

United Nations  
Department of Peacekeeping Operations/  
Department of Field Support  
Ref: 2016.24



## **Guidelines**

January 2017

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# **Use of Force by Military Components in United Nations Peacekeeping Operations**

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Effective date: 01 February 2017  
Contact: Office of Military Affairs, DPKO  
Review date: 01 February 2020

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**DPKO/DFS Guidelines:  
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in United Nations Peacekeeping Operations**

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**A. PURPOSE**

1. This document is intended to provide clarity in the appropriate use of force at the tactical and operational levels of United Nations peacekeeping missions.
2. Clarity in the appropriate use of force is vital to a United Nations mission's military personnel confronted by the full spectrum of complex peacekeeping challenges. It is equally important

to troop contributing countries (TCCs) providing peacekeeping military contingents. These guidelines are intended to mitigate hesitation, accelerate decision making, improve performance and ultimately protect lives and property.

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## **B. SCOPE**

3. These guidelines briefly highlight the strategic considerations that guide, oversee and provide the resources for the operational and tactical use of force. While the strategic considerations of the use of force are rooted in the core peacekeeping principles, mission mandate and rules of engagement, the guidelines recognize that political and other context specific factors influence the strategic considerations on the use of force. The main emphasis, however, is on the operational and tactical considerations regarding the use of force. This document examines the required thinking and action (including situational awareness and operational/strategic communications) at these levels to pre-empt, deter, contain or respond to threats without excessive use of force.
  4. These guidelines apply to all members of the military component deployed in a United Nations peacekeeping operations, senior mission leaders, as well as staff members of DPKO/DFS at United Nations Headquarters (UNHQ). TCCs will also find this document helpful as they train and prepare their commanders and contingents for United Nations peacekeeping operations. The clarifications contained herein supplement, but do not replace, mission-specific rules of engagement (ROE) and other applicable guidance issued by the Under Secretary General (USG) for DPKO, which have precedence.
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## **C. RATIONALE**

5. Numerous after action reviews and discussions with TCCs have identified a gap in the understanding of the use of force despite existing mission-specific rules of engagement. These guidelines are accordingly intended to address the hesitation or lack of willingness/readiness to use force, when appropriate, in order to carry out mandated activities as well as to address the use of excessive force. It provides guidance on the use of appropriate force.
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## **D. GUIDELINES**

### **D.1 Definition**

6. "Force" is defined as the use of, or threat to use, physical means to impose one's will. In peacekeeping operations, peacekeepers are authorized to use force in self-defense and to execute their mandated tasks in appropriate situations. Depending upon the mandate, this may include the authorization to use force for the protection of civilians. The objective of the use of force in peacekeeping operations is to influence and deter, not necessarily to defeat threats seeking to threaten or harm United Nations personnel or associated personnel or the civilian population. In some cases, the use of force may also be authorized to respond to other threats, including those caused by armed spoilers intending to distract peace processes.

## **D.2 Use of Force Principles and Authorization**

7. The legal basis for the use of force by peacekeepers resides in the mandate of the peacekeeping mission, as reflected in the relevant resolution(s) adopted by the Security Council. The use of force must be exercised in a manner consistent with the mandate. It may be used in self-defense as well as in situations in which the mission is specifically mandated to use force as listed in the ROE. Mission-specific ROE provide the authority for the use of force as well as directions to operational commanders delineating the parameters within which force may be used.
8. The use of force in peacekeeping operations must comply with international laws, including applicable international humanitarian law<sup>1</sup> and human rights norms, principles and standards. At all times, the use of force must be consistent with the principles of gradation, necessity, proportionality, legality, distinction, precaution, humanity and accountability. Any force used must be limited in its intensity and duration to what is necessary to achieve the authorized objective and, commensurate with the threat.
9. The use of force is a command responsibility. The Force Commander is responsible for disseminating mission-specific ROE approved by the USG DPKO to all subordinate commanders and is ultimately responsible for ROE enforcement. It is the responsibility of the commanders of all national contingents to ensure that all those under their command understand and follow the ROE.

## **D.3 Alternatives to the Use of Force**

10. Whenever the operational situation permits, every reasonable effort should be made to resolve a potentially hostile confrontation by means other than the use of force. The use of force may be avoided through mediation, negotiation and the good offices of civilian peacekeeping staff. This should be complemented by the skillful use of a deterrent posture; such as placing sufficient forces at the scene of potential violence to demonstrate the United Nations' intent and capability to respond to any act of violence. The use of force may also be avoided by for example, adopting a robust mission communications plan and/or through community engagement or assistance from local authorities. The ability to deter hostile intent and act successfully relies on clearly communicating capacity, requisite will and confidence in carrying out the mandated tasks. However, peacekeepers must be prepared at all times to act swiftly and decisively with the requisite force to achieve objectives as authorized by the mandate and ROE.

## **D.4 Graduated Application and the Use of Force Continuum**

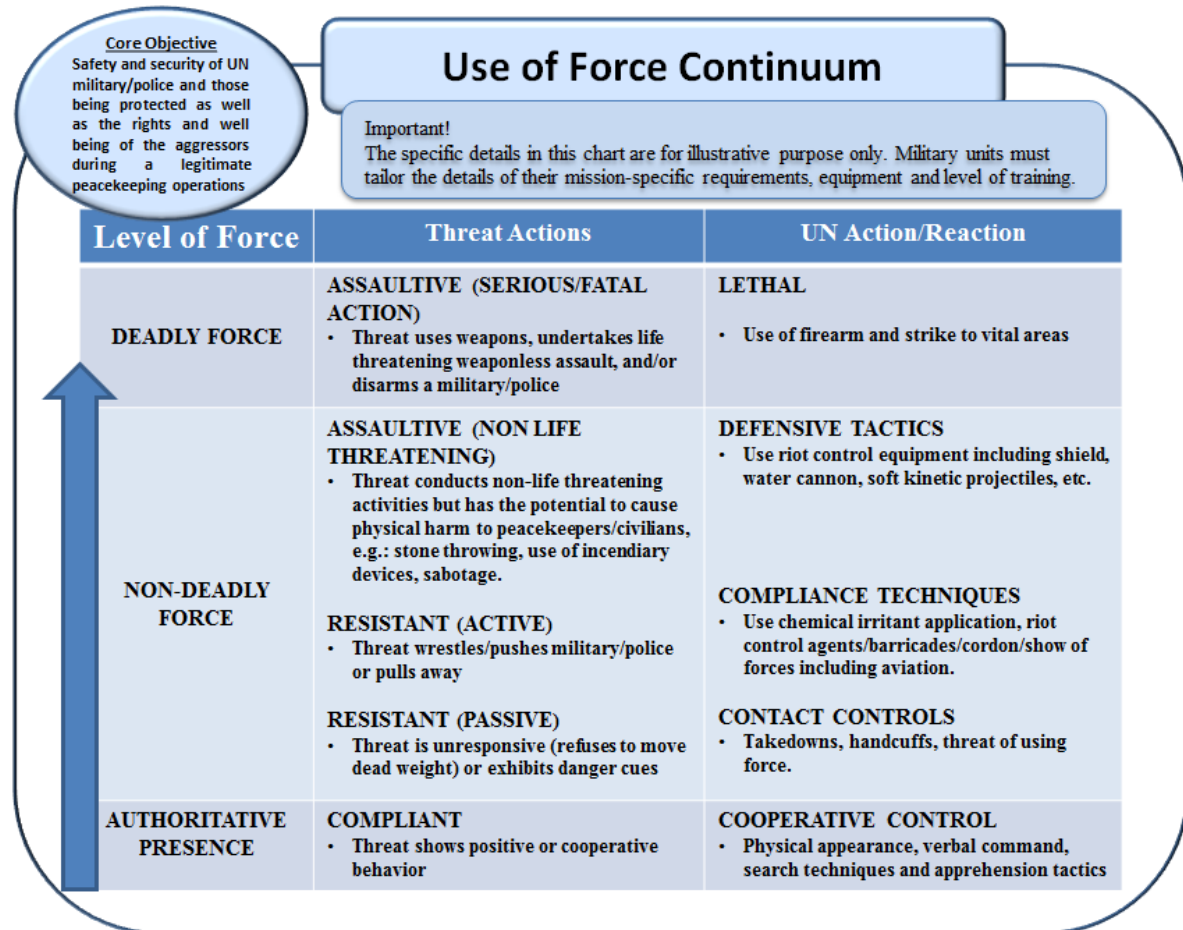
11. The graduated application of increasing levels of force ensures that only the minimum level of force necessary is used to achieve the mandated objective. This graduated application of

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<sup>1</sup> International humanitarian law is known also as “the law of war” or “the law of armed conflict.” Fundamental principles and rules of international humanitarian law applicable to the United Nations are contained in the Secretary-General Bulletin on the *Observance by UN Forces for International Humanitarian Law*, 6 August 1999 (ST/SGB/1999/13). See also the OHCHR/DPKO/DFS/DPA *Policy on Human Rights in UN Peace Operations and Political Missions*, 2011.

force ensures that excessive force is avoided, and contributes to minimizing the loss of, or damage to, life and property. In every instance of the use of force, all feasible precautions should be taken with a view to avoiding, and at any event to minimizing, collateral damage.

12. Graduated force can be applied along a continuum of three broad levels beginning with physical authoritative presence, progressing to non-deadly force and finally the use of deadly force. Depending upon the nature of threat, peacekeepers sometimes may not have enough time to embrace gradual application of force and may have to act immediately by resorting to deadly force to avoid greater harm or compromise the mandate of mission. The authorization to use force without following graduated procedures, which is reflected in mission-specific ROE, only applies where the attack or threat of an attack comes so unexpectedly that even a moment's delay could lead to the death of, or serious bodily injury to, oneself, other United Nations personnel or other persons who are under the protection of the peacekeeping mission. The following chart and explanations sets forth the continuum for the use of force. This model can be modified to suit mission needs. It should also be interpreted and applied consistent with the mission-specific ROE.



- a. **Authoritative Presence (including verbal commands).** Authoritative presence maximizes the effect of peacekeepers' will and capabilities in a given situation. The physical presence of a contingent with the credible capacity to use appropriate force through for example foot, vehicle or air patrols may be sufficient to deter or de-escalate a volatile situation. Every effort must also be made to use verbal commands to dissuade aggressors from committing violent acts and persuade them to act peacefully. Verbal commands and authoritative presence are applied as long as they are effective in deterring aggressors or crowds from posing a threat of physical harm and/or physical violence. Engagement with both male and female key stakeholders, through culturally appropriate messaging and posture, is critical to defusing a situation and avoiding the use of force.
- b. **Non-Deadly Force.** Non-deadly force, including unarmed force, is that force necessary to compel compliance or dissuade aggressors that is neither intended nor likely to cause death or serious bodily injury. Employment of riot control measures and agents, such as tear gas, stun grenades, smoke grenades, soft kinetic projectiles<sup>2</sup> and/or other non-lethal measures can be used (if specifically authorized) if the on-scene commander considers their use necessary and effective in preventing or stopping the hostile activity. Units and individuals must be trained and equipped in the application of non-deadly techniques and maintain the necessary refresher training. The military commander should always attempt to resolve the situation in peaceful ways with the key stakeholders. Actions in the non-deadly force category may also require the demonstration of tactical strength to show a significantly stronger capability to gain control over or cooperation from aggressors. Therefore, troop reinforcement and a show of force by other available mission assets (such as aviation) may be required. Non-deadly force must also be used in accordance with mission-specific ROE.
- c. **Deadly Force.** Deadly force is the level of force which is intended, or is likely to cause death, regardless of whether death actually results. It is the ultimate degree of force. The use of deadly force, including armed force, is a last resort in situations against a hostile act or intent likely to cause death or serious bodily injury. Such force must be used in accordance with mission-specific ROE. Reluctance to use deadly force when warranted by the situation may lead greater damage, may put the reputation of the United Nations at risk, or may lead to mission failure.

## **D.5 Strategic Level Considerations**

### **D.5.1 Strategic Planning**

13. The Security Council mandate, priority objectives and operational requirements determine the necessity and scope for using force. The military Concept of Operations (CONOPS), within the political framework developed in the Mission Concept, provides the strategic direction on how the military component will support the mission's objectives using force, where necessary. The Secretary-General's Directives to the Head of Mission (HOM)/Special Representative of the Secretary-General (SRSG) will include as an annex military directives

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<sup>2</sup> Rubber bullets will be phased out by 31 Dec 2016 and replaced by UN-approved soft kinetic projectiles.

to Heads of Military Components that describe the appropriate use of force in the implementation of mandated tasks as part of the mission's broad political goals. Based on the Mission Concept and CONOPS, DPKO/DFS planners identify required capabilities and resources enabling the military component to use appropriate force, if required, to implement mandated tasks. Relevant Statements of Unit Requirement<sup>3</sup> (SURs) are thus prepared to include those capabilities and resources. Similarly, ROE are also developed from the mandate ensuring the application of force is controlled and legal. ROE are sufficiently robust to address the mission's requirements and provide the military component with the authority to respond to various threats while executing mandated tasks.

14. To ensure the appropriate use of force in peacekeeping operations, TCCs should prepare their troops in terms of mindset and skills. TCCs must understand and embrace the approved mission-specific ROE since the appropriate application of these ROE is mandatory for all deployed military units in a peacekeeping operation. All United Nations peacekeepers operate strictly under the United Nations chain of command. TCCs are not permitted to augment, restrict or modify ROE according to national interpretation(s), nor should TCCs impose any caveats on the authorizations to use of force that are contained in the ROE, without formal consultation with UNHQ and the express written agreement of the DPKO. A unit's failure to carry out the ROE may result in repatriation.

#### **D.5.2 Force Generation**

15. To better ensure the ability and will to implement mandated tasks effectively, including through the use of force, where necessary, the selection of TCCs should be based on applicable United Nations policies as well as past field performance and conduct, accountability and current capabilities as verified by DPKO/DFS Assessment and Advisory Visits, Pre-Deployment Visits and Contingent-Owned Equipment verification. Field performance and current capabilities of mission military entities are evaluated by the Force Commander in accordance with standard operating procedures on the evaluation of subordinate military entities, and policy on operational readiness assurance and performance improvement.<sup>4</sup>

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<sup>3</sup> In addition to mission-specific requirements, DPKO/DFS planners should base their SURs on the DPKO/DFS UN Military Unit Manuals for specific types of military units including Infantry, Special Forces, Aviation, Force Headquarters Support Companies, Reconnaissance Units, Signals, Logistics, Military Police, Riverine, Engineer, Maritime and Transport Units. These manuals are available at: "Policy and Practice Database," accessible only to UN staff on the UN network (including field Missions) at: [http://ppdb.un.org/Nav%20Pages/PolicyFramework\\_Default.aspx](http://ppdb.un.org/Nav%20Pages/PolicyFramework_Default.aspx) and, "Resource Hub," recently developed for Member States to access UN documents including the Military Unit Manuals at: <http://research.un.org/en/peacekeeping-community>.

<sup>4</sup> For details see the DPKO/DFS SOP on Force and Sector Commanders evaluation of military entities in peacekeeping operations, January 2016 and DPKO/DFS policy on operational readiness assurance and performance improvement, January 2016.

## **D.6 Operational Level Considerations**

### **D.6.1 Integrated Mission Operational Planning/Unified Lines of Effort**

16. The use of force is not purely a military issue. In United Nations operations, every action has a political, security, social and economic dimension affecting the mission's mandated tasks, relationship with the host country and local population, as well as relations with armed groups that may be active in the mission's area of operation. Military operations in general including those involving use of force must, therefore, be part of a fully integrated mission operational plan that is part of an overall mission strategic plan to implement mandated tasks tying together various lines of effort involving all mission components. The military efforts/gains will only be effective and sustained if they are complemented by and consolidated through a viable political strategy directed by the HOM/SRSG and actions carried out by other components.
17. The military component integrates the overall mission strategy developed by the HOM/SRSG into its operational planning in close co-ordination with all other mission components. The military planning should also consider the presence, needs and vulnerabilities of other United Nations actors on the ground, related humanitarian agencies and non-governmental organizations (NGOs), particularly in a mission with a mandate encompassing the facilitation of humanitarian activities in the country. In Missions with a mandate under Chapter VII to facilitate humanitarian assistance, ROEs may include specific rules authorizing use of force to protect humanitarian personnel at risk and to use force in protecting the delivery of humanitarian assistance. In addition, the SRSG might have the authority, under the ROEs to "designate" protected premises, including non-United Nations premises or facilities, or equipment. Humanitarian agencies and non-governmental organizations (NGOs) should be kept informed of developing/evolving situations and be included in security arrangements (to the extent allowed under applicable United Nations security policies, in close consultation and coordination with the United Nations Department of Safety and Security; and in integrated missions, in close consultation with the Deputy Special Representative of the Secretary-General, Resident Coordinator/Humanitarian Coordinator (D-SRSG RC/HC) who coordinates humanitarian actors and the United Nations country team). The use of force may have second order humanitarian and a human rights consequence. An assessment of these consequences through a risk mitigation assessment should be incorporated into operational planning where force is envisioned, in consultation with relevant civilian components and the Humanitarian Country Team. Synergy amongst all mission components is essential for effective mandate implementation.
18. The Force Headquarters must also ensure that its operations are coordinated through the regular sharing of information, comprehensive analysis of the ground situation and understanding of the role played by the various mission components within the integrated mission operational plan. During operational planning, the Force Commander and staff should consider a variety of mission scenarios that may require the use of force to achieve identified objectives. The appropriate use of force in the execution of assigned tasks in such scenarios should be clearly delineated in the Force Operations Order. Annex A provides examples of some possible scenarios involving the appropriate use of force. Similarly, the



Force Headquarters should also maintain a reserve force to quickly respond to threats beyond the capacity of local units, within a reasonable time.

19. Mission and Force level decisions and judgements concerning the military use of force must consider a combination of factors including Mission/Military Component capabilities, public perceptions, humanitarian impact, force protection/safety and security of personnel and the effect on national and local consent for the United Nations mission. Much of this understanding and goodwill can be accomplished through an effective strategic communications program.

#### **D.6.2 Robust Mission Communications**

20. At the mission/operational level, a comprehensive and integrated communications plan can dispel local misconceptions, manage expectations, promote peacekeeper safety and security, strengthen the mission's credibility and help respond effectively to public concerns. Communicating clearly and robustly to government officials, potential spoilers, parties to the conflict, community leaders and members of civil society is critically important, especially if effective mandate implementation requires the use of force. Mission communications can therefore be used as a means to reach out and explain the mission's mandate and that an appropriate level of force (maximum as well as minimum) has been authorized to implement that mandate. Communications on the use of force can convey either deterrent or de-escalatory purposes, which serve the underlying objective to minimize the need to actually resort to force<sup>5</sup>.
21. In situations where the mission uses force, public diplomacy and information sharing should become priority tasks. The period immediately following the mission's use of force is critical, and must be characterized by timely mission communication involving public information on the particular incident and envisaged follow-up investigations that is accurate, transparent and within the constraints of operational security and confidentiality. Information on critical incidents, including but not limited to live firing, should also be communicated as soon as possible to all relevant public information bodies, including UNHQ (especially the Office of the Military Affairs and the Office of Operations in DPKO), in accordance with Department of Public Information/DPKO Policy on Public Information and Strategic Communications<sup>6</sup>. Skillfully crafting the substance of the message plus information sharing will address local concerns and may prevent negative reactions. The ability to anticipate these concerns depends on competent situational awareness.

#### **D.6.3 Situational Awareness**

22. Situational awareness is critical to understanding, preventing, and responding effectively to acts of violence. Commanders at all levels must keep abreast of evolving operational situations to better visualize and anticipate emerging threats, opportunities and the possible

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<sup>5</sup> Note, however, that rules of engagement are classified 'confidential' and may not be shared with unauthorized personnel.

<sup>6</sup> For details, see DPI/DPKO policy on Public Information and Strategic Communications, 2016.

consequences of United Nations actions. Situational awareness improves planning and preparation for potential military responses to prevent violence.

23. Reliable intelligence is essential for the effective and judicious use of force. Intelligence is essential to allow the Military Component to be proactive, pre-empt threats and maximize the impact of United Nations operations through proper timing and direction. In cooperation with and guided by relevant mission components, and in line with the policy on peacekeeping intelligence<sup>7</sup>, the Force Headquarters should therefore develop a systematic approach to collecting and analyzing information to map vulnerabilities; identify potential threats to civilians, peacekeepers, United Nations and associated personnel and other individuals that the mission has a mandate to protect; and understand the dynamics, patterns, motivations and capabilities of local actors. The Force Headquarters should develop directives on information collection and reporting procedures as standard military practice and all uniformed peacekeepers should receive training on and carry out information-collection as a matter of routine. Intelligence requirements and collection plans must be regularly issued and forwarded to subordinate units in accordance with evolving situations and threat assessments.
24. Regular threat and risk assessments informed by sound intelligence enable the mission to anticipate, prevent and be prepared to respond effectively to violence before it occurs. Understanding the intent of potential threats is critical to the development and implementation of an appropriate mitigation or response plan. In addition to its own military assets on the ground, the Military Component should seek clarity and consolidate analysis through assets such as the All Source Information Fusion Unit, Joint Operations Centre, Joint Mission Analysis Centre and the Integrated Security System as well as other mission entities such as police component, Civil Affairs, DDR, Gender, Human Rights and as outlined in the policy on peacekeeping intelligence. Working with the situational awareness provided by these and its own assets, the Military Component can plan in advance for a range of scenarios that may involve the outbreak of violence, and then develop options for the use of force appropriate to each scenario. The Military Component should also fully engage a range of United Nations actors in developing/conducting scenario-based contingency planning, including humanitarian, protection, gender and human rights stakeholders. Scenario development, examination of possible courses of action, scenario-based training in tactics and techniques, and rehearsals to reinforce that training can all contribute to the required mindset for the appropriate and effective use of force.

#### **D.6.4 Effective Command and Control**

25. The authorization to use force comes with the responsibility to do so in accordance with the mandate and ROE. Force Commanders are responsible for ensuring that their orders are strictly followed. Any incidents of refusing to follow lawful orders (including those that involve citing undisclosed national caveats) must be reported to UNHQ for appropriate action. The Secretary-General has stipulated that all HOM/SRSGs shall submit consolidated reports of incidents involving the refusal to obey lawful orders to the United Nations

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<sup>7</sup> DPKO/DFS policy on Peacekeeping Intelligence is currently in the process of approval.

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Secretariat.<sup>8</sup> The Secretariat will then immediately inform the concerned TCC and, as appropriate, the Security Council. If no remedial action is forthcoming from the TCC, the unit concerned may be repatriated.

26. The chain of command must control the use of force within the parameters authorized by the ROE. If required and authorized by the Force Commander, the authority for the use of force should be delegated in writing to subordinate commanders. Such written delegation of authority facilitates decentralized execution and promotes initiative and speed of action in accordance with the higher commander's well-defined intent and objectives in implementing the mandate. The ability to decentralize the use of force decision requires that all commanders and troops have a clear understanding of when and at what level force can be used in implementing assigned tasks. The chain of command must therefore ensure that all Force personnel have the proper preparation and training to ensure that they use force appropriately. Excessive use of force, or the failure to use force in line with the ROE, negatively impacts a mission's success and may raise issues of individual and organizational responsibility.

27. Force Commanders should use all means at their disposal to ensure that all subordinate commanders and troops are given extensive training on mission-specific ROE and other use of force guidelines, as well as directives for use of force of police components. To address the concerns of commanders and troops regarding their reluctance to use force (e.g., for fear of being penalized), the Force Headquarters and chain of command must provide clear guidance and directives on the use of force (as well as the status, privileges and immunities of military members of military contingents under the applicable legal framework, including the status-of-forces-agreement). Tactical level commanders and troops must all undergo regular training in tactics, techniques and procedures on the appropriate use of force. The timely availability of the ROE to the TCC for incorporation into pre-deployment training, along with mandatory routine ROE refresher training whilst in Mission, including scenario based realistic practical exercises, are key to ensuring that peacekeepers have the knowledge, skills and support to implement their mandate.

#### **D.7 Tactical Level Considerations**

28. At the tactical level, the effective use of force depends on the tactical commander's assessment of the emerging situation, opportunities and preparation for responsive action and risks of inaction. Commanders must always take appropriate action against threats, responsibly mitigating and accepting assessed risks when carrying out mandated tasks. Commanders are accountable for their inaction or failure to use authorized force, especially when required to save lives. Military units and contingents are also accountable for any failure to obey the Force Commander's (or other commanders') lawful orders consistent with the mandate and ROE.

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<sup>8</sup> Code cable No 1883, dated 25 August 2015, signed by the Secretary-General and sent to all SRSs of field missions.

#### **D.7.1 Credible, Flexible Force Posture and Presence**

29. Military commanders and their units must have a mindset that demonstrates a willingness, readiness and capacity to respond appropriately to hostile acts and hostile threats of violence. UN military units must openly display professional conduct at all times. Shows of force, determination and willingness to act contribute to military credibility and may reduce the need to use force.
30. Flexible force posture is essential to seizing, retaining, and exploiting the initiative, and responding appropriately before situations deteriorate and options become limited. A flexible force posture can be retained by anticipating, pre-planning, maintaining and pre-positioning reserve forces (where applicable in close cooperation with police components, deployed Formed Police Units should also be considered) and developing robust contingency plans. Military units must therefore be flexible, adaptable and able to detach smaller units capable of operating independently for extended periods of time 24 hours a day. Similarly, military contingents should also organize quick reaction forces (e.g., in a battalion location, one company; in a company location, one platoon) to respond quickly to any evolving situation. This ensures an additional layer of capability to existing units dedicated as quick reaction reserve forces at the Sector and Force levels.

#### **D.7.2 Robust and Proactive Approach**

31. Military units must be proactive to deter/disrupt hostile intent or act (as authorized by the mandate and ROE) before the situation becomes critical. Persons/groups displaying hostile intent against United Nations personnel, United Nations associated personnel or civilian populations, or attempting to interfere with the freedom of movement of the mission should be dealt with in accordance with the mission-specific ROE, as and when necessary. They should be responded to proactively and robustly with the appropriate level of force (i.e. 'just enough'). Peacekeepers should not wait for hostile elements to attack civilians or United Nations personnel before using the appropriate level of force to prevent violence. Proactively using force to execute mandated tasks may not only save the lives of those threatened, but can also deter violent spoilers who may be working against peace processes. The timely and robust response to threats also enhances peacekeeper credibility. Thus, the actual use of force may not be necessary if peacekeepers display firm determination, readiness and capability to pre-empt/respond persuasively. This proactive approach requires, among other elements, an enhanced intelligence capability and a close cooperation with police components, where Formed Police Units (FPU) are deployed.

#### **D.7.3 Intelligence Capability at the Tactical Level**

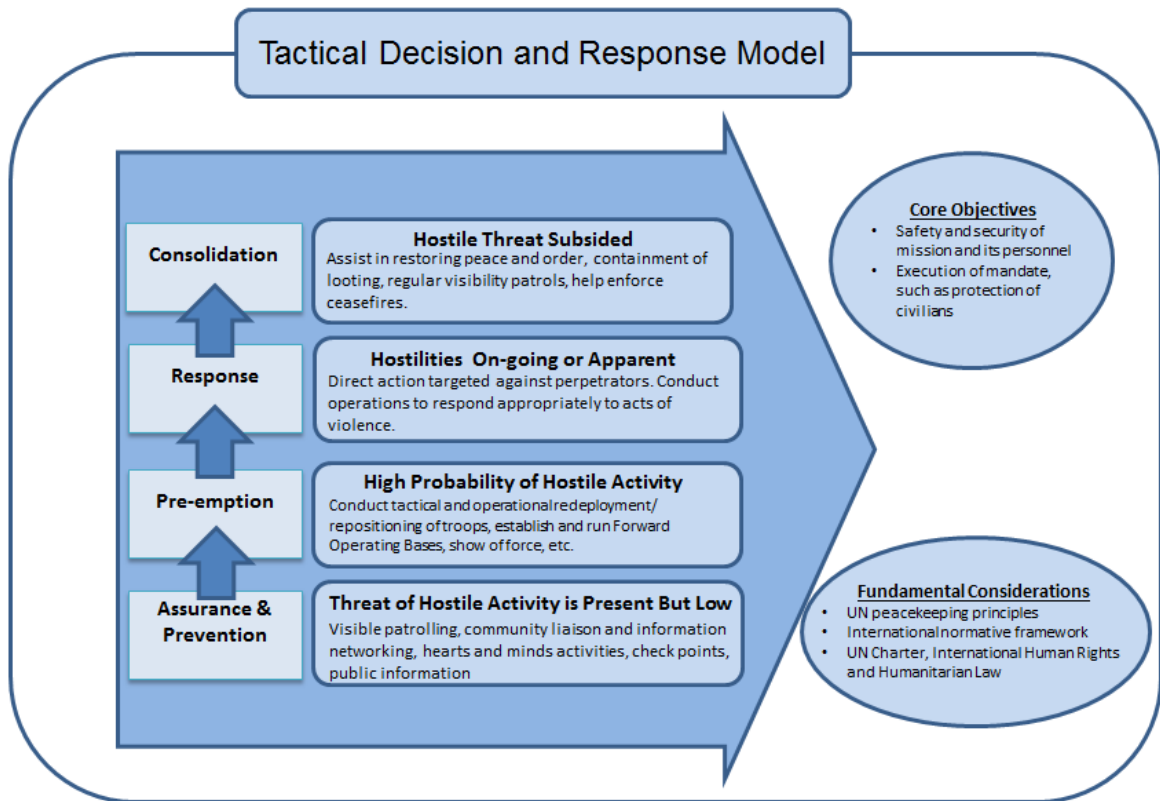
32. The appreciation of evolving situations at the tactical level, which can have implications for the use of force, requires strong information gathering and analysis capability to pre-empt, deter or use force against threats. Achieving early warning and conducting operations to seize and maintain the initiative requires detailed knowledge of armed actors/spoilers and their modus operandi. Developing such intelligence involves a thorough analysis of the operational environment in terms of the crisis' background, underlying causes and the dynamics of all actors in the mission area.

33. Military units/contingents should have their own organic intelligence ability and structure, led by experienced intelligence officers that can guide the process of information collection. Military intelligence capabilities should be developed down to company and temporary operating base level as a military intelligence cell (U-2). Such intelligence cell should prepare information collection plan based on Unit Information Requirements, analyze patrol briefs, track and analyze significant activities, and serve as the information hub. Military units/sub units must develop reliable contacts and relationships with local communities and should engage via the local Community Alert Network and Community Liaison Assistants who can provide early warning of potential threats. Engagement with key female leaders and local women's groups should be explored as an additional source of valuable information.

#### **D.7.4 Tactical Decision and Response Model**

34. Deciding on the appropriate level of force is based on a number of factors including threat intensity, the effect of action/inaction and the availability of resources and assets to conduct operations that create a credible force posture. The Tactical Decision and Response Model described below captures concise details of the type and intensity of force capability requirements for a variety of situations. This Model indicates when a response needs to be escalated. It describes a graduated progression in the use of force, also delineating military units' roles prior to and after the use of force against hostile intent or hostile act. It is designed to assist military commanders and staff in understanding four distinct decision phases, and provides direction on the proper application of military force to anticipate, deter and counter threats during a specific situation. This Model is indicative and should be applied consistent with the mission-specific ROE.
35. Although arranged in a logical order, the following phases can also occur non-sequentially and/or concurrently, depending on the situation. When considering the use of force, there is the need to examine the specific roles played by military units in each of the four phases. A more complete list of indicators and possible tasks under these four phases is shown at Annex B.
  - a. **Assurance and Prevention.** Involves measures and activities that peacekeepers can take to discourage potential hostile acts, where threat of hostile activity is present but low. Peacekeeper actions include adopting a strong deterrent posture, conducting visible patrols and establishing check points. Additional actions include information networking, regular security surveys, inspections and assessments of facilities, camps and bases in the area of operations/interest, strengthening United Nations installation physical security and engaging in community-based activities such as "hearts and minds" programs and quick impact projects. Moreover, peacekeepers should also take proactive de-escalation strategies based on enhanced communication and contact with potentially violent actors, where possible. Dialogue with local communities and engaging with both male and female representatives of those communities remains essential to achieving situational awareness.
  - b. **Pre-emption.** Involves active measures to deter or contain an identified and immediate threat against civilians (in case of the protection of civilians), United Nations and

associated personnel or United Nations property; and/or gain advantage over a threatening group before it can carry out a hostile act. Examples of pre-emptive peacekeeper actions include interposition and show of force/maneuver of larger forces to demonstrate resolve and defuse situations, enforcing curfews, cordon and search operations, targeted use of necessary and proportionate force against identified hostile acts and hostile threats, apprehension and detention operations, and tactical redeployment of troops to guard key infrastructure, terrain or targeted groups (consistent with ROE).



*Note: This Model captures concise details of the type and intensity of force capability requirements for a variety of situations. It indicates when a response needs to be escalated.*

c. **Response.** Involves the necessary and proportionate use of force by peacekeepers to neutralize or render ineffective a hostile intent or hostile act endangering life and/or impeding implementation of mandated tasks such as the protection of civilians. Peacekeeper response should be timely and assertive, as authorized by mandate and ROE. Examples of peacekeeper actions include physical protection and evacuation of civilians at risk, direct confrontation, robust camp defense, search and rescue and close air support. Response also includes those measures taken to mitigate or minimize unintended effects. Examples of these mitigating/minimizing measures would include

the use of observed fire, intentionally aiming-off when in close proximity to civilians and using illumination instead of high explosive ordnance.

- d. **Consolidation.** Pertains to activities requiring management after the hostile threat has subsided. Consolidation involves actions denying threat groups the ability to restore their capability, and assisting the local population and host country authorities in normalizing the situation. Examples of peacekeeper consolidation actions include support to Disarmament, Demobilization and Reintegration activities, security support to facilitate civilian-led humanitarian activities, the establishment of procedures to monitor and safeguard buffer zones and treaty compliance, threat assessment and robust defense.

#### **D.7.5 Military-Police Cooperation**

36. Military units work closely with United Nations Police, especially while engaging in public order management tasks. In field missions, United Nations Police are normally in the lead to support national police authorities in public order management. Military units can be assigned to complement United Nations Police or national police forces in situations where public order threats exceed police's capacity to respond, or when threats are of a military nature.<sup>9</sup> In this regard, military units may face situations requiring riot/crowd control, either to protect United Nations and associated personnel and United Nations premises, or to ensure freedom of movement for carrying out mandated tasks. The United Nations Infantry Battalion Manual (Volumes I & II) describes a variety of situations that military units may face while tasked with public order management.<sup>10</sup> Military assistance to public order management is governed by the mission mandate and ROE.
37. Public order management is a sensitive operation requiring human rights compliance, training, appropriate equipment, effective de-escalation strategies and clear command and control arrangements to manage a calibrated and appropriate response to a volatile situation. Therefore, Force/Sector Headquarters should develop SOPs with the United Nations police component to integrate and conduct mutually supporting planning, training and operations<sup>11</sup>.

#### **D.7.6 Adherence to Rules of Engagement**

38. Mission-specific ROE provide the requisite authority for the use of force. ROE also explain the policy, principles, procedures and responsibilities governing the use of force. These rules are designed to ensure that force application is in compliance with fundamental principles and rules of international law, including international human rights law and international humanitarian law. While remaining predominantly defensive in nature, ROE

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<sup>9</sup> The distinction between military and non-military level threats is described in the DPKO/DFS Policy on Authority, Command and Control, as well as in the DPKO/DFS Policy (revised) on Formed Police Units in United Nations Peacekeeping Operations (01 March 2010).

<sup>10</sup> For details, see UNIBAM Volume I, Chapter 5.4.11 and Volumes II, Chapter 2.11 (August 2012).

<sup>11</sup> For details, see DPKO/DFS guidelines on Military Support for Public Order Management in peacekeeping Operations, 2016.

may permit offensive action, if necessary and as authorized by the Security Council, in order to ensure mandate implementation.

39. Military familiarization and competent implementation of ROE is a command responsibility. Commanders must ensure that subordinates are adequately trained on ROE, understand and rehearse them thoroughly, and apply them uniformly. ROE training sessions should be conducted on a regular basis and, at a minimum, once per month and whenever military personnel, including individual replacements or reinforcements, are deployed into the mission area.<sup>12</sup> Troops must carry ROE Pocket card (Aide Memoire) with the necessary extracts of the mission ROE translated into their language. Pocket cards should include basic warnings and commands translated into the local population's language(s).

#### **D.7.7 Reporting and Accountability**

40. Every instance of the use of force at the tactical level, both deadly and non-deadly, must be promptly reported to the Force chain of command. FHQ should report any incident of the use of force to UNHQ. Regular reporting on developing situations allows the chain of command to maintain timely awareness and provides direction to United Nations units involved, or supporting units to prepare to assist if the need arises. The commander involved in the incident is responsible and accountable for the conduct and reporting of the incident. Details of the incident must also be recorded. All injured persons (including from within the armed groups/spoilers) must be given first aid as soon as possible and where feasible. The bodies of persons who have been killed shall be treated with respect. They are to be recovered for medical examination and identification as soon as it is safe to do so.
41. Reporting and recording procedures must be clearly specified in the mission's SOP and relevant guidelines. The Military Component should conduct an After Action Review and damage assessment on all major incidents with relevant mission components, including Best Practices and human rights officers, and draw the lessons learned. Where deaths or serious injury of civilians or civilian property damages arise, these must be subject to effective, transparent and impartial investigation.
42. In the case of United Nations peacekeepers detaining individuals or groups, detention should be conducted in accordance with the relevant Interim SOP on detention operations in United Nations peacekeeping<sup>13</sup>, the mission's ROE and SOPs. Detentions must be reported promptly to the chain of command and by the FHQ to the HOM. Detained personnel must be handled humanely in a manner that is consistent with international human rights law, applicable international humanitarian law and international refugee law, and other relevant international norms and standards. Detainees must be handed over to the appropriate authorities as per United Nations guidelines.

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<sup>12</sup> This example is taken from the Rules of Engagement of MINUSMA, Mali, June 2013

<sup>13</sup> For guidance on the processing and handling of detainees, UN personnel should refer to the most current DPKO/DFS ISOP on Detention in United Nations Peace Operations, Ref. 2010.6 of 25 January 2010 and any Mission SOP or guidelines issued thereunder.



**D.8 Decision Factors and Risk Management**

43. Any decision to use force should be first assessed through four key factors; Legality, Appropriateness, Capacity and Criticality. The intent of the HOM should be clearly understood and clarified throughout the immediate planning process. Peacekeepers require to answer the following four questions in the affirmative prior to deciding to use force, particularly deadly use of force. (Rather than try to process these questions at the last moment, commanders should use the following matrix as part of continuous in-mission training on the use of force to assist decision-making):

<b>“Decision Factors and Risk Management” Key Use of Force Questions</b>	<b>Yes</b>	<b>No</b>
1. <b>Legality:</b> Is the type of force for the intended purpose authorized under the mission ROE and is it warranted in the situation?		
2. <b>Appropriateness:</b> Have all available peaceful means to resolve the situation been exhausted and will the use of force contribute to the authorized objective and/or task? Is the force to be used necessary and proportionate to the threat?		
3. <b>Capacity:</b> Does the mission or contingent have the capability (equipment, training and manpower, including reserves) to use targeted and graduated force?		
4. <b>Criticality:</b> Will inaction result in serious physical injuries or death to United Nations and associated personnel or civilian populations or damage of United Nations property and/or result in negative impact in the mission’s success/credibility?		

*Note: Peacekeepers require answering these four questions in the affirmative prior to deciding to use force.*

44. Commanders at all levels must exercise their professional military judgement, taking into account all relevant factors in the decision-making process, in order to develop courses of action to counter hostile activity, capabilities and intent. The use of a deliberate process to develop realistic courses of action will assist peacekeepers in developing methods aimed at reducing the impact and/or likelihood of threats from hostile groups or individuals.

## **D.9 Training**

45. In accordance with DPKO/DFS policy on Operational Readiness Assurance and Performance Improvement,<sup>14</sup> the shaping, training and preparation of United Nations peacekeepers before deployment is a TCC responsibility. During pre-deployment training, all military personnel should be trained to established United Nations standards with Core Pre-Deployment Training Materials, Specialized Training Materials, United Nations Infantry Battalion Manual/United Nations Military Unit Manuals, mission-specific ROE, the DPKO/DFS Detention ISOP and applicable humanitarian and human rights law. The mission-specific ROE should form a part of the pre-deployment training. Training should focus on appropriate use of force in different situations and emphasize the graduated application of force. The use of force decision and response model, and the use of force matrix of indicators and possible tasks attached as Annex B, should form the basis of any use of force training curriculum.
46. Ideally, training should be based on scenarios that peacekeepers are likely to encounter in the mission area. At the tactical level, unit preparation should include basic skills training such as weapons proficiency and accuracy. As such, all units should zero their weapons within 30 days of arrival in the mission, and weapons should be check-zeroed on a regular basis. TCCs should provide ammunition for live firing training. The Force Headquarters will ensure access to the required small arms ranges.
47. Once military units and contingents are deployed in the mission area, the FHQ should ensure that all commanders receive in-mission briefing and training including updated ROE. Similarly, the FHQ should insist on periodic unit training, and can ensure this by issuing regular training command directives based on realistic operational scenarios including those involving child soldiers and/or female combatants, when applicable. Regular in-mission training should include drills and procedures that amplify important tasks commanders and troops must carry out, including the authority to use force if necessary. Scenario-based training, with thorough plans considering all mission components, can be introduced and constantly updated to assist commanders and troops in their assessment of complex situations. Special teams, organized and equipped for Public Order Management and the techniques of cordon and search, should train regularly on use of force procedures as operational requirements permit.

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## **E. TERMS AND DEFINITIONS**

<b>Attack</b>	The use of force by or against any force or personnel, or directed at a target or objective.
<b>Cordon</b>	A deployment of United Nations peacekeepers around an object or location with the intent to isolate an area and restrict and/or control both access and exit.

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<sup>14</sup> DPKO/DFS policy on Operational Readiness Assurance and Performance Improvement, December 2015.

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<b>Collateral Damage</b>	Incidental loss of civilian life, injury to civilians or damage to civilian property not part of any authorized target.
<b>Detention</b>	The act of unilaterally restricting the freedom of movement of an individual pursuant to the mission's mandate and ROE, regardless of the duration of such detention.
<b>Deterrence</b>	The display of willingness, capability and readiness of peacekeepers to use force to prevent an individual or group from initiating a hostile act.
<b>Force</b>	The use of, or threat to use, physical means to impose one's will.
<b>Armed Force</b>	The use of all weapons, including firearms and bayonets.
<b>Deadly Force</b>	The level of force which is intended, or likely to cause, death, regardless of whether death actually results. This is the ultimate degree of force.
<b>Non-Deadly Force</b>	The level of force that is neither intended nor likely to cause death, regardless of whether death actually results.
<b>Minimum Force</b>	The minimum degree of authorized force that is necessary and reasonable in the circumstances to achieve the authorized objective. A minimum degree of force is applicable whenever force is used. Minimum Force can be Deadly Force, in certain circumstances.
<b>Unarmed Force</b>	The use of physical force, short of the use of Armed Force.
<b>Hostile Act</b>	An action where the intent is to cause death, serious bodily harm or destruction of United Nations designated property.
<b>Hostile Intent</b>	The threat of an impending use of force, which is demonstrated through an action or behavior which appears to be preparatory to a hostile act. Only a reasonable belief in the hostile intent is required before the use of force is authorized. Whether or not hostile intent is being demonstrated must be judged by the on-scene commander, on the basis of one or a combination of the following factors: <ul style="list-style-type: none"><li>a. The capability and preparedness of the threat.</li><li>b. The available evidence which indicates an intention to attack.</li><li>c. Historical precedent within the Mission's Area of Responsibility.</li></ul>
<b>Reasonable Belief</b>	A belief which a reasonable peacekeeper would hold on the basis of the facts as they are known to him or her at the time.
<b>Offensive Operation</b>	Military operations undertaken by military contingents, as and when mandated, in order to discharge the task of neutralizing armed groups to prevent their expansion, and neutralize and disarm them in order to contribute to the objective of reducing threats to the host state authority and civilian security, as and when mandated.

**Proportionality** The amount of force which is reasonable in intensity, duration and magnitude, based on all facts known to the commander or individual soldier at the time, to decisively counter a hostile act or intent or to otherwise achieve an authorized objective specified in the mission-specific ROE.

**Spoiler** Individuals or groups that may profit from the spread or continuation of violence, or have an interest to disrupt a resolution of a conflict, including through a violent means, in a given setting.

**United Nations Personnel** For specific details, refer to the mission-specific ROE. For the purposes of this document, the following persons are considered “United Nations personnel:”

- a. Members of the peacekeeping mission.
- b. Officials of the United Nations and its specialized agencies and related organizations.
- c. Experts on the mission for the United Nations and for its specialized agencies and related organizations.
- d. United Nations Volunteers who are present in the host nation in the performance of their official duties or missions.
- e. Other associated personnel designated by the Head of the Mission, in consultation with United Nations headquarters, including:
  - i. Persons engaged by the Secretary-General or by one of the specialized agencies or related organizations of the United Nations.
  - ii. Persons assigned by a Government or an intergovernmental organization operating with the authority of the Security Council or General Assembly.
  - iii. Persons deployed by authorized humanitarian non-governmental organizations or agencies under an agreement with the Secretary-General, or with a specialized agency or related organization of the United Nations to carry out activities in support of the fulfilment of the mandate of a mission or of programmes of the United Nations, including programmes of its offices.

**United Nations Associated Personnel** See, UN personnel, under item (e).

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## F. REFERENCES

### Normative or Superior References

- A. *Report of the High Level Independent Panel on Peacekeeping Operations*, 16 June 2015.

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- B. Report of the Secretary-General on “*The future of United Nations peace operations: implementation of the recommendations of the High-level Independent Panel on Peace Operations*,” (A/70/375-S/2015/682) (2 September 2015).
- C. Secretary-General’s Bulletin on *Observance by United Nations Forces of International Humanitarian Law* [ST/SGB/1999/13].
- D. Secretary-General’s Bulletin on *Special Measures for Protection From Sexual Exploitation and Sexual Abuse* [ST/SGB/2003/13].
- E. Security Council Aide-Mémoire for the consideration of issues pertaining to the protection of civilians in armed conflict [S/PRST/2015/23 Annex].
- F. Rome Statute of the International Criminal Court [ICC-ASP/2/Res.3].
- G. The Four Geneva Conventions of 1949 and the Additional Protocols to the Geneva Conventions (1977).
- H. Secretary-General’s letter to the General Assembly and Security Council: *Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Security Forces* (A/67/775–S/2013/110), March 2013.
- I. *UN Policy on Human Rights Screening of United Nations Personnel* (December 2012).

**Related Policies, Procedures or Guidelines**

- A. DPKO/DFS Policy on *Authority, Command and Control in United Nations Peacekeeping Operations* (Ref 2008.4).
- B. DPKO/Force Generation Service *Generic Guidelines for Troop Contributing Countries Deploying Military Units to the United Nations Peacekeeping Missions* (2008).
- C. DPKO/DPS *Policy: Mainstreaming the Protection, Rights and Wellbeing of Children Affected by Armed Conflict within UN Peacekeeping Operations*. (Ref 2009.17)
- D. DPKO/DFS SOP on *Detention in United Nations Peace Operations*, (Ref 2010.06)
- E. DPKO/DFS *Policy on Gender Equality in UN Peacekeeping Operations* (Ref 2010.25)
- F. DPKO/DFS *Guidelines: Integrating a Gender Perspective into the Work of the United Nations Military in Peacekeeping Operations* (Ref 2010.22)
- G. OHCHR/DPKO/DFS/DPA *Policy on Human Rights in Peace Operations and Political Missions* (Ref 2011.20).
- H. DPKO/DFS *United Nations Infantry Battalion Manual, Volume I & II* (2012).
- I. DPKO/DFS *Policy for the Protection of Civilians in United Nations Peacekeeping* (Ref 2015.07).
- J. DPKO/DFS *Guidelines: Protection of Civilians: Implementing Guidelines for the Military Components of United Nations Peacekeeping Missions* (Ref 2015.02).

- K. DPKO/DFS and DPA Guidelines: *the Mission Concept* (Ref 2014.04).
  - L. DPKO/DFS Policy: *Operational Readiness Assurance and Performance Improvement*, (Ref 2015.16).
  - M. DPKO/DFS SOP: *Force and Sector Commanders Evaluation of Military Entities in Peacekeeping Operations* (Ref 2016.02).
  - N. DPKO/DFS SOP: *Force Headquarters Evaluation in peacekeeping operations* (Ref 2016.16).
  - O. DPKO/DFS *Policy on Public Information and Strategic Communications*, (2016).
  - P. DPKO/DFS Guidelines: *Military Support for Public Order Management in Peacekeeping Operations*, (Ref 2016.23)
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## **G. MONITORING AND COMPLIANCE**

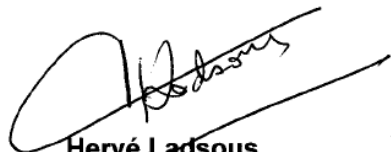
- 48. In field missions, the implementation of these Guidelines shall be the responsibility of the HOMC/FC.
  - 49. The Office of Military Affairs shall monitor compliance with these Guidelines.
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## **H. CONTACT**

- 50. These guidelines were developed by the Office of Military Affairs, DPKO. Queries or comments should be directed thereto.
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## **I. HISTORY**

- 51. This is the first edition of these guidelines. It will be considered for revision in 01 February 2020.
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**Hervé Ladsous**  
**Under-Secretary-General**  
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**DATE OF APPROVAL: JAN 25 2017**



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**Under-Secretary-General**  
**Department of Field Support**

**DATE OF APPROVAL: 24/1/2017**

## Annex A

## Possible Scenarios for the Use of Force

Context	Scenarios	Actions	Guidelines
Self Defense	Individual peacekeeper or a unit under attack	<ul style="list-style-type: none"> <li>Respond effectively by exercising inherent right of self defense</li> <li>United Nations forces in vicinity provide assistance</li> </ul>	Mission ROE and Force Commander's CONOPS
	If a patrol or convoy is attacked or ambushed	<ul style="list-style-type: none"> <li>Respond appropriately by exercising inherent right of self defense</li> <li>Use proportionate force to prevent the perpetrators from disarming UN personnel or seizing United Nations equipment and vehicles.</li> <li>Communicate through the chain of command for additional support as needed</li> </ul>	
Pre-emptive Self Defense	Anticipated attack based on credible information	<ul style="list-style-type: none"> <li>Pre-emptive actions to prevent, deter or disrupt the impending attack</li> </ul>	Mission ROE and Force Commander's CONOPS
Protection of Civilians (POC)	All POC scenarios	<ul style="list-style-type: none"> <li>If the mission is mandated for POC, the peacekeepers have an obligation to use force to protect civilians from armed attack when all other unarmed tactics, techniques and procedures fail.</li> <li>Pre-emptive actions to prevent deter or disrupt the impending threat to civilians.</li> <li>Actions are guided by United Nations mission POC policy and military implementing guidelines</li> </ul>	Mission mandate, ROE, and DPKO/DFS POC policy and POC implementing guidelines for Military Component,
Providing security conditions conducive to	Maintaining freedom of movement for humanitarian personnel	<ul style="list-style-type: none"> <li>Respect neutrality, impartiality and operational independence of humanitarian organizations</li> </ul>	Mission ROE

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humanitarian operations		<ul style="list-style-type: none"> <li>• Coordinate with United Nations Office for the coordination of Humanitarian Affairs (United Nations OCHA) including through the UN-CM Coordinator on military assistance required</li> <li>• Use force, only if necessary, to create the security conditions for humanitarian agencies to function in a non-permissive environment in accordance with mission ROE</li> </ul>	
Protection of Property	Hostile act or intent against United Nations property or United Nations- designated property	<ul style="list-style-type: none"> <li>• Use of force in accordance with mission ROE.</li> <li>• Missions may authorize the use of lethal force to protect property that is vital to life</li> <li>• Mission ROE may authorize the use of non-deadly force to protect United Nations premises, property and other assets</li> </ul>	Mission ROE
In support of host nation elements	Support host nation security forces in training, joint planning/operations, and Defense Sector Reform	<ul style="list-style-type: none"> <li>• Ensure that concerned host nation elements have not been involved in human rights violations</li> <li>• Do not assist human rights violators</li> <li>• Actions must be in compliance with Human Rights Due Diligence Policy on United Nations support to non-United Nations security forces</li> </ul>	Mission mandate and ROE, and Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Security Forces
Neutralizing armed groups or spoilers	Hostile acts against United Nations personnel, civilians or interference with freedom of movement	<ul style="list-style-type: none"> <li>• Such persons or groups should be responded to with the appropriate level of force</li> <li>• Pre-emptive actions to prevent, deter or disrupt impending hostile acts</li> </ul>	Mission mandate and ROE
	When mandated to take targeted offensive actions	<ul style="list-style-type: none"> <li>• Target armed groups to prevent their expansion,</li> </ul>	



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		neutralize and disarm them in order to contribute to the objective of reducing the threat posed by armed groups to the host state authority and civilians.	
Public order management	In all scenarios of public order management	<ul style="list-style-type: none"> <li>• Develop joint SOP with Police Component to integrate and conduct joint planning, training and operations</li> <li>• Response must be respectful of human rights, including freedom of assembly</li> <li>• Any force used must be necessary, graduated, minimum and proportional in its intensity and duration, as authorized by ROE and mandate</li> <li>• Request the presence of United Nations police if not on scene at the outbreak of an incident.</li> <li>• Deploy female peacekeepers to the scene and/or request United Nations female police peacekeepers</li> <li>• Follow guidelines mentioned in guidelines on Military Support for Public Order Management and UNIBAM</li> </ul>	Mission ROE and United Nations Infantry Battalion Manual (UNIBAM) Vol. I & II, Guidelines on Military Support for Public Order Management
Child Soldiers	In all scenarios of child soldiers	<ul style="list-style-type: none"> <li>• Determine if the situation at hand is a hostile intent or a case where United Nations needs to protect</li> <li>• Prioritize utilizing alternatives to the use of force against child soldiers (e.g. creation of buffer zones, targeting of adult commanders)</li> <li>• In case of determined threat, force can be used in self-defense, or to protect civilians under protection</li> </ul>	Mission Mandate and ROE

### Matrix of Indicators and Possible Tasks

Phase	Indicators	Possible Tasks (subject to mandate)
<p><b>Prevention</b></p>	<p>Evidence of instability that has the potential to escalate. Situational awareness is the primary effort.</p> <p>Indicators may include:</p> <ul style="list-style-type: none"> <li>▪ Reports on:               <ul style="list-style-type: none"> <li>▪ Violations against United Nations freedom of movement</li> <li>▪ Intimidation of humanitarian workers</li> <li>▪ Abduction/disappearances</li> </ul> </li> <li>▪ Incidents or pattern of sexual violence</li> <li>▪ Weapons influxes</li> <li>▪ Gun and IED/mine-related violence</li> <li>▪ Displacement of population, which may be forced, or voluntary as a precautionary measure.</li> <li>▪ Ceasefire violations</li> <li>▪ Incidents of political tension/minor street protests</li> </ul>	<ul style="list-style-type: none"> <li>▪ Information collection, analysis and development of situational awareness</li> <li>▪ Regular threat and risk assessment</li> <li>▪ Activation of mission communication plan</li> <li>▪ Support the deployment of human rights, civil affairs and other United Nations actors</li> <li>▪ Community engagement and public communication. Liaise with local women and men and learn of and take action to address their concerns in coordination with Gender Affairs Officer, Women Protection Advisors, Human Rights Officers and Civil Affairs Officers.</li> <li>▪ Make maximum use of female military and police personnel in areas where it is culturally not appropriate for male peacekeepers to liaise with females of host population.</li> <li>▪ Support host nation security forces in establishing or strengthening security conditions</li> <li>▪ Visible presence of United Nations military and police, especially where state security forces are not present</li> <li>▪ Conduct regular patrols and prioritize patrol routes based on security needs of host population</li> <li>▪ Establish checkpoints</li> <li>▪ Undertake aerial reconnaissance and surveillance</li> <li>▪ Help secure routes, vital facilities and infrastructure</li> <li>▪ Support public order management</li> <li>▪ Assist humanitarian actors in evacuation of internally displaced persons (IDP) and refugees in coordination with UN OCHA</li> <li>▪ Support the establishment and enforcement of weapons control by</li> </ul>

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		<p>assisting in:</p> <ul style="list-style-type: none"> <li>- Establishing a weapons control monitoring program</li> <li>- Identifying, securing, protecting, and coordinating the disposition of munitions stockpiles and facilities</li> <li>- Collecting and destroying 'loose' weapons and munitions, and disposal of unexploded ordnance and explosive remnants of war</li> <li>- Providing security to disarming teams</li> <li>▪ Support disengagement, demobilization, rehabilitation, resettlement, and reintegration efforts</li> <li>▪ Support the establishment of demobilization camps</li> <li>▪ Enforce regulations on restricted areas and geographic/ethnic enclaves</li> <li>▪ Assist border control operations by:             <ul style="list-style-type: none"> <li>- Monitoring and impeding, as necessary, the movement of unauthorized materials or persons</li> </ul> </li> <li>▪ Help monitor the implementation of any ceasefire agreement by identifying, reporting, investigating, and supporting the peaceful resolution of alleged violations</li> </ul>
<p><b>Pre-emption</b></p>	<p>Incidents that indicate the precursors of significant violence, potentially including organized groups, widespread targeting of a specific group (such as ethnic, religious, political, etc.), or the general deterioration of the security situation. Incidents may be specific, present threats; or they may be more generalized, significant threats. The focus of pre-emption is on identifying the immediate destabilizing factor and, where necessary, developing plans to disrupt it short of full military action.</p>	<ul style="list-style-type: none"> <li>▪ Activation of mission communication plan</li> <li>▪ Reinforced military and police presence and patrolling</li> <li>▪ Conduct tactical and operational redeployment/ repositioning of troops</li> <li>▪ Establish and run Forward Operating Bases</li> <li>▪ Interposition and show of force/maneuver of larger forces</li> <li>▪ Surgical or selective strikes/raids</li> <li>▪ Control of movement and access</li> <li>▪ Impose and enforce curfews</li> <li>▪ Dismantle armed groups' roadblocks</li> <li>▪ Cordon areas of concern</li> <li>▪ Enhanced protection of population centers and IDP camps</li> <li>▪ Regular threat and risk assessments</li> <li>▪ Support to counter-IED</li> </ul>

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	<p><b><u>Indicators may include:</u></b></p> <ul style="list-style-type: none"> <li>▪ Observation of rapid build-up of armed groups</li> <li>▪ Reported presence of a known armed spoiler</li> <li>▪ Patterns of increased human rights violations</li> <li>▪ High profile abductions</li> <li>▪ Religious or sectarian persecutions</li> </ul>	
<p><b>Response</b></p>	<p>The focus of response is on taking the necessary action to implement the mandate. This may involve full military operations.</p> <p><b><u>Indicators may include:</u></b></p> <ul style="list-style-type: none"> <li>▪ Inter-communal or sectarian violence</li> <li>▪ Violence that erupts/escalates in an area of responsibility or interest, such as refugee/IDP camps</li> <li>▪ Violent attacks/shelling of United Nations facilities</li> <li>▪ Bombing/sabotage with mass casualties</li> <li>▪ Widespread severe armed actions</li> <li>▪ Atrocity crimes, including mass extrajudicial killing, war crimes, crimes against humanity, and ethnic cleansing</li> </ul>	<ul style="list-style-type: none"> <li>▪ Direct action targeted against perpetrators including through gradual use of force to stop on going violence and disperse assemblies of potential perpetrators</li> <li>▪ Conduct operations to respond appropriately to acts of violence</li> <li>▪ Undertake search and rescue operations, including during hostage situations</li> <li>▪ Activation of mission communication plan</li> <li>▪ Robust camp defense</li> <li>▪ Undertake operations against high-value targets</li> <li>▪ Provide temporary secure areas to civilians in danger</li> <li>▪ Support evacuation of civilians to more stable areas</li> <li>▪ Apprehend and temporarily detain hostile persons or groups</li> </ul>
<p><b>Consolidation</b></p>	<p>The focus of consolidation is on ensuring that all aspects of a mission’s peace and security mandate are brought to bear in a</p>	<ul style="list-style-type: none"> <li>▪ Assist in restoring peace and order, including containment of looting</li> <li>▪ Regular visibility patrols</li> <li>▪ Help enforce ceasefires by supervising disengagement of belligerents</li> </ul>

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	<p>given situation after the use of force and deterrence. Consolidation also ensures that strategic gains are maintained and civilians are not harmed by any security vacuum left after a military operation. Other indicators include:</p> <ul style="list-style-type: none"><li>▪ Belligerents propose negotiation/dialogue</li><li>▪ Hostile group withdrawal and/or surrender</li><li>▪ Violence ceases, including serious violations of human rights and humanitarian law</li></ul>	<ul style="list-style-type: none"><li>▪ Reinstall security in separation zones</li><li>▪ Regular threat and risk assessment</li><li>▪ Activation of mission communication plan</li><li>▪ Undertake Quick Impact Projects and media operations</li><li>▪ Assist in the return of civilian international and United Nations staff once violence ends</li><li>▪ Support disengagement, demobilization, rehabilitation, resettlement, and reintegration efforts</li><li>▪ Create security conditions conducive to the provision of civilian-led humanitarian assistance to affected populations, as requested through the United Nations Humanitarian Coordinator,<sup>15</sup> including:<ul style="list-style-type: none"><li>– Making available convoy escorts and mobility assets to move relief supplies to distribution centers</li><li>– Securing emergency relief distribution points and networks</li></ul></li><li>▪ Upon request by or in coordination with the Humanitarian Coordinator, and according to established guidelines, provide available emergency food and non-food items, water, sanitation, shelter and medical care<ul style="list-style-type: none"><li>▪ Under exceptional circumstances and upon request by the Humanitarian Coordinator, according to established guidelines of last resort, assist public health care support in:<ul style="list-style-type: none"><li>– Evaluating the need for additional medical capabilities</li><li>– Mitigating public health hazards within the area of operations/interest</li><li>– Managing or augmenting the operations of existing civilian medical facilities</li><li>– Providing health care services to the local population</li><li>– Supporting existing medical infrastructure</li></ul></li></ul></li><li>▪ Establish firearm collection points</li><li>▪ Gather and report to human rights officers allegations of human rights violations and abuses</li></ul>
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<sup>15</sup> The Humanitarian Coordinator is supported in his/her functions by UN OCHA, including when structurally integrated within a peacekeeping mission as the DSRSG/RC/HC.