



## Guidelines

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# Protection of Civilians: Implementing Guidelines for Military Components of United Nations Peacekeeping Missions

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# Protection of Civilians, Implementing Guidelines for Military Components of United Nations Peacekeeping Operations

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### A. **PURPOSE**

- 1 Provide guidance to military components in UN peacekeeping missions tasked with implementing mandates on the protection of civilians (POC).
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### B. **SCOPE**

- 2 These guidelines apply to all military personnel deployed in UN field missions with POC mandates, as well as staff members of the Departments of Peacekeeping Operations (DPKO) and Field Support (DFS), United Nations Headquarters (UNHQ).
  - 3 Key personnel of Troop Contributing Countries (TCCs), including decision makers and planners, will find these guidelines useful as they train and prepare contingents for a UN Peacekeeping mission.
  - 4 These guidelines focus on physical protection of civilians against violence in any form or manifestation by the perpetrator, including but not limited to armed groups, non-state actors and state actors (where applicable) individually or collectively at operational and tactical levels. They provide enough room for planners and commanders to incorporate changes in the planning and execution of operations as the situation evolves.
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### C. **RATIONALE**

- 5 Reflecting POC's rising importance, the vast majority of UN peacekeepers currently work in missions mandated to protect civilians. Although POC mandates have existed for fifteen years, field missions and Troop Contributing Countries (TCCs) continue to seek guidance on its implementation.
- 6 These guidelines complement existing guidance and should be read together with the DPKO/DFS Concept on the Protection of Civilians and the OHCHR/DPKO/DPA/DFS policy on Human Rights in UN Peace Operations and Political Missions. These policies provide operational guidance on the roles and responsibilities of UN civilian, military and police on the protection of civilians against threats of physical violence and on the integration of human rights into the activities of United Nations peacekeeping missions.

## D. GUIDELINES

### D.1 Defining POC in UN Peacekeeping

#### D.1.1 POC Definition

- 7 Based on the language used by the Security Council in POC mandates<sup>1</sup>, the physical protection of civilians in United Nations peacekeeping can be defined as **“all necessary action, up to and including the use of force, aimed at preventing or responding to threats of physical violence against civilians, within capabilities and areas of operations, and without prejudice to the responsibility of the host government to protect its civilians.”**

#### D.1.2 POC Framework

- 8 **Host State and UN Peacekeeper Responsibilities.** Host governments bear the primary responsibility for protecting civilians inside their borders, consistent with their obligations under international human rights and humanitarian law. However, when the host government is unwilling or unable to do so, UN peacekeepers are authorized and are duty bound to undertake actions to protect civilians. Within the mission’s area of operations, peacekeepers may act independently to protect civilians, irrespective of the source of the threat, in the absence of an effective host government effort or willingness to carry out its responsibilities to protect its civilians.
- 9 **International Human Rights and Humanitarian Laws.** Protection of civilians is rooted in international human rights and humanitarian law violations which involve physical violence, including killings, torture and rape and is thus a core element of UN mission mandates to protect rights and promote international humanitarian obligations. As such, the human rights roles and responsibilities<sup>2</sup> of military peacekeeping personnel provide fundamental support for implementing PoC mandates. Effective prevention and response to imminent threats of physical violence requires that human rights officers and military peacekeepers establish close and effective operational links.
- 10 **Community-Based POC.** UN mission interaction with local populations should be rooted in values of respect and dignity. Action to protect civilians should be planned in consultation with men and women of the local community (including representatives of women’s and youth groups) and in support of the mechanisms locals have established to ensure their own protection. Engagement and consultations with communities yield important information on local situations and priorities. This situational awareness should be conveyed to decision makers for more effective implementation of the POC response.
- 11 **POC involves the Entire Mission.** Each component of a peacekeeping mission - military, police, substantive sections and mission support have a role and responsibility to implement jointly the Protection of Civilians mandate.
- 12 **Gender Dynamics.** Peacekeepers must pay attention to local gender issues when carrying out the POC mandate, particularly in the acquisition of situational awareness. Peacekeepers must ensure that they do not exacerbate existing gender inequalities through inadvertent action. In this regard, deployment of more female military peacekeepers in contingents, as staff officers and as

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<sup>1</sup> PoC mandates usually have similar wording to this: “*The Security Council (SC),... Acting under Chapter VII of the Charter of the United Nations, ...Decides that [the peacekeeping mission] is authorized to take the necessary action [or ‘use all necessary means’], in the areas of deployment of its forces and as it deems within its capabilities, and without prejudice to the responsibility of the Government/host country, to protect civilians under (imminent) threat of physical violence.*” DPKO-DFS Concept for Protection of Civilians in UN peacekeeping Operations (<http://peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/Home.aspx>) details the departments’ understanding of this mandate. Key expressions in the mandate are explained in section E.

<sup>2</sup> See Policy on Human Rights in United Nations peace Operations and Political Missions, 1 September 2011. ([http://ppdb.un.org/Policy Guidance Database/POLICY Human Rights in Peace Operations and Political Missions.pdf](http://ppdb.un.org/PolicyGuidanceDatabase/POLICY%20Human%20Rights%20in%20Peace%20Operations%20and%20Political%20Missions.pdf) )

military observers is crucial to the effective implementation of POC tasks. Female military peacekeepers are better able to interact with women and children, especially those who have been sexually assaulted; they can establish better relations with local women and therefore improve information gathering about the local community.

- 13 **Sexual Violence.** Military components in peacekeeping operations must protect civilians against sexual violence. Primarily, women and girls are most vulnerable in conflict and post-conflict situations, compounded by increased tendencies by armed actors to use sexual violence as a strategy and tactic of war. Conflict-Related Sexual Violence (CRSV) refers to rape, sexual slavery, forced prostitution, forced pregnancy and any other form of sexual violence of comparable gravity against women, men, girls or boys. Annex B further describes the roles and responsibilities of military components in implementing CRSV mandated tasks.
- 14 **Child Protection.** Military components have a responsibility regarding the most vulnerable population: children. Security concerns and major threats to children often extend to the following grave violations: recruitment and use of child soldiers<sup>3</sup>, killing, maiming, abductions, sexual violence, attacks on schools and hospitals and the denial of humanitarian access. A child's need for protection must be taken into consideration at all levels of command when planning, coordinating, reporting and executing tasks. See Annex B for further operational guidance.
- 15 **Conduct and Discipline of UN Peacekeeping Personnel.** It is vital that peacekeepers uphold the highest standards of integrity enshrined in the UN Charter. The view of them by host populations as protectors is crucial to their success in implementing their mandated tasks, including protecting civilians. In this respect, the UN policy of 'zero tolerance' regarding Sexual Exploitation and Abuse remains a key exigency on the behaviour of peacekeepers at all levels.

#### **D.1.3 The POC CONCEPT<sup>4</sup>: a Strategic Approach to Implement POC Mandated Tasks**

- 16 United Nations peacekeeping interprets the protection of civilians through a three-tiered approach. The protection of civilians is a key element of a mission's strategy, attained through a combination of general and specific tasks. While military components support all three tiers, they have a crucial role and responsibility in Tier II. The Tiers are sequential in nature but can be conducted simultaneously.

**Tier I. Protection through Dialogue and Engagement.** This Tier's activities include dialogue with or demarche of a perpetrator or potential perpetrator, conflict resolution and mediation between parties to the conflict, persuading the government and other relevant actors to intervene to protect civilians, and other initiatives that seek to protect civilians through dialogue and direct engagement.

**Tier II. Provision of Physical Protection.** This Tier encompasses those activities by police and military components involving the show or use of force to prevent, deter, and respond to situations in which civilians are under the threat of physical violence. Those actions are informed by and implemented in close coordination with substantive civilian sections, which help guide the objectives and conduct of military and police operations through joint POC planning and coordination structures. The provision of physical force is a last resort, UN military and police formed units must act swiftly and decisively when preventive mechanisms of the mission fail to

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<sup>3</sup> Including porters, cooks, spies and girls being recruited for sexual purposes. For more details, see *The Paris Principles and Guidelines on children associated with armed forces or armed groups*, Feb 2007 (<http://www.unicef.org/emerg/files/ParisPrinciples310107English.pdf>) and ICRC brochure CAAFAG, (<http://www.icrc.org/eng/resources/documents/publications/p0824.htm>).

<sup>4</sup> *DOKO DFS Policy* (in approval process in time of print) and *Concept for Protection of Civilians in UN peacekeeping Operations* (<http://peacekeepingresourcehub.unlb.org/PBPS/Pages/Public/Home.aspx>) detail the departments' understanding of the POC mandate.

protect civilians in compliance with ROEs and using requisite force within capabilities and area of responsibility.

This Tier is the main focus for military components and aims at prevention and assurance of robust intent to protect civilians, through:

- Situational awareness, threat/risk assessment, early warning
- Ensuring visibility, patrolling, investigation as appropriate
- Liaising with local security forces & non state actors
- Ensuring preventive force deployment and posture
- Providing physical protection to civilians around UN bases and compounds<sup>5</sup>
- Establishing buffer zones
- Ensuring freedom of movement and route security for civilians, including refugees/IDPs
- Defending protected areas (IDPs/Refugee camps, safe corridors)
- Supporting deployments of human rights staff to areas at risk of human rights violations

If Civilians are under threat of physical violence a robust response is required, including

- Show of force (as deterrence)
- Force inter-positioning between (armed) actors and civilians
- Direct military action against armed actors with clear hostile intent to harm civilians

**Tier III. Establishing a Protective Environment.** Environment building activities are frequently programmatic in nature and designed with committed resources for medium to long-term peacebuilding objectives<sup>6</sup>. Sometimes presented as separate mandated tasks under country specific resolutions, these activities contribute to POC, and are generally planned independently of POC. This Tier would typically include the support to the political process, promotion and protection of Human Rights, advocacy and access to humanitarian support, fighting impunity, promoting justice and establishing rule of law, supporting compensation and rehabilitation of victims. The military and Police play a crucial role in this Tier by providing support to the Human Rights and the Rule of Law mandates while contributing to (along with the host state, UN entities and mission components) security and support to humanitarian effort (where appropriate). Other potential military supporting tasks in support of this Tier include:

- Advocate with local military on issues of impunity.
- Promote and protect Human Rights, including measures to end human rights violations.
- Support Security Sector Reform and implement the Defence Sector Reform policy.
- Contribute to security conditions, conducive to durable solutions for displaced persons.
- Contribute to creating the conditions conducive to the voluntary, safe, dignified and sustainable return, or resettlement of refugees and internally displaced persons (IDPs);
- Create security conditions conducive to the delivery of humanitarian assistance.

## **D.2 Guidance to the Office of Military Affairs (strategic level)**

### **Enabling factors**

The following planning and generation aspects are “enabling factors” available at the strategic level to maximise the efficiency and effectiveness of military components’ implementation of the POC mandate.

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<sup>5</sup> Provision of a safe haven/protected site is distinct from POC but contributes to it.

<sup>6</sup> United Nations Peacekeeping Operations: Principles and Guidelines (2008), Chapter 2.4.

### **D.2.1 Strategic Planning**

- 17 When UN HQ begins the planning process for a new mission or review of an existing mission, the key inputs crucial to PoC that should be considered at the earliest possible stages are identified during the Integrated Assessment and Planning Process (IAP)<sup>7</sup>. While conducting the IAP, the planning team should ensure that POC considerations are factored into the Strategic Assessment (SA). The SA should incorporate an analysis of the main threats of physical violence against civilians. DPKO-DFS's Integrated Task Force (ITF) must prioritize POC objectives and include an analysis on the main ongoing international human rights and humanitarian law violations to ensure consideration as early in the process as possible. Strategic Reviews, Technical Assessment Missions (TAMs), Military Capability Studies (MCS) and any other planning activities need to include consultation with the protection cluster<sup>8</sup>, governmental and non-governmental organizations on possible priority activities.

### **D.2.2 Composition of Force**

- 18 The Composition of Force for a mission must be capable of delivering on mandated tasks. It is the responsibility of the Office of Military Affairs (OMA) to determine, during Military Capability Studies the adequate capabilities to meet the tasks.
- 19 OMA planners need to factor PoC task requirements within the generation of capabilities. They should also review the capacity to operate in different seasons/climatic conditions to sustain the reach of the military, and even expand this reach to vulnerable population centres when required to protect civilians. The capabilities of Infantry units, enablers and force multipliers must be reviewed to ensure they meet mission requirements throughout the seasons. Specific resources such as language assistants and communication assets also remain critical.

### **D.2.3 Pre-deployment Training**

- 20 Pre-deployment training of uniformed personnel deployed to UN peacekeeping operations is the responsibility of the individual troop contributing countries. DPKO-DFS, however, play a role in peacekeeping training, by providing pre-deployment training standards and follow-up in-mission training coordinated by the mission's own Integrated Mission Training Cell.

### **D.2.4 Disposition of Force**

- 21 The deployment of units in Theatre is a shared responsibility between OMA and the Force Commander; OMA planners must consider POC task requirements -in consultation with the FC- in the process of positioning capabilities. While deploying units, they should strike the balance between geographical coverage and retaining expeditionary/reserve capabilities. It is important to factor agility, versatility and the capability to retain critical mass for direct military action against threats to civilians. A situation where population centres are cut off, or cannot be reached due to impaired mobility for protection actors, as a result of changing environmental conditions, should be appropriately addressed.

### **D.2.5 Mainstreaming POC in the CONOPS**

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<sup>7</sup> See Policy on Integrated Assessment and Planning 6 Apr 2013 and 'Integrating Protection of Civilians into the DPKO/DFS Planning Process 15 Mar 2011'

<sup>8</sup> Humanitarian action is coordinated through "clusters" that bring together humanitarian organizations (UN and non-UN) working in the main sectors of humanitarian response, such as health, logistics and protection. Clusters provide a clear point of contact and are accountable for adequate and appropriate humanitarian assistance. Each cluster has both global and country level focal points. UNHCR is the Cluster Lead Agency of the Global Protection Cluster. However, at the country level in disaster situations or in complex emergencies without significant displacement, the three core protection mandated agencies (UNHCR, UNICEF and OHCHR) will consult closely and, under the overall leadership of the HC/RC, agree which agency, among the three, will assume the role of Cluster Lead Agency for protection. See IASC Reference Module for Cluster Coordination at the Country Level.

- 22 The Military Concept of Operations (CONOPS) translates strategic directives into operational directions for the military component and must contribute to the overall success of the mission and fulfilment of the mandate. It should include a description of the most serious past and ongoing human rights violations, responsibilities and an analysis of the commitment and capacity of host country authorities to respect and protect human rights. This key document should set out the approach to POC and the priority tasks and include them in its key elements (effects, concept, coordinating instructions, etc), explaining how PoC tasks/operations will be conducted to achieve the operational objectives and overall end state. Support should be extended by OMA to the FHQ at mission level to ensure that its operational order is in line with the CONOPS.
- 23 Rules of Engagement (ROE) for each mission are developed by OMA in consultation with the Offices of Operations (OO) and Legal Affairs (OLA) to define and explain the policy, principles, procedures and responsibilities relating to the use of force during peacekeeping operations, including the limits therein and the circumstances under which force could be applied in self-defence and in mandate implementation. The use of force by peacekeeping operations is strictly governed by international human rights and international humanitarian law.
- 24 To address protection needs of women and girls, a gender sensitive approach must also ensure that contingents deployed to areas of operations where CRSV is taking place are encouraged to deploy female military personnel who can enhance the reach to women and girls to ascertain threats, risks and vulnerabilities and respond accordingly.

### **D.3 Guidance to Force Commanders and their staff (Field HQs) (Operational Level)**

#### **D.3.1 Operational Imperatives of POC**

- 25 **Pro-activeness.** Pro-active operational activity based on obtained intelligence is the best option for implementing POC. It serves as deterrence and instils confidence in the public. The Force must actively manage and control situations, rather than just react, by addressing threats before they become critical. Prevention remains the most effective form of protection of civilians.
- 26 **Prioritization.** No mission is resourced sufficiently to simultaneously protect all civilians in its area of responsibility. Identifying risks of physical violence against civilians and prioritizing them is therefore essential, based on for example the gravity, scale and likelihood of human rights violations. Such analysis should be conducted alongside other mission actors who have information regarding population centres, displacement charts, threats, etc. When implementing POC mandates, the Force Commander and his staff must prioritize tasks and assign resources according to the greatest and most likely threats of physical violence to civilians.
- 27 **Command Responsibility.** Force Commanders, Sector Commanders and Contingent Commanders are mandated to ensure protection to civilians and they must fulfil this obligation. POC in its physical dimension is essentially a command responsibility.

#### **D.3.2 Operational Planning**

- 28 Operational planning is a key aspect of POC implementation. For peacekeeping missions, POC is not only a “do-no-harm” and “hearts and minds approach,” but constitutes an essential component of the end state, translated as a mission’s priority objective<sup>9</sup>. Annex A illustrates the phases of the Military Planning Process required to reach the identified objectives. Operational planning requires that military planners and operations officers undertake the following tasks:

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<sup>9</sup> *It depicts how POC considerations should be factored in each of the key planning steps, common to most planning processes and relevant for military planners.*

- Share early warning based upon the Force anticipating risks of human rights violations and information requirements to enhance situational awareness.
- Develop Operations and Fragmentary Orders (OPORDs/FRAGOs) that meet POC needs.
- Coordinate POC activities with substantive sections to include UN civilian and police staff.
- Develop operational contingency plans
- Set milestones and develop monitoring mechanisms.

29 In addition, appropriate technology solutions should be considered as both enhancements and core enablers for POC at all levels and stages including: planning, implementation, analysis, monitoring, reporting and evaluation as well as in the context of training and lessons learned. To allow maximum operational impact, technology solutions should be planned, implemented and integrated at early stage with the required expertise and resources.

### **Operational Order (OPORD)**

- 30 The Force Commander's (FC) OPORD translates all strategic and operational concepts and directives for the mission into formal military orders for coordinated military action throughout the Area of Operations. The OPORD to sub-ordinate HQs provides the FC with the opportunity to stamp his/her authority on PoC, ensuring that all within the military component are fully aware of their own duties, and the obligations/roles of others, both inside and outside the mission.
- 31 The OPORD should capture specific issues and tasks for PoC listed in the CONOPS, and special care should be taken to capture the PoC challenges unique to each Sector. It should spell out how the objective of PoC fits into the unifying aim of the mission, describe the risks and main threats posed to civilians<sup>10</sup> in the mission's Area of Operations and how PoC activities will deliver tangible effect. The OPORD also describes<sup>11</sup> what/how Sectors/Brigades/Battalions do on PoC.

### **Operational Coordination**

- 32 To ensure maximum effect in implementing the POC mandate, FHQs, Sector and Unit Commanders should consult relevant actors on PoC risks (i.e. priority civilians to protect and the threats) and coordinate preferred courses of action, including through:
- Sharing information on threats to, and vulnerabilities of, civilians; while clarifying issues of confidentiality in information sharing to develop common information, analysis and priorities. The main actors in threat assessments include the Human Rights Component, POC coordination functions/mechanisms, JMACs, Security Operations Centres (SOCs), Police Operational Centres and Protection Clusters.
  - Activities and operations, including plans to engage/neutralize armed groups or deployments in unstable areas, require close joint planning with Mission civilian<sup>12</sup> and police components and Government forces (as appropriate) to ensure a sustainable political and security impact so that humanitarian support is available after operations;
  - In planning force responses to protect civilians at risk, it is crucial to consult communities themselves (including women and elders), human rights and other PoC actors within the

<sup>10</sup> a description of the nature of the violence (e.g. opportunistic or politically targeted), the history of attacks against civilians, i.e. ethnic cleansing, widespread/systematic sexual violence and other human rights violations, causes and motivations of the main perpetrators, etc

<sup>11</sup> The description should underline the involvement of other specialists/experts e.g.: Special Forces, Tactical Helicopters, UN Military Experts on Mission (UNMEMs), mission liaison Officers (Los), JLOC and cooperation requirements with other parts of the mission e.g. Human Rights. The task should clearly outline POC obligations of the required force components. It should also provide a complete layout of the Military Component's Task Organisation and Dispositions to provide the optimum concentration and coverage of military units, commensurate with the envisaged threats to civilians

<sup>12</sup> Including but not limited to HOM, ODSRSGs, Political Affairs, JOC, JMAC, UNPOL, SSR, DDR/RR, Senior Protection Adviser, Civil Affairs, Human Rights, Senior/Women Protection Advisor (S/WPA) and Child Protection.

mission as well as representatives of the Humanitarian Protection Cluster<sup>13</sup> and the Office of the Resident/Humanitarian Coordinator through established liaison mechanisms;

- Establishing appropriate coordination mechanisms/structures at FHQ, Sector and Unit levels and developing mission specific POC guidance, including directives and SOPs.
- POC Advisors are deployed to many missions with POC mandates, and are responsible for assisting senior mission leadership in developing their vision for POC implementation, drafting the mission-wide POC strategy, maintaining an up to date threat assessment, and advising senior mission leadership in other areas related to POC implementation.
- As described in Force Headquarters Handbook, U5 Staff Branch should be made responsible at FHQ and appropriate staff branch at sector levels to facilitate coordination with the Human Rights component and support development of mission guidance operationalizing Human Rights roles and responsibilities of peacekeeping military personnel.

### **Human Rights<sup>14</sup>.**

Military peacekeepers should establish protocols for information sharing with mission human rights colleagues to enhance effective prevention and response to imminent threats of physical violence. Military human rights roles and responsibilities can be summarized as follows:

- Recording and sharing allegations of human rights violations or signs of deterioration or impending violence with the human rights component.
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- Be ready to intervene, when confronted with human rights violations, in line with the mandate and the Rules of Engagement and consistent with military procedures which must be developed by senior military commanders in all peace operations to guide peacekeepers' operations when confronted with human rights violations, with the advice of the human rights component.
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- Where available, Women Protection Advisers (WPA) are focal points for addressing the CRSV mandate, facilitating and strengthening its implementation by mission personnel. Military Gender Advisers/Focal points and CIMIC officers remain key actors in facilitating coordination and joint planning.
- HQs at all levels should ensure that operational documents include Child Protection (CP) guidance to enhance a common understanding of what actions can - and cannot- be taken to protect children in conflict situations.

- 33 The senior mission leadership has the responsibility to lead the development and implementation of the PoC strategy<sup>15</sup>. The FC has an important part to play as a member of this senior team, and will have a central input in relation to providing protection of civilians from physical violence. Key input areas should be in line with the CONOPS and OPORDER, including a statement on the military component's existing strategy, an analysis of PoC threats and challenges taking full advantage of the analysis capacities of the human rights other mission components as relevant, including CRSV and CP threat assessment and an analysis of the military component's capacities and resources.

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<sup>13</sup> These are led at country level by UNHCR, OHCHR or UNICEF.

<sup>14</sup> See paras. 84 to 88 in OHCHR/DPKO/DPA/DFS Policy on Human Rights in UN Peace Operations and Political Missions (2011).

<sup>15</sup> SCR 1894 calls for missions with POC mandates to develop comprehensive POC strategies. These are based upon a strategic framework, drawn up by the Secretariat but allowing for mission-specific input and elaboration.

### **D.3.3 Understanding of the Use of Force and ROE with respect to POC**

- 34 In the field, the military Chain of Command should ensure that all military personnel correctly interpret the ROE. During pre and post deployment, the following aspects can be simulated/rehearsed to enhance the military components understanding of ROE in relation to PoC:
- Possible POC scenarios in the mission context when force could be applied.
  - Possible POC scenarios in the mission context when lethal force would be appropriate.
  - Potential groups to be covered/prioritised in the mission area under the term “protection of civilians” (e.g civilians in highly vulnerable areas, IDPs, Refugees, protection sites)

### **Operational Accountability**

- 35 Failure to use force in accordance with a PKO's mandate may create the perception that the PKO is lacking the requisite will to perform its mandate. Such perceptions undermine the deterrent capacity of PKOs and may invite further attacks against civilians, other protected persons and the UN itself. Accountability for such inaction/failure is of paramount importance to ensuring proper implementation of the respective POC mandates. Important aspects in this regard are:
- The FC has ultimate responsibility for the enforcement of the ROE/ Mandate;
  - Military contingents are accountable for any failure to obey the Force Commander's (or other commanders) orders, provided such orders are consistent with the ROEs/Mandate;
  - ROEs for missions having a mandate to use “all necessary means” to protect civilians authorise the use of force, up to and including deadly force, to protect civilians, including IDPs and refugees under threat of physical violence. Failure to act in circumstances warranting such action despite being mandated to do so and with the authorisation provided by the ROE, may amount to insubordination. Disciplinary action, if warranted, would be the responsibility of the TCC (although the Mission/ Force has certain powers, such as recommending repatriation).

### **D.3.4 Risk Mitigation Measures**

- 36 Despite the mission's best efforts, civilians may nevertheless be harmed due to inadvertent actions by the mission or its partners. To minimize and mitigate the impact on civilians, planning and preparation is essential. During the planning phase for specific operations, Force activities should be analysed for situations that may exacerbate local civilian vulnerabilities. Steps should then be taken to reduce potential harm (done in consultation with communities at risk, (e.g. safe corridors, protected areas, etc).
- 37 When attempting to neutralize hostile actions under the ROE, military personnel must take great care to avoid harming civilians and damaging property. However, there might be times when collateral damage is unavoidable. Under these circumstances, careful judgment and tight control over the proportional response will minimize the side effects of military action. Commanders at all levels can improve matters by regularly reinforcing ROE awareness and carefully controlling the use of lethal force.
- 38 After major operations, the military component should conduct an After Action Review (AAR) with relevant mission components including the Best Practices Officer, the human rights component and the Protection Cluster. AARs identify key lessons that inform future operations and provide recommendations on mitigating any negative effects of previous actions. AARs can also evaluate the use of public communications and information transmitted through local, UN and international media to assist POC.

### **D.3.5 Monitoring and Evaluation of Results**

- 39 There should be a set of POC-oriented tasks that have measurable effects. Activities, incidents and indicators to be monitored must be clearly specified in Mission and Force plans, in close coordination with human rights and other POC actors to guide implementation and the subsequent monitoring function in the implementation phase. Monitoring activity should be tailored to a specific mission. There is a need to define what is going to be monitored, who will be collecting the data and the modalities for sharing the associated data with the human rights component and other parts of the mission. For example, the number of civilians killed, injured, raped, displaced; the number of violent attacks, tribal clashes and weapons seized; the number of IDPs and the perception of physical insecurity (reduced/heightened) are a few examples of data that could serve as indicators and benchmarks to measure POC implementation.
- 40 Evaluation of impact/effect should be factored into current and future planning so as to ensure the Force's contribution to POC is optimised.

### **D.3.6 Expectation Management**

- 41 There is often a great deal of misunderstanding regarding the capacity of peacekeeping operations to protect all civilians. This can lead to unreasonable expectations from the local population, host government and other national and international actors. It is important for the Force to clarify the military component's role and contribution so as to manage expectations of the local population and the international community.
- 42 Expectation management should be an integral part of the communication strategy as formulated by the Mission's Public Information Officer (PIO), assisted by the Military PIO (MPIO). This Officer will consolidate the key messages for target audiences and explain how the Mission's POC strategy will be implemented. The aim is to describe how protection of civilians will be achieved with the resources available whilst being realistic about the Mission's capabilities and limitations.

### **D.3.7 Training**

- 43 The Integrated Mission Training Cell (IMTC) (supported by the Force training entities) is responsible for providing training to all the mission's peacekeeping personnel. Experience has shown that training value and effect increase considerably when instruction is delivered with the involvement of human rights, protection actors (Human Rights component, POC advisor, WPA, etc) and police and military personnel who have practical, in-country experience in protecting civilians. The experience of these professionals is a major contribution to the continuous effort to build on lessons learned. It is important that mission POC training is streamlined with other mission training on Human Rights, CRSV and child protection and to use the training as a platform to build operational links.
- 44 With regard to POC, including from sexual violence, induction and in-mission training should include local cultural sensitivities, early warning indicators, gender dynamics, and referral arrangements in the specific mission area. This training should also include mission specific scenario-based simulation.

## **D.4 Guidance for Sector and Unit Commanders (tactical level)**

### **D.4.1 Planning at Sector and Unit level**

- 45 Sectors and battalions must produce their own PoC plans, based on directives from their higher headquarters. They need to clearly specify tasks, locations, reserves and liaison. The PoC intent

of the higher Commanders (1 and 2 levels up) needs to be reflected in these plans. Contingency plans must be developed and rehearsed.

#### **D.4.2 Conduct of POC Tasks/Operations**

- 46 When considering POC at the tactical level,<sup>16</sup> the specific roles played by sectors and units are described in the four phases<sup>17</sup> below. The phases are not sequential and may be undertaken simultaneously or independently, depending upon the nature or imminence of the threat. Beyond generic POC scenarios, each sector and battalion might face certain unique POC challenges and should develop specific guidance similar to the template at Annex B. Units may be required to use force to protect civilians against violence in any or all of the four phases below:

**Phase 1: Assurance and Prevention.** Projecting mission presence, including military patrols and other Force deployments, is one of the most visible and reassuring forms of security that can be provided to the local population. This demonstrates to the local population the Force's intent to protect them from physical violence. Conducting routine tasks, such as check points, information gathering and analysis are important activities during this phase. Public outreach activities are also important supporting efforts. Regular communication with the local population is essential. Killings, rapes and other human rights violations should be deterred before they occur. Good communication, education and high profile patrolling are all steps commanders can take to prevent or limit the effects of such attacks. This includes alerting the human rights component which can temporarily deploy human rights officers to at risk areas and advise on courses of action for emerging or ongoing threats.

**Phase 2: Pre-Emption.** Where measures in Phase 1 prove insufficient, or when heightened risks are detected, increased pre-emptive measures may be required including: heightened situational awareness (intense information gathering); increased high-profile patrolling including joint patrols with mission Human Rights and other civilian components; closer liaison with government/non-government armed actors and potential parties to the conflict; and enhanced human rights monitoring, reporting and advocacy. Pre-emption is pro-active; forces should intercept, neutralize or defuse situations before hostile acts can be carried out. The use of intervening forces and deployment of Quick Reaction Forces (QRF), Special Forces or Reserves can deter or prevent an incident.

**Phase 3: Response.** If physical violence/coercion by actors/groups materialises, more forceful measures are necessary to deal with the situation. Direct military action, the deployment of inter-positional troops and the use of force are options that must be considered. Response should be rapid. Swift action through the speedy movement of forces such as attack helicopters, QRFs and reconnaissance can prevent, limit or stop harm to civilians. The level of response may need to escalate to the use of lethal force depending upon the threat and ROE.

**Phase 4: Consolidation.** This phase involves activities that address stabilization post-crisis. The aim is to assist the local population and host nation authorities to normalize the situation. Consolidation activities create the conditions in which a return to crisis is diminished. Follow-up remains crucial. After an attack or hostile act, the local population will require continued support, aid, protection and reassurance. Measures to be taken may include: immediate medical care, collection of evidence, notification of appropriate civilian experts including to conduct human rights investigations and promote accountability for violations as appropriate (Human Rights, POC Advisors, Child Protection, WPAs and Gender), assessment of remedial and preventive measures, drafting of formal reports for follow-up with relevant authorities, and establishing defence positions.

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<sup>16</sup> Vol 1 UN Infantry Battalion Manual Aug 2012 – Section 6, Protection of Civilians, <http://www.un.org/en/peacekeeping/issues/military.shtml>

<sup>17</sup> DPKO-DFS Protection of Civilians Policy, 2015 (in final stage at time of printing)

## 47 Presence and Posture

- Deployed units must convey a state of readiness and professionalism. They should have operating bases in close proximity to the more vulnerable populations and have a POC focus. Sustained presence in the local community is crucial. Accordingly, military units must be deployed on a POC operational grid to cover, in a priority coordinated way, high risk areas and retain operational flexibility to respond quickly through deployment of permanent, temporary or mobile operating bases. To do this, creating reserves at sub-unit/unit/Sector/Force level is essential.
- Company and Temporary Operating Base commanders should be prepared to assist the local population rapidly within their capabilities. In their protection capacity, commanders should prioritise the requests, determine the challenges and act decisively within their capabilities. They must follow up to ensure security needs are fulfilled and formal reporting is sent up the chain of command, while alerting other appropriate agencies such as UN OCHA.
- UN military should present an approachable image amongst civilians whilst maintaining military alertness to respond to any situation.
- Commanders should advocate respect for Human Rights and IHL with potential perpetrators, and ensure that parties know that Human Rights monitoring is taking place, that violations are documented and that parties will be held accountable for their actions.

## Reporting

- 48 Through patrolling, observation posts, check points, outreach and engagement, the military should record all allegations of human rights violations or signs of deterioration or impending violence and should report these promptly along the chain of command and to the human rights component (protocols should be developed for safe and timely information sharing).<sup>18</sup>
- 49 Monitoring and reporting should be particularly responsive in cases of sexual violence, child protection, rape, killing, maiming, abductions, attacks on schools and hospitals, and denial of humanitarian access. Information on violations should be transmitted to the Chain of Command and to the Human Rights Component and other relevant actors as soon as possible.

## Adherence to ROE

- 50 All ranks must be thoroughly acquainted with the guiding principles and rules for the use of force<sup>19</sup>.
- **Education.** Troops must be well briefed and tested on their knowledge of ROE. They must be encouraged to ask questions and know when they might take action themselves, and when they must seek guidance from higher authority.
  - **Practice.** ROE training must be continuous and troops should be put through scenarios and mission rehearsals on a regular basis to ensure that their responses fall within the rules. Weapons should be regularly test-fired.
  - **Pocket Cards.** Each soldier must carry a pocket card with the necessary extracts of the mission ROE translated into his/her language and be regularly tested on its contents. The card must have basic warnings and commands translated into the local language(s).
  - **Empowerment.** The chain of command must be entirely clear on the delegated authority for the use of force. All commanders and, most importantly, each individual soldier, must have explicit permission already set in place by higher authority to act independently and to use lethal force when necessary to protect civilians under threat of physical violence.

<sup>18</sup> See also OHCHR/DPKO/DPA/DFS policy on Human Rights in UN Peace Operations and Political Missions, paras. 84-87

<sup>19</sup> See also 'Guidelines on Deterrence and Use of Force in UN Peacekeeping', 2015 (in approval process in time of print)

Commanders should be encouraged to clarify areas not easily understood in the ROE and ensure all troops under their command understand the use and application of force.

#### **D.4.3 Early Warning Centres**

- 51 Early Warning Centres (EWC) should be established in Company and Temporary Operating Bases (COB/TOB) to serve as the information hub for POC. The EWCs provide a common operational picture for patrolling, check points and other activities conducted in the AOR. The EWCs create a mutually reinforcing relationship between the deployed force and local population by developing trust and friendly relations. EWCs enhance information exchange and foster early warning of threats to civilians, including (potential) incidents of sexual violence and child abduction. EWCs should have POC capacities including:
- A database of prominent local persons and security issues, including threats to civilians and vulnerabilities.
  - A cell phone “hot-line” (where there is coverage and with advice from the human rights and other mission components) with the number disseminated throughout the local community.
  - An information collection plan, based on Unit Information Requirements, to be achieved by the EWCs, TOB/COBs, Community Liaison Assistants (CLAs) and UN Military Experts on Mission in consultation with the human rights and other mission components as relevant.
  - Regular meetings with local authorities as arranged and coordinated by the EWCs (including women groups).
  - Threat indicators should be identified. WPAs should be tasked to produce a checklist of established early warning indicators of CRSV that can be used by EWCs.

#### **D.4.4 Engaging Communities**

- 52 Military units must develop reliable contacts and relationships with the communities and interact with local women and men and community leaders. The communities and leaders (including women and elders) can provide early warning on potential/pending threats/risks to civilians. Interactions, liaison and consultations can effectively contribute to prevention and provide mutually protective benefits. Reflected below are a set of tools and processes stemming from best practices within UN field missions that effectively operationalise community engagement, enhancing POC implementation<sup>20</sup>.
- 53 **Community Alert Network (CAN)** is a network established in a community for wider engagement, exchange of information and to alert the community and protection actors in times of emergency. Dedicated communication equipment could be provided to vulnerable communities in order to communicate with UN bases. Such alert networks should be established in a way that does not expose local partners to retaliation and should be consulted with the human rights component.
- 54 **Community Liaison Assistants (CLA)** are national staff provided by the mission Civil Affairs Section, usually two per Company Operating base (COB) who act as interlocutors and provide interface between the deployed UN military units/sub-units and the local communities. CLAs are a useful tool for effective liaison and engagement with local communities. CLAs facilitate Community Alert Networks (CAN) and provide early-warning to the COB on protection related threats. They also participate in Joint Protection Teams (JPT) missions and monitor impact of protection activities. CLAs are provided with communications equipment (mobile phones, radios etc.) to improve early-warning capabilities. When possible, it is preferable to employ female CLAs to enhance communication with the women and girls of the community. The confidentiality and security of the CLAs must be respected at all times

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<sup>20</sup> Whilst also respecting the ‘do no harm’ principle.

- 55 **Joint Protection Teams (JPTs)** bring to bear the mission’s full range of POC expertise. JPTs encourage local communities to share information, thus offer increased situational awareness for military contingents deployed to remote locations. JPTs are comprised of staff from the Human Rights Component and the Civil Affairs Section accompanied by UN military, police and -as relevant-Disarmament, Demobilization and Reintegration (DDR), Political Affairs, Joint Mission Analysis Center (JMAC) and gender staff. UN civilian staff on the JPT often has a better understanding of local security dynamics having been assigned for longer periods in the mission area. JPTs deploy to high risk areas for 3-5 days, visiting several locations. The UN military provide escorts and security in remote areas.

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## **E. TERMINOLOGY**

The following definitions should help in the understanding of PoC mandates. They do not replace or supersede mission Rules of Engagement, specific legal advice or the decisions of senior mission leadership in specific situations.

### **Civilians**

Any unarmed person who is not, or is no longer, directly participating in hostilities shall be considered a civilian. In case of doubt, the individual or group of individuals shall be considered civilian and afforded the protections owed to civilians until determined otherwise.

### **Imminent threat**

The POC mandate generally specifies an “imminent” threat of physical violence. However, the term “imminent” does not imply that violence is guaranteed to happen in the immediate or near future or is being carried out. A threat of physical violence against civilians is considered imminent as soon as the mission has a reasonable belief that a potential aggressor has the intent and capacity to inflict physical violence. A threat of violence against civilians is imminent from the time it is identified until such time that the mission can determine that the threat no longer exists. Peacekeepers with a POC mandate are authorized to use all necessary means including, as a last resort, deadly force in any circumstance in which they reasonably believe that an imminent threat of violence against civilians exists.

### **Within its capabilities and areas of deployment**

Within the wide scope of possible incidents of physical violence against civilians, the mission must prioritize those situations or incidents of greatest concern and allocate resources accordingly. As specified in the mandate, it can only act within its capabilities and areas of deployment. The mandate does not demand that peacekeepers engage in actions for which they are not equipped. At the same time, no peacekeeping force will be able to address all protection threats at all times. All missions must employ accurate threat and vulnerability analyses and coherent operational planning to deploy existing resources to maximize their protective effect for at-risk civilians.

### **Responsibility to Protect**

The Protection of Civilians mandate is clearly distinct from the concept of the Responsibility to Protect (R2P). POC is a mandated task in peacekeeping from the Security Council that is regularly reviewed by the General Assembly. R2P is primarily aimed at national governments but can also apply to UN peacekeeping in a reinforcing role. The Protection of Civilians and the Responsibility to Protect share some legal and conceptual foundations, but they remain distinct.

## **F. REFERENCES**

### **Superior references**

- A. Security Council resolution 2086 (2013)
  - B. Security Council resolution 1265 (1999), 1270 (1999), 1674 (2006), 1894 (2009)
  - C. Security Council resolution 1820 (2008), 1888 (2009), 1960 (2010), 2106 (2013)
  - D. Security Council resolution 1261 (1999), 1314 (2000), 1379 (2001), 1460 (2003), 1539 (2004), 1612 (2005), 1882 (2009), 1998 (2011), 2068 (2012), 2143 (2014)
  - E. Report of the Special Committee on Peacekeeping Operations and its Working Group, 2012 substantive session, A/66/19 (2012)
  - F. ST/SGB/1999/13 Observance by United Nations forces of international humanitarian law
  - G. ST/SGB/2003/13, Special measures for protection from sexual exploitation and sexual abuse
  - H. Human rights due diligence policy on United Nations support to non-United Nations security forces, A/67/775 (2013)
  - I. Policy on Human Rights Screening of UN Personnel (2012)
- 

### **Related procedures or guidelines**

- A. United Nations Peacekeeping: Principles and Guidelines, DPKO-DFS (2008) (“Capstone Doctrine”)
  - B. United Nations Policy on Integrated Assessment and Planning (2013)
  - C. Interim Standard Operating Procedures on Detention in United Nations Peace Operations, DPKO/DFS (2010)
  - D. OHCHR/DPKO/DPA/DFS Policy on Human Rights in UN Peace Operations and Political Missions (2011)
  - E. DPKO/DFS Concept for Protection of Civilians in United Nations Peacekeeping Operations (2012)
  - F. DPKO/DFS Policy on Protection of Civilians (in approval process in time of print)
- 

### **Other related references**

- G. Protection of Civilians (POC) Resource and Capability Matrix for Implementation of UN Peacekeeping Operations with POC Mandates, DPKO-DFS (2012)
  - H. Protection of Civilians Coordination Mechanisms in UN Peacekeeping Missions: A DPKO-DFS Comparative Study and Toolkit, DPKO-DFS (2013)
  - I. Report on the Joint Protection Team Mechanism in MONUSCO, United Nations, 2013
  - J. Global Protection Cluster Guidance on the Interaction between field Protection Clusters and UN Missions (2013)
  - K. Protection Standards for Protection Work, ICRC, 2013 Edition
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## **G. CONTACT**

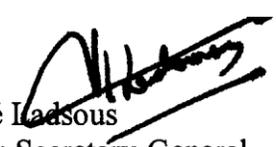
58. This document was developed by OMA. Queries or comments should be directed thereto.

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## H. HISTORY

59. This is the first edition of the "Protection of Civilians: Implementing Guidelines for Military Components of United Nations Peacekeeping Missions". It will be reviewed in 2017.

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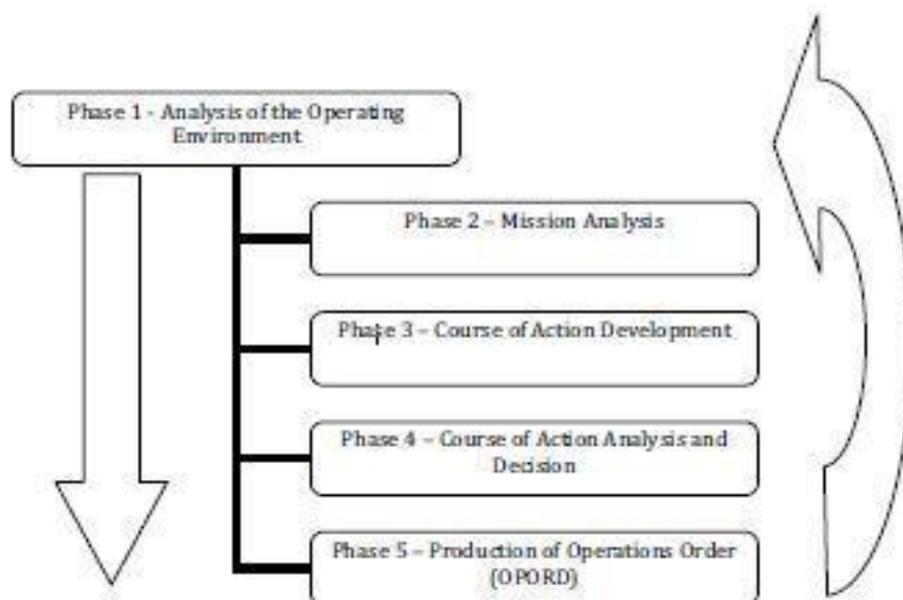
Hervé Ladsous  
Under-Secretary-General  
Department of Peacekeeping Operations



Anthony Banbury  
Acting Head  
Department of Field Support

## **Annex A: Operational Planning for POC**

- 1 The following chart<sup>21</sup> illustrates the phases of the Military Planning Process required to reach the identified objectives, of which POC will be a priority. It depicts the key planning steps that are common to most planning processes and relevant for military planners.



*Figure 2 Phases of Military Planning Process. Note that Phase 1 is ongoing throughout the process, and that each Phase is reviewed as the process progresses.*

### **Phase 1: Analysis of the operating environment**

- 2 The purpose of this step is to gain awareness of the crisis area. Planners must consider the overall human rights situation including the vulnerability of civilians and the risks/threats they are facing in the operation area. It is increasingly recognized that the majority of civilians killed in contemporary conflicts are deliberately targeted by those using civilian deaths as part of their strategy. Civilians are even more frequently targeted in a number of non-lethal yet abhorrent ways, such as mutilation, sexual assault and forced recruitment. If civilians are being targeted, planners should identify at this stage the particular nature of threat(s) facing civilians.

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<sup>21</sup> Extracted from, "Military Planning Process Guidelines for Use by Field Missions," DPKO-OMA, December 2009. Note also that step 1 is ongoing throughout the process, and that each step is reviewed as the process progresses.

### 3 **Key questions/considerations in Phase1, Analysis of the Operating Environment**

*To understand the operating environment, it is useful to address the following concerns:*

- *Who are the civilians at risk, where are they, and where are they moving?*
- *What are their vulnerabilities?*
- *What are the particular threats and risks facing civilians?*
- *What types of (armed) actors are responsible for violence against civilians?*
- *What are their motivations to attack civilians?*
- *Which Human Rights violations are being committed, and what strategies/tactics are used? (Killings, abductions, mass rapes, etc.)*

### **Phase 2: Mission Analysis**

- 4 For military planners, whilst making their own analysis, they should take into account other mission components analysis, such as the Joint Mission Analysis Centre (JMAC), the Security Information and Operations Centre (SIOC) and the Human Rights Component, and other UN/national/international threat/risk assessment entities.
  - 5 In developing and maintaining POC operational plans, the mission area of responsibility must be carefully analysed. Priorities must reflect existing and potential threats to civilians. The Force, in coordination with other mission and UN stakeholders should make these assessments covering immediate, future and enduring/temporary threats to civilians.
- 6 **Key questions/considerations in Phase 2, Mission Analysis**

*While conducting the mission analysis, the considerations stemming from these questions should be factored in the analysis:*

- *How is POC stipulated in the UNSCR mandate?*
- *What is the role of military forces in protecting civilians? (Include supporting roles to other mission components.)*
- *What are specified, implied and essential<sup>22</sup> POC tasks?*
- *What are the constraints that affect the conduct of POC tasks and operations (such as distances and timings)?*
- *What are the limitations of our own forces capabilities?*

### **Phase 3: Course of Action (COA) Development**

- 7 Having thoroughly analysed the protection of civilians requirements, planners at this stage identify key operational issues and implications of trying to protect civilians within a specific area of operations. This identification should be based on operational factors from the Analysis of the Operating Environment and Mission Analysis stages. Planners should ensure that POC considerations are at the forefront of developed COAs.
- 8 Military force is only one of the mission's instruments available to protect civilians. Assessment of approaches help planners determine the role of the military vis-à-vis other mission components in different situations. The Force will have the biggest role to play in cases where a threat of physical violence dominates. In situations where there is no physical threat to civilians, the role of

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<sup>22</sup> “Military planning process guidelines for use by field missions, DPKO-OMA, December 2009” provides a detailed description of these tasks.

the Force might be in support of Tier I and III. Below are key questions that will help planners assess the type of physical protection and the principal military approaches to POC.

## 9 **Key Considerations in Phase 3: COA Development**

*Key questions for analysis at this stage are:*

- *What are the negative forces weaknesses that the Force can exploit to maximise protection of civilians?*
- *How can the Force make it difficult for negative forces to achieve their aim?*
- *Are the different military response options coherent with the protection of civilians?*

**Principal Military Approaches to POC** that could shape the COA development are listed below:

- *Deter or defend against attacks on civilians (patrols, escorts, maintain presence, protect areas/zones like villages, public buildings or camps)*
- *Use coercive force against perpetrators (show of force, direct action (in accordance with ROE) against armed actors)*
- *Ensure physical security for civilians and their means of survival,*
- *Use force pre-emptively to contain threats by disarming armed actors (per mandate/ROE)*
- *Support deployments of human rights staff to areas at risk of human rights violations*
- *On request, assist in the delivery of humanitarian aid (transport, construction of roads,...)*
- *Protect the delivery of humanitarian aid (convoys, secure storage facilities or camp)*
- *Defend protected areas (IDP/Refugees camps, safe corridors)*

## **Phase 4: COA Analysis and Decision**

### 10 **Key steps to reach a decision on the most adequate COA could include:**

- Identifying strengths and weaknesses of each COA, focusing on the cost/benefit to protect civilians against each of the possible threat scenarios, including consideration of risk mitigation.
- Establishing a decision matrix that scores critical areas in each COA and then uses it to present a comparison of COAs to the Force Commander.
- Though FHQs would usually not have a simulation capability, it is still possible and recommended to conduct “scenario-gaming exercises” to test objectively the suitability, feasibility and completeness of selected COAs.
- The purpose of COA Analysis is not only to provide robust analysis to the Commander on the advantages and disadvantages of COAs, including recommendation of the most suitable COA, but also to refine and optimise the COAs based on the outcome of analysis.

### 11 **Key Questions in Phase 4, CoA Analysis**

While developing the Force Courses of Action, these questions need to be addressed in the decision making process to select the most suitable COA:

- Which COAs will *reduce* the threat to civilians?
- Which COAs may *increase* the threat to civilians?
- What are the *risks to our own personnel*?

- 12 The final step is to reflect the selected COA for POC in the Operations Order (OPORD), describing how the force envisions the plan to be conducted. The key point is to determine how best to carry out operations in order to accomplish the POC objective, based on the commander's initial intent and guidance for the development and selection of courses of action.

## Annex B: PoC Template for Force/ Sector/ Contingent Levels

Scenarios	POC actions to be taken by military units	Indicators to watch
On the Protection of Civilians mandate	Within the Mission's Force Headquarters, guidance relating to Protection of Civilians, including from Sexual Violence should be developed for units/commanders along the following lines:	
In all POC scenarios	<ul style="list-style-type: none"> <li>• Always intervene and, when necessary, engage with force against armed elements threatening civilians as authorized by ROE. In doing so, ensure all measures are taken to prevent negative consequences on civilians.</li> <li>• Always provide objective information on the security situation and potential threats to the civilian population. This should also include refugees and IDPs in assembly points.</li> <li>• Always exchange with the civilian population, and authorities when possible, on the threats they are facing in a way that does not put them at further risk (Do no harm).</li> <li>• Always make sure that the measures communities may have in place to protect themselves, are not undermined by your actions to protect them (Do no harm).</li> <li>• Ensure patrols in areas of firewood/water/food collection, farms and markets, at times agreed upon with the population. Always conduct foot patrols where possible.</li> <li>• Upon deployment, the unit/commanders should familiarize themselves with the protection actors in or close to their base (HROs, CLAs, local chiefs, etc.).</li> </ul>	<ul style="list-style-type: none"> <li>• Movement of armed groups- AGs/armed elements-AEs</li> <li>• Hostile intents (communiques, graffiti, etc.)</li> <li>• Closeness to IDPs and Refugees of AGs/AEs</li> <li>• Suspect presence of AGs/AEs in firewood areas, roads to market places.</li> </ul>
If faced with civilians who are fleeing	<ul style="list-style-type: none"> <li>▪ Secure the safety of the fleeing population. Secure the route or position the unit - within capabilities - between the armed elements and the civilian population, and inform the population on measures taken.</li> <li>▪ All armed elements present among the population must be identified, disarmed (per mandate/ROE) and separated/neutralized by relevant authorities and along DDR principles.</li> <li>▪ Stop the advance of armed groups if necessary to protect civilians.</li> </ul>	<ul style="list-style-type: none"> <li>• Presence/ movement of AGs/AEs in the vicinity</li> <li>• Capacity, intent and modus operandi of AGs/AEs presenting a potential threat</li> </ul>
If civilians gather around a UN base	<ul style="list-style-type: none"> <li>▪ Providing protected sites within capabilities supports the protection of civilians</li> <li>▪ Establish security arrangements in and around the site.</li> <li>▪ Stop the advance of armed groups to the extent that it does not undermine the protection of the civilians who are gathered around the base.</li> <li>▪ Ensure that armed groups do not come into camps or IDP/refugee sites and do not pressure civilians to stay (or to leave).</li> <li>▪ Disarm and separate combatants from civilians, in a manner that does not put civilians at further risk.</li> </ul>	<ul style="list-style-type: none"> <li>• Presence/ movement of AGs/AEs in the vicinity</li> <li>• Capacity, Intent and modus operandi of AGs/AEs</li> </ul>

	<ul style="list-style-type: none"> <li>▪ Request mission/sector HQ support for the identification of protection needs, including special needs of women, minors, elderly and people living with disability</li> <li>▪ Identify alternative safe areas, in coordination with authorities and in consultation with protection actors and other relevant agencies.</li> <li>▪ Consider joint patrols with local security forces, in a manner that does not expose civilians to further risks.</li> <li>▪ Protected sites should be outside, not inside, UN camps (for Command and Control (C2), security, operational efficiency reasons).</li> </ul>	<p>presenting a potential threat</p>
<p>If needed to secure IDP/refugee sites, camps and other settlements</p>	<p>With the support of relevant mission's substantive sections and Community Liaison Assistants (CLAS):</p> <ul style="list-style-type: none"> <li>▪ Coordinate with IDP/refugee representatives and local security actors as well as UNHCR to establish security arrangements in and around the sites.</li> <li>▪ Establish an emergency communication system with IDP representatives and relevant protection actors.</li> <li>▪ Assess main physical security threats with IDP representatives (including women, minors and elders).</li> <li>▪ Provide area security patrols outside the IDP/refugee sites, but intervene inside IDP/refugee sites only when civilians are under imminent threat and in the absence of an effective Police (UNPOL; National) presence.</li> <li>▪ Ensure that armed elements are separated from civilians and that they are not present in or in the vicinity of IDP/refugee sites</li> <li>▪ Identify safe areas for displaced persons. Civilians must be consulted and be able to make an informed choice as well as the local authorities.</li> <li>▪ Assist with humanitarian assistance if necessary.</li> </ul>	<ul style="list-style-type: none"> <li>• Presence/ movement of AGs/AEs in the vicinity</li> <li>• Capacity, intent and modus operandi of AGs/AEs presenting a potential threat</li> </ul>
<p>If faced with civilians on civilians (crowd on crowd) violence</p>	<ul style="list-style-type: none"> <li>• Ideally intervene as a third responder, in support of local security forces and UNPOL; if these are not present, use caution/care -within capabilities- in containing violence, engaging ring leaders, maintaining impartiality, conducting inter-positioning if necessary</li> <li>▪ Enhance situational awareness to understand the dynamics.</li> <li>▪ Build up additional troops (reserves, etc.) as convenient.</li> <li>▪ Provide medical/first aid</li> <li>▪ Provide safe corridors for civilians fleeing the area of confrontation</li> <li>▪ If the situation has the potential to escalate to a threat to life, intervene with gradual response: <ul style="list-style-type: none"> <li>a) Verbal Commands should be utilized when a hostile person/group is not deterred by the physical presence of peacekeepers and may refuse to listen or take lawful instructions. The use of voice either in providing direction or</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• (Isolated) incidents between individuals/ small groups of different (ethnic, religious, etc) groups</li> <li>• Hostile preparations,</li> <li>• Hostile graffiti, media statements, etc.</li> </ul>

	<p>in appeasing the crowd should be considered.</p> <p>b) Non-lethal Soft Techniques<sup>23</sup> such as tear gas and other riot control measures can be used as deterrent techniques if the situation deteriorates.</p> <p>c) Using non-lethal Hard Techniques -if there is a threat to life- such as weapon strikes and takedowns –when non-compliant subjects assault (short of killing or causing permanent injury) civilian population.</p> <ul style="list-style-type: none"> <li>▪ If the civilians attacked are within a protected zone, the area around PoC site/ COB to be declared a no weapon zone; a safe distance should also be maintained between two different (ethnic/religious etc.) communities.</li> <li>▪ If crowd/demonstrators etc. ask to meet with the Unit representatives, a meeting should be coordinated (who, why, where, etc., secure area must be identified and visitors should be checked prior to entry. Such activities should be covered by a security detachment which can swiftly react in case of exchange of fire or sudden fighting.</li> <li>▪ Attackers must be dealt with sternly and pursued.</li> </ul>	<ul style="list-style-type: none"> <li>• Movement of a crowd towards another;</li> </ul>
If crowds gather in front <sup>24</sup> of UN bases or hinders peacekeepers freedom of movement	<ul style="list-style-type: none"> <li>▪ Avoid confrontation</li> <li>▪ Widen the base perimeter</li> <li>▪ Use loud speakers to communicate with/appease crowd</li> <li>▪ Engage ring leaders to dissuade them from attacking UN personnel and premises or from obstructing movement</li> <li>▪ If the crowd resort to violence/throwing of stones or improvised incendiary devices (cocktail Molotov, etc), use a gradual response, avoiding to inflame/escalate the situation (refer to paras a. and b. in the scenario above).</li> <li>▪ ROEs for self-defense remain applicable in all scenarios.</li> <li>▪ If freedom of movement is hindered, use alternative routes</li> </ul>	
Conflict Related sexual Violence	<p>CRSV Framework: Conflict Related Sexual Violence (CRSV) refers to incidents or patterns of violence such as rape, sexual slavery, forced prostitution, forced pregnancy, enforced sterilization or any other form of sexual violence of comparable gravity.</p>	
Protection measures in all scenarios	<ul style="list-style-type: none"> <li>• <b>Discerning CRSV:</b> it can be committed against women, men, girls or boys. CRSV incidents can occur in conflict or post-conflict settings or other situations of concern such as political strife.</li> <li>• <b>Active patrolling:</b> patrolling market places, water/firewood collection points and other places frequented by women provides locals a greater sense of security. Including female peacekeepers enhances effective interaction and provides</li> </ul>	<p>The link<sup>25</sup> with conflict may be evident in the profile and motivation of the perpetrators, the profile of the victims, the</p>

<sup>23</sup> For guidance on riot control, check “Deterrence and Use of Force guidelines by military components of United Nations peacekeeping operations” (currently finalized)

<sup>24</sup> This scenario is not a POC scenario per se; it is more related to a self-defence situation but is considered here - for the sake of completeness- as it might entail in extreme cases harm to civilians.

<sup>25</sup> For further details, see S/2014/181 and “the *Analytical & Conceptual Framing of Conflict-Related Sexual Violence*, UN Action against Sexual Violence in Conflict”, UNIWOMEN, UNACTION, DPKO, June 2010 (<http://www.stoprapienow.org/uploads/advocacyresources/1291722944.pdf>)

	<p>positive role-models for women and girls in local communities.</p> <ul style="list-style-type: none"> <li>• <b>Reporting</b> In order to better prevent and respond to CRSV, information about threats and CRSV incidents should be recorded and shared swiftly along the chain of command, in consonance with the principle of “do no harm,” (maintaining confidentiality) according to the Mission’s established reporting procedures.</li> </ul>	<p>climate of impunity, the weakened State capacity, violations of the ceasefire agreement.<sup>26</sup></p>
<p>If a crime of sexual violence is being committed or about to be committed</p>	<ul style="list-style-type: none"> <li>▪ Intervene and deter sexual violence from any armed actor.</li> <li>▪ Remind the attacker/perpetrator and those associated with the attacker/perpetrator that they are in breach of both national and international Law and of the consequences of the crime.</li> <li>▪ Document the event, and in the case it involves defence or security forces personnel, document which military/police unit, or other elements are reported as perpetrators (Take photographs/videos but not of the victims)</li> <li>▪ Report immediately to chain of command, human rights component and WPA/sexual violence focal point.</li> <li>▪ Bring the survivor of the crime of sexual violence to safety and inform of referral system and assistance.</li> </ul>	
<p>In need of Referral Arrangements and Survivor Assistance</p>	<ul style="list-style-type: none"> <li>• In many remote mission locations, military units are the first point of contact for a CRSVC victim. The on-scene commander is required to take action in accordance with mission specific referral arrangements (to be checked with WPAs). Military units/commanders must: <ul style="list-style-type: none"> <li>✓ provide immediate support to CRSV victims (e.g., first aid, food, water, clothing, as well as safety and security),</li> <li>✓ respect their privacy</li> <li>✓ obtain informed consent of the victim with regard to whom to inform.</li> <li>✓ ensure rape victims have access to PEP<sup>27</sup> within 72 hours of the incident to prevent HIV infection.</li> </ul> </li> </ul>	
<p><b>Dos and Don'ts</b></p>		
<p><i>Action to be carried out</i></p>	<ul style="list-style-type: none"> <li>▪ Detailed questioning of victims of sexual violence should be carried. This should be left to the experts.</li> <li>▪ Pertinent information must be documented according to the principle of “do no harm”</li> <li>▪ Respect the victim’s dignity and confidentiality and preserve evidence.</li> <li>▪ Ensure C2, restraint, maturity and discretion and follow specified referral arrangements.</li> <li>▪ Follow detention procedures and keep documentation/digital records.</li> <li>▪ Assume sexual violence has taken place.</li> </ul>	

<sup>27</sup> PEP: Post Exposure Prophylaxis

<p><i>Action not to be carried out</i></p>	<ul style="list-style-type: none"> <li>▪ Victims of sexual violence should not be interviewed/ investigated.</li> <li>▪ No follow up should be carried out. It is the responsibility of human rights officers and the WPAs.</li> <li>▪ No action, such as informing authorities, should be taken without informing WPAs.</li> <li>▪ Collateral damage should be avoided.</li> <li>▪ Do not reveal the particulars of any survivor and do not violate confidentiality.</li> </ul>	
<p><i>Security-related Child Protection scenarios</i></p>	<p>Protecting children in armed conflicts is a fundamental peace and security concern highlighted by a number of Security Council Resolutions and UN military components retain an important role and should seek to respond along the following guidelines</p>	
<p><i>At all times, prevent, respond, monitor and report on grave violations</i></p>	<ul style="list-style-type: none"> <li>▪ In addition to physically protecting children, UN military units and commanders support children by contributing in preventing, responding, monitoring and reporting of <b>the six grave violations</b>, i.e killing and maiming; rape and grave sexual violence; recruitment and use of children by armed groups; abductions; attacks on schools and hospitals; denial of humanitarian access.</li> </ul>	
<p>If military or armed groups are seen/reported using children as fighters, labourers, sexual slaves</p>	<ul style="list-style-type: none"> <li>▪ Intervene, seek release of recruited children, and deter child recruitment.</li> <li>▪ Report any information to Child Protection (CP)/ Human Rights officers (HRO). Document the activity, i.e. which group/unit/commander and treat evidence with confidentiality.</li> <li>▪ Remind military personnel and armed groups that the recruitment of child combatants and the use of children for forced labour and/or sexual services are illegal.</li> <li>▪ Patrol in communities exposed to threats of child recruitment.</li> <li>▪ Only house children in UN bases as a temporary protection measure, while waiting for the relevant Child Protection/Human Right actors or the DDR Section.</li> </ul>	<p>Rounding up, recruiting, kidnapping or using youth (girls and boys) who appear to be minors (i.e. less than 18 years); If in doubt, consider them as children and refer them to the Mission CP/ HRO</p>
<p>Actions to be carried out:</p>	<ul style="list-style-type: none"> <li>▪ Monitoring and reporting grave violations committed against children,</li> <li>▪ Ensuring all personnel are trained on child protection issues. The recruitment of child soldiers is a widespread tactic of war in many mission areas and it remains highly important to train and prepare for these situations.</li> <li>▪ Situational awareness of the presence or absence of children can contribute to an early warning analysis.</li> <li>▪ Information sharing protocols should be established with the child protection team, taking into account confidentiality and the sensitivity of dealing with children's issues. Reporting would normally include the type of violation, number of girls and boys affected the perpetrator, location and time of incident.</li> </ul>	

<p>Actions not to be carried out</p>	<ul style="list-style-type: none"> <li>▪ Children should not be put in the direct line of danger, or used for intelligence gathering in military/UN operations. Schools are not to be used for any military/UN operation.</li> <li>▪ Children should not be interrogated. When information is sought, children should be interviewed by a child protection expert to prevent traumatization.</li> <li>▪ As a rule, a military unit should never hold a child in detention. However, the holding of children may be done only as a last resort and for the shortest possible time. When children are detained, they should be held in separate quarters from adults. Children should be handed over to child protection units in the mission or UNICEF at the earliest possible opportunity.</li> <li>▪ The handing over of children to authorities should always be done in coordination with the mission's child protection experts.</li> <li>▪ In the likely event that child soldiers are present in the host state security forces or other armed groups/spoilers, efforts to rehabilitate them must be initiated in accordance with Mission Headquarters directives. Utmost care, restraint and judgment must be used when encountering child soldiers during operations, particularly when delivering measured responses based on the ROEs.</li> <li>▪ UN personnel must refrain from all forms of child exploitation and abuse.</li> </ul>	
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