

**NATO STANDARD**

**AJP-3.4.1**

**ALLIED JOINT DOCTRINE FOR THE  
MILITARY CONTRIBUTION TO PEACE  
SUPPORT**

**Edition A Version 1  
DECEMBER 2014**



**NORTH ATLANTIC TREATY ORGANIZATION**

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**NATO LETTER OF PROMULGATION**

2 December 2014

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## TABLE OF CONTENTS

	Page
<b>Chapter 1 – Types of Peace Support Efforts</b>	
Introduction	1-1
Types of Peace Support Efforts	1-2
<b>Chapter 2 – The Nature and Principles of Peace Support</b>	
The Nature of Peace Support	2-1
Actors in the Peace Support Environment	2-5
Principles of Peace Support	2-8
<b>Chapter 3 – Planning Considerations</b>	
Understanding	3-1
Command and Control	3-3
Inter-agency Planning	3-3
Achieving Deterrence	3-5
Intelligence	3-7
Force Protection	3-8
NATO Strategic Communications	3-8
Information Operations and Public Affairs	3-9
Thematic Considerations	3-10
Security Transitions	3-14
Assessment	3-16
<b>Chapter 4 – Military Tasks and Capabilities</b>	
Military Activity in Peace Support	4-1
Military Missions and Tasks Relevant to Peace Support	4-2
Military Capabilities on Peace Support	4-10
Education, Training and Exercises	4-20
<b>Lexicon</b>	
List of Abbreviations	LEX-1
Terms and Definitions	LEX-3

## PREFACE

1. Allied Joint Publication (AJP)-3.4.1(A) *Allied Joint Doctrine for Military Contribution to Peace Support* provides insight and guidance for commanders when planning for and conducting peace support. Peace support efforts include conflict prevention, peacemaking, peace enforcement, peacekeeping and peacebuilding. The impartial implementation of a political strategy is the fundamental difference separating peace support from other types of operational-level themes.
2. AJP-3.4.1(A) supersedes AJP-3.4.1 dated July 2001 and is intended for use primarily by commanders and staff at the operational level. It could also be used to provide the necessary context for activities at the tactical level of warfare, and support North Atlantic Treaty Organization (NATO) training and education programmes. The doctrine is intended for use by NATO forces, but can also be used as a source of reference by any non-NATO armed forces or civilian organisation.
3. AJP-3.4.1(A) complements, rather than duplicates, the detail that is common across all military operations and covered appropriately elsewhere in Allied joint doctrine. Specific Allied joint publications that provide context for AJP-3.4.1(A) include AJP-01(D) *Allied Joint Doctrine*, AJP-3(B) *Allied Joint Doctrine for the Conduct of Operations*, AJP-5 *Allied Joint Doctrine for Operational-level Planning*, AJP-3.4(A) *Allied Joint Doctrine for Non-Article 5 Crisis Response Operations*, AJP-3.4.5 *Allied Joint Doctrine for Military Support to Stabilization and Reconstruction* and AJP-3.19 *Allied Joint Doctrine for Civil-Military Cooperation*.
4. The contents of AJP-3.4.1(A) are authoritative, but require judgement in application.

## CHAPTER 1 - TYPES OF PEACE SUPPORT EFFORTS

### Section I - Introduction

0101. NATO's North Atlantic Council (NAC) may decide to intervene in crises beyond NATO borders to help strengthen, uphold or restore peace and security. The decision to employ NATO forces is likely to be part of a wider response from the international community that will also include civilian governmental and non-governmental organizations. NATO's stance as part of this response may be to actively engage in the conflict<sup>1</sup> by supporting one actor over another, or alternatively to deploy as an impartial enforcer or facilitator of a peace process. The military contribution to peace support reflects the latter approach, where NATO forces operate with no designated opponent.
0102. Peace support can take place in the context of both inter-state and intra-state conflict. NATO capstone doctrine, AJP-01(D), asserts that intra-state conflict will be more common than inter-state conflict for the foreseeable future. This anticipated trend places additional responsibilities on certain types of military deployments in peace support because military activity cannot be considered in isolation of civilian activity. Therefore military and civilian actors will be required to work in tandem on activities which address the causes of conflict in an attempt to secure a sustainable peace. Peace support incorporates a spectrum of efforts that aim to:
- a. Prevent conflict from taking place.
  - b. Restore peace and order between major conflicting parties.
  - c. Secure a ceasefire or peace settlement following the outbreak of conflict.
  - d. Keep the peace while a ceasefire or peace settlement is implemented.
  - e. Help extend state authority where capacity is weak, to help build a society where disputes in the future are less likely to escalate to conflict.

### The Relationship between Peace Support and Stabilization and Reconstruction

0103. AJP-3.4.5 *Allied Joint Doctrine for Military Support to Stabilization and Reconstruction* provides doctrine for the military contribution to a wider civilian-led undertaking of stabilising and reconstructing fragile states that have been or are affected by conflict. This overarching concept seeks, where necessary, to address instability by providing a safe and secure environment from which the core state

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<sup>1</sup> For the purpose of this publication only, the term *conflict* refers to violent conflict unless stated otherwise.

functions can be reformed and developed. NATO's role within this concept will be shaped by the NAC, NATO Military Committee and Allied Command Operations on a case-by-case basis. For example, peace support may sit within the framework of stabilization and reconstruction as the specific case where NATO does not intend to take sides in the conflict but has an interest in resolving the crisis. Therefore, much of the information contained in AJP-3.4.5 reflects outcomes that are similar to those being sought during certain peace support efforts and should be read in conjunction with this publication.

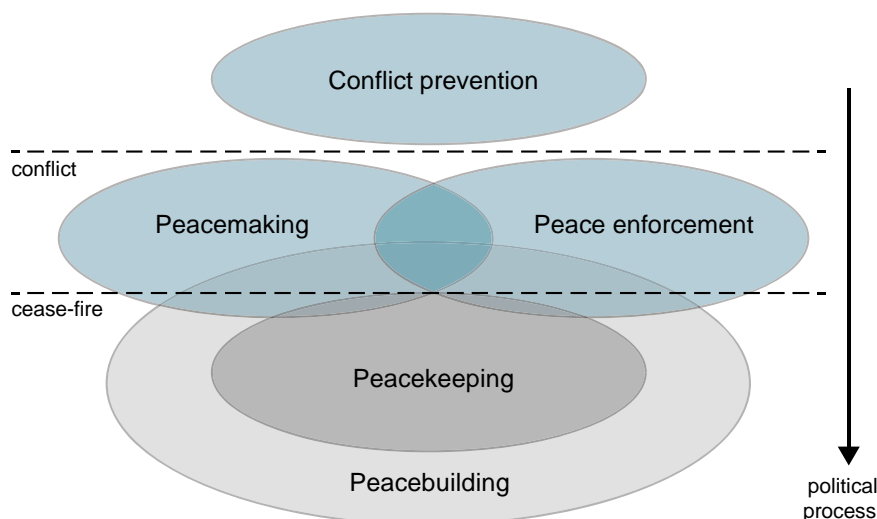
## Section II – Types of Peace Support Efforts

0104. **Peace support:** Efforts conducted impartially to restore or maintain peace. Peace support efforts can include conflict prevention, peacemaking, peace enforcement, peacekeeping and peacebuilding.<sup>2</sup>
0105. Peace support encompasses a series of efforts that support international peace and security. The different types of peace support efforts do not represent a sequential process where one necessarily has to lead to the next; for example, peacekeeping will not necessarily be preceded by peace enforcement. However, commanders and their staffs should understand how the different types of efforts relate to, complement or overlap each other so that their actions support, rather than undermine, an ongoing political process. Figure 1 provides a basic conceptual framework to visualize when these types of efforts take place in and around conflict.
0106. Other actors might use peace support-related terms in a different way to NATO. Such differences should be identified early in the planning process to avoid confusion between different military and civilian actors.<sup>3</sup>

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<sup>2</sup> Terminology tracking form submitted.

<sup>3</sup> *United Nations Peacekeeping Operations: Principles and Guidelines* (2008) provide the United Nation's interpretation of peace operations, much of which has informed this Allied joint publication.



**Figure 1: Basic Conceptual Framework**

## Conflict Prevention

0107. **Definition:** A peace support effort to identify and monitor the potential causes of conflict, and take timely action to prevent the occurrence, escalation, or resumption of hostilities.<sup>4</sup>

0108. The purpose of conflict prevention is to keep inter-state and intra-state disputes from escalating into armed conflict. Measures taken by the international community to prevent conflict can be adopted as crisis emerges or during periods of relative peace; the first aims to prevent imminent conflict while the other seeks to build capable and legitimate institutions that allow disputes to be managed and arbitrated without the resort to violence.

0109. Conflict prevention in the context of peace support aims to prevent imminent conflict. Specific military tasks could include the provision of strategic early warning systems<sup>5</sup> and analytical support to help identify those states most at risk of entering into conflict, or the rapid projection of Allied forces to prevent an escalation of hostilities. The rapid projection of Allied forces is likely to be appropriate only when other military and civilian measures are assessed to be insufficient to prevent an escalation to conflict.

0110. Employing short-term prevention measures in isolation of a long-term political strategy is unlikely to provide sustainable peace even though they may succeed in averting conflict. Sustainable peace will probably occur only once the underlying

<sup>4</sup> Terminology tracking form submitted.

<sup>5</sup> MC 0166/2012 (FINAL), NATO Intelligence Warning System (NIWS), 21 Nov 2012

causes of conflict have been addressed and resolved. Long-term prevention measures are likely to be incorporated into the peacebuilding process.

## Peacemaking

0111. **Definition:** A peace support effort conducted after the initiation of a conflict to secure a ceasefire or peaceful settlement involving primarily diplomatic action supported, when necessary, by direct or indirect use of military assets.<sup>6</sup>

0112. Peacemaking involves primarily diplomatic-led activities aimed at establishing a negotiated agreement between major conflicting parties<sup>7</sup>, such as a ceasefire or peace agreement, and is conducted after a conflict has started. Peacemakers may represent an international organization such as the United Nations (UN), a state, group of states or a regional organization. Military forces are able to support the peacemaking process through the provision of military advice to other actors and the threat and the use of coercive force to deter major conflicting parties from continuing to pursue conflict rather than engage in negotiations.<sup>8</sup>

## Peace Enforcement

0113. **Definition:** A peace support effort designed to end hostilities through the application of a range of coercive measures, including the use of military force. It is likely to be conducted without the strategic consent of some, if not all, of the major conflicting parties.<sup>9</sup>

0114. The purpose of peace enforcement is to restore peace and security in situations where, for example, the UN Security Council has authorized coercive action on the basis of the existence of a threat to the peace, breach of the peace or act of aggression. Coercive action will be used to impose a compromise settlement on the major conflicting parties. A political vision of how the proposed settlement should look will provide the basis of any intervening strategy.

0115. Peace enforcement will require UN Security Council authorization [in accordance with Chapter VII of the UN Charter](#) because it is conducted without the consent of some, if not all, of the major conflicting parties engaged in the conflict, which may include the state in which the crisis is taking place. In such instances, the UN is likely to authorise a third party, whether it is a regional security actor, such as NATO, or a coalition of states to implement a peace enforcement mandate. Peace enforcement operations may require a wide range of military capabilities to coerce major

<sup>6</sup> Terminology tracking form submitted.

<sup>7</sup> Major conflicting parties refers to both state and non-state actors.

<sup>8</sup> Deterrence is covered in more detail in Chapter 3.

<sup>9</sup> Terminology tracking form submitted.



conflicting parties to negotiate an end to hostilities. The peace support force (PSF)<sup>10</sup> should be prepared to use force to physically separate the major conflicting parties or to stop atrocities. The PSF should also expect to inflict and suffer casualties in the process of doing so.

0116. Although the distinction between using military force for peace enforcement and war can be blurred at times, two important differences exist. First, the political aim in peace enforcement is to compel major conflicting parties to reach a settlement. Second, the military aim in peace enforcement is not to ensure the military victory of any one side, but rather to impartially use force to stop hostilities. Maintaining a perception of impartiality during the early stages of a peace enforcement operation may be difficult. This is because military force may be directed against a single party, whose actions are the main cause of international concern and reason for intervention; for example, the adverse effect a state's actions is having on its civilian population.
0117. The use of military force in peace enforcement does not resolve the causes of conflict, it can only stop hostilities. Making further progress and sustaining a peace is often the role of peacekeepers. The transition between the two types of military forces involved in these types of operations must be conditions-based rather than adhering to a pre-determined timeline. The degree of security achieved by a PSF could easily be undone by a follow-on military force with less capacity. Military planners should continually inform and influence this transition process to ensure follow-on military forces understand the operating environment and are able to support the peacekeeping and peacebuilding processes.

## Peacekeeping

0118. **Definition:** A peace support effort designed to assist the implementation of a ceasefire or peace settlement and to help lay the foundations for sustainable peace. It is conducted with the strategic consent of all major conflicting parties.<sup>11</sup>
0119. Peacekeeping Peacekeeping is conducted under the authority of Chapter VI of the UN Charter, and is based on the strategic consent of the major conflicting parties following a peace settlement or ceasefire, where a cessation of hostilities has occurred. The purpose of peacekeeping is to prevent the recurrence of conflict, mitigate humanitarian crises and help to develop state authority<sup>12</sup> where state capacity and legitimacy is weak or contested. The PSF should be prepared to use force to implement the mandate.

<sup>10</sup> A peace support force is a NATO-led military force assigned to peace support.

<sup>11</sup> Terminology tracking form submitted.

<sup>12</sup> State authority is developed through the peace process.

0120. Peacekeeping can be conducted by the UN, a regional organization or members thereof, and is likely to involve a mixture of military, police and civilian actors. The commander must plan and execute activities to ensure the PSF, alongside other peacekeeping actors, actively support the peace process.
0121. Peacekeeping is multi-dimensional in nature. It is used as part of a broader international response to provide a safe and secure environment and assist in implementing agreements made between conflicting parties as the peace process evolves. Some peacebuilding activities may be carried out by military and civilian peacekeepers, in part, to build confidence among the local population and also those conflicting parties involved in the peace process. Early peacebuilding activities may:
- a. Assist the political process by promoting dialogue and supporting local governance.
  - b. Support disarmament, demobilisation and reintegration programmes and the initial phases of security sector reform, policing, rule of law, and justice programmes.
  - c. Help enable a framework for longer-term development.

The overlap between peacekeeping and peacebuilding activities highlights the complex nature of contemporary peace support.<sup>13</sup>

### **The Centrality of the Peace Process during Peacekeeping**

0122. Ceasefires and peace settlements are important milestones as conflicting parties agree to pursue a peaceful resolution to conflict. However, an agreement sometimes acts only as a framework from which to continue formal negotiations. During negotiations, the major conflicting parties will formulate their positions based on their expectations of the post-conflict environment. Negotiations are unlikely to support the interests of all the major conflicting parties all of the time, which can lead to a breakdown in the peace process. This is due, in part, to the nature of the peace process as the struggle for post-conflict power ensues. Conflicting parties, or splinter groups, may revert to using violence for the following reasons:
- a. If they feel the peace process is not serving their interests.
  - b. To gain more leverage in the negotiation process.

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<sup>13</sup> Read the United Nations Security Council Resolution 2086 (2013) to learn more about the relationship between peacekeeping and peacebuilding.

- c. Agreements are not being implemented in a correct or timely manner.

The PSF may know little about the details as peacemaking discussions take place, but should be aware that the process will be surrounded by continued violence, mistrust, fear, hope and danger.

## Peacebuilding

0123. **Definition:** A peace support effort designed to reduce the risk of relapsing into conflict by addressing the underlying causes of conflict and the longer-term needs of the people. It requires a commitment to a long-term process and may run concurrently with other types of peace support efforts.<sup>14</sup>

0124. Peacebuilding, perhaps more than any other type of peace support effort, should not be viewed in isolation since its activities often overlap other efforts such as conflict prevention and peacekeeping. Peacebuilding strategies should be tailored to the specific needs of the country concerned, aimed at building the capacity and legitimacy of the state and civil society to a point where the need for external assistance is diminished. Peacebuilding includes mechanisms to identify and support structures that will consolidate peace, foster a sense of confidence and wellbeing, and support long-term reconstruction.

0125. Although predominantly a civilian-led and delivered endeavour, military support may be required to help build the capacity of specific security related processes, such as security sector reform. AJP-3.4.5 *Allied Joint Doctrine for Military Support to Stabilization and Reconstruction* provides a detailed overview of the types of reconstruction activities that help to develop a state or region to a point where it is less likely to relapse into conflict.

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<sup>14</sup> Terminology tracking form submitted.

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## CHAPTER 2 – THE NATURE AND PRINCIPLES OF PEACE SUPPORT

### Section I – The Nature of Peace Support

#### Peace Support as part of an Overarching Political Strategy

0201. An impartial response by the international community to manage conflict should be based on an overarching political strategy that combines a mixture of peace and security tools. For example, a strategy that not only aims to stop hostilities but also aims to resolve disputes so that future conflict is less likely. The success of a single peace support effort used in isolation of a wider strategy is likely to be short-lived, possibly leading to the stagnation or breakdown of any peace process it serves.

#### Peace Support as a Comprehensive Approach

0202. A purely military-resourced peace support effort is unlikely to achieve sustainable peace. Peace support requires the combined efforts of military and civilian actors operating in a coordinated and, where possible, collaborative way to achieve commonly agreed strategic objectives. NATO refers to this concept as a comprehensive approach; the guiding principles are outlined in AJP-01(D) *Allied Joint Doctrine*.<sup>15</sup>

0203. The North Atlantic Council (NAC) will determine the requirement and extent of the military contribution, as well as the strategic military objectives in peace support. For example, the disarmament of major conflicting parties as part of an agreed peace process, or halting hostilities between warring states. While the proportion of military support varies by the nature of the peace support effort being conducted the military focus remains on the security aspects of the mission.

#### Peace Support and Deterrence

0204. Adopting a military approach that is based on deterrence works well in peace support because it is more easily presented as legitimate and impartial, especially to an external audience. The use of force in peace support should only be pursued as a last resort. The military role in support of deterrence is essential and complements a strategy that also includes diplomatic information and economic measures. Such measures should be tailored to a specific context and include both incentive and disincentive measures to achieve strategic objectives.

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<sup>15</sup> The guiding principles for the comprehensive approach are: proactive engagement; shared understanding; outcome-based thinking; and collaborative working.

Considerations regarding the application of deterrence measures are addressed in Chapter 3.

### **Peace Support within the Wider Operational Context of Campaign Themes**

0205. AJP-01(D) introduces the concept of predominant campaign themes, which includes peace support. There is the possibility that the nature of an operation may change over time, despite initially being identified as peace support. For example, the theme is no longer peace support if NATO decides to support one party over another. Such a change would require a decision by the NAC, including its guidance for changing the operation plan (OPLAN). Strategic and operational military planners should take measures to identify and monitor likely indicators and warnings that would alert the PSF commander to such changes in the operation.

### **End State**

0206. The specific end state for the different types of peace support efforts will vary and reflect the purpose of the operation. However, the overarching end state represents a sustainable peace, enabled by a political strategy. For the military, overall success may be measured by the achievement of objectives that relate to improvements in the security environment that enable a political resolution to the conflict. However, success will often relate to how the local population perceive their security, and achieving a situation where violence is reduced to levels that are manageable for legitimate authorities and acceptable to the society or region of crisis. The desired NATO end state should be articulated before an operation commences with a view to the eventual disengagement of NATO forces.

### **Security Transition**

0207. The creation of a sustainable secure environment will ultimately rest with the individual state. Without locally delivered security and justice, the reconciliation, reconstruction and development programmes necessary to create and sustain peace are unlikely to be effective. A successful security transition will help support peacebuilding activities in a society that will need to function without a large international military presence. Security transition planning should reflect a politically-led country transition strategy and help inform the early stages of any security sector reform programmes. The planning for the transition of security functions should start from the earliest stages of NATO's operations planning process. Further consideration for security transition is provided in Chapter 3.

### **The Duration of Peace Support**

0208. Each peace support effort will be unique, based on the context of the particular crisis, the UN mandate and the NATO end state. The duration of any NATO commitment is likely to be outcome-based and can last a long period of time; endurance and strategic patience are often required. However, a peace support effort may be terminated before conflict resolution is achieved due to a lack of international will and determination or the unwillingness of local actors to ever resolve their issues.

### **The Relationship between the Peace Support Force and the State**

0209. All peace support efforts require a legal basis. In some cases this will be the consent of the territorial state which is party to a conflict. Unlike other conflicting parties, whose consent is also required in most peace support efforts, the state is in the unique position to demand the departure of international forces from its sovereign area. Therefore, maintaining this consent relies on the intervening forces having a good, or at least working, relationship with the state. Managing this relationship, while continuing to implement the mandate impartially, will be a continual challenge for the civilian and military leadership.<sup>16</sup> This is especially difficult if the state is seen to be non-inclusive of its society, disrespectful of human rights or predatory in its behaviour. This relationship will invariably differ for each crisis situation and is likely to change over time as the state acquires greater influence and legitimacy.

0210. The extent and character of NATO's interaction at all levels with the state should reflect the political strategy, be informed by the UN mandate or other respective legal basis and directed by NAC directives. NATO's PSF commanders need to understand how they are expected to interact with the state, especially its security forces, during the different types of peace support efforts and how this relationship can either support or possibly undermine the peace process.

### **Host Nation Support**

0211. Host nation support (HNS) will vary depending on the context of the peace support effort, whether the state has given its consent to an intervention, and the impact such support would have on the intervening actors' impartial status. For example, the amount of HNS sought by intervening actors during conflict prevention is likely to be greater than that received during a peace enforcement operation. The degree of HNS is likely to be commensurate with the host nation's capacity to provide support and the genuine desire of the state to enter into a peace process; it will also need to be compliant with the content of any existing Status of Forces Agreement (SOFA). HNS might be arranged through the host nation, which acts as an agent on behalf of the deploying force. The NATO commander might be allowed to directly use local markets through respective contracting. In both cases it is

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<sup>16</sup> This is especially true if the PSF has a given a mandate to protect civilians from imminent violence.

important to avoid a competition for scarce resources between civilian and military actors and the local population. HNS from other countries, possibly located in the immediate region of the crisis, could include en-route over-flight and/or transit arrangements of their sovereign territories. For further guidance on host nation support see AJP-4.5(B) *Allied Joint Host Nation Support Doctrine and Procedures*.

## Legal Framework

**Each military contribution to peace support requires a legal basis, e.g. an authorising United Nations Security Council Resolution (UNSCR), the consent of the territorial state(s) party to the conflict, or both. Additionally, the PSF Commander is bound by further documents providing guidance, political, legal and operational restraints and limitations. Those are, e.g. OPLAN, CONOPS, ROE, national caveats, orders and agreements with the territorial states party to the conflict. If a UNSCR is the legal basis for NATO intervention in peace support, it will be based on Chapters VI or VII of the UN Charter.**

0212. . While Chapter VI deals with *Pacific Settlement of Disputes*, Chapter VII authorizes the use of force related to *Action with Respect to Threats to the Peace, Breaches of the Peace and Acts of Aggression*. Chapter VIII of the Charter provides for the involvement of *Regional Arrangements* and agencies in the maintenance of international peace and security, for example, NATO. The PSF commander should not be guided solely by the specific UN Chapter applied to a particular resolution, but also by:

- a. The tasks assigned to the mission, which are framed by the mandate.<sup>17</sup>
- b. The concept of operations as directed by SACEUR's OPLAN.
- c. The accompanying rules of engagement (ROE).

0213. A UNSCR is likely to be valid for a limited duration after which a new resolution will be required. The renewal will be based on the situation and will require NATO to keep the UN Security Council regularly informed on the implementation of its mandate. The UNSCR may also incorporate a number of crosscutting thematic resolutions aimed specifically at protecting and supporting the most vulnerable groups in conflict and post-conflict environments, notably the elderly, women and children.<sup>18</sup>

## Understanding a UN Mandate

<sup>17</sup> The mandate forms part of a UN resolution.

<sup>18</sup> The latest UN Security Council Resolutions on thematic issues such as: women, peace and security; the protection of civilians in armed conflicts; and children and armed conflict can be accessed via the UN web site, [www.un.org](http://www.un.org). The protection of civilians and the importance of women during conflict resolution are covered in more detail in Chapter 3.



0214. In international law, a mandate may include binding obligations issued from an international organization (IO), such as the UN, to member states that are bound to follow the instructions of the organization. A UN mandate<sup>19</sup> may also call upon or authorize intervening parties to perform certain tasks on behalf of the UN Security Council. Although mandates will be shaped by the UN Security Council, they will also reflect the concerns and interests of the states or organizations involved in resolving the crisis and usually the government of the country in which the conflict is taking place. Understanding the importance of the mandate and the military's role therein is a critical aspect to the planning process.
0215. Military operations must be planned and executed in accordance with applicable international laws, taking into account individual NATO members' national laws and caveats. The legal framework for military intervention in certain types of peace support efforts, for example peacekeeping operations, may also include a combination of other arrangements and laws. These include a SOFA or applicable host government laws. Legal personnel will advise the commander and his staff on all legal issues. NATO intervention will be based on the use of minimum force dictated by crisis specific rules of engagement as authorized by the NAC and in observance of international law.

## Section II - Actors in the Peace Support Environment

### Actors

0216. An actor is a person, group or organization that participates in a process or action. A detailed analysis of the key actors should be conducted as part of a pre-deployment strategic assessment to determine how the PSF should interact with other actors in pursuit of a comprehensive approach to resolve conflict. Factors for consideration could include organizational mandates, aims, goals, resources, interests and capacity.

### International Organizations

0217. The term IO generally refers to inter-governmental organizations, or organizations whose membership is open to sovereign states: the most prominent IO is the UN. IOs are established by treaties, which provide their legal status. They are subject to international law and are capable of entering into agreements between themselves and with member states.

- a. **The United Nations.** The UN is an IO committed to maintaining international peace and security. Due to its unique international character, and the powers vested in its founding charter, the organization can take action on a

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<sup>19</sup> For the purpose of this publication only, the term mandate refers to the UN mandate.

wide range of issues, including authorizing military intervention. UN authorization for military intervention in peace support can be provided without the consent of the state, for example, in the case of peace enforcement. However, gaining the consent of the state remains paramount in other types of peace support efforts.

- b. **UN Country Team.** A UN Country Team (UNCT) is made up of representatives from UN agencies, funds and programmes and may be present in a crisis area before the deployment of a PSF. The appointed resident coordinator of the UNCT ensures UN inter-agency coordination and decision-making at the country level and supports peacebuilding and long-term development activities. Some of the members that constitute a UNCT may include: United Nations Development Programme (UNDP), United Nations High Commission for Refugees (UNHCR), United Nations Children's Fund (UNICEF), World Health Organization (WHO), and the World Food Programme (WFP). Interaction with the UNCT should be made through the United Nations Office for the Coordination of Humanitarian Affairs (OCHA), especially in instances where military action may cause humanitarian impact or is required to support humanitarian operations. Activity should be coordinated through established fora or clusters; PSF J9 / Civil-Military Cooperation (CIMIC) will facilitate interaction where appropriate and possible.

## Regional Organizations

0218. Regional organizations are international organizations that are composed of member states whose membership is characterised by common interests in a given region. Examples of regional organizations include NATO, the European Union, the African Union, the League of Arab States, the Gulf Cooperation Council, the Organization of American States, and the Organization for Security and Cooperation in Europe. These organizations are established by treaties among their members, enjoy international legal status and can enter into agreements. Under Charter VIII of the UN Charter, the UN may decide to authorize a regional organization to conduct peace support on its behalf, for example, peace enforcement or peacekeeping.

## Non-Governmental Organizations

0219. Non-governmental organizations (NGOs) are predominantly private, self-governing, non-profit organizations that are dedicated to specific aspects of humanitarian and development activity. Examples include: meeting humanitarian needs; promoting education; health care; economic development; environmental protection; human rights; conflict resolution; and encouraging the establishment of democratic institutions and civil society. NGOs are essential actors in the international

response to crises, humanitarian emergencies, natural disasters, development and violent conflicts. A proportion of the NGO community will most likely avoid direct interaction with any military force, regardless of nationality, to pursue their own objectives and to preserve their impartiality and neutrality. The PSF must understand and accept this premise; however, they may have to assist humanitarian efforts if the need should arise.

### **Humanitarian Actors**

0220. Humanitarian actors are civilians, whether national or international, UN or non-UN, governmental or non-governmental, which are engaged in humanitarian activities. Most humanitarian agencies work towards a set of core principles, which include amongst others: the humanitarian imperative comes first; aid priorities are calculated on the basis of need alone; and, aid will not be used to serve a particular political or religious purpose. Most agencies will attempt to maintain these principles by remaining impartial to local, regional or international politics. Humanitarian actors will have to try constantly to negotiate their legitimacy based on the perception of the local population, including those parties that oppose the peace process. Conducting these types of activities will invariably be unpredictable and potentially dangerous. Further information on humanitarian assistance is provided in AJP 3.4.3 *Allied Joint Doctrine for the Military Contribution to Humanitarian Assistance*.

### **Non-NATO International Armed Military Forces**

0221. Other non-NATO countries may contribute military forces to a conflict or post-conflict environment in which NATO forces are operating. Conversely non-NATO military forces may already be operating in the crisis area before the arrival of NATO forces. For example, military forces assigned to a UN peacekeeping mission or military forces supporting bilateral capacity-building programmes such as security sector reform.

### **Local Security Actors**

0222. The establishment of a sustainable peace is dependent on the will of the conflicting parties to implement a negotiated settlement. This settlement should result in the authority, legitimacy and capability of local security forces to provide security in accordance with international law. Such forces should be used where appropriate thereby allowing international armed forces to focus their efforts on the most vulnerable areas that present the greatest risk to the peace process. The impact on the legitimacy and impartial status of the PSF should always be considered before the host government's security forces are included in any security plan. Such circumstances are likely only in certain types of peace support efforts; for example, peacebuilding or the later stages of peacekeeping.

## Law Enforcement Agencies

0223. Restoring the rule of law is fundamental to establishing peace and stability. The rule of law includes three inter-related fields: law enforcement, judicial and penal. All three must be addressed concurrently, with a viable body of law, if the rule of law is to be established. The state, supported by civilian actors and international police forces, is primarily responsible for civil law and order. However, the PSF<sup>20</sup> might need to provide support early on in the crisis if other international law enforcement actors are not present, local capacity is exceeded or the state is unwilling to perform such tasks. Responsibility for non-military activities should be handed over to the appropriate actors as soon as the security conditions allow.

## Militias

0224. The term militia is widely used to describe local forces that are usually associated to an ethnic group, tribe, region or individual. Such forces can have views ranging from being sympathetic to the aims of the PSF, to being neutral or to being overtly hostile; these views can vary internally within a militia and also vary over time.

## Private Military and Security Companies

0225. Increasingly private military and security companies (PMSC) are being employed by a wide range of actors to provide services ranging through direct combat,<sup>21</sup> area security, close protection, intelligence, training and logistic support. The activities of PMSC may complement or hinder peace support efforts both through their direct activity and through the impact that such activity has on the PSF legitimacy. A risk exists that the mission's legitimacy will be diminished if PMSC act inappropriately, and the assumption is made by the local population or conflicting parties that they are part of, or the responsibility of, the PSF. Conversely, positive engagement with PMSC may influence their activities and behaviour, and may offer other advantages including access to intelligence. If NATO is to work alongside PMSCs it is imperative that the legal status, ROE and accountability of PMSCs is clearly established

## Section III - Principles of Peace Support

0226. The principles for the military contribution to peace support supplement those principles highlighted in AJP-3.4 *Allied Joint Doctrine for Non-Article 5 Crisis*

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<sup>20</sup> Such as Gendarmerie type organizations

<sup>21</sup> In accordance with C-M (2007)004 dated 12 January 2007 on contractor support to operations, PMSC personnel will not be employed by NATO to take a direct part in hostilities when accompanying NATO forces on operations.

*Response Operations.*<sup>22</sup> Understanding the context of the crisis will be vital to ensure that the military commander's judgment is best used to apply the principles. This is compounded because the application of some principles may be slightly different for each type of peace support effort and therefore need detailed consideration.

### **Political Primacy**

0227. Achieving an enduring peaceful settlement between the major conflicting parties requires a political solution. Military commanders and staff must therefore take time to understand the political environment in which they operate and ensure their advice, decisions and actions support, rather than undermine, the political imperative. This may be a challenge as the political process moves in a very dynamic and unpredictable way. NATO forces should retain planning processes that are flexible enough to support and reflect the political strategy and can be readjusted to exploit political opportunities as the peace process develops; for example, helping to implement agreements made during peace negotiations.

### **Strategic Consent of the Main Parties**<sup>23</sup>

0228. The level of consent given by the major conflicting parties' leadership reflects the degree of acceptance of external intervention in what is effectively an internal or regional dispute. The type of peace support effort is partly determined by the level of consent given by the main parties to an intervening force; for example, peacekeeping requires the consent of the major conflicting parties, whereas peace enforcement does not. However, without the consent and cooperation of the main parties there cannot be a constructive political process. Therefore, once given, the promotion and nurturing of consent is paramount. A lack of consent from any one party may result in non-compliance to UN resolutions or peace settlements, possibly leading to violent conflict and a breakdown in the peace process.

0229. Judgements concerning the degree of consent should be made with reference to its durability and reliability across all elements of the main parties. While consent may be given at the strategic level,<sup>24</sup> this may not be reflected at the tactical level where local groups might disagree with their leadership, and hence adopt a stance that is

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<sup>22</sup> The principles provided in AJP-3.4(A) *Allied Joint Doctrine for Non-Article 5 Crisis Response Operations* includes: definition of objective; unity of effort; flexibility; security; consent; restraint in the use of force; perseverance/long-term view; legitimacy; credibility; mutual respect; transparency; and freedom of movement.

<sup>23</sup> The publication refers to main parties only, since it is these parties that have sufficient power to affect the political process as countries or regions negotiate the post-conflict environment. Although smaller warring, conflicting and informal parties are likely to be included in the peace process over time, it would be difficult to gain consent from every party or group before commencing certain types of peace support efforts.

<sup>24</sup> Consent at the strategic level reflects a party's commitment to a peace settlement.

hostile or obstructive to the implementation of the mandate. Consent cannot be imposed on the major conflicting parties, but must form the basis of a desire and a will to enter into a peace process. The peace process is likely to be a dynamic process in which consent will invariably change by varying degrees over time and will have to be negotiated constantly between the peacemakers and conflicting parties. Nurturing the consent of the main parties is a role conducted primarily through diplomatic means, but also at all levels of command across the PSF. The PSF should support this function by considering the possible impact its actions could have on the consent of the major conflicting parties and apply mitigation measures as necessary.<sup>25</sup>

## Impartiality

0230. The impartial approach adopted by a PSF distinguishes peace support from other types of campaign themes and plays an important role in maintaining the consent of the major conflicting parties. If the use of force is necessary against a particular party, it should only be because of what that party is doing (or not doing) in relation to the mandate, rather than seeking to defeat a specific enemy. Convincing the different conflicting parties that an impartial approach is being followed can be difficult as each will view PSF activity from their own perspective; for example, a PSF may be tasked to protect civilians in an area that also includes the state's security forces. Whatever the intentions of the PSF, even if mandated, such collaboration or co-location may be perceived as partial by other conflicting parties.
- a. **Managing the Perception of Impartiality.** Accusations of bias should be refuted by the PSF to convey and promote their impartial status. Finding a way to manage perceptions will be a constant struggle, albeit a necessary function for all commanders. Failing to maintain impartiality at the tactical level could affect not only the legitimacy of the PSF but also inadvertently and unfairly empower one party over another.
  - b. **Transparency.** A PSF should, where appropriate, be transparent in its actions to aid the perception of impartiality. Challenging the impartial status of a mission is more difficult if the actors involved are made aware of the operational mandate, mission, intentions and likely techniques to be used by the PSF. Such communication must be tailored in a way that is understood by the local population. A failure to communicate intent will foster suspicion and may prevent the development of the trust and confidence upon which the long-term success of peace support depends. Implementing an active information strategy, reinforced by CIMIC and an effective liaison system will help demonstrate transparency. However, the requirement of force

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<sup>25</sup> For example wargaming, which uses a scenario-based warfare model to assist decision-making, improve understanding, explore the art of the possible and highlight weaknesses in plans or assumptions.

protection, especially in the conduct of peace enforcement, is likely to render complete transparency inappropriate.

- c. **Impartiality, Not Neutrality.** Impartiality must not be confused with neutrality. Impartiality requires a degree of judgement against the principles outlined above, to implement the mandate. Neutrality, on the other hand, promotes a passive approach and consequently could limit the contribution made by the PSF. The conduct of the PSF during peace support should be impartial in relation to the actors but should never be neutral in the execution of the mission.

### The Use of Force in Peace Support

0231. The use of force should be restricted to self-defence and defence of the mandate only, such as the protection of civilians under the imminent threat of violence. The authority to use force in peace support will be provided by the legal basis and reflected in the mission's ROE. The political and military will of the Alliance to use force may help provide credible deterrence in order to persuade major conflicting parties to negotiate a ceasefire or peace settlement, or to deter them and other actors from adopting spoiling behaviour towards the peace process.<sup>26</sup>
0232. Military force should be applied prudently, judiciously, with discipline and as a last resort when all lesser means have failed to curtail the use of violence by the parties involved. A single act could cause significant military and political consequences. Restraint requires the careful and disciplined balancing of the need for security, achievement of military objectives, and attainment of the end state. When used, force should be necessary and proportionate and designed to resolve and defuse a crisis and prevent further escalation.<sup>27</sup> Options other than the use of force should be considered and used where possible and appropriate.
0233. The use of force in **peacekeeping** operations can be seen as predominantly reactive rather than pre-emptive, since it is used against those parties that are in the process of violating the mandate. In spite of this, the use of pre-emptive offensive action against a persistent violator of the mandate may be unavoidable. However, a pre-emptive attack against a non-state conflicting party should:
- a. Be authorised by the mandate.

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<sup>26</sup> Placing parties into categories such as *spoiler* or *non-compliant actor* may detrimentally label them as unequivocally opposed to peace and could adversely affect the way they are dealt with by the PSF. For the purpose of this publication, the term spoiling behaviour refers to leaders who believe the peace process could threaten their power and interests, and hence use violence to undermine or influence it.

<sup>27</sup> Commanders should consider the use of non-lethal weapons in instances where the use of lethal force may not be necessary or desired.

- b. Be of a limited timeframe to avoid a prolonged engagement.
- c. Not result in negative humanitarian impact.
- d. Most likely require the consent of the state.

Such factors may constrain the PSF commander's freedom of action but will ensure that alternative measures are considered first before resorting to the pre-emptive use of force, which may have a damaging effect on the peace process.

0234. Failure of the PSF to respond to clear breaches and abuses of human rights, or violations of the legal basis, may reduce the PSF's credibility and legitimacy. The necessary use of force could reduce local consent, but if this can be isolated, wider national and regional consent may be promoted.

### **Legitimacy**

0235. Legitimacy can be viewed in two parts. First, the legitimacy required to mount a peace support effort, and second, the legitimacy achieved by implementing the mandate in a manner that reflects the other principles of peace support. Establishing and maintaining legitimacy is an ongoing task requiring constant monitoring and assessment. The legitimacy of a peace support effort will be a crucial factor for drawing support within the international community, contributing nations, the conflicting parties and local population. However, the perception of legitimacy will vary between the different audiences. Perceptions of legitimacy will inevitably change over time, depending on:
- a. Local conditions.
  - b. Political activity.
  - c. The performance of the PSF, especially regarding the protection of the population.
  - d. The expectations of the population and conflicting parties being met.
0236. The expectations of the population and conflicting parties should be identified, and any risks mitigated through key leader engagement and the PSF's presence, posture and profile. The PSF should not expect to hear just one voice speaking on behalf of stakeholders and must take time to identify the legitimate representatives of the various communities, using the knowledge of other in-place civilian and military actors. Who these key stakeholders are may not be obvious; identifying them and determining their expectations may be difficult and require time and dedicated effort.



### **Perseverance and Long-Term View**

0237. NATO forces should adopt an approach that continually takes into account the long-term objectives that support the end state. Thinking short-term cannot be a viable option for the PSF operating in a multi-agency mission, where the focus is naturally towards building long-term capacity to support an enduring and sustainable peace settlement. Jeopardising the mission through inappropriate and misguided actions must be avoided at all costs. Lessons learned from previous enduring operations should be considered from the outset of a peace support effort. For example, identifying any senior command or key decision-making posts that may benefit from a degree of continuity either through prior experience of the region, or through proven expertise in a particular area.

### **Promotion of State and Local Ownership**

0238. Every effort should be made to foster and promote local ownership through continual engagement with the state and its national programmes, civil society and the creation of a climate of trust, and cooperation between all parties. Programmes that have local ownership are more likely to be sustainable than those programmes without it. In some situations, the state's national and local capacity may be so weak that the NAC might decide to direct the PSF to temporarily assume certain functions, such as security and justice, either directly or in support of the state.

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## CHAPTER 3 - PLANNING CONSIDERATIONS

0301. The Military Committee (MC) policy on NATO's Operations Planning (MC 0133) and the Allied Joint Doctrine for Operational-level Planning (AJP-5) provide the approach adopted by NATO forces during all types of military operations.<sup>28</sup> The following sections complement NATO planning processes by highlighting certain issues that should be considered by commanders and their staff during peace support.

### Section I - Understanding

0302. *Understanding* is the perception and interpretation of a particular situation to provide the context, insight and foresight required for commanders to make effective decisions. The depth of understanding that can be achieved before deploying on an operation will depend on the resources available to collate information and the time available for commanders to assimilate it. Intelligence and information gained from various sources will provide the bedrock from which understanding can be developed. Further analysis and judgement will provide the necessary foresight for an effective decision making process. A commander is unlikely to function effectively without a credible level of understanding of the mission's mandate, its purpose, and the environment in which the mission is taking place.

0303. Peace support planning and decision making should ideally be based on shared understanding among the key stakeholders from the international and national organisations.<sup>29</sup> Establishing a common understanding of: the causes of conflict; the actors, their aims and motivations; and any operational constraints will help facilitate a comprehensive approach. Early planning sessions should, where possible, incorporate a diverse set of military and civilian stakeholders to ensure military action complements the overarching political strategy.

0304. **The Political Environment.** Planning and conducting activity as part of a comprehensive approach will rely largely on the PSF having an understanding of the political environment, ranging from the politics of the UN Security Council to regional actors, local politicians and powerful elites, including potential spoilers. PSF commanders that understand the dynamics of formal and informal power structures will be better placed to understand why parties act in the way they do as they compete for power in the post-conflict environment. The commander must

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<sup>28</sup> Additional guidance on operations planning can be found in the Allied Command Operations Comprehensive Operations Planning Directive.

<sup>29</sup> A shared understanding is one of the guiding principles of the comprehensive approach, *AJP-3(B) Allied Joint Doctrine for the Conduct of Operations*.

take account of how the actions of the PSF, whether intended or unintended, can affect the peace process. Commanders should also be aware of the effect political actions can have on the security situation, and be prepared to offer military advice to inform the political decision-making process.

0305. **Conflicting Parties.** Commanders must have an effective understanding of the conflicting parties, including marginalised and excluded groups. Understanding the motivations and intent of each group of actors may be difficult to achieve, especially since these may change as the peace process develops. Gaining such an understanding will require a great deal of interaction with other organisations (both internationally and in-country) to ensure a diverse perspective on the culture, history and politics of the region in question. Understanding the conflicting groups will be paramount to adopting deterrence measures that have the best chance of influencing effectively those decision makers that opt to contravene a mandate or disrupt the peace process. The PSF must be adaptable enough to accommodate new ideas on the conflicting parties gained from in-place actors. Choosing to ignore local understanding could have an adverse effect on planning assumptions.
0306. **The Local Population.** The local population will have certain expectations of the PSF and the international response to resolve the crisis. A PSF deployed with a mandate to help keep the peace and protect populations from persecution is expected to do just that even though it may not always be possible. Communicating with the local population will be a necessary function to ensure expectations are managed and that communities are aware of what the PSF can and cannot do. Promising deliverables without the necessary resources and resolve could damage the PSF's credibility.
0307. **Security Actors.** Certain types of peace support efforts may incorporate international military and police actors operating outside the command and control of NATO; for example, security forces that are operating under the command of the UN. Early reconnaissance of a mission area by the PSF will enhance awareness of in-place military and police capability to highlight any capacity or command and control issues. The output from this analysis will help develop understanding and provide planners with the necessary information to start planning for transition. Failure to recognize these issues early could lead to a situation where security gains are lost once a bespoke Allied force withdraws and remaining military forces are unable to fill the vacuum left by a much more capable organization.
0308. **Civilian Actors.** The PSF is likely to operate in the same space as many other actors, including local actors, international organisations, other national governments, law-enforcement agencies, private military and security forces, and non-governmental organizations. The broad and diverse range of actors involved in resolving and managing conflict will have different mandates, resources, agendas, perspectives, capabilities and motivations. Civilian actors may actively or passively

support or oppose the PSF contribution to peace support, or be indifferent. Understanding the influence and importance of civilian actors and the dynamic nature of the relationships between them and NATO military forces should help identify where coordination and cooperation is likely to be achieved, and where relationships should be developed to pursue common objectives.

0309. **Stakeholder Analysis.** Stakeholder analysis will be of benefit to the PSF commander to gain a better understanding of the most influential actors in the area of operations. For example it can help:
- a. Identify those organisations that need to be engaged by the PSF to facilitate a shared understanding of the situation and promote collaborative planning.
  - b. Map the intentions and capabilities of the conflicting parties, and therefore prioritise deterrence activity.
  - c. Develop a communication strategy aimed at influencing local or regional perspectives.

Where possible, analysis should be a collaborative effort with other military and civilian stakeholders. This will enable a diverse perspective and the outcome could help influence the engagement strategies and plans of other agencies.

## Section II – Command and Control

0310. AJP-3(B) *Allied Joint Doctrine for the Conduct of Operations* outlines the NATO command and force structure to be used on operations. Most types of peace support efforts will require NATO to work closely with other military and civilian organisations to attain the end state. The commander should, as part of his estimate, consider the relationships that need to be developed between the PSF and the other key stakeholders to promote a comprehensive approach to the operation. This is particularly important during peacekeeping where the UN has an established mission in the conflict area and as such has its own operating structure. Understanding how these organisations and agencies can work together and establishing the appropriate coordination mechanisms should aid coherence between the various stakeholders. The political advisor (POLAD), legal advisor (LEGAD) and CIMIC staff will all have key supporting roles to achieve the desired outcome.

## Section III – Inter-Agency Planning

0311. Uncoordinated activity can lead to duplication of effort, a breakdown in trust between actors and also the undermining of one another's activities. Conversely, over-centralisation can lead to bureaucratic inertia and a decrease in operational

tempo leading to missed opportunities. Such outcomes can have a detrimental effect on the peace process, or parts thereof. Measures to mitigate these outcomes should be identified at every opportunity in an attempt to achieve better integration and collaborative working between the key stakeholders.<sup>30</sup> Therefore, inter-agency planning should only include those military and civilian stakeholders that are relevant to the specific planning activity. Participants in planning teams will change depending on the nature of the problem; inter-agency planning teams must be organised for the task at hand.

0312. Areas of common interest should be exploited by organizations, to bring together different skill-sets as well as to prioritize and coordinate activity to achieve commonly-agreed objectives. Areas where consensus cannot be achieved will exist, in which case different organizations must learn to coexist. The process of establishing dialogue may be fraught with friction and frustrations. However, military commanders should persevere since these working relationships are critical to achieving unity of purpose and creating the conditions for sustainable peace. CIVAD and CIMIC will play a key role in this process by ensuring that the commander and his staff have the proper scope of interaction and collaboration with the appropriate stakeholders.
0313. Making use of in-place inter-agency establishments, organizations and planning groups will help facilitate inter-agency coordination, which over time could lead to collaboration.<sup>31</sup> If such an organization or group does not exist then the PSF should support and foster the establishment of one that is inclusive of the key stakeholders. The leadership and management of the organization or group should be context specific and reside with the civilian community. Where possible, the strategy should be civilian-led in support of the mandate. Relying on informal groupings and relationships is unlikely to build the structures necessary to implement a comprehensive approach.
0314. Planning staff should expect that military and civilian agencies are likely to use different processes, terms and phrases, and the understanding thereof may be different. Establishing a common understanding as early as possible will aid the planning process. Additionally, the PSF needs to understand that the means of communication vary greatly between civilian and military agencies. The military will predominately use secure means while civilian agencies, especially IOs and NGOs will predominately employ unclassified means of communication. This must be bridged to ensure common understanding and protection of classified information.

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<sup>30</sup> Collaborative working is one of the guiding principles of the comprehensive approach, *AJP-3(B) Allied Joint Doctrine for the Conduct of Operations*.

<sup>31</sup> The UN has adopted an Integrated Mission Planning Process to facilitate the planning of peacekeeping operations.

## Section IV – Achieving Deterrence

0315. Conflicting parties may be present who work to wilfully obstruct strategic or operational objectives and seek to adopt spoiling behaviour to influence or disrupt the peace process. A number of reasons may explain this behaviour, which could include:
- a. Despair of a conflicting party over the failure to implement a peace agreement.
  - b. The exclusion of a particular party from the peace process.
  - c. The process no longer serves a party's interests.
  - d. A party is irreconcilable to the peace process.
0316. Conflicting parties may need to be deterred from adopting spoiling behaviour in order to establish and maintain a secure environment. The purpose of deterrence in peace support is to discourage decision makers from the conflicting parties and potential spoiler groups from pursuing a particular course of action, due to the consequences such action would have on the perpetrator.<sup>32</sup> The credible threat of force can change an adversary's decision making process. Alternatively, the use of reassurance mechanisms, such as incentives, can also be used to shape behaviour.
0317. Successful deterrence should be based on a politically-led strategy which aims to integrate the various levers of power to achieve a specific outcome. Deterrence needs to be tailored to a particular conflicting party or actor, and therefore no standard solution can be applied to all situations. The threat of military force should only be used in the final stages of a process of escalation that has seen other measures fail, such as political incentives, economic sanctions or diplomacy. The military contribution to deterrence should be based on 5 factors: capability; capacity; credibility; communication; and control mechanisms.
- a. **Capability.** The PSF must possess the capability to deter spoiling behaviour and, if necessary, enact the threat of military force should other deterrent measures fail. Capabilities should include assets that:
    - (1) Enable the threat to be communicated effectively to the desired audience.

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<sup>32</sup> Deterrence is introduced in AJP-01(D) *Allied Joint Doctrine*.

- (2) Detect or identify the circumstances that trigger a requirement to use coercive force.
- (3) Deliver appropriate force in a timely manner.

Examples could include: sufficient interpreters that allow liaison teams to engage continually with conflicting parties and the population; effective intelligence; and reserve forces at notice to move.

- b. **Capacity.** The PSF requires sufficient resources to support deterrence activity across the joint operations area (JOA); a PSF spread too thinly may result in the deterrent being less effective. In instances where capacity is lacking, the PSF may be forced to prioritize its deterrent tasks. For example, focusing on those parts of the population deemed most vulnerable to attack. The use of reserve forces with adequate mobility will help to mitigate gaps in capacity, enabling the PSF to extend deterrence over distance.
- c. **Credibility.** The PSF must have the credibility to use force. The stance adopted by the PSF should be one of active impartiality that sees the PSF adopt a posture that overtly demonstrates the willingness, capability and capacity to respond appropriately to acts of violence, although conscious not to provoke a violent response. However, credibility will ultimately be based on the perception of the aggressor. The PSF should be prepared for its credibility to be tested by conflicting parties or other belligerent actors during an operation. It is important that the PSF demonstrates resolve and maintains credibility. The use of appropriate force can supplement future deterrence, by removing any ambiguity regarding the intent, capability, and willingness of the PSF to enforce the mandate.
- d. **Communication.** Conflicting parties must be made aware of the possible incentives or consequences of acting in ways that either comply with or contravene the mandate. A deterrence strategy must include measures to communicate a bespoke message that takes account of each specific actor or the wider audience, using the most appropriate channels and expressed in a way that is unambiguous. This should be achieved through a coordinated information strategy, based on political direction. The information strategy may also serve to rationalise PSF actions and refute accusations of partiality.
- e. **Control Mechanisms.** Deterrence is likely to work best when coercive action is based on an escalatory mechanism where pressure can be applied to those actors contravening the mandate or peace agreement. Likewise, the amount of pressure must de-escalate rapidly once deterrence has been achieved. Identifying the appropriate level of coercion used to create the desired effect is important. Too little force could undermine the perceived



credibility of the PSF, whereas too much force may result in retaliation attacks against either the PSF or local population. Commanders at all levels must have the appropriate authority and be prepared to apply the necessary judgment on a case-by-case basis. Effective command mechanisms, based on clear guidelines, will enable Allied forces to use the appropriate level of force in a timely and responsive manner that is coherent to an overarching strategy.

0318. **Military Posture.** The military stance should be one of active impartiality that sees the PSF adopt a posture that overtly demonstrates the intent, willingness, capability and capacity to respond appropriately to acts of violence. However, the posture should not be one that provokes violence.

## Section V - Intelligence

0319. Parties to a conflict and other international and national actors, including NGOs, are likely to be sensitive to all intelligence collection activities conducted by the PSF. Judgements will have to be made by senior political and military leaders on whom and how information is to be collected depending on the type of peace support effort. For example, collecting information on a state could be more acceptable during a peace enforcement operation, compared to a peacekeeping operation. Collecting information on any of the main parties during peacekeeping operations, especially the state, could have a detrimental effect on the perception of the impartiality and legitimacy of the PSF. This in turn could affect the consent of the main parties and ultimately the peace process. The joint intelligence preparation of the operational environment (JIPOE) should provide an understanding of the operating environment in order to mitigate the abovementioned sensitivities.<sup>33</sup>
0320. In spite of this, an effective operation requires continuous information collection, intelligence production and fusion concerning the major conflicting parties; reasons for this could include the need to monitor the movement of conflicting parties, report of human rights violations or support deterrence measures. Further detail on intelligence can be found in the AJP-2 series, starting with AJP-2 (A) *Allied Joint Intelligence, Counter-Intelligence and Security Doctrine*.
0321. Like other operational-level themes, peace support has seen an increasing presence of non-military participants in the JOA. While achieving absolute consistency between civilian and military activities is unlikely, commanders should promote the sharing of information between the appropriate military and civilian actors, as part of a comprehensive approach to operations.

## Section VI – Force Protection

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<sup>33</sup> The JIPOE provides input to the Comprehensive Preparation of the Operational Environment (CPOE).

0322. The principles and guidance laid out in AJP-3.14 *Allied Joint Doctrine for Force Protection* apply to peace support. In addition, the following guidance should be considered by commanders and planning staff.
- a. **Impartiality and the associated risk.** It is possible that the PSF may be a target for belligerent actors that wish to undermine the peace process or challenge the legitimacy of the NATO force. Maintaining an impartial stance and demonstrating transparency among conflicting parties may increase the vulnerability of the PSF. Commanders need to understand the threats facing the PSF and manage the risk accordingly.
  - b. **Force Protection measures should reflect the strategic narrative where possible.** The FP risk management process must take into account the strategic narrative and strategic messaging associated with the type of peace support effort. For example, the use of heavy armoured vehicles to mitigate a low-level threat during a peacekeeping mission operation may conflict with a narrative that is supporting a developing peace process.
  - c. **Force Protection measures should be responsive to an escalation of threat.** Planners must ensure that FP measures can be implemented in response to escalating threats. Having the necessary resources available and pre-positioned will allow the PSF to respond to threats in a timely manner. Similarly, being able to de-escalate FP measures as a result of a reduced threat is as important.

## Section VII – NATO Strategic Communications

0323. NATO Strategic Communications (StratCom) is the coordinated and appropriate use of NATO communications activities and capabilities (public diplomacy, public affairs, military public affairs, information operations and psychological operations as appropriate), in support of Alliance policies, operations, and activities in order to advance NATO's aims. A synchronised approach to StratCom is fundamental to peace support to develop trust among the many actors while delegitimizing activities that aim to undermine the peace process. Therefore an assessment of the information environment is essential to inform effective StratCom planning and delivery.
0324. Analysis of factors such as the information infrastructure, the cultural dimension, potential audiences, and the objectives and agendas of the key decision makers and opinion formers will shape both the nature of the StratCom effort and the operation. The development and adoption of a strategic narrative is an essential component of this process. The PSF's messaging and actions must reflect the

mission's objectives, particularly where the level of consent is low and belligerents are attempting to undermine the peace process. NATO StratCom needs to be coherent, coordinated and synchronised amongst the PSF, and where possible with that of the UN, local actors or other key international organisations.

0325. The NAC will provide overall guidance and direction for NATO StratCom approach, as well as mission-specific strategic and political guidance for NATO military information activities. NAC guidance will continue to be adjusted as the situation evolves, necessitating a communication strategy that can develop accordingly.

## Section VIII - Information Operations and Public Affairs

0326. **Information Operations.** Information operations (Info Ops) is a coordinating function a joint staff use to analyze, plan, assess and integrate information activities to create desired effects on the will, understanding and capability of adversaries, potential adversaries and NAC-approved audiences in support of Alliance mission objectives. Information activities are an integral part of the PSF commander's operations plan and can be used in conjunction with other military activities to support the peace process. For example: a psychological operation (PSYOPS) might be employed to help promote the role played by the PSF in protecting civilians; commanders might conduct key leader engagement (KLE) to bring conflicting parties together and help to build or manage consent; and military deception may be employed to deter hostility or protect the PSF. Of particular note, information activities:

- a. Take time to develop and for results to be evident.
- b. Require the commitment of specialized troops (for activities such as PSYOPS and electronic warfare) or special staff elements to analyze the environment and plan activities (for activities such as KLE).
- c. Often require special support contracts to produce and disseminate products.

Specialized forces must be requested and generated early in the planning process to enable effective employment at the start of a peace support effort. Further detail on Info Ops can be found in AJP-3.10 *Allied Joint Doctrine for Information Operations*.

0327. **Psychological Operations.** A PsyOp is a military capability to plan activities using methods of mass communication and other means to influence an audience's perceptions, attitudes and behaviour in pursuit of political and military objectives. PsyOp forces are specially trained to communicate with audiences from different cultures and they are enabled to disseminate information to large audiences within the area of operations. PSYOPS have a major role in minimizing

misunderstandings and fostering understanding in order to create an environment supportive of the PSF mission. Further detail on PSYOPS can be found in AJP-3.10.1 (A) *Allied Joint Doctrine for Psychological Operations*.

0328. **Public Affairs.** The aim of public affairs (PA) is to protect the credibility of the Alliance and promote widespread understanding of its mission through the timely release of factual information, thereby gaining support for its military operations while not compromising operations security (OPSEC). The primary purpose of PA is to communicate information to audiences through local, national and international media and other communication means. Although PA is primarily focused on the need to inform and educate audiences with a view to maintaining NATO public support (at home and abroad) for PSF activities, and hence freedom of action, its impact is much wider. PA and Info Ops are separate, but related functions. They directly support military objectives, counter disinformation and help deter spoiling behaviour. However, the efforts of PA and Info Ops differ with respect to audience, scope and intent. Therefore, coordination between PA and Info Ops must be assured at all times and across all levels of command to ensure consistency in the message released by the military to outside audiences and to promote overall effectiveness and credibility of the PSF and the overall effort. Beyond coordination of efforts and messages, PA will have no role in performing the Info Ops function.<sup>34</sup>

## Section IX - Thematic Considerations

0329. Most contemporary UN Security Council Resolutions (UNSCR) concerning countries in conflict refer to specific thematic issues that are of significant importance to the peace process; for example, the protection of civilians and the role of women in conflict resolution. Protecting civilians is one of the prominent tasks now given to actors involved in peace support and is often used by members of the international community as an indicator of success or failure of an operation. Gender is also singled out as an important theme so that commanders understand better the vulnerability of women, alongside children, and also the role women can play in conflict resolution. Understanding the prominence of these thematic issues will help provide the context for certain PSF-mandated tasks and also help military commanders understand why other actors place such importance on these issues.

### The Protection of Civilians

0330. The victims of conflict and the aftermath are often civilians who are not only caught up in the crossfire of combat, but are targets of systematic violence. This violence may include:

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<sup>34</sup> For further details on public affairs, see MC 0475/2 “NATO Military Policy on Public Affairs”

- a. The use of rape, as a weapon of war.
  - b. Large-scale loss of life such as genocide or ethnic cleansing.
  - c. Opportunist criminals exploiting the lack of law and order.
0331. Separating the people from the effects of conflict is often impossible to achieve, especially if both are concentrated in urban areas. States have a responsibility to protect their own citizens in such situations. However, states are often unable or unwilling to do so due to a lack of political will, capacity, governance mechanisms, or they themselves are the perpetrators or supporters of such atrocities. A PSF may be tasked to assist in the protection of civilians under threat of violence during certain types of peace support efforts.<sup>35</sup> In such case, rules of engagement will provide clear guidance on the PSF's right to use all necessary means, to include use of force, to achieve the task.
0332. Planned solutions to protect civilians against violence should address the symptoms and the wider issues that led to the violence. As such, protection is often achieved through a combination of:
- a. Political process.
  - b. Physical protection.
  - c. The establishment of institutions that can deliver long-term protection.<sup>36</sup>
0333. The PSF will most likely assist in the physical protection of civilians through deterrence and, when appropriate and authorised to do so, the use of force.<sup>37</sup> Understanding the intent of likely perpetrators will be central to the design of deterrence measures to ensure the protection of the population, with specific attention to the most vulnerable.
0334. Other organizations that have been mandated by the international community to provide supplementary protection in support of the state include: the International

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<sup>35</sup> The lines between the *protection of civilians* and the *Responsibility to Protect* (R2P) agenda can be seen as blurred. However, besides the fact that R2P is more focused on the mandate for intervention (*Jus ad Bellum*) while protection of civilians addresses the issue in conflict (*Jus in Bello*), there is a clear distinction between the two concepts. R2P relates to four specific threats (genocide, war crimes, ethnic cleansing, and crimes against humanity), whereas the protection of civilians can address a far wider array of threats of violence against civilians; for example, rape or isolated attacks.

<sup>36</sup> This reflects the Department of Peacekeeping Operations/ Department of Field Support operational concept on the protection of civilians in UN Peacekeeping Operations.

<sup>37</sup> Protection-related tasks are included in Chapter 4 of this publication.

Committee of the Red Cross (ICRC); The UN High Commissioner for Refugees (UNHCR); UN Office for the Coordination of Humanitarian Affairs (OCHA); and a number of NGOs. Civilian actors such as law-enforcement agencies have a crucial role to play and have a legitimate stake in protecting civilians as do military forces; planning in isolation of each other is ineffective and could be counter-productive. Notwithstanding, integration may be difficult to achieve due to cultural differences, conflicting mandates or the fact that the environment is too hostile for civilian agencies to operate, for instance, during peace enforcement operations.

0335. Although the long-term solution of protecting civilians requires a multi-agency response, domestic and global audiences are likely to have a greater expectation that the PSF, working under a Chapter VII mandate, will provide the necessary protection for civilians under threat of violence. PSF commanders should be aware of their obligations, the challenges of conducting such tasks with a finite set of resources, and the strategic implications of failing to protect civilians. Managing the expectations of the local population and other non-military actors is an important task; the appropriate audiences should be made aware of what the PSF can and cannot do. Any risks should be identified early and mitigated with alternative options. The failure to protect civilians from violence can result in the loss of credibility of the PSF in the eyes of both the local population and international community and, thus, affect the ability of the intervening actors to achieve the mission's mandate.

### **Gender: Understanding Different Perspectives**

0336. Women and children are some of the most vulnerable groups in times of conflict. Although the term *gender* refers to the social and cultural aspects of both males and females, this element of the publication will focus predominantly on women and children. Further detail on aspects of gender can be found in AJP-3.4.5 *Allied Joint Doctrine for Military Support to Stabilization and Reconstruction*.
0337. **UNSCR 1325.** UNSCR 1325 on *Women and Peace and Security* was unanimously passed in October 2000 to stress the negative impact armed conflict has on women and to point out the relevance of women's participation in conflict resolution and peacebuilding.<sup>38</sup> Work carried out by UN Department of Peacekeeping Operations and UN Office of the Special Advisor on Gender Issues and the Advancement of Women found that in societies where discrimination and violence against women is pervasive, the likelihood that a state will experience internal conflict significantly increases. The PSF should also take measures, when appropriate, to ensure

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<sup>38</sup> In August 2012, NATO issued a new version of the Bi-Strategic Command Directive 40-1 *Integrating UNSCR 1325 and Gender perspectives in the NATO Command Structures Including Measures for Protection during Armed Conflict*. The directive is applicable to all international military headquarters or any organisations operating with NATO chains of command.

women's perspectives are captured during planning activities and understand the PSF's role in protecting vulnerable groups such as women, children<sup>39</sup> and elderly people.

0338. **Sexual and Gender Based Violence.** Conflict can have a significant impact on women and girls as they suffer a loss of livelihood, displacement, separation from their family, food insecurity, and the loss of traditional networks. Equally, sexual and gender-based violence, with its associated psychological trauma, can often be used as a weapon of war, for instance, the rape of women and girls can be perceived as an attack on the male relatives' honour by proving their inability to act as protectors. Rape not only inflicts terror and humiliation on individuals, it can also be used as a deliberate strategy to target the roles of women in society, and thus destabilize communities as an aim of war. Rape can also have a long lasting economical, social and health impact on the state and surrounding region.
0339. **Women in Conflict Resolution.** Conflict can disrupt gender roles often on the basis that the majority of women are not involved in major conflicting parties and are therefore left to take on male-associated roles as men engage in conflict. Even when women have a role in major conflicting parties<sup>40</sup> their involvement in peace processes is often neglected. Women can:
- a. Become the local decision makers expected to rebuild homes;
  - b. Take on the roles of community leaders and heads of households;
  - c. Care for orphans and survivors; and
  - d. Take on predominantly male roles.

Once conflict ends, women can easily return to pre-conflict roles with no voice in the peace process. Incorporating women into the peacebuilding process can build on societal changes that may be occurring naturally, as a result of the cultural turmoil that ensues from conflict. Ignoring the experiences of women risks overlooking their legitimate needs and concerns in new institutions and settlements. The PSF should support local women's peace initiatives and local processes to ensure women's perspectives are recognized as part of an inclusive response to conflict resolution.

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<sup>39</sup> UN Security Council Resolution 1612 on children and armed conflict (CAAC) calls on the member states to provide effective protection and relief to all children affected by armed conflicts. The NATO Alliance regards the protection of children in armed conflict as an important aspect of any comprehensive strategy to resolve conflict. NATO guidelines provided in MCM-0016-2012 should be specifically integrated into all aspects of NATO operations planning and execution.

<sup>40</sup> It is acknowledged that women can be employed in major conflicting parties in such roles as fighters or facilitators.

0340. **Women as Peacekeepers.** Female soldiers in the PSF are often perceived as a lesser threat than their male counterparts. Male soldiers are not always allowed to converse with women in culturally conservative societies, yet female soldiers are sometimes able to meet and talk with a much broader range of actors, including men, women and children. The incorporation of female soldiers in the PSF adds an important dimension to deployments because they have the potential to act as role models, inspiring local men, women and girls to improve women's rights and participation in the peace process.<sup>41</sup>

## Section X - Security Transitions

### Security Transitions Overview

0341. Security transitions occur in the context of a broader political transition of which conflict is only a symptom. The success of a security transition will therefore depend on the extent to which the new security profile reflects, and is coordinated with, other peacebuilding processes such as disarmament, demobilisation and reintegration (DDR) programmes and security sector reform. A security transition implies transferring responsibility for security to the state, even if the responsibility for security temporarily passes between the PSF and other international security actors.
0342. Transitions are often a period of high risk and uncertainty in which gains made by the PSF and other international and national civilian and military actors can be reversed if the correct structures are not in place to underpin a long-term sustainable solution. Progress can be impeded by activities that undermine the peace process; for example, by failing to deliver adequate security or empowering illegitimate armed actors. The following considerations regarding transitions should be incorporated into strategic and operational-level planning processes from the outset of an operation.
- a. **A Multinational and Inter-agency Process.** Durable security transitions will require participation of civil and military actors within a multinational and inter-agency framework. The environment creates dependencies between actors and no one actor will have the freedom to plan and execute a security transition alone. Planning should be conducted by delegates from participating organizations (incorporating those who will be involved in implementation) and should include the state and key national and multinational stakeholders.

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<sup>41</sup> Female UN police units have been employed successfully in Liberia, Haiti and Timor-Leste, broadening the range of skills available within the mission.



- b. **Negotiated Process.** Security transition implies that one actor alone cannot control every stage of the evolving process. The interests, motivations and leverage of the conflicting parties involved will change, requiring a negotiated approach based on sound political understanding. Negotiating the shape of this future security environment is therefore more important than solely focusing on technical capability building. Influence will play a critical part in any security transition. All actors in a security transition will seek to influence other actors, using leverage that addresses motivations, interests and resources. As the transition continues, the nature and levels of such influence will change and are likely to diminish for international actors. Keeping as many options as possible open, in terms of transition partners and objectives, is advisable in order to retain flexibility and cater for the uncertainty of the political environment.
- c. **Political Focus.** Security transitions are intrinsically political. Plans and operations must therefore be reviewed in relation to the emerging political settlement. As transitions progress, the ability of external actors to influence state decisions will gradually decline. For this reason, strengthening of systems within the state for accountability, including governmental checks and balances and the rule of law, should be prioritized at the outset of transition planning as they will contribute significantly to the long-term sustainability of the transition.
- d. **Legitimacy.** Without legitimacy, the transition of responsibility to local security forces will lack popular support and the broader political process could be undermined. If the security transition is perceived as illegitimate, it is likely to fail. Those engaged in transferring security to local actors should therefore consider the implications of any choices they make on the legitimacy of the state and support the development of their legitimacy wherever possible.
- e. **Building Comprehensive Capacity.** The capacity to support a security transition goes beyond recruiting, training and equipping security personnel and forces. It requires the creation of a systemic capacity to plan, manage, oversee and sustain an acceptable level of security on a cross-government level. The development of state management systems (budgeting systems, human resources, training) can take significantly longer than the establishment of a security force unit and should therefore be considered at the outset of any security sector reform programmes.
- f. **Sustainability.** Long-term success will rely on the development of sustainable models and institutions that can deliver effective day-to-day security. Sustainability should therefore be examined with regards to politics,

organizations, processes and resources in particular the capability and capacity of security actors relative to remaining levels of threat and insecurity.

## Section XI - Assessment<sup>42</sup>

0343. **Assessment Overview.** Due priority and consideration needs to be given to assessment from the outset of any type of peace support effort. Assessment can be described as the evaluation of status and progress, based on levels of subjective and objective measurement in order to inform decision making. The complex nature of peace support makes conducting assessments particularly challenging due to the dynamic nature of the political environment. Assessment needs to overcome these challenges by ensuring that, where possible, a diverse set of expertise is used to gather and analyse data so that opportunities can be exploited and future requirements predicted. Assessment should be incorporated into a coherent and comprehensive planning process from the outset and not treated as a stand-alone military activity.
0344. **Assessment Planning.** Assessments need to be developed using a comprehensive and enduring methodology that can be adjusted to meet the dynamics of an evolving campaign. Assessment planning should be based on four principles:
- a. **Objectives Focused.** Planners, military or civilian, need to develop a thorough understanding of the political end state, and be cognisant of national and/or coalition goals and objectives. Any assessment plan should be consistent with, and derived from, either campaign or mission objectives. Collectively, these should focus the effort towards successfully reaching desired milestones. Without clearly expressed and understood objectives for the operation (from the political level down), the conduct of any meaningful assessment will be extremely challenging, if not impossible.
  - b. **Utility.** Assessment is not an end in itself; the data and analysis that it produces must be useable. A lack of clarity over the aim will lead to a confused assessment framework that is unlikely to meet the commander's needs. In order to make assessment effective, the assessment design only needs to collect information that adds value and directly informs the planning process and enables effective decision making.
  - c. **Resourced.** Assessment must be designed to be undertaken and delivered despite the challenges of the operational environment. Planners and the assessment team must be realistic and efficient. Assessment efforts should

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<sup>42</sup> This section complements the detail contained in AJP-3(B) *Allied Joint Operations*.

be clear as to what they are meant to achieve and which specific questions are most useful and relevant. Identifying variables of interest is a key aspect of assessment and must flow directly from the purpose and the decisions that the assessment is meant to inform. Many more variables of interest will normally be available than is possible to monitor and assess. Prioritization is therefore vital. Assessment will be constrained by resources and must, therefore, concentrate on areas where it can be most beneficial. Sharing of assessments with other stakeholders can help reduce efforts and at the same time assist in maintaining a shared understanding about the situation and response requirements amongst stakeholders.

- d. **Validity.** Assessments must include a validation of the data and analysis, with strong supporting arguments. Assessments should outline possible alternative interpretations of the data. As such, the reliability of methods, findings and recommendations is extremely important. There is always a trade-off between rigour and resources that has to be balanced. The security situation is a further constraint that impairs rigour and validity.
0345. **Commander's Judgement.** The commander has a unique opportunity through assessment data, analysis and experience to assess whether objectives have been met or, are on track. The commander must drive the assessment process to ensure it delivers against his plan. Caution should be taken to guard against assessment based on intuition alone, which can act to reinforce preconceptions. Subjective assessment should be reinforced by evidence. This can be gained through the assessment process by using the most appropriate methods available. The commander needs to balance the need to maintain consistent data for the longer-term trend analysis with the need to adapt in a dynamic environment. Where possible the commander should adopt an existing assessment process rather than invent a new one. The assessment process must not constrain the commander's decision making process.
0346. **Comprehensive Assessment Process.** Initiating a bespoke assessment model for military use alone is ineffective and does not support collaborative planning. Data collection is likely to come from a diverse set of sources, not all managed or controlled by military means. Maintaining a comprehensive assessment process supports coordination between different actors and helps steer the campaign plan.

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## CHAPTER 4 – MILITARY TASKS AND CAPABILITIES

0401. AJP-3 (B) *Allied Joint Doctrine for the Conduct of Operations* and AJP-3.4(A) *Allied Joint Doctrine for Non-Article 5 Crisis Response Operations* provide guidance on the conduct of operations at the operational level. The following sections complement both doctrine publications by highlighting certain issues and their relationship to peace support.

### Section I – Military Activity in Peace Support

0402. The range of military activities can be divided into four categories: offensive, defensive, stability and enabling. Together, the activities offer the commander and his staff a framework in which to consider military options. Defensive and stability activities are likely to be predominant during peace support, although the PSF should be prepared and capable of conducting offensive activities as required.
0403. **Offensive Activities.** The main purpose of offensive activities in peace support is to use force to stop an actor from pursuing a course of action that contravenes international law or the mandate. Offensive activities are more likely to be conducted during peace enforcement operations, although limited offensive action may be required during peacekeeping operations. Offensive activities should cease once the desired effect has been created so that the impartial status of the PSF is not compromised.
0404. **Defensive Activities.** The main purpose of defensive activities in peace support is to deter conflicting parties from conducting activities that contravene international law or the mandate. Defensive activities should provide a suitable posture, based on a PSF's capacity, to deter and, if necessary, launch offensive activities to repel aggression.
0405. **Stability Activities.** The main purpose of stability activities in peace support is to provide security and control, and to assist in providing non-traditional military activities to develop local capacity. The PSF may have to assume initial responsibility for those activities that are best provided by other actors especially in a hostile or uncertain environment. Stability activities feature strongly in peacekeeping and peacebuilding operations. Military stability activities that may be required to help stabilize the situation include:

- a. Support to the provision of human security,<sup>43</sup> including the protection of civilians and key infrastructure. Tasks could include: framework patrolling, control of movement, search, and crowd dispersal.
- b. An early assessment for security sector reform.
- c. The initial restoration of services.
- d. Supporting interim governance tasks.

It is essential for such contingencies to be planned in advance with input from the appropriate civilian agencies, so that military activities are complementary, rather than detrimental, to longer-term development aims.<sup>44</sup> The PSF should plan to hand over responsibility for the array of civilian tasks to the appropriate local, national and international agencies as soon as possible. Further detail on tactical-level stability tasks can be found in Allied Tactical Publication (ATP)-3.2.1.1 *Guidance for the Conduct of Tactical Stability Activities and Tasks*.

0406. **Enabling Activities.** Enabling activities are those that are never conducted in isolation; their purpose is to enable offensive, defensive and stability activities. Enabling activities in peace support could include reconnaissance, security and link-up activities.

## Section II – Military Missions and Tasks Relevant to Peace Support

0407. This section consolidates a number of possible missions and tasks that are relevant to peace support. Some missions and tasks are related to specific operations whereas others span different types of peace support efforts. It is not intended to be prescriptive, exhaustive or in order of priority. Peace support-related mandates are likely to include many missions and tasks that relate directly to the PSF. Tasking may exceed the capacity of the PSF and therefore tasks may have to be prioritized or resources spread thinly to cover all commitments. Military commanders should consider the implications of both approaches and adopt the most appropriate approach to support the overarching mission.

0408. **Early Warning.** Rapid action by the international community can be crucial to prevent the outbreak or escalation of conflict. Early warning of a threat of an outbreak of violence helps predict crisis in time to deploy diplomatic, economic or

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<sup>43</sup> Human security incorporates individuals being protected from persecution, intimidation, reprisals and other forms of systematic violence. AJP-3.4.5 *Allied Joint Doctrine for Military Support to Stabilisation and Reconstruction*.

<sup>44</sup> For further details on stability activities, see AJP-3.4.5, *Allied Joint Doctrine for Military Support to Stabilization and Reconstruction*.

military means to contain or prevent conflict. As a consequence, member states are likely to focus their strategic information gathering assets on any potential crisis within their areas of interest. The presence of widespread overt and covert surveillance in an area of interest, and the systematic collection and trend analysis of relevant data, will help to facilitate early warning. Surveillance can also provide the means for attribution of culpability; for example, in cases of genocide, war crimes, ethnic cleansing or crimes against humanity. It may involve the use of specific joint, intelligence, surveillance and reconnaissance capabilities and the employment of forces as observers.

0409. **Conflict Containment.** The aim of conflict containment is to prevent the spread of the conflict to neighbouring areas and states. Consequently, actions should be designed to stabilize the situation and create an environment in which means, such as negotiation, will be used to resolve differences. Conflict containment may require the forcible separation of belligerent parties and is most likely in peace enforcement operations.
0410. **The Forcible Separation of Belligerent Parties.** International intervention against the consent of the main major conflicting parties may be perceived by some as overbearing and inappropriate. However, the separation of major conflicting parties by external forces is often a requirement especially when there is a significant humanitarian impact. In an intra-state conflict, the forcible separation of parties who are determined to continue fighting may require the employment of overwhelming force as part of a peace enforcement operation. Commanders should ensure the tempo of activity of the PSF allows major conflicting parties to disengage and withdraw in accordance with the demands of the international community. Diplomatic activities should continue to run in parallel with military activity and every operational pause should be viewed as an opportunity for further diplomatic initiatives.
0411. **Freedom and Denial of Movement.** Tasks that support the freedom and denial of movement may not be credible if they rely for success on the consent of the major conflicting parties to the conflict. Examples include:
- a. The enforcement of a maritime exclusion zone.
  - b. A no-fly zone to prevent the harassment of an unprotected population.
  - c. The creation of a safe corridor to allow for the free and unmolested movement of aid and refugees.

The decision to declare restricted or exclusion zones will be made at the strategic level and should rely on legal advice. Planning to provide freedom of movement for the PSF, specified international and local actors, and the civilian population is as

important at the tactical level as it is at the strategic level. For example, denial of freedom of movement at the local level by elements of major conflicting parties, often accompanied by hostage taking, can cause strategic paralysis.

0412. **Enforcement of Sanctions and Embargoes Activity.** The UN Security Council may attempt to pressure conflicting parties to reduce the level of hostilities in a conflict by authorising economic or other (including military) sanctions and embargoes. Such measures will be part of a wider deterrence strategy aimed at influencing conflicting parties to cease hostilities. NATO air and maritime assets are capable and trained to execute and support these operations. Ground forces also have capabilities that may be employed in this role, for example, through border surveillance.
0413. **Enforcing No-Fly Zones.** A no-fly zone is airspace of specific dimensions set aside for specific purpose in which no aircraft operations are permitted, except those authorized by the appropriate commander and controlling agency. Authorized offensive counter air operations may be required to suppress belligerent air defences, even though the enforcement of a no-fly zone is primarily a defensive counter air mission. Enforcing a no-fly zone can also support deterrence measures on the ground, especially against belligerents whose aim is to attack civilians. However, policing the skies while atrocities on the ground are on-going could have a detrimental effect on the legitimacy and credibility of the PSF. Therefore, a no-fly zone should only be adopted as part of a wider strategy.
0414. **Supervision of Ceasefires and Peace Agreements.** A PSF could be deployed to supervise and/or verify any commitments agreed to by the parties as part of a truce, ceasefire or other peace agreement. Tasks will complement a wider peacekeeping effort and are likely to involve a diverse set of civilian and military actors. The delineation of tasks will be agreed among the various peace support actors and may include participation in:
- a. The separation, containment, disarmament, demobilization and reintegration of forces.
  - b. The execution of a peace agreement, such as the exchange of prisoners and bodies, and arms control agreements.
  - c. Liaison between the parties and all elements of the PSF, both military and civilian.
  - d. Negotiation and mediation on behalf of all parties to the dispute.
  - e. The investigation of complaints and violations to the details of the agreement or treaty.



- f. The movement and re-settlement of refugees and displaced persons.
- g. Assistance to UN and other civilian police in those areas with mixed populations that may be located outside buffer zones and in areas of potential hostile territory.

0415. **Interposition.** A PSF can deploy as an inter-positional force, as a form of trip-wire either when consent exists or when consent is fragile, if supported by a credible external deterrent power or standoff force. Troops involved in interposition operations are generally deployed in a prevention role to pre-empt conflict. As such, these operations take place in areas of recent or potential, rather than actual conflict, either between states or within a state where tension is rising between parties. Although there would be consent to the operation, at least from the state, a peace settlement or formal cease-fire may not have been agreed, and the situation may be characterised by sporadic outbreaks of violence. Interposition operations will generally take the form of the establishment of a buffer zone, or, where the communities are intermingled, the establishment of areas of separation wherever the communities are physically mixed.

0416. **Support to the Protection of Civilians.** The PSF may have a primary task to protect civilians, especially in peace enforcement and peacekeeping.<sup>45</sup> The PSF should plan in consultation with the relevant international and local security forces and civilian actors to establish how protection will be delivered to the local population, including:

- a. How the PSF will complement any overarching civilian-led protection strategy.
- b. How robust military activity should be; in other words, adopting offensive or defensive activities. The likely consequences of military activity should not be worse than the likely consequences of inaction.
- c. Whether the state or local security forces are able to contribute to protection tasks and if so the degree and scope of responsibilities these forces should retain. In certain cases the state's security forces may be the perpetrators of violence against the civilian population.
- d. Whether protection should be provided through a dispersed or concentrated PSF footprint. The most appropriate solution is likely to be the one that provides deterrence, bearing in mind that physical protection often requires presence.

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<sup>45</sup> Read in conjunction with Chapter 3, paragraph 0330.

0417. **The Establishment and Supervision of Protected or Safe Areas.** Preventing a conventional force from attacking civilians in a defined area could be relatively simple, but resource heavy. However, preventing asymmetric attacks, long range rocket or ballistic missile attacks requires a different force configuration. Understanding the level of protection expected by the affected civilian population, regional actors and the international community will shape the composition of the PSF. Managing these expectations will be a critical factor to the successful completion of the task. Areas to be protected or made safe may contain residents, refugees, displaced persons and substantial numbers of one or more of the belligerent forces. The first stage in any peace support effort designed to protect or make an area safe is to demilitarize that area, which may require coercive action. Having accomplished that, and taken all necessary measures to defend the area, other specific military tasks may include:

- a. Establishing, monitoring and enforcing weapon exclusion zones.
- b. Holding ground, dominating approaches, conducting patrols and searches, manning checkpoints.
- c. Developing plans to deter external attack.
- d. Establish a communications plan that can support deterrence, the impartial status of the PSF and the management of expectations.

0418. **Observation and Monitoring.** The genuine intent of conflicting parties to pursue a peaceful solution to conflict should be sufficient to maintain a ceasefire. However, violations may take place as negotiations stall or break down, or local disputes lead to violent clashes. Providing an observation and monitoring function allows the PSF to focus resources on those areas that are most vulnerable to outbreaks of violence either between major conflicting parties or against civilians. In peace support, strategic and operational level observation and monitoring activities may be conducted by maritime and air assets. However, at the tactical level it may have a greater reliance on the human factor, for instance, the observations of troops in the crisis area. Traditionally in UN operations, individual observer teams have acted as the 'eyes and ears' of the UN Security Council and their presence has often been sufficient to deter breaches of ceasefires, peace agreements or international law. Their up-to-date reports provide useful evidence to counter claims put forward by partisan interests at UN Security Council discussions. Observers may be employed individually, as multinational or multi-agency teams to observe, monitor, verify, and where possible, defuse situations of potential violent activity. Specific tasks may include:

- a. Monitoring a ceasefire.

- b. Observing a military withdrawal from a specific area.
- c. Monitoring the movement of refugees and other displaced persons.

Observers can be employed by the UN as military observers and are usually unarmed to demonstrate impartiality. They operate usually from small outposts with the consent of the population and conflicting parties. The function can also be performed by a PSF.

0419. **Humanitarian Assistance.** The use of available military resources may be requested or assessed necessary to assist or complement the efforts of humanitarian actors in situations where the environment is hostile or uncertain, or where humanitarian agencies lack the resources to deliver humanitarian aid. The PSF must be cognisant of the humanitarian principles and therefore the relationship that is likely to exist between the two sets of actors during humanitarian-assistance tasks. Guidance from the joint force command will determine the PSF involvement in humanitarian assistance; tasks will vary but could include the provision of security escorts and transportation support. Further detail on humanitarian assistance can be found in AJP-3.4.3 *Allied Joint Doctrine for Humanitarian Assistance*.
0420. **Support to the Electoral Process.** The re-establishment of law and order and the creation of a secure environment are essential prerequisites to the successful conduct of elections. Without some guarantee of protection and security, individuals may not have the confidence to vote and the electoral process will lack credibility. Military support for the electoral process can take many forms but will generally consist of:
- a. The establishment and protection of voting centres.
  - b. The secure transportation of ballot boxes and electoral staff.
  - c. The protection of the voting population.

Such tasks are likely to take place during peacekeeping or peacebuilding.

0421. **Disarmament, Demobilisation and Re-Integration.** Disarmament, demobilisation and re-integration (DDR)<sup>46</sup> is a political tool used to mitigate the recurrence of conflict in a given area. DDR achieves this by disbanding armed non-state actors and re-integrating them into civil society, setting the conditions for the security

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<sup>46</sup> [Disarmament, demobilization, re-integration, repatriation, and resettlement \(DDRRR\)](#) is the same type of programme as DDR designed for foreign combatants that include the repatriation and resettlement in their home country.

sector to be reformed to reflect a single legitimate armed force. DDR should be a civilian-led programme. The DDR process addresses the post-conflict security problem that arises when combatants, and those associated with the fighting forces, are left without livelihoods following a cessation of violent conflict.<sup>47</sup> DDR will be only one phase of a wider and longer-term transition designed to reform the local security sector. Persuading armed groups to disarm and demobilize will be a difficult task for the peacemakers. A non-state warring party is unlikely to disarm without sufficient security-related guarantees by the international community and the state. Forcible disarmament could be considered, but over a wide area would be very manpower intensive and in certain cultures impossible to accomplish. If the PSF conducts disarmament without a coordinated and fully resourced re-integration process then the DDR process is likely to fail, the results of which could have a detrimental effect on the security environment and peace process. Further detail on DDR and its relationship with security sector reform can be found in AJP-3.4.5 *Allied Joint Doctrine for Military Support to Stabilization and Reconstruction*.

0422. **Early Stages of Security Sector Reform.** Security sector reform (SSR) is a sensitive political process as it strives to reform the existing institutions in conflict-affected countries so they can enforce the law and provide security and justice for their citizens. This makes the process difficult to implement in practice. Notwithstanding, it is likely that civilian and military actors will have to address the early stages of SSR to capitalize on agreements made following a cessation of conflict between major conflicting parties. Early successes in reforming elements of the security and justice sector could help set the conditions for further development and give the major conflicting parties and the population confidence in the peace process. The PSF is likely to get involved in early development initiatives aimed at the local security forces. Care must be taken to ensure that any programme aimed at the armed forces is coordinated into a central programme that considers the security and justice sector as a whole; for example, alongside the judiciary and penal sector. Advancing the reform programme for one part of the sector in isolation of the others is unlikely to succeed and could have a de-stabilizing effect later in the peace process. Planners should be careful not to empower one local actor over another without considering the full implications such a decision will have on the peace process; for instance, the power gained by the local actor through empowerment may give them a disproportionate amount of influence in future negotiations. SSR is an essential programme to enable the transition of the security function from the PSF to a local force. For further detail on SSR and DDR, see AJP-3.4.5 *Allied Joint Doctrine for Military Support to Stabilization and Reconstruction*.

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<sup>47</sup> Women and children often have many varied roles as active combatants in conflict. If female and children combatants are left out of DDR programmes due to oversight or unachievable entry requirements, an entire group of combatants remain armed and disenfranchised from the peace process.

0423. **Law and Order.** A State's police force should have primary responsibility for all civilian law enforcement issues. Where this is not possible the PSF is likely to be tasked to assist in providing basic law and order. Within this context, the PSF's policing capability is a highly valuable resource able to meet different safety and public order needs, and perform police executive or support missions. Specific military units with policing capabilities<sup>48</sup> are able to protect the local population from violence and the PSF from non-military threats, including threats of a criminal nature; tasks could include.

- a. Conduct police executive tasks such as area patrols, collection of information, public order maintenance operations, law enforcement and war crime investigations to help restore public safety and confidence in the peace process.
- b. Support police capacity building and contribute to the development of local police forces through temporary reinforcement; and assistance, training and mentoring.
- c. Monitor and support the development of the state's law enforcement agencies, in conjunction with other international civilian agencies, as part of the peacebuilding process.
- d. Contribute to the protection of civilians.
- e. Provide liaison with international and state police forces, law enforcement organisations and agencies.

If the MP is absent or lacks the capacity to fulfil a task, then infantry troops are likely to be requested to support law enforcement agencies for public order during particular events or in case of major civil unrest. This requires the development of a crowd and riot control capacity within units deployed in the PSF.

0424. **Border Security and Control.** A state needs to control its territory, and access to it, in order to maintain its authority. The control of border areas will be necessary to prevent any movement of spoilers and associated resources, and to prevent smuggling that may undermine state authority. Border control will likely require a combination of immigration, customs and excise control measures. While these may not be tasks for the PSF, they may well be involved in developing an integrated border management strategy. However, while local capability is being developed, the PSF may need to assist in providing border control, as well as mentors and trainers to help build capacity. Providing border control will require extensive

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<sup>48</sup> Such as multinational specialised units – see paragraph 0441a.

resources and could be one of many tasks given to the PSF. Priorities will likely dictate where assistance is possible and likely to be most effective. Border control may include the management of land borders, airspace, coastal waters, territorial waters and exclusive economic zones.

0425. **Explosive Ordnance and Mine Clearance.** Explosive ordnance and mines pose a significant threat to all people and equipment during and after the termination of a conflict, both at sea and on land. Unexploded ordnance and minefields in combat zones are primarily the responsibility of the conflicting parties. In theory, should the PSF withdraw, the minefields belong to the major conflicting parties' obstacle plan. If the PSF wishes to retain its impartial status it is obliged not to reveal the location of one party's minefields to the other, although it should make every effort to ensure that they are adequately marked in accordance with international law. Unless the mandate specifies otherwise, a PSF is not permitted to lift a party's unexploded ordnance or minefields, except when those munitions prevent the PSF from carrying out its mission, or are a hazard along tracks and sea-lanes in use by international shipping or other non-combatant parties. The PSF will generally seek to identify areas of hazard to support force protection and also the safety of the international community. Within the UN, the UN Mine Action Service (UNMAS), often with assistance from United Nations Office for the Coordination of Humanitarian Affairs (OCHA), is the focus for all mine related tasks, usually performed by contracted NGOs. NATO forces do not conduct humanitarian demining tasks. However, they may support others in clearing mines through support to activities such as training, planning, command and control, monitoring, mapping, quality control and reporting. Further detail on explosive ordnance can be found in *ATP-72 (A) EOD Operations, AJP 3.15 (B) Allied Joint Doctrine for Countering-Improvised Explosive Devices* and Protocol on Explosive Remnants of War, 28 November 2003 [Protocol V] (U.N. Doc. CCW/MSP/2003/2).

### Section III - Military Capabilities on Peace Support

0426. NATO's success in peace support relies on a joint effort usually involving all military components, brought together under a unified PSF command structure. The PSF will be generated for the operation from those components on the basis of national capabilities, availability and political agreement.

#### Maritime Component

0427. **Roles and Capabilities of Maritime Forces on Peace Support.** Maritime operations include any actions performed by forces on, under, or over the sea to gain or exploit command of the sea, sea control or sea denial, and/or to project power from the sea. In a joint environment, maritime forces do more than pursue maritime objectives. Maritime forces, remaining at sea, can:

- a. Act as a coercive force in support of deterrence.
- b. Reduce the need for external support.
- c. Enable access to an area of operation.
- d. Project power ashore.
- e. Provide militarily sustainable logistics.
- f. Support humanitarian assistance.

For more details on the employment of maritime forces see AJP-3.1 *Allied Joint Maritime Operations*.

0428. The major maritime capabilities used on peace support are detailed below.

- a. **Coastal Defence and Protection of Shipping.** Maritime forces can be tasked to provide protection of coastal facilities and shipping for a joint operations area with, or dependant upon access to and over the sea. Protection can be provided through control of the sea or widespread sea-control operations potentially enhanced by distant (in the vicinity) or close (accompanying selected ships) escort.
- b. **Maritime Interdiction Operations.** Maritime interdiction operations (MIOs) encompass sea-borne peace enforcement measures to interdict the movement of certain types of designated items or persons into or out of a nation or specific area. These measures may involve enforcing economic sanctions via a maritime embargo of a particular country's sea-borne trade. MIO against commercial shipping can be used to reduce reinforcement and re-supply of designated conflicting parties or belligerents, and to reduce illegal activity such as smuggling and human trafficking that can often undermine the overall objectives of the peace support effort. It can also be used to enforce legal agreements related to the crisis, for example agreements on fishery, seabed exploitation and international borders.
- c. **Maritime Force Projection and Support.** Maritime forces can contribute to air power, to Special Forces' operations and to indirect fire through naval fire support, the capabilities of which are all covered elsewhere in this section. It also includes the following elements that can make a significant contribution to peace support.
  - (1) **Safe Platform.** Maritime platforms can provide a secure, capable platform for C2 of land operations, particularly in the early stages of

a peace enforcement or peacekeeping operation. They can also provide a safe and impartial venue for negotiations between the various conflicting parties.

- (2) **Amphibious Forces.** Amphibious forces can respond rapidly with a joint capability either by deploying ashore or by poising at sea to provide presence without commitment to influence political discussion, for example, during peace negotiations. Amphibious forces are often able to provide theatre entry capability and are not reliant upon well founded ports. They are often able to sustain themselves and others for a number of days or weeks without recourse to external provisions, depending upon their maritime logistics support. Therefore, they offer commanders and politicians a wide range of landing options.
- (3) **Logistics Support.** The ability of maritime forces to self-sustain increases their flexibility by reducing dependence on external resources. They can provide a scalable, mission-tailored response that has a theatre-entry capability. Sea-based logistic support to land forces can assist where use of the local resources would otherwise distort the local economy, delay sustained reconstruction and potentially result in dependence of the local population on international intervention. The provision of maritime or littoral medical support may be useful on peace support. Finally, sea-based maintenance facilities can prolong the availability of equipment operating in harsh environments by providing clean facilities in which to conduct.
- (4) **Humanitarian Assistance.** The mobility, flexibility and self-sustainment of maritime forces give them great utility in responding to humanitarian needs. They are particularly useful in supporting humanitarian assistance when there is insufficient civilian capacity to deal with the crisis, for example, by providing support helicopters and hospital ships.
- (5) **Naval Ordnance Disposal.** Naval Mine Warfare (NMW) forces capabilities are to detect, nullify or dispose of explosive ordnance hazards, including sea mines and waterborne improvised explosive devices. These not only impair the flexibility of manoeuvre of combat units, disrupt sea lines of communications, degrade morale or paralyze key coastal infrastructure or population centres, but also cause heavy casualties among the civilian mariners. NMW forces can play an important role in peacekeeping and peacebuilding operations. Cooperation between NMW forces and the merchant



shipping community will be essential to minimize the threat. NMW forces can help build up local capacity and, where no indigenous capability exists, assist in counter-mining activities.

## Land Component

0429. **Roles and Capabilities of Land Force Elements on Peace Support.** The complexity of peace support requires an approach that emphasizes decentralized command, freedom of action, tempo and initiative, to contend with the multitude of activities and rapidly changing situations. Properly employed, land forces can:

- a. Support deterrence activity.
- b. Protect civilians and infrastructure.
- c. Interact with other military and civilian organizations in the crisis area.
- d. Provide coercive action against belligerent parties.
- e. Support humanitarian assistance.

For more details on the employment of land forces see AJP-3.2 *Allied Doctrine for Land Operations*.

0430. The major land capabilities used on peace support are detailed below.

- a. **Infantry.** Infantry will normally represent the predominant component of the PSF. Typical infantry tasks include: force protection, domination of the ground through a network of vehicle and foot patrols, protection of civilians, protection of key infrastructure, check points, observation posts; cordon and search operations; imposition of curfews; convoy protection; dispersing crowds and riots; gathering information and assisting in CIMIC activities. Armoured personnel vehicles will enhance protection and employability for high-risk tasks such as interposition. The combat skills of the infantry will be essential in the conduct of peace enforcement and peacekeeping operations.
- b. **Aviation.** The use of assault support aviation is a critical capability in countries where the terrain makes it difficult to move quickly over distance. They enable a quick reaction force and reserve capability over large area of operations where the protection of civilians is often a primary objective. Aviation also provides the capability to conduct medical and casualty evacuation, provide logistic re-supply, and perform reconnaissance and surveillance tasks. Armed and attack rotary and fixed wing aircraft are a flexible combat force that often have a significant deterrence effect and

provide the PSF commander with agility and reactivity. However, low flying rotary wing and tilt-rotor aircraft are vulnerable and can operate safely only in lower threat-levels; self-protection measures enhance their survivability to a degree but their use in peace support must be a balance between need and risk. Aviation assets will normally be a scarce resource and their tasking should always be centrally directed (by the most suitable component commander on behalf of the PSF commander) to promote high effectiveness and efficiency. An exception to this rule is the C2 and tasking of specialist platforms, such as the attack helicopter used in direct support of land forces, which will normally be delegated to a lower formation, for example, a brigade headquarters.

- c. **Armour.** The surveillance capabilities, firepower, mobility, protection and communications of armoured reconnaissance vehicles and the training of reconnaissance troops, make them suitable for such tasks as monitoring large areas, liaison, control points, convoy security, quick reaction and clearing routes. The deployment of main battle tanks in the conduct of peace enforcement or peacekeeping will depend on the scale of opposition and threat posed by local forces. Main battle tanks can provide an effective show of force and aid deterrence, but they can degrade legitimacy of the PSF by providing an overly aggressive stance as well as damaging roads and infrastructure.
- d. **Artillery.** Indirect fire of artillery and mortars may provide a deterrent function as well as a contingency capability to respond rapidly to escalations of violence, demonstrate resolve to deter further hostile acts and enforce compliance. The increased availability of precision-guided munitions significantly reduces the probability and degree of collateral damage, a factor that has previously constrained the use of artillery. Mortar-locating radars and other artillery locating assets may also help the force document and apportion responsibility for indirect attacks conducted by major conflicting parties.

## **Air Component**

0431. **Roles and Capabilities of Air Forces on Peace Support.** The accuracy of modern weapons, together with aviation's reach and responsiveness means it can be employed as a powerful deterrent especially during peace enforcement operations. In this regard air can offer considerable flexibility to the PSF commander. Its ability to monitor large geographical areas across the electromagnetic spectrum provides rapid intelligence which, when merged with the human environment, can help provide situational awareness and understanding. For more details on the employment of air forces see AJP-3.3(A) *Allied Doctrine for Air and Space Operations*.

0432. The major air capabilities used on peace support are detailed below.

- a. **Attack.** Air power can often support deterrence without the requirement to deploy weapons. However, if weapons are used, planners should note that, notwithstanding the accuracy of modern air weapons, an unrealistically high expectation of zero collateral damage may exist and that any perceived excesses could undermine the mission. Air assets can be used to enforce no-fly zones, suppress enemy air defence and assist with the protection of the PSF or the local population.
- b. **Air Transport.** Air's range and speed allows rapid movement of land and air forces while avoiding direct and indirect dangers on the ground. In addition, helicopters can provide access to otherwise inaccessible terrain. Types of transportation by air include:
  - (1) **Airlift.** Inter-theatre airlift provides an air bridge to home bases or other theatres and normally uses strategic air transport or civilian aircraft chartered on the commercial market. Intra-theatre airlift provides air movement within a specific theatre or JOA and normally uses tactical air transport.
  - (2) **Air Logistics Operations.** Air logistics operations include tasks, other than airborne missions, conducted to deploy, sustain, distribute and recover personnel, equipment and supplies.
  - (3) **Airborne Operations.** Airborne operations provide air-delivered combat power to seize ground or installations through the airdrop or air-landing of land forces directly onto an objective. They generally pose high risks but can have use in certain types of peace support efforts for: securing vital ground, for example, an airport of debarkation at the start of a peace enforcement operation; rapid, focussed application of force; demonstrating intent and/or capability; and conducting an initial entry operation.
  - (4) **Aeromedical Evacuation.** Aeromedical evacuation is a specialized form of airlift for transporting patients under medical supervision to appropriate medical treatment facilities. Aeromedical evacuation encompasses forward, tactical and strategic evacuation and is an essential element of the medical support system.
  - (5) **Humanitarian Assistance.** Airlift is often the only means to get aid to remote or isolated regions which may be cut off due to natural hazards or due to major conflicting parties'.

## Joint Capabilities with Specific Relevance to Peace Support

0433. Special operations forces and logistics are the predominant functional military components in addition to the environmental military components. However, joint capabilities do exist that are of particular relevance to a number of peace support efforts including: CIMIC; explosive ordnance disposal (EOD); military police; and medical and veterinary services.
0434. **Special Operation Force.** Special operations are military activities conducted by specially designated forces using unconventional tactics, techniques, and modes of employment. A special operation force (SOF) is normally deployed in pursuit of strategic objectives. However, their overt deployment in a politically-charged environment can be politically sensitive. Special operations missions in peace support may include some or all of the principal tasks of military assistance, special reconnaissance, or direct action depending on the circumstances of each operation. Further detail on SOF can be found in AJP-3.5 *Allied Joint Doctrine for Special Operations*. The SOF principle tasks used on peace support are detailed below:
- a. **Military assistance.** Military assistance (MA) is a broad category of measures and activities that support and influence: capability building of security forces; engagement with local, regional and national leadership or organizations; and the local population.
  - b. **Special reconnaissance.** Special reconnaissance can be conducted to support the PSF's theatre intelligence collection process in hostile, denied, or politically sensitive territory. SOF may conduct these tasks separately, supported by, or in conjunction with, or in support of other component commands.
  - c. **Direct action.** Direct action (DA) is a precise offensive operation conducted by SOF. DA is likely to be limited to peace enforcement; however, it may have applicability in other peace support efforts too. The implications of conducting DA on the perceived impartiality and legitimacy of the PSF should always be considered before conducting these types of activities.
0435. **Joint Logistics Support.** Logistics is a key enabling function for peace support. Logistics must be integrated as early as possible in the planning stage in order to support the operation through the deployment, sustainment and redeployment of the forces. The establishment of a Joint Logistics Support Group (JLSG) will enable effective and efficient theatre support. The JLSG with its JLSG HQ is the primary logistics C2 organisation at theatre-level for the joint force commander. The JLSG

is responsible for coordination and execution of multinational theatre-level logistics support. When there is no requirement to deploy a complete JLSG HQ, the JFC – or single service commander for a single service Alliance Operations and Missions (AOM) - will tailor the required logistics C2 for the AOM using the resources available. The volatile nature of contemporary conflicts can lead to an additional logistics demand from civilian personnel requiring temporary protection, support or evacuation if their independent support arrangements become untenable. Local conditions and the balance of risk against the ease of resupply will determine to what extent logistics planners have to allow a buffer to mitigate this. Further detail on logistic support can be found in Bi-SC Joint Operational Guidelines 13/01 - Logistics Logistics and AJP-4.<sup>49</sup>

0436. **Intelligence, Surveillance, and Reconnaissance.** Intelligence, surveillance and reconnaissance (ISR) requirements, collection and exploitation management functions will be designed to support commanders, their staff and forces with situation awareness, comprehensive preparation of the operational environment (CPOE), targeting, damage assessment and other information relevant for decision-making. ISR consists of coherent joint, multinational and multi-discipline activities in the space, air, land, and maritime environments. ISR assets can also be employed to support the missions of other actors involved in the peace support effort, for example, monitoring the flow of refugees or displaced persons in support of humanitarian actors. Further detail on intelligence can be found in AJP-2 series starting with AJP-2 *Allied Joint Intelligence, Counter-Intelligence and Security Doctrine*.
0437. **Military Engineering.** Military engineering (MILENG) is often a vital asset on peace support to ensure freedom of movement along with construction engineering capabilities. Small teams are used to assess damage or estimate engineering repairs. They can assist in the restoration of essential services such as power supply and distribution, minor repairs to critical infrastructure and well-drilling operations. Larger engineer units provide skills including construction, road repair, debris clearance, utilities restoration, and camp construction for deployed forces, displaced civilians or refugees. In addition to completing the tasks outlined above, engineers often play a key role in the transition of responsibilities to civil authorities. Any such activity in support of the civil environment should be coordinated through CIMIC. Environmental degradation is usually a by-product of conflict. MILENG expertise can assist the state in establishing or restoring environmental protection best practices. Civil engineering tasks support force redeployment through the preparation of facilities, handing over construction projects, refurbishment and the turnover of property and real estate to the host nation.

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<sup>49</sup> Further detail on logistics can be found in AJP-4(A) *Allied Joint Logistic Doctrine* (once ratified).

0438. **Explosive Ordnance Disposal.** The command status of all EOD forces, coordinating authorities and tasking authorities should be established early in the planning process, since the affiliation of EOD to MILENG differs between different NATO nations. A combined joint EOD cell (CJEODC) is to be established in the Theatre Joint HQ as the focal point for all EOD matters. The Joint Engineer Division at the operational level contains the core of the CJEODC; the Joint Force Engineer remains the primary advisor to the Joint Force Commander on all mobility support issues. EOD operational capabilities are to detect, nullify or dispose of explosive ordnance hazards, including improvised explosive devices and land mines. These not only impair the flexibility of manoeuvre of combat units, disrupt lines of communications, degrade morale or paralyze key infrastructure or population centres, but also cause heavy casualties among the civilian population. EOD assets can play an important role in peacekeeping and peacebuilding operations. Cooperation between military EOD units and national military and civilian agencies will be essential to identify the threat, help build local capacity and, where no indigenous capability exists, assist in de-mining activities.
0439. **Civil-Military Cooperation.** Effective CIMIC is essential to facilitate interaction between the military commander and the civilian stakeholder operating in the same area. CIMIC forms the tactical application of the comprehensive approach, providing the foundation for deconfliction and, where possible, collaboration between different actors. CIMIC is a necessary function that supports the military commander's plan, facilitated by CIMIC staff and established liaison officers. Besides the CIMIC / J9 staff in headquarters, the physical aspect of a CIMIC capability is comprised of CIMIC units and elements. Because one situation will differ from another, the composition of these assets cannot be prescriptive. The minimum requirement is CIMIC staff at all headquarters levels. CIMIC activities are regularly depending on and involving other military functions and disciplines with their particular capabilities, for example: MILENG for infrastructure support to civil communities; air imagery for initial assessments after disasters; logistics through transportation assistance for humanitarian actors; and infantry for force protection in insecure environments. The CIMIC staff's role is to advise and provide situational awareness on the civil situation and civil actors to the commander, conduct assessments on the civil environment, plan CIMIC activities and carry out liaison between the PSF and civilian actors. As a result of assessments, existing military forces and military personnel can be tasked through the chain of command to carry out specific interaction or CIMIC activities. For further details on CIMIC, see AJP-3.19, *Allied Joint Doctrine for Civil-Military Cooperation*.
0440. **Military Policing Activities.** Military policing activities are enabling functions that are conducted by specially designated military personnel who are organized, trained and equipped in using MP techniques. These enabling functions are: police, mobility support, security and detention, all of which can be conducted across the full spectrum of peace support efforts. More generally, military policing activities are

dedicated to the maintenance of order inside the military, to prevent crime and to protect the PSF from external threats. In addition to traditional MP functions, a peace support effort will often involve stability policing.<sup>50</sup>

0441. **Stability Policing.** Stability Policing is a set of police activities for the restoration and/or upholding of the public order, security and rule of law through supporting and, when necessary, temporary substitution of the indigenous police. Stability policing complements or replaces local police forces that are unable or unwilling to perform the function themselves. In doing so, international and local military, police, judiciary and penitentiary institutions and agencies need to work together in order to establish an environment where local ownership of security can develop over time in accordance with local and international laws. Stability policing can assist in the development of local capacity by training local police forces and plays a key role in any security sector reform programmes. Stability policing is an activity conducted by a specialized component of the PSF for safety and public order purposes, as well as to enforce the law. Stability policing activities can be conducted by MP units, by gendarmerie-type forces or by units that have been generated for a specific purpose, such as a multinational specialized unit (MSU).
- a. **Multinational Specialised Units.** MSUs are military units composed of police forces with military status and military police forces with a police background. They perform a wide spectrum of police capabilities in the field of stability policing and are able to perform specialized duties normally related to the restoration and maintenance of public security. Such functions are particularly important during peacekeeping and peacebuilding. The MSU can be tailored to perform the following tasks: public order control, patrolling, information gathering, criminal intelligence, criminal investigations, training, monitoring, mentoring and supporting of local police forces, policing and law enforcement, including combating organised crime and terrorism, war crime investigations, and crime prevention. MSUs are integrated in the military structure and operate under the same ROE as the PSF.
0442. **Health Service Support.** The commander and troop contributing nations share the responsibility for the health of NATO forces. Military medical services are designed principally to provide medical services to the PSF and not the local population. However, in areas where the health infrastructure has been damaged or non-existent, the commander may need to consider support to the population too. Poor hygiene conditions, poverty and damage to industrial plants and processes can cause an increased human health risk for the population and PSF due to infectious disease and environmental health threats. Planners should conduct a rigorous assessment and estimation of the population at risk to ensure that the medical support is appropriate. Liaison with civilian medical actors is important to plan a

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<sup>50</sup> AJP-3.2.3.3 provides a comprehensive overview of MP functions and activities.

coordinated and where possible, collaborative response. The PSF should only lead on civilian health provision for as short a time as possible, until the appropriate civilian authority can take over. The general rule should be to support whoever is the appropriate lead: the state if it exists, even if its capability is currently small. If the state is ineffective then a lead agency will provide health coordination temporarily. In most cases that will probably be the World Health Organization but it could be another UN agency such as UNICEF, or even a medical, non-governmental organization. Where medical support is provided to civilian population, it has to meet standards acceptable to both the participating nations and the receiving country. Further detail on health service support can be found in AJP-4.10 *Allied Joint Medical Support Doctrine* and AJMedP-6 *Allied Joint Civil-Military Medical Interface Doctrine*.

## Section IV - Education, Training and Exercises

0443. Education and training of military staff, units and forces are predominantly national responsibilities, but applying a comprehensive approach to peace support requires coherent education and training beyond traditional national and military boundaries. The bulk of individual and collective training should still cater for military personnel but opportunities should be exploited to train with civil governmental, international and non-governmental organizations whenever appropriate. This should be an enduring commitment and as part of pre-deployment training. Relationships initiated and developed before a crisis are considerably more effective in-theatre than *ad-hoc* arrangements.
0444. Special attention should be paid to the required shift in mindset for individuals trained for combat to operate within an environment in which the use of force is more restrained. The manner in which the PSF and individuals conduct themselves is a critical part of establishing and maintaining legitimacy; the inappropriate use of force, even if within the ROE, can rapidly diminish that authority. Further detail on training for peace support can be found in the Allied Training Publication -1 *Training and Education for Peace Support Operations*.
0445. Many Alliance members, and the Alliance itself, have already established specific training facilities and courses for peace support which personnel of other nations are invited to attend (in accordance with the Euro-Atlantic Partnership Council (EAPC) peacekeeping course catalogue). Within the EAPC, a document on *Standardisation of Peacekeeping Training and Education* exists and forms the baseline for peacekeeping training in many EAPC countries. Nations contributing military forces to peace support should ensure that forces are trained not only to a common basic level of military skills but also in peace support tactics, techniques and procedures. The Alliance encourages the integration of Peace Support training



into all professional military career courses. In addition, NATO conducts courses on peace support that are available to all Alliance members and partner and cooperation nations.

0446. The UN also provides training for peacekeeping troops in established training centres and also internet-based training material, which can be exploited by those preparing to deploy on such missions. Training courses and materials cover topics such as the protection of civilians, human rights, gender, sexual violence and HIV.<sup>51</sup>
0447. **Exercises.** General peace support exercises and pre-deployment exercises should be conducted at all levels, with a focus on multinational and multi-agency activities. Where possible they should also include relevant civil actors. Higher-level seminars and command post exercises with peace support scenarios should include crisis management procedures and decision making processes. Where feasible, training such as exercises and higher-level seminars should continue during the deployment of the PSF. In addition to the training benefit, they can provide a visible demonstration of Alliance capability, cohesion and resolve, adding to and maintaining the PSF legitimacy.

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<sup>51</sup> An example of UN on-line training can be found at the following links:  
<https://www.peaceopstraining.org/courses/> and  
<http://www.peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/Home.aspx>

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## LEXICON

### PART I - LIST OF ABBREVIATIONS

The Lexicon contains abbreviations relevant to AJP-3.4.1(A) and is not meant to be exhaustive. The definitive and more comprehensive list of NATO abbreviations is in AAP-15. Abbreviations introduced in AJP-3.4.1(A) are annotated.

AAP	Allied administrative publication
AJP	Allied joint publication
ATP	Allied tactical publication
C2	command and control
CIMIC	civil-military cooperation
CIVAD	civilian actors advisor
CJEODC	combined joint explosive ordnance disposal cell
CPOE	Comprehensive Preparation of the Operational Environment
DA	direct action
DDR	disarmament, demobilisation and reintegration
EAPC	Euro-Atlantic Partnership Council
EOD	explosive ordnance disposal
GENAD	gender advisor
HNS	host-nation support
HUMINT	human intelligence
Info Ops	information operations
IO	international organization
ISR	intelligence, surveillance and reconnaissance
JFC	joint force commander
JLSG	joint logistics support group
JOA	joint operations area
KLE	key leader engagement
MA	military assistance
MC	Military Committee
MILENG	military engineering
MIO	maritime interdiction operation
MP	military police

MSU	multinational specialised unit
NAC	North Atlantic Council
NATO	North Atlantic Treaty Organization
NGO	non-governmental organization
NMW	naval mine warfare
OCHA	Office for the Coordination of Humanitarian Affairs
OPLAN	operation plan
OPSEC	operations security
OSCE	Organization for Security and Cooperation in Europe
PA	public affairs
PMSC	private military and security company
POLAD	political advisor
PSF	peace support force
PsyOp	psychological operation
R2P	Responsibility to protect
ROE	rules of engagement
SOF	special operations force
SOFA	Status of Forces Agreement
SSR	Security sector reform
StratCom	Strategic communications
TCN	troop contributing nation(s)
UAV	unmanned aerial vehicle
UN	United Nations
UNCT	United Nations country team
UNDP	United Nations Development Programme
UNHCR	United Nations Office of the High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNMAS	United Nations Mine Action Service
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
UNSCR	United Nations Security Council Resolution
WAN	wide-area network
WHO	World Health Organisation
WFP	World Food Programme

## **PART II - TERMS AND DEFINITIONS**

Part II contains terms and definitions relevant to AJP-3.4.1(A) and is not meant to be exhaustive. The definitive and more comprehensive list of NATO terms and definitions is in AAP-06. Definitions introduced in AJP-3.4.1(A) are annotated.

### **civil-military cooperation**

The coordination and cooperation in support of the mission, between the NATO Commander and civil actors, including the national population and local authorities, as well as international, national and non-governmental organizations and agencies. (AAP-06)

### **conflict prevention**

A peace support effort to identify and monitor the potential causes of conflict, and take timely action to prevent the occurrence, escalation, or resumption of hostilities. (Proposed modification to AAP-06)

### **host nation**

A nation which, by agreement:

- a. receives forces and materiel of NATO or other nations operating on/from or transiting through its territory.
- b. allows materiel and/or NATO organisations to be located on its territory; and/or
- c. provides support for these purposes. (AAP-06)

### **host-nation support**

Civil and military assistance rendered in peace, crisis or war by a host nation to NATO and/or other forces and NATO organisations which are located on, operating on/from, or in transit through the host nation's territory. (AAP-06)

### **peacebuilding**

A peace support effort designed to reduce the risk of relapsing into conflict by addressing the underlying causes of conflict and the longer-term needs of the people. It requires a commitment to a long-term process and may run concurrently with other types of peace support efforts. (Proposed modification to AAP-06)

### **peace enforcement**

A peace support effort designed to end hostilities through the application of a range of coercive measures, including the use of military force. It is likely to be conducted without the strategic consent of some, if not all, of the major conflicting parties. (Proposed modification to AAP-06)

### **peacekeeping**

A peace support effort designed to assist the implementation of a ceasefire or peace settlement and to help lay the foundations for sustainable peace. It is conducted with the strategic consent of all major conflicting parties. (Proposed modification to AAP-06)

**peacemaking**

A peace support effort conducted after the initiation of a conflict to secure a ceasefire or peaceful settlement involving primarily diplomatic action supported, when necessary, by direct or indirect use of military assets. (Proposed modification to AAP-06)

**peace support**

Efforts conducted impartially to restore or maintain peace. Peace support efforts can include conflict prevention, peacemaking, peace enforcement, peacekeeping and peacebuilding.

**peace support force**

A NATO-led military force assigned to a peace support operation. (Proposed modification to AAP-6)

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**AJP-3.4.1(A)(1)**