatively low support requirements. Insurgencies often rely on terrorist tactics early in their formation due to these factors. Terrorist tactics do not involve mindless destruction nor are they employed randomly. Insurgents choose targets that have maximum informational and political effects in support of their goals. As explained above, terrorist tactics can be effective for generating popular support and altering the behavior of governments.

B-91. Guerrilla tactics, in contrast, feature hit-and-run attacks by lightly armed groups primarily targeting the government, security forces, or other COIN elements. Insurgents using guerrilla tactics usually avoid decisive confrontation unless they know they can win. Instead, they focus on harassing counterinsurgents. As with terrorist tactics, guerrilla tactics are neither mindless nor random. Insurgents try to choose targets to ensure maximum informational and political effects. The goal is not to militarily defeat COIN forces, but to outlast them while building popular support for the insurgency. It is important to note that terrorist and guerrilla tactics are not mutually exclusive. An insurgent group may employ both forms of violent action simultaneously.

B-92. The use of conventional tactics is relatively rare in insurgencies and is not always necessary for their success. It can arise after an extended period during which the insurgency develops a great deal of popular support and extensive support capabilities. The insurgents are then able to generate a conventional military force that can fight directly against government forces.

B-93. Knowledge of violent capabilities is used to evaluate insurgent courses of action. Commanders use this knowledge to determine appropriate force protection measures, as well as tactics to be used in countering insurgent actions. In addition, knowledge of how the enemy conducts attacks provides a baseline that aids in determining the effectiveness of COIN operations. The following should be evaluated to determine insurgent violent capabilities:

- Forms of violent action used.
- Weapons available and their capabilities.
- Training.
- Known methods of operating.
- Frequency of attacks.
- Timing of attacks.
- Targets of attacks.
- Tactics and techniques.

- Known linkages between violent, political, and information actions—how do the insurgents use violence to increase their popular support and undermine counterinsurgents?
- Means of command and control during attacks (including communications means used).

INSURGENT ORGANIZATIONAL STRUCTURE AND KEY PERSONALITIES

B-94. In order to conduct the activities described above, an insurgency requires some form of organizational structure and leadership. Insurgents may use any of a wide variety of organizational structures, each with its own strengths and limitations. The structure used balances the following:

- Security.
- Efficiency and speed of action.
- Unity of effort.
- Survivability
- The human and physical geographies of the operational environment.

The organization also varies greatly by region and time. The result often ends up being based on familial, tribal, ethnic, religious, professional, and other existing social networks. For these reasons, social network analysis is required to determine organizational structure. (See Appendix D).

B-95. The organizational structure of an insurgency often determines the effectiveness of targeting enemy or eliminating enemy leaders by COIN forces. For instance, if an insurgent organization is hierarchical and has few leaders, removing them may greatly degrade the capabilities of the insurgent organization. However, if the insurgent organization is nonhierarchical and amorphous, focusing on the leadership is unlikely to have much effect. When creating the organization, insurgents decide whether to make the structure:

- Hierarchical or nonhierarchical.
- Highly structured or amorphous.
- Composed of personnel conducting a few specialized tasks or composed of non-specialized personnel capable of a wide variety of tasks.
- Use rigid command and control or allow autonomous action and initiative.
- Have a few leaders for rapid decision making or redundant leadership for survivability.
- Tie directly into other organizations and networks, such as criminal groups, religious organizations, and political organizations.
- Weight one activity over another, such as a focus on political organization over combat organization.

B-96. As explained in Chapter 1, the members of the insurgent organization fall into five broad categories that may overlap:

- Leaders, who serve as planners and organizers.

- Cadre, mid-level leaders in the insurgent organization, who conduct information and political activities, recruiting, and ideological indoctrination. They are believers in the insurgent ideology.
- Combatants, who serve as foot soldiers and conduct violent activities.
- Auxiliaries, active members who provide support services (safe havens, supplies, and so forth).
- Mass base, consisting of active or passive supporters. Understanding the roles and numbers of each category is important.

B-97. The mass base forms the foundation upon which most insurgencies are built. Removing its members often reduces the strength of the insurgency to a level where local law enforcement can deal with it. This is usually the most effective means of countering an insurgency and is a part of winning the “hearts and minds” of the people.

B-98. The cadre and combatants carry out the visible actions of the insurgency and reinforce the mass base by increasing popular support. Eliminating them may disrupt an insurgency, but rarely brings about the end of the insurgency by itself.

B-99. Leaders are important because they choose the organization, strategy, and tactics of the insurgency. The personalities of the leaders and decisions they make often determine the success or failure of the insurgency. Therefore, the leaders must be identified and their basic beliefs, intentions, capabilities, and vulnerabilities understood. Leader characteristics to be identified include the following:

- Role of the leader in the organization.
- Known activities.
- Known associates.
- Background and personal history.
- Beliefs, motivations, and ideology.
- Education and training.
- Temperament, meaning whether the person is careful, impulsive, thoughtful, or violent.
- Importance of the leader in the organization.
- Popularity outside of the organization.

SECTION V – DETERMINE THREAT COURSES OF ACTION

B-100. The purpose of determining threat courses of action is to understand insurgent strategies and tactics so they may be effectively countered. The initial determination of threat courses of action focuses on two levels of analysis. The first involves defining the overall strategy of an insurgent force for achieving its goals. The second focuses on determining tactical courses of action used in support of the strategy.

INSURGENT STRATEGIES

B-101. As described in Chapters 1 and 3, insurgents may follow five general strategies. These can be combined with one another and may change over time.

- B-102. The conspiratorial strategy has the following characteristics:
- Secretive political body seeking to grab power rapidly when the government is sufficiently weak.
 - Usually a small organization that is tightly controlled by leadership.
 - Cadre large relative to combatants and has little or no mass base.
 - Difficult to detect.
 - Countered by capturing or killing leaders and cadre.
 - An example is the Bolsheviks in Russia.
- B-103. The protracted popular war strategy has the following characteristics:
- Historically the most effective strategy and most complex to counter.
 - Efforts focused on developing a large mass base while undermining the legitimacy and will of the government and supporting elements.
 - Use of violent, informational, and political actions together to achieve goals.
 - Popular support is the center of gravity that must be won by counterinsurgents.
 - Examples are the Viet Minh in Vietnam and the communists in China.
- B-104. The traditional strategy has the following characteristics:
- Relies on a tribal, ethnic, religious, or other traditional identity.
 - Builds on group identity and exploits differences between the group and the government.
 - Organization tends to have traditional leaders in leadership positions, a large mass base, and many auxiliaries, though roles shift as required.
 - Countering generally requires political or economic deals between the counterinsurgents and insurgents.
 - An example is the Dinka insurgency in southern Sudan.
- B-105. The military-focus strategy has the following characteristics:
- Relies almost completely on violence to incite a popular revolution.
 - Organization tends to have leaders and combatants but little, if any, cadre or mass base.
 - Countered by capturing or killing leaders and combatants, though social, political, and development programs also aid COIN efforts.
 - An example is the Cuban Revolution of 1959.
- B-106. The urban-warfare strategy has the following characteristics:
- Relies on terrorism in urban areas to incite repression by COIN forces.
 - May seek to fix COIN forces in cities so insurgents gain freedom of movement in rural areas.
 - Emphasizes infiltration and subversion of government and security forces.
 - Tends to be organized in small, compartmentalized cells, due to urban operations.
 - Cadre and mass base usually small relative to combatants.
 - COIN forces must win support of people and avoid repressive measures that fuel insurgency.
 - Examples include the Irish Republican Army in Northern Ireland and the Basque Fatherland and Liberty (ETA) movement in Spain.

TACTICAL COURSES OF ACTION

B-107. Insurgents base their tactical courses of action on their capabilities and intentions. The capabilities of an organization are the support, information, political, and violent capabilities evaluated in the third step of IPB. The intentions come from goals, motivations, strategy, culture, perceptions, and leadership personalities. Insurgents can employ a huge variety of tactics. Typical insurgent tactics and operations include, but are not limited to the following:

- **Ambushes.** Guerrilla-style attacks to kill or intimidate counterinsurgents.
- **Assassination.** A term generally applied to the killing of prominent persons and symbolic personnel as well as “traitors” who defect from the group, human intelligence sources, and others who work with/for the government.
- **Arson.** Less dramatic than most tactics, arson has the advantage of low risk to the perpetrator and requires only a low level of technical knowledge.
- **Bombing and high explosives.** The improvised explosive device (IED) is the insurgent’s or terrorist’s weapon of choice. IEDs can be inexpensive to produce and, because of the various detonation techniques available, may be a low risk to the perpetrator. However, suicidal bombing cannot be overlooked as an employment method. Other advantages include their ability to gain publicity, as well as the ability to control casualties through timed detonation and careful placement of the device. It is also easily deniable should the action produce undesirable results.
- **Demonstrations.** These can be used to incite violent responses by counterinsurgents and also to display the popularity of the insurgent cause.
- **Hostage taking.** This is an overt seizure of one or more individuals with the intent of gaining publicity or other concessions in return for release of the hostage. While dramatic, hostage and hostage barricade situations are risky for the perpetrator.
- **Infiltration and subversion.** These tactics gain intelligence and degrade the effectiveness of government organizations by getting them to hire insurgent agents or by convincing members of the government to support the insurgency. Subversion may be achieved through intimidation, indoctrination of sympathetic individuals, or bribes.
- **Indirect fire.** Insurgents may use indirect fire to harass counterinsurgents or to cause them to commit forces that are attacked by secondary ambushes.
- **Kidnapping.** While similar to hostage taking, kidnapping has significant differences. Kidnapping is usually a covert seizure of one or more specific persons to extract specific demands. It is normally the most difficult task to execute. The perpetrators of the action may or may not be known for a long time. Media attention is initially intense, but decreases over time. Because of the time involved, successful kidnapping requires elaborate planning and logistics. The risk to the perpetrators may be less than in the hostage situation.
- **Hijacking or skyjacking.** Sometimes employed as a means of escape, hijacking is normally carried out to produce a spectacular hostage situation. Although trains, buses, and ships have been hijacked, aircraft are the preferred target

- because of their greater mobility and because they are difficult to penetrate during terrorist operations.
- **Propaganda.** Insurgents may disseminate propaganda using any form of media, including face-to-face talks.
 - **Seizure.** Seizure usually involves a building or object that has value in the eyes of the audience. There is some risk to the perpetrator because security forces have time to react.
 - **Raids or attacks on facilities.** Armed attacks on facilities are usually undertaken to:
 - Demonstrate the government's inability to secure critical facilities or national symbols.
 - Acquire resources (for example, robbery of a bank or armory).
 - Kill COIN or government personnel.
 - Intimidate the government and the populace.
 - **Sabotage.** The objective in most sabotage incidents is to demonstrate how vulnerable a particular society or government is to terrorist actions. Industrialized areas are more vulnerable to sabotage than less highly developed societies. Utilities, communications, and transportation systems are so interdependent that a serious disruption of any affects all of them and gains immediate public attention. Sabotage of industrial or commercial facilities is one means of creating significant disruption while making a statement of future intent. Military facilities and installations, information systems, and information infrastructures may become targets of terrorist sabotage.
 - **Denial and deception.**
 - *Denial* consists of measures taken by the threat to block, prevent, or impair ANA intelligence collection. Examples include killing human intelligence sources.
 - *Deception* involves deliberately manipulating information and perceptions in order to mislead. Examples include providing false intelligence.
 - **Hoaxes.** Any insurgent or terrorist group that has established credibility can employ a hoax with considerable success. A threat against a person's life causes that person and those associated with that individual to devote time and efforts to security measures. A bomb threat can close a commercial building, empty a theater, or delay an aircraft flight at no cost to the insurgent or terrorist. False alarms dull the analytical and operational efficiency of key security personnel, thus degrading readiness.
 - **Use of chemical, biological, radiological, or nuclear weapon.** Some insurgent groups may possess chemical and biological weapons, and there is a potential for use of both chemical and biological weapons in the future. These types of weapons, relatively cheap and easy to make, may be used in place of conventional explosives in many situations. The potential for mass destruction and the deep-seated fear most people have for these weapons can be attractive to a group wishing to attract international attention. Although an explosive nuclear device is acknowledged to be beyond the financial and technical reach of most terrorist groups, a chemical or biological weapon, or even a radiological dispersion device

using nuclear contaminants, is not. The technology is simple and the payoff is potentially higher than conventional explosives.

B-108. When analyzing possible courses of action, it is crucial that informational, political, and violent actions all be evaluated. It is also important to understand the interrelationship between these activities.

Appendix C

Legal Considerations

Law and policy govern the actions of the Afghan National Army in all military operations, including counterinsurgency (COIN). There must be a legal basis for ANA forces to conduct operations, and this legal basis has a profound influence on many aspects of the operations themselves, including the rules of engagement (ROE), the military's participation in organizing and training forces, the authority to spend funds for the benefit of the local government confronting insurgency, the authority of forces to detain and interrogate, and a range of other matters. Under the Constitution, the President is Commander-in-Chief of the Armed Forces. Therefore, orders issued by the President or the Minister of Defense to a commander provide the starting point in determining the legal basis. This appendix summarizes some of the most significant laws and policies that also bear upon ANA operations in support of foreign COIN.

AUTHORIZATION TO USE MILITARY FORCE

NATIONAL ASSEMBLY RESOLUTION

C-1. Because National Assembly support is necessary to the success of any prolonged involvement of ANA forces in actual operations, the central legal basis for such involvement within Afghan law is often provided in a National Assembly resolution. This is especially likely if ANA forces are anticipated, at least initially, to be engaged in combat operations against an identified enemy or hostile force.

STATE OF EMERGENCY

C-2. The President, in accordance with the Constitution of the Islamic Republic of Afghanistan may declare a state of emergency for a period of up to 60 days. A state of emergency in excess of this period must be approved by the National Assembly.

RULES OF ENGAGEMENT

OPERATION-SPECIFIC RULES OF ENGAGEMENT

C-3. ROE are directives issued by competent military authority that delineate the circumstances and limitations under which ANA forces initiate and/or continue combat engagement with other forces encountered. In a large-scale deployment, the Minister of Defense may issue ROE that are specific to the operation to a combatant commander. The combatant commander and subordinate commanders then issue ROE that must be consistent with the ROE received from the Minister of Defense. In addition to stating the circumstances under which Soldiers may open fire—that is, upon positive identification of a member of a hostile force or upon clear indications of hostile intent—the ROE may include rules concerning when civilians may be detained, specify levels of approval authority for using heavy weapons, or identify facilities that may be protected with deadly force. All ROE comply with the law of war. ROE in COIN are dynamic and must be regularly reviewed for their effectiveness in the complex COIN environment. ROE training for COIN forces should be reinforced regularly.

COALITION RULES OF ENGAGEMENT

C-4. When ANA forces operate in conjunction with a multinational force, reasonable efforts are made to affect common ROE. If such ROE cannot be established, ANA forces operate under their operation-specific ROE provided by Islamic Republic of Afghanistan authorities. To avoid misunderstanding, any differences in ROE or ROE interpretation among coalition forces must be thoroughly discussed between commanders and disseminated throughout all units involved.

THE LAW OF WAR

C-5. COIN and international armed conflicts often overlap. COIN may take place before, after, or simultaneously with a war occurring between nations. In such situations, ANA forces obey the law of war, a body of international treaties and customs, recognized by the Islamic Republic of Afghanistan as binding, which regulates the conduct of hostilities and protects noncombatants. The main law of war protections of the Hague and Geneva Conventions applicable at the tactical and operational level are summarized in ten rules:

- Soldiers fight only enemy combatants.
- Soldiers do not harm enemies who surrender. They disarm them and turn them over to their superior.
- Soldiers do not kill or torture enemy prisoners of war.
- Soldiers collect and care for the wounded, whether friend or foe.
- Soldiers do not attack medical personnel, facilities, or equipment.
- Soldiers destroy no more than the mission requires.
- Soldiers treat civilians humanely.
- Soldiers do not steal. Soldiers respect private property and possessions.
- Soldiers should do their best to prevent violations of the law of war.
- Soldiers report all violations of the law of war to their superior.

C-6. When insurgency occurs during occupation, the law of war includes rules governing situations in which the military forces of one state occupy the territory of another. Occupation is not a transfer of sovereignty, though it does confer upon the occupying power the authority and responsibility to restore and maintain public order and safety while respecting, as much as possible, the laws in force in the country. One of the four Geneva Conventions of 1949—the Geneva Convention Relative to the Protection of Civilian Persons in Time of War—becomes a prominent source of law during occupation.

INTERNAL ARMED CONFLICT

C-7. Geneva Convention, Common Article 3: Although insurgencies can occur simultaneous with a legal state of war between two nations, they are classically conflicts internal to a single nation, between uniformed government forces and armed elements that do not wear uniforms with fixed distinctive insignia, carry arms openly, or otherwise obey the laws of war. As such, the main body of the law of war does not strictly apply to these conflicts—a legal fact that can be a source of confusion to commanders and soldiers. It bears emphasis, however, that one article contained in all four of the Geneva Conventions—Common Article 3—is specifically intended to apply to internal armed conflicts:

In the case of armed conflict not of an international character occurring in the territory

of one of the high contracting parties, each Party to the conflict shall be bound to apply, as a minimum, the following provisions:

- *Persons taking no active part in the hostilities, including members of armed forces who have laid down their arms and those placed hors de combat by sickness, wounds, detention, or any other cause, shall in all circumstances be treated humanely, without any adverse distinction founded on race, color, religion or faith, sex, birth or wealth, or any other similar criteria.*
- *To this end, the following acts are and shall remain prohibited at any time and in any place whatsoever with respect to the above-mentioned persons:*
 - *Violence to life and person, in particular murder of all kinds, mutilation, cruel treatment and torture.*
 - *Taking of hostages.*
 - *Outrages upon personal dignity, in particular, humiliating and degrading treatment.*
 - *The passing of sentences and the carrying out of executions without previous judgment pronounced by a regularly constituted court, affording all the judicial guarantees which are recognized as indispensable by civilized peoples.*
- *An impartial humanitarian body, such as the International Committee of the Red Cross, may offer its services to the Parties to the conflict.*
- *The Parties to the conflict should further endeavor to bring into force, by means of special agreements, all or part of the other provisions of the present Convention.*
- *The application of the preceding provisions shall not affect the legal status of the Parties to the conflict.*
- *The wounded and sick shall be collected and cared for.*

APPLICATION OF CRIMINAL LAWS OF THE NATION

C-8. The final sentence of Common Article 3 makes clear that insurgents have no special status under international law. They are not, when captured, prisoners of war and may legally be prosecuted as criminals for bearing arms against the government and for other offenses, so long as they are accorded the minimum protections described in Common Article 3. ANA elements conducting COIN should remain mindful that the insurgents they encounter are, as a legal matter, criminal suspects within the legal system of the government. Weapons, witness statements, photographs, and other evidence collected at the scene of their offenses must be carefully preserved so as to introduce them into the criminal process and thus hold the insurgents accountable for their crimes while still promoting the rule of law.

C-9. Status of Forces Agreements (SOFAs) establish the legal status of military personnel in foreign countries. Criminal and civil jurisdiction, taxation, and claims for damages and injuries are a few of the topics usually covered in a SOFA. In the absence of an agreement or some other arrangement with a foreign government, Islamic Republic of Afghanistan personnel in foreign countries may be subject to the laws of that government.

DETENTION AND INTERROGATION

C-10. As Chapter 3, Chapter 5, and Chapter 7 (this manual) indicate, the need for human intelligence in COIN operations can create great pressure to obtain time-sensitive information from detained individuals. Law clearly prohibits ANA forces, including officials from other government agencies, from certain methods in obtaining such information.

Uniform Standards for the Interrogation of Persons Under the Detention of the Ministry of Defense

C-11. In General—No person in the custody or under the effective control of the MOD or under detention in a MOD facility shall be subject to any treatment or technique of interrogation not authorized by and listed by the MOD.

C-12. Construction—Nothing in this section shall be construed to affect the rights under the Constitution of the Islamic Republic of Afghanistan of any person in the custody or under the physical jurisdiction of the Afghan Government.

Prohibition on Cruel, Inhuman, or Degrading Treatment or Punishment of Persons Under Custody or Control of the Islamic Republic of Afghanistan

C-13. In General—No individual in the custody or under the physical control of the Government of the Islamic Republic of Afghanistan, regardless of nationality or physical location, shall be subject to cruel, inhuman, or degrading treatment or punishment.

C-14. Construction—Nothing in this section shall be construed to impose any geographical limitation on the applicability of the prohibition against cruel, inhuman, or degrading treatment or punishment under this section.

C-15. Cruel, inhuman, or degrading treatment or punishment defined—in this section, the term “cruel, inhuman, or degrading treatment or punishment” means the cruel, unusual, and inhumane treatment or punishment prohibited by Chapter 2 of the Constitution of the Islamic Republic of Afghanistan and understandings to the United Nations Convention Against Torture and Other Forms of Cruel, Inhuman, or Degrading Treatment or Punishment established in New York, NY, December 10, 1984.

INTERROGATION

C-16. No interrogation techniques, other than those prescribed by approved manual are authorized by Afghan military forces. Commanders must ensure that interrogators are properly trained and supervised.

STANDARDS FOR DETENTION AND INTERNMENT

C-17. Regardless of the precise legal status of those persons captured, detained, or otherwise held in custody by ANA forces, they must receive humane treatment until properly released and are provided the minimum protections of the Geneva Conventions. Prolonged detention should be accomplished by specially trained, organized, and equipped military police units in adequately designed and resourced facilities according to international standards. The military police personnel operating such facilities shall not be used to assist in or “set the conditions for” interrogation.

TRANSFER OF DETAINEES TO ANOTHER NATION

C-18. ANA forces may not transfer custody of a detainee to the authorities of the host country or of any other foreign government where there are substantial grounds for believing that he or she would be in danger of being subjected to torture or inhumane treatment.

ENFORCING DISCIPLINE OF FORCES

MILITARY PUNISHMENT LOG

C-19. Although the vast majority of well-led and well-trained Afghan military personnel perform their duties honorably and lawfully, history records that some commit crimes amidst the decentralized command and control, the strains of opposing a treacherous and hidden enemy, and the often complex ROE that characterize the COIN environment. Uniformed personnel remain subject at all times to the Military Punishment Log and must be investigated and prosecuted, as appropriate, for violations of orders, maltreatment of detainees, assaults, thefts, sexual offenses, destruction of property, and other crimes, including homicides, that they may commit during COIN.

COMMAND RESPONSIBILITY

C-20. In some cases, a military commander may be deemed responsible for crimes committed by subordinates or others subject to his control. This situation arises when the criminal acts are committed pursuant to the commander’s order. The commander is also responsible if he has actual knowledge, or should have knowledge, through reports received or through other means, that troops or other persons subject to his control are about to commit or have committed a crime, and he fails to take the necessary and reasonable steps to ensure compliance with the law or to punish violators.

CIVILIAN PERSONNEL AND CONTRACTORS

C-21. Modern COIN operations feature large numbers of civilian employees, as well as civilian personnel employed by government contractors. Although the means of disciplining such persons for violations differ from the means of disciplining uniformed personnel, these civilians may be made subject to prosecution or receive adverse

administrative action by the Government of the Islamic Republic of Afghanistan or contract employers.

HUMANITARIAN RELIEF AND RECONSTRUCTION

C-22. In COIN, like all operations, commands require specific authority to expend funds. These funds may be granted from the MOD in the form of Operation and Maintenance funds, or Commander's Emergency Response Program (CERP) funds. These funds are used to offset needs required in specific Areas of Operation (AOs). Determination of the distribution of funds of this type will be by the MOD.

COMMANDERS EMERGENCY RESPONSE PROGRAM (CERP)

C-23. CERP provided tactical commanders a ready source of cash for small-scale projects to repair public buildings, clear debris from roadways, provide supplies to hospitals and schools, and myriad other local needs. In any program like CERP, it is imperative for commanders and staffs to make sound, well-coordinated decisions on the expenditure of the funds to ensure that maximum goodwill is created, that harmful effects are not caused in the local economy due to the infusion of cash, that projects can be responsibly administered to achieve the desired objective, and that insurgents are not being inadvertently financed.

DOMESTIC CLAIMS

C-24. Claims by civilians for property losses, injury, or death caused by Service members or the civilian component of the ANA forces may be paid to promote and maintain friendly relations with the populace. Claims that result from non-combat activities or negligent or wrongful acts or omissions are also payable. Because payment of claims is specifically governed by law and because many claims prove, upon investigation, to be not payable, ANA forces must be careful not to raise expectations by promising payment.

ESTABLISHING THE RULE OF LAW

C-35. Establishment of the "rule of law" is a key goal/end-state in COIN. Defining that end-state requires extensive coordination between the instruments of power and any applicable coalition partners. Additionally, attaining that end-state is usually the province of governmental authorities, international organizations, with support from the military. Some key aspects of the rule of law, include:

- A government that derives its powers from the governed and competently manages, coordinates, and sustains collective security, as well as political, social, and economic development. This includes local, regional, and national government.
- Sustainable security institutions. These include a civilian-controlled military, as well as police, court and penal institutions (the latter should be perceived by the local populace as being fair, just, and transparent).

- Fundamental human rights. The UN Declaration on Human Rights and the International Convention for Civil and Political Rights provide a guide for applicable human rights; the latter provides for derogation from certain rights, however, during a state of emergency. Respect for the full panoply of human rights should be the goal of the government; derogation and violation of these rights by security forces, in particular, often provides an excuse for insurgent activities.

C-36. In periods of extreme unrest and insurgency, legal structures (for example, courts, prosecutors, defense assistance, and prisons) may cease to exist or function at any level. Under these conditions, COIN forces may need to undertake a significant role in the reconstruction of the judicial system in order to establish legal procedures and systems for dealing with captured insurgents and common criminals. During judicial reconstruction, COIN forces can expect to be substantially involved in providing sustainment and security support as well as legal support and advice to the judicial entities. Even when judicial functions are restored, COIN forces, may still have to provide logistical and security support to judicial activities for a prolonged period of time if insurgents continue to demonstrate keen interest in disrupting all activities supporting the legitimate “rule of law.”

Appendix D

Social Network Analysis

Social network analysis (SNA) is characterized by a distinct and unique methodology for collecting data, performing statistical analysis, and making visual representations. Such applications can be useful for devising more effective schemes for promoting ideas or exerting influence in organizations. These are certainly important functions, but the relevance of such analysis to counterinsurgency (COIN) primarily deals with explaining how people behave and how that behavior is affected by their relationships.

NETWORKS AND INSURGENTS

D-1. Most governmental, business, and volunteer organizations today are operating increasingly as networks. In a network organization, independent or semi-independent people and groups act as independent nodes, link across boundaries, and work together for a common purpose. The network organization has multiple leaders, lots of voluntary links and many interacting levels.

D-2. The differences between a network organization and a traditional organization are that a network:

- Gains authority not from a hierarchy but from an individual's recognized knowledge and skill.
- Links people, groups, and teams across conventional boundaries.
- Contains members and structures that adapt to changing circumstances.
- Accomplishes activities because of a sense of mutual responsibility versus following orders.
- Explores ways to work effectively versus following predefined processes.
- Re-adjusts or disbands teams as needed.

D-3. Whether or not a group is intentionally organized as a network, a group operating as a network has specific enabling characteristics. These characteristics are counter-intuitive to traditional military analysts and commanders who have trained within the efficiency of a hierarchy with strict senior-subordinate relationships and established procedures.

D-4. Commanders facing an insurgency are probably dealing with an enemy organized as a network. No longer can analysts just use an organizational chart to describe the enemy configuration. It is increasingly unlikely that we can expect the enemy to exhibit a coherent pattern of activity that would result from a single leader with a clearly hierarchical subordinate structure. It is also much more difficult for a commander to readily differentiate the enemy from members of the population.

D-5. This appendix provides a tool for understanding an insurgency and demonstrates SNA-based metrics that assist a commander in gauging his performance. SNA supports the commander's understanding of the COIN battle-space.

PERFORMING SOCIAL NETWORK ANALYSIS

D-6. The social network graph is the building block of SNA. A social network graph consists of individuals and connections between them. In a social network graph, individuals are represented as nodes and relationships are represented by links between the nodes.

D-7. Figure D-1 (below) shows a simple social network of key individuals and relationships. The nodes in this data set are from a modified, sub-network of the link diagram representing Saddam Hussein and his connections to various family members, former regime members, friends, and associates. The original diagram contained hundreds of names and took shape on a large 36-inch by 36-inch board. Each “box” in the network contained personal information on the particular individual. This included assigning roles and positions to certain people within the network – for example, chief of staff, chief of operations, and personal secretary. These were not necessarily positions the individuals occupied prior to the fall of Hussein, but instead were based on an understanding of the role they were filling in support of the insurgency or Saddam’s “underground” operations. These roles were assigned based on an assessment of various personalities and recent intelligence and information reports. Such a process helped coalition forces focus their efforts in determining those who were closest to Hussein and their importance.

D-8. For an insurgency, a social network is not just a description of who is in the insurgent organization, but a picture of the population, how they are put together, and how they interact with one another. Often, social networks are large, complex, and amorphous. They can be beyond the cognitive limitations of a human analyst. Figure D-2 (below) depicts a large, complex network.

D-9. SNA enables the commander to simultaneously understand individual and group-level performance. SNA allows for the weighting of relationships to represent the strength of the relationships, information capacity, rates or flow of traffic, distance between nodes, and probabilities of information being passed. It is these values that allow social network analysts to quantify the relationships, thus presenting a means for mathematically testing the network.

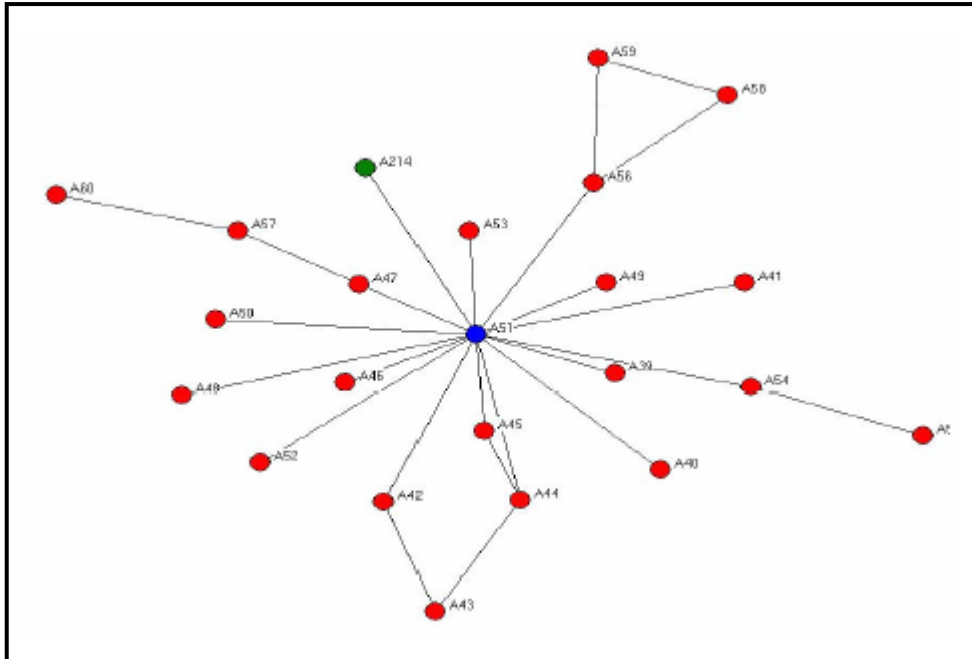


Figure D-1. Simple Network

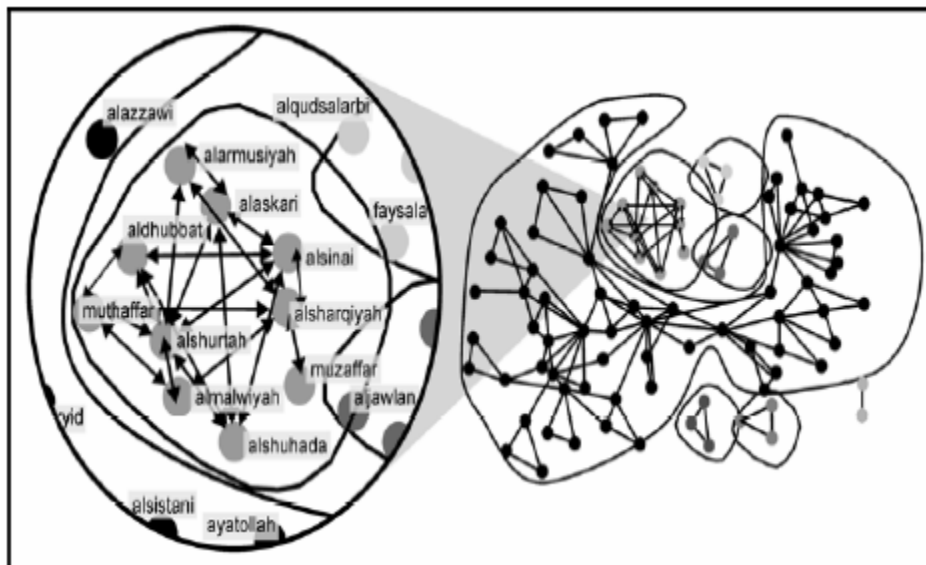


Figure D-2. Large Complex Network

SOCIAL NETWORK DATA COLLECTION

D-10. To draw an accurate picture of an insurgent network, we need to identify ties between the members. Strong bonds formed over time either by family, friendship, or organizational association characterize these ties. Units gather information on these ties by pouring over historical documents and records, interviewing individuals in the network (and those outside of it), and looking over photos and books. It is painstaking

work, but there is really no alternative when we are trying to piece together a network that does not want to be identified.

D-11. The basic element of a social network graph is the pair or dyad. A dyad consists of two nodes and a single line. In the simplest form of SNA, the two nodes represent people and the line represents a relationship between the two people. A large number of interconnected dyads make the organizational graph. (See Figure D-3, below.)

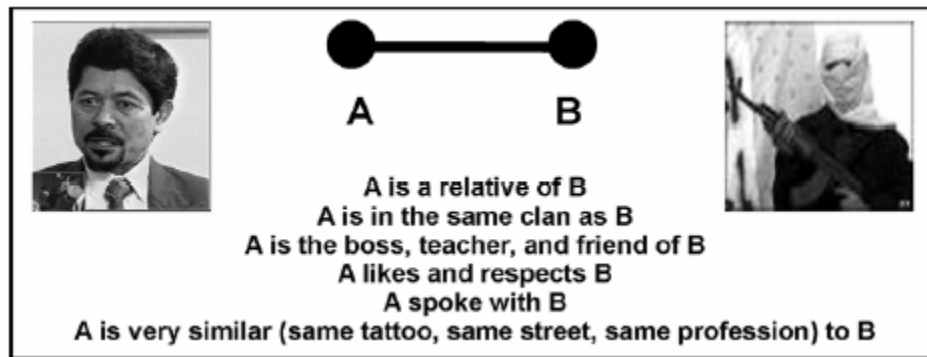


Figure D-3. Dyad Examples

D-12. Links in an insurgency are not easy to determine. Insurgents may be productive members of the population one day and carrying out covert attacks the next day. Further, insurgents hide their communications and do not publicize their relationships. Lastly, membership is difficult to determine since there is little difference between the insurgent, the population that supports the insurgents, the population that is neutral to the insurgents, and the population supporting the counter-insurgency.

D-13. The typical connection between two nodes is discovered from facts learned by soldiers on patrol or in interactions with the local police. Which nodes are brothers? Which nodes are friends? What street does each node live on? A link can be based on one or more criteria. Examples are kinship (brother of), role-based (boss of), affective (likes), interactive (prays with, demonstrates with, communicates with), and affiliation (same clan, club). A commander on the ground who best understands his region, the culture, the economy, and the role of regional socio-political organizations is best qualified for selecting the criteria for defining a link. SNA is best done from within the area of operations under the commander's control.

D-14. Relationships (links) in large data sets are established by similarities between the nodes (people). In the Figure D-4 (below), people are identified by their participation in independent activities. When graphed, pairs who have engaged in the same activity (columns with dots) are designated with a link.

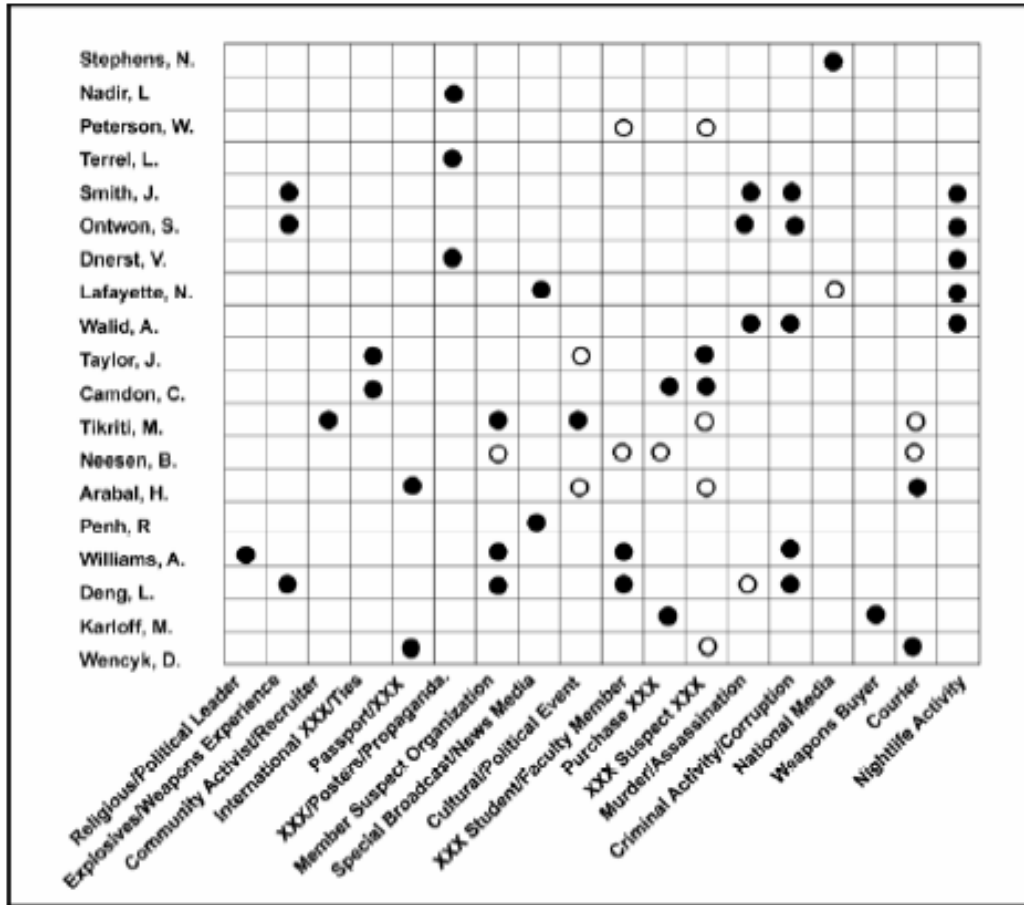


Figure D-4. Activities Matrix

SOCIAL NETWORK GRAPHS AND INSURGENT ORGANIZATION

D-15. As you build your situational awareness of the environment you should create easy to understand, adaptable, and accurate diagrams and information sheets. Charts and diagrams contribute to understanding the insurgents’ means of operations. These same diagrams are also useful for understanding tribal, family, nongovernmental organization, and trans-national terrorist elements. Each diagram and chart may have linkages to another or several others, but they are not created overnight. It takes time, patience, detailed patrolling, and reporting and recording of efforts. These diagrams and charts serve to shape your understanding of the enemy and aid you in planning and focusing your efforts.

D-16. As the commander dispatches patrols to collect information on the nodes and links, he can begin to build a graph of the population in his area of operations. As the graph grows, he quickly finds that traditional, static organizational line charts may not produce viable explanations of insurgent organizational behavior. As a network, the individual insurgents are constantly adapting to the environment, their own capabilities, and our own counter-insurgency tactics. The commander’s understanding of the insurgency is only as good as the patrol’s last collection.

D-17. A regional insurgency can be fragmented within itself. A fully connected network is an unlikely description of the enemy insurgent order of battle. (See Figure D-5, below.) In fact a region may actually contain multiple sub-insurgencies that are either unaware of or even competing with other sub-insurgent groups. (See Figure D-6, below.)

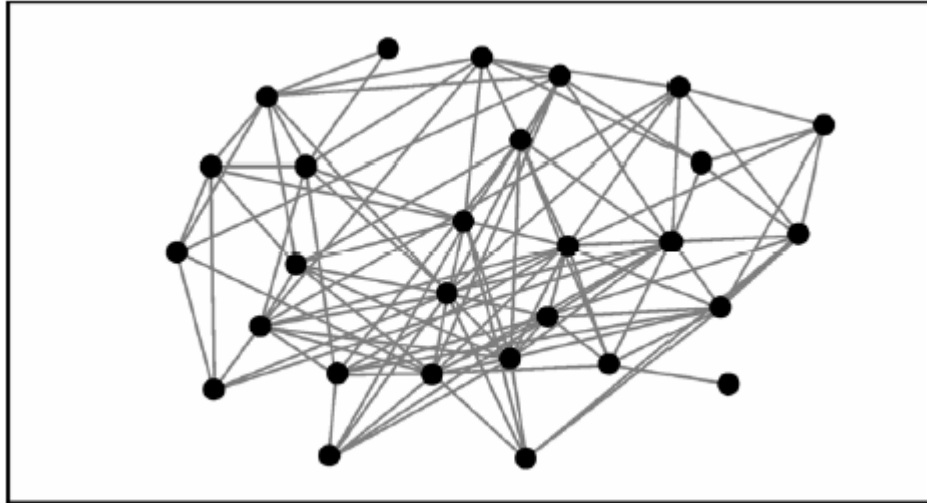


Figure D-5. Network Organization with High Connections

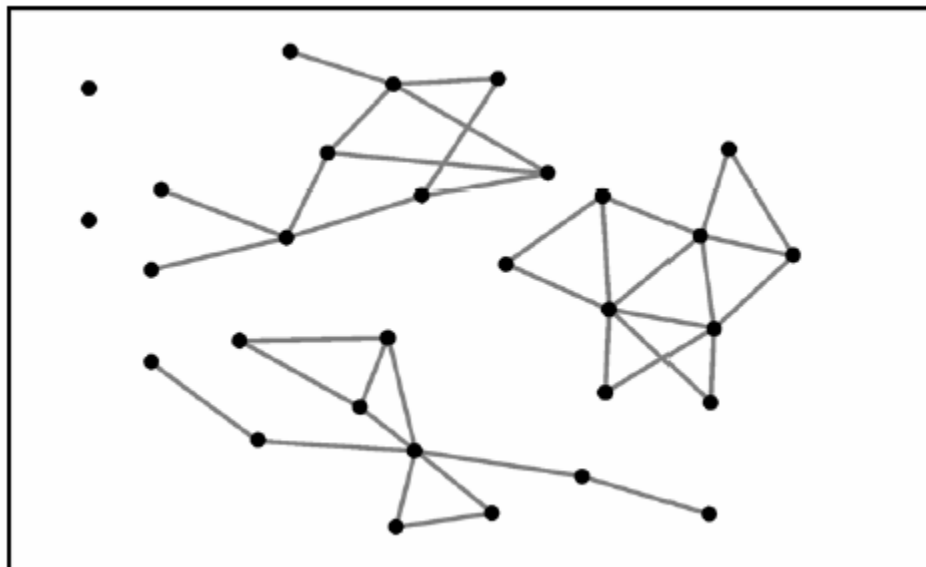


Figure D-6. Fragmented Network

D-18. Without some ability to monitor and assess the connectivity and fluidity of a network, the behavior of the insurgent organization becomes unclear. Leaders may make inappropriate assessments of enemy disposition and intent. COIN analysts can misidentify insurgent leaders and make incorrect assessments of the degree of collusion between regional sub-insurgencies. Figure D-7 (below) depicts two approaches to understanding insurgent organizations. On the left side, the analyst imposes traditional military structure to assess the organizational shape and key leader. The right side

represents a regional insurgency as actually substantiated by the relationship data collect by patrols and interviews. This latter view represents a more accurate organization and leadership assessment.

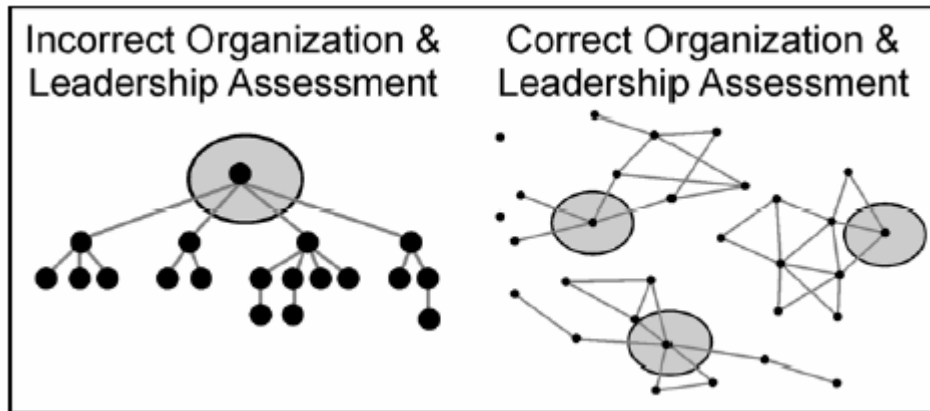


Figure D-7. Assessments

SOCIAL NETWORK MEASURES

D-19. In Figure D-8 (below) each individually identified insurgent is identified as a node, and intelligence gathered relationships are identified as a line. One can readily identify three sub-groups (A, B, C) and two individuals without direct ties to the other groups (ellipse). Thus, a social network is not just a description of who is in a group, but also how they interact with one another.

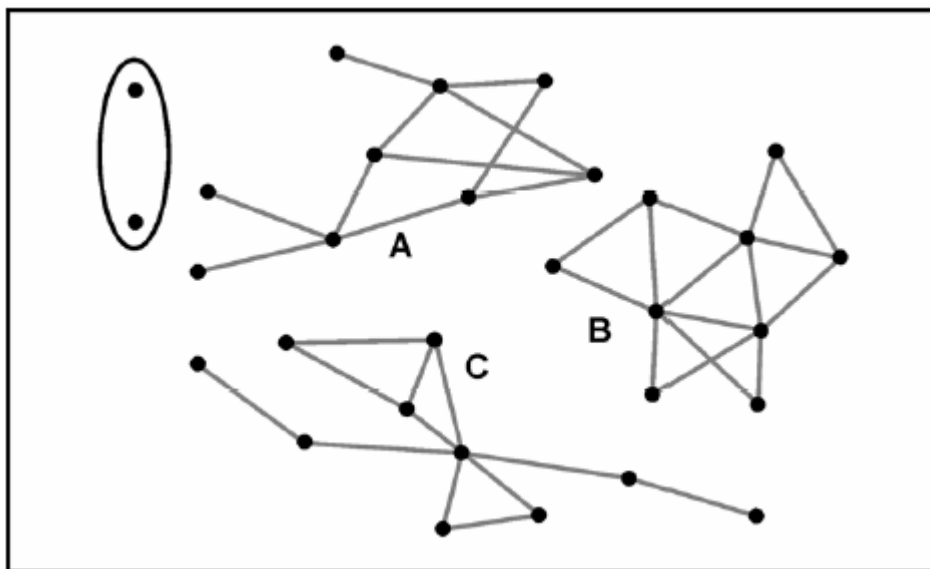


Figure D-8. Hypothetical Regional Insurgency

D-20. SNA simultaneously supports a commander's understanding of individual and group behavior. In addition to producing the relationship graphs shown, SNA provides data to assign values to these connections in order to represent the strength of the

relationships, information capacity, rates or flow of traffic, distance between nodes, and probabilities of information being passed. It is these values that allow SNA to quantify the relationships, thus presenting a means for mathematically testing the network.

ORGANIZATION LEVEL ANALYSIS

D-21. Organizational-level analysis provides insight about the organization's form, efficiency, and cohesion. A regional insurgency may consist of large numbers of disconnected sub-insurgencies. As a result, each group should be analyzed based on its capacities as compared to the other groups.

D-22. Organizational-level capacities can be described by the social network measures of network density, cohesion, efficiency, and core-periphery. Each measure explains a characteristic of the network organization's structure. Different network structures can support or hinder an organization's capabilities. Therefore, each organizational measure supports the analyst's assessment of sub-group capacity.

D-23. Analysis is only as good as the data it is based upon. Unquestioningly using someone else's data to come to conclusions that determine military operations is inadvisable. A commander should take ownership of the collection process, decide which people are tracked as nodes in the data, and what constitutes a relationship between nodes. Lastly, how a commander collects and organizes his changes which social network measures are most relevant to the situation.

D-24. Network density is a general indicator of how connected people are in the network. Network or global-level density is the proportion of ties in a network relative to the total number possible. Comparing network densities between insurgent subgroups provides the commander with an indication of which group is most capable of a coordinated attack and which group is the most difficult to disrupt. (See Figure D-9, below.)

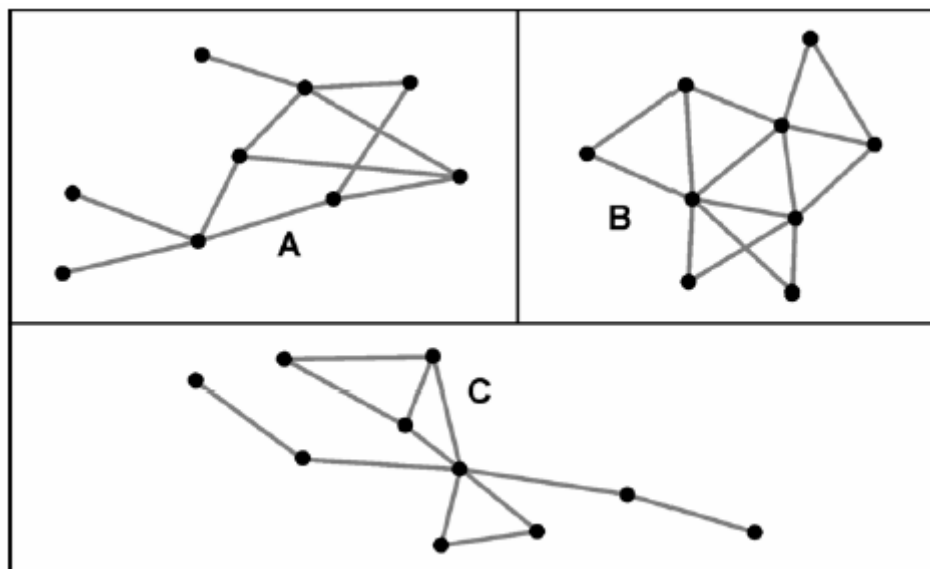


Figure D-9. Comparison of Subgroup Densities

D-25. Most network measures, to include network density, can be mapped out temporally to evaluate performance over time. (See Figure D-10 below.) Based on changes in network density over time, a commander can:

- Monitor the capabilities of the enemy.
- Monitor the effect of recent operations.
- Develop strategies to further fragment the insurgency.

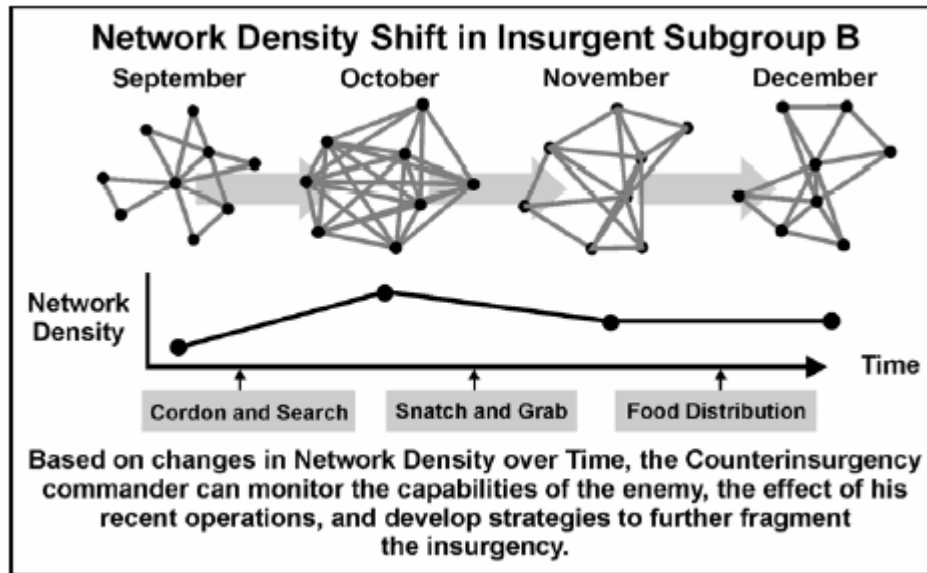


Figure D-10. Density Shift

D-26. An increase in network density indicates the likelihood that the insurgent group can plan and execute coordinated attacks. A decrease in network density means the group is reduced to fragmented or individual-level attacks. A well executed COIN eventually faces only low network density sub-groups. This is because high network density sub-groups only require the capture of one highly connected insurgent to lead to the rest of the group. So, while a high network density group is the most dangerous, the high network density group is also the easiest to defeat and disrupt.

D-27. Network density does not consider how distributed the connections are between the nodes in a network. It is possible that a few nodes with a high number of connections push up the group network density even though the majority of the people-nodes are marginally linked to the group. In the case of a highly centralized network dominated by one or a few very connected nodes, these nodes can be removed or damaged to fragment the group further into sub-networks. Better metrics of group/organizational performance would be network centrality, core-periphery, and diameter. These individual-level metrics account for link distribution among the nodes and are available in most network analysis software packages.

INDIVIDUAL-LEVEL ANALYSIS

D-28. Individual-level analysis characterizes every member of the organization and identifies key members. SNA is best known for its ability to find key individual actors in

a large mass of data. SNA describes individuals based on their network position as compared to the network position of every other individual in the network.

D-29. Individual network centralities provide insight into the individual's location in the network. The relationship between the centralities of all nodes can reveal much about the overall network structure.

D-30. One or a very few central nodes dominate a very centralized network. If these nodes are removed or damaged, the network may quickly fragment into unconnected sub-networks. Hubs are nodes with a very high degree of centrality. A network centralized around a well connected hub can fail abruptly if that hub is disabled or removed.

D-31. A less centralized network has no single points of failure. It is resilient in the face of many intentional attacks or random failures—many nodes or links can fail while allowing the remaining nodes to still reach each other over other, redundant network paths.

D-32. Degree centrality describes how active an individual is in the network. We measure network activity for a node by using the concept of degrees—the number of direct connections a node has. In the networks above, the nodes with the most direct connections are the most active in their networks. Common wisdom in organizations is “the more connections, the better.” This is not always so. What really matters is where those connections lead to—and how they connect the otherwise unconnected. If a node has many ties, it is often said to be either prominent or influential.

D-33. A node with high “betweenness” has great influence over what flows in the network. Betweenness centrality indicates whether an individual lies between other individuals in the network, serving as an intermediary, a liaison, or a bridge. Depending on position, a person with high betweenness plays a “broker” role in the network. A major opportunity exists for counterinsurgents if, as in Group C (Figure E-9), the high betweenness centrality person is also a single point of failure, which if removed would fragment the organization.

D-34. Most people would view the nodes on the periphery of a network as not being very important. Nodes on the periphery receive very low centrality scores. However, peripheral nodes are often connected to networks that are not currently mapped. The outer nodes may be resource gatherers or actors that have their own network outside of their insurgent group—making them very important resources for fresh information not available inside their insurgent group.

THE NETWORK PERSPECTIVE

D-35. The network organization is a new concept in our military lexicon but an old concept in application. Whether in insurgent groups or business organizations we can expect the network organization to rapidly become the norm. Unfortunately, given the flexibility, speed, and connectedness in a network organization, organizational behaviors

can rapidly become an invisible box with hidden connections and transactions. The network organization has a different pulse than an organization tied to strict procedural norms and expectations. Further, the network organization inherently deletes or bypasses stovepipes that slow or inhibit decision making and coordination.

D-36. Insurgents are a network organization embedded in a sympathetic population. Differentiating between the insurgent, the insurgent supporting population, the neutral population, and the friendly population is difficult. With every success of the counter insurgency, the insurgent organization is further fragmented, but it still can remain dangerous.

D-37. SNA assists with formalizing the informality of an insurgent network; with visualizing a structure that we may not readily observe. Network concepts allow us to highlight the structure of a previously unobserved association by focusing on the pre-existing relationships and ties that bind together such a group. By focusing on the roles and organizational positions of those actors who are prominent and/or influential, we get a sense of how the association is structured and thus how the group functions, how members are influenced and power is exerted, and how resources are exchanged.

Appendix E

Airpower in Counterinsurgency

Airpower is an important asset for the government and any multinational forces fighting an insurgency. This manual defines airpower as all the assets of the Army Air Corps and multinational partners that fly or operate from space. These airpower assets could include strike aircraft, reconnaissance aircraft, air transport and helicopters.

OVERVIEW

E-1. In counterinsurgency (COIN), airpower will serve predominantly in a supporting role. At times aircraft can strike insurgents but, given the nature of COIN, the most common roles of airpower will be providing reconnaissance and transporting troops, equipment and supplies. Rough terrain and poor transportation nets can be serious obstacles to COIN operations and serve as an aid to insurgents. Airpower helps overcome these obstacles. Insurgencies cannot be defeated from the air—but airpower serves as a tremendous force enhancer and enables COIN forces to operate more effectively.

E-2. Airpower provides a significant asymmetric advantage to the counterinsurgent. If the insurgents field a force to engage Afghan or multinational forces, air assets can respond quickly with precision firepower. In a sudden crisis, air mobility can shift troops immediately to threatened points or to surround insurgent elements. The vital supporting role played by airpower has been demonstrated in numerous COIN operations. In many cases airpower has been a key element in COIN strategy and tactics. Airpower enables Afghan and multinational forces to operate in rough and remote terrain, areas that traditionally were havens for insurgents.

E-3. Airpower can be important in many ways that do not involve delivering ordnance. Soldier's morale improves noticeably when they know that, if wounded, MEDEVAC helicopters would get them to a hospital within minutes. With this air support, the ANA can become much more aggressive in tracking down and engaging terrorist forces.

E-4. Using air transport to airlift or drop food and medical supplies to civilians in isolated regions is a very effective means of delivering humanitarian support quickly and in winning the support of the population. As was highlighted in Chapter 8 air transport is also important for logistics in COIN. In areas of high insurgent activity along the roads, supplies can be airlifted rather than transported in highly vulnerable land convoys. Air transport also enables the Afghan and multinational forces to maintain forces in remote, but strategically important, locations.

E-5. This appendix does not aspire to provide a comprehensive doctrine for employing airpower in COIN. It does, however, lay out some general principles for the most effective employment of airpower in support of Afghan and multinational forces.

THE ADVANTAGES OF AIRPOWER

E-6. In COIN the direct attack role of airpower becomes more important as the conflict becomes more conventional. If the insurgents mass forces and try to fight from established positions, airpower can be employed with devastating and precise effects. However, unless the insurgents assemble large units and try to engage government forces in a conventional battle, employment of airpower in the strike role is likely to be relatively rare.

E-7. Airpower provides the Afghan and multinational forces a flexibility and initiative that is usually the advantage of the insurgent. The presence of airpower strike capability alone provides a deterrent and denies the insurgent many options. If insurgents mass forces for a major operation, they are vulnerable to close air support or gunships. If the insurgents stand and fight, counterinsurgent forces can be quickly airlifted in to contain the enemy and destroy them. Chapter 8 addresses the significant advantages air transport can provide for COIN logistics.

AIRPOWER IN THE STRIKE ROLE

E-8. The employment of airpower in the strike role should be done with exceptional care. Bombing, even with the most precise weapons, can cause unintended civilian casualties. The benefits of every air strike should be weighed against the risks, the primary danger being collateral damage that turns the population against the government and provides the insurgents with a major propaganda victory. Even when justified under the law of war, bombing a target that results in civilian casualties will bring media coverage that works to the benefit of the insurgents. A standard insurgent and terrorist tactic for decades in numerous countries has been to fire rockets or artillery from the vicinity of a school or village in the hope that the military would carry out a retaliatory air strike that kills or wounds civilians—who are then displayed to the world media as victims of aggression. Insurgents and terrorists elsewhere have shown few qualms in provoking attacks that ensure civilian casualties if such attacks fuel anti-government propaganda. Indeed, insurgents today can be expected to use the civilian population as a cover for their activities.

E-9. Even in a clear case of taking out an insurgent headquarters or command center, care has to be taken to accomplish the mission while minimizing civilian casualties. New, precise munitions with smaller blast effects have been developed and employed to limit collateral damage. A miss, or even a direct hit, by a precision weapon though has the possibility of injuring or killing innocents, as insurgents tend to conduct operations in close proximity to the civilian population. The cost versus the benefit of the use of such weapons has to be judged prior to their employment.

AIRPOWER IN INTELLIGENCE COLLECTION

E-10. COIN relies on good intelligence—and airpower has a major role in intelligence collection. In a conflict where the insurgents operate in the countryside or remote areas,

aerial reconnaissance and surveillance can employ imagery and infrared systems to find hidden base camps and insurgent defensive positions. Aerial surveillance can often identify people, vehicles and buildings even when they are hidden under heavy growth. UAVs and other aircraft can patrol roads to locate insurgent ambushes and improvised explosive devices. Air-mounted, signal intelligence collection can detect insurgent communications and locate the point of origin.

E-11. Air assets have proven important in convoy and route protection and in tactical operations. Helicopters especially have shown great utility in providing overwatch, fire support, alternate communications, and MEDEVAC. At the tactical level, air support requires a decentralized command and control (C2) system in which the supported units have immediate access to information gained by air reconnaissance and support assets, and have combat air assets available to immediately engage insurgent forces.

E-12. However, intelligence obtained through air and space platforms is most useful if it is tied in quickly and efficiently with a joint intelligence center where human intelligence (HUMINT) and other forms of intelligence can be fused. Unlike conventional war where air and space intelligence platforms are the primary one small piece to a larger puzzle. To understand the whole puzzle, air and space intelligence has to be combined with HUMINT. Aerial reconnaissance assets can tell you that the civilians in a village are evacuating the area, but air and space intelligence cannot tell you why.

E-13. In COIN, HUMINT is an essential requirement for properly employing airpower in the strike role. The Army Air Corps needs to be skilled in employing HUMINT in operational planning.

THE ROLE OF HIGH-TECH ASSETS

F-14. “High-tech” air and space systems in use today have proven their worth in COIN. UASs, such as the Predator, can give Afghan and multinational forces unprecedented capabilities in surveillance and target acquisition. Aerial surveillance platforms with long loiter times can place an entire region under constant surveillance. Predators have even been equipped with precision munitions and employed in the strike role to successfully target senior terrorist leaders. Air and space-based signals intelligence, if available, gives the ANA and its multinational partners important intelligence collection capabilities and enabled forces to monitor insurgent communications.

THE ROLE OF LOW-TECH ASSETS

E-15. The “low-tech” aspects of airpower have also proven effective in COIN. In many cases light, slow, and inexpensive civilian aircraft have been successfully employed in patrolling border areas. Different countries have employed stationary balloons equipped with video camera and infrared sensors to watch for border incursions. The unmanned, stationary balloons have proven to be a simple, inexpensive and effective means of monitoring activity in remote areas.

E-16. Many nations have employed aerial gunships as very effective close air support weapons in COIN. At its most basic, the aerial gunship is essentially a converted transport plane modified to fire heavy machine guns or light artillery pieces from the side. Gunships are inexpensive and relatively easy to operate. The major limitation to their employment is the insurgent capability to employ anti-aircraft weapons and missiles, as gunships require a relatively benign environment for operations.

THE AIRPOWER COMMAND STRUCTURE

E-17. The effective use of airpower in COIN requires an effective joint and multinational command structure. It is not only an issue of jointness among Afghan forces, but also coordinating the air assets of its multinational partners. One of the first steps in COIN planning is the establishment of a joint and multinational airpower command and control system, and agreed policies on the rules and conditions for employing airpower in the theater. All air operations in the theater should be coordinated at one center for safety and efficiency.

E-18. Expeditionary airfields are likely used during COIN operations. These bases should be properly protected, and defense should be coordinated among all occupants.

BUILDING THE NATION'S AIRPOWER CAPABILITY

E-19. As the objective of ANA and multinational operations is to enable the government to provide for its own internal and external defense, Afghan and multinational planners need to set up a long-term program to develop a national aviation capability. The Army Air Corps should be appropriate for the nation's requirements. For conducting effective COIN operations the Army Air Corps requires the following basic capabilities:

- Aerial reconnaissance and surveillance.
- Air transport.
- Close air support for land troops.
- Helicopter troop lift.
- MEDEVAC.

E-20. The first step is to develop the right organizational model for the Army Air Corps. The air assets should be centrally managed, under command of a single headquarters, and tied into the joint intelligence center. Planning should identify gaps in the government's ability to command, control, and employ airpower in COIN operations.

E-21. The next step is to develop aviation infrastructure under a long term plan. This will involve the development of an appropriate organization, force structure, and basing plans. As aviation assets represent a large cost for the country, an effective airfield security program is also necessary.

E-22. An important training asset are the NATO countries and the United States, which have teams that are qualified to operate the most common equipment in use, and can

provide necessary training for COIN aviation operations. These teams also have the language and cultural training to effectively support aircrew and personnel training.

E-23. Equipment should be selected with the economic and technological resources of the nation in mind. In most cases, aircraft and supporting systems acquired by the nation should be effectively operated and maintained over the long term by an Army Air Corps with limited resources. Multinational support in training and equipping the Army Air Corps can be very important.

E-24. Training and developing a capable Army Air Corps takes considerable time due to the requirements to qualify aircrew, maintenance personnel and other specialists. Training ANA personnel to work effectively in joint operations and to coordinate air-land support also requires a high level of skill. Even when the ANA and police are trained to an acceptable standard, it is likely that multinational personnel will be required to stay with the Army Air Corps to conduct liaison for supporting multinational air assets and advise the forces in the employment of their own airpower.

E-25. Because developing capable aviation forces usually takes longer than developing land forces, multinational aviation units, advisors, and trainers are likely to be still deployed after multinational land force trainers and advisors have completed their mission. Thus, long-term multinational air support requirements need to be considered in comprehensive COIN planning.

Appendix F

Learning Counterinsurgency

All insurgencies are different, but there are broad historical trends underlying the causes that motivate insurgents, the successful and unsuccessful counterinsurgency (COIN) practices adopted by the government attempting to defeat them, and the overall course of most insurgencies.

F-1. One of the common features of almost all insurgencies is that the intervening government invariably takes a while to understand that an insurgency is taking place, while the insurgents take advantage of the time lag to gather strength. Thus the intervening government always “comes from behind” when fighting an insurgency. Another common feature is that armies conducting counterinsurgencies tend to begin poorly. Western armies tend to neglect the study of insurgency, falsely believing that if they are able to win large conventional wars, they can also win small unconventional ones. The truth is exactly the opposite; in fact, the very things that make a conventional army successful when fighting conventional adversaries—operational maneuver and the ability to mass firepower—are often counterproductive in COIN warfare. Nonetheless, they are almost invariably the first moves made by armies confronting an insurgency, and they almost invariably fail.

F-2. Armies that successfully defeat an insurgency do so because they are able to overcome their institutional proclivities to wage conventional war and learn how to practice COIN despite themselves. The principles of COIN are well known and form the skeleton of this manual. In essence, the counterinsurgent should:

- Understand the environment in which the war is being fought.
- Isolate the insurgents from their cause and their base.
- Secure the population under the rule of law.
- Generate intelligence from the population to drive actions against the insurgents.
- Apply all elements of national power in unison to support the legitimacy of the national government.
- Be prepared for a long commitment, measured in years if not decades.

F-3. Applying these principles allows the counterinsurgent to gain the support of the local people, who provide either a shield to the enemy or vital intelligence to the counterinsurgent. Their choice of whom to support depends to a large extent on who provides them with the security they need.

F-4. Traditionally, armies have had to unlearn much of their doctrine and (re)learn the principles of COIN while waging COIN campaigns. The intent of this essay is to place into the hands of planners, trainers and field commanders a tool to ensure that this learning process begins faster, builds on a higher knowledge base, and costs fewer lives and less national treasure than it has in the past. For this reason “Learn and Adapt” has been identified as a modern COIN imperative.

F-5. Just as there are historical principles underlying success in COIN, there are organizational traits shared by most successful learning organizations. Armies that learn COIN effectively have generally:

- Developed COIN doctrine locally.
- Established local training centers during counterinsurgencies.
- Regularly challenged their assumptions both formally and informally.
- Requested outside assistance in understanding scenarios beyond their experience.
- Promoted suggestions from the field.
- Fostered truly open communication between senior officers and their subordinates.
- Established rapid avenues to ensure dissemination of lessons learned.
- Coordinated closely with governmental and non-governmental partners at all levels of command.

F-6. These are not easy traits for any organization to adopt, and are particularly challenging objectives for an army during the course of a conflict. However, they are essential when confronting an enemy that does not fight according to a prescribed doctrine and that adapts while waging irregular warfare. The enemies today are continuously and consciously evaluating the strengths and weaknesses of our military, aiming to avoid our power and attack our vulnerabilities. The Afghan government should therefore constantly evaluate its effectiveness in using all elements of national power to learn and adapt more quickly than do its enemies. Learning organizations defeat insurgencies; armies that are not learning organizations do not.

F-7. Effective learning organizations encourage individuals to pay attention to the rapidly changing situations that characterize COIN campaigns—rapid enemy innovation, shifting attitudes of local populations, local civilian leadership turmoil. When current organizational behavior is no longer appropriate in such situations, learning organizations engage in a directed search for more appropriate ways to defeat the enemy, rapidly develop consensus on the new doctrine, publish the doctrine, and carefully observe the impact of the doctrine on organizational behavior. In effective learning organizations, this learning cycle repeats continuously—and faster than that of the insurgent enemy. He who learns faster and adapts more rapidly wins.

F-8. When designing a learning institution, it is hard to improve upon U.S. Lieutenant General Jack Cushman's instruction to "Let insight evolve from an atmosphere of open, shared thought...from a willing openness to a variety of stimuli, from intellectual curiosity, from observation and reflection, from continuous evaluation and discussions, from review of assumptions, from listening to the views of outsiders, from study of history, and from the indispensable ingredient of humility."

Glossary of Terms

Assessment The continuous monitoring and evaluation of the current situation and progress of an operation.

Board A temporary grouping of selected staff representatives delegated decision authority for a particular purpose or function.

Centers of Gravity Those characteristics, capabilities, or sources of power from which a military force derives its freedom of action, physical strength, or will to fight.

Civil Considerations How the manmade infrastructure, civilian institutions, and attitudes and activities of the civilian leaders, populations, and organizations within an area of operations influence the conduct of military operations.

Clear A tactical mission task that requires the commander to remove all enemy forces and eliminate organized resistance in an assigned area.

Commander's Intent A clear, concise statement of what the force must do and the conditions the force must meet to succeed with respect to the enemy, terrain, and desired end state. A commander's clear, concise articulation of the purpose(s) behind one or more tasks assigned to a subordinate. It is one of two parts of every mission statement which guides the exercise of initiative in the absence of instructions.

Commander's Visualization The mental process of developing situational understanding, determining a desired end state, and envisioning how to move the force from its current state to that end state.

Command Post Cell A grouping of personnel and equipment by warfighting function or purpose to facilitate command and control during operations.

Common operational picture A single identical display of relevant information shared by more than one command. A common operational picture facilitates collaborative planning and assists all echelons to achieve situational awareness. An operational picture tailored to the user's requirements, based on common data and information shared by more than one command. Also called COP.

Counterinsurgency Those military, paramilitary, political, economic, psychological, and civic actions taken by a government to defeat insurgency.

Counterstate A competing structure set up by an insurgent to replace the government in power. It includes the administrative and bureaucratic trappings of political power, and performs the normal functions of government.

Counterterrorism Operations that include the offensive measures taken to prevent, deter, preempt, and respond to terrorism. Also called CT.

Decisive Point Geographic place, specific key event, critical system or function that allows commanders to gain a marked advantage over an enemy and greatly influence the outcome of an attack.

Direct Action Short-duration strikes and other small-scale offensive actions conducted as a special operation in hostile, denied, or politically sensitive environments and which employ specialized military capabilities to seize, destroy, capture, exploit, recover, or damage designated targets. Direct action differs from conventional offensive actions in the level of physical and political risk, operational techniques, and the degree of discriminate and precise use of force to achieve specific objectives.

Execute To put a plan into action by applying combat power to accomplish the mission and using situational understanding to assess progress and make execution and adjustment decisions.

Foco/Focoism A popular theory that says that small cells of armed revolutionaries can create the conditions for revolution through their actions. Demonstrated revolutionary victories, the successes of the foci, are supposed to lead the masses to revolution. If conditions are ripe, according to focoists, a single spark can start the revolutionary fire.

Focoist A practitioner of focoism as espoused by Che Guevara

Forward Operations Base In special operations, a base usually located in friendly territory or afloat that is established to extend command and control or communications or to provide support for training and tactical operations. Facilities may be established for temporary or longer duration operations and may include an airfield or an unimproved airstrip, an anchorage, or a pier. A forward operations base may be the location of special operations component headquarters or a smaller unit that is controlled and/or supported by a main operations base.

Full Spectrum Operations The conduct of simultaneous combinations of the four components of Army operations (offense, defense, stability, and civil support) across the spectrum of conflict (peace, crisis, and war).

Human Intelligence A category of intelligence derived from information collected and provided by human sources.

Information Environment The aggregate of individuals, organizations or systems that collect, process, or disseminate information; also included is the information itself.

Information Operations The employment of the core capabilities of electronic warfare, computer network operations, psychological operations, military deception, and operations security, in concert with specified supporting and related capabilities, to affect and defend information and information systems and to influence decision making. Also called **IO**.

Insurgency An organized movement aimed at the overthrow of a constituted government through the use of subversion and armed conflict.

Intelligence Discipline A well-defined area of intelligence collection, processing, exploitation, and reporting using a specific category of technical or human resources. There are seven major disciplines: human intelligence, imagery intelligence, measurement and signature intelligence, signals intelligence (communications intelligence, electronic intelligence, and foreign instrumentation signals intelligence), open-source intelligence, technical intelligence, and counterintelligence.

Intelligence Preparation of the Battlefield The systematic, continuous process of analyzing the threat and environment in a specific geographic area. Intelligence preparation of the battlefield (IPB) is designed to support the staff estimate and military decision making process. Most intelligence requirements are generated as a result of the IPB process and its interrelation with the decision making process. Also called **IPB**.

Intuitive Decision Making The act of reaching a conclusion that emphasizes pattern recognition based on knowledge, judgment, experience, education, intelligence, boldness, perception, and character. This approach focuses on assessment of the situation vice comparison of multiple options.

Lines of Operations Lines that define the directional orientation of the force in time and space in relation to the enemy. They connect the force with its base of operations and its objectives.

Measure of Effectiveness A criterion used to assess changes in system behavior, capability, or operational environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect.

Measure of Performance A criterion to assess friendly actions that is tied to measuring task accomplishment.

Narrative An organizational scheme expressed in story form that is central to the representation of a group's identity.

Nongovernmental Organization A private, self-governing, not-for-profit organization dedicated to alleviating human suffering; and/or promoting education, health care, economic development, environmental protection, human rights and conflict resolution; and/or encouraging the establishment of democratic institutions and civil society. Also called NGO.

Operating Tempo The annual operating kilometers/hours for systems in a particular unit required to execute the commander's training strategy. It is stated in terms of the kilometers/hours for the major system in a unit; however, all equipment generating significant operating and support cost has an established operating tempo.

Operational Environment The air, land and associated adversary, friendly, and neutral systems (political, military, economic, social, informational, infrastructure, legal, and others) that are relevant to a specific joint operation.

Operational Picture A single display of relevant information within a commander's area of interest.

Planning The process by which commanders (and staff if available) translate the commander's visualization into a specific course of action for preparation and execution, focusing on the expected results.

Preparation Activities by the unit before execution to improve its ability to conduct the operation including, but not limited to, the following: plan refinement, rehearsals, reconnaissance, coordination, inspections, and movement.

Reachback The ability to exploit resources, capabilities, and expertise, not physically located in the theater or a joint operations area, when established.

Rules of Engagement Directives issued by competent military authority that delineate the circumstances and limitations under which forces will initiate and/or continue combat engagement with other forces encountered. Also called ROE.

Stability Operation An operation to establish, preserve, and exploit security and control over areas, populations, and resources.

Strike An attack which is intended to inflict damage on, seize, or destroy an objective.

Subordinates Initiative The assumption of responsibility for deciding and initiating independent actions when the concept of operations or order no longer applies or when an unanticipated opportunity leading to the accomplishment of the commander's intent presents itself.

Tempo The rate of military action. The relative speed and rhythm of military operations over time with respect to the enemy.

Unified Action A broad generic term that describes the wide scope of actions (including

the synchronization of activities with governmental and nongovernmental agencies) taking place within unified commands, subordinate unified commands, or joint task forces under the overall direction of the commanders of those commands.

Warfighting Function A group of tasks and systems (people, organizations, information, and processes) united by a common purpose that commanders use to accomplish missions and training objectives.

Working Group A temporary grouping of predetermined staff representatives who meet to coordinate and provide recommendations for a particular purpose or function.

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