Module 3: OPERATIONAL FRAMEWORK
Learning Objectives

• Know how to translate conceptual and legal frameworks into appropriate action at the tactical level

• Identify key DPKO documents that provide guidance for tactical planning

• Understand how POC, CP and CRSV considerations impact the military decision making process

• Identify key aspects in a threat assessment for POC
Overview

• Relevant documents for tactical planning
• Mission POC strategy
• Implementing guidelines for military components
• Phases of response and use of force
• Tactical decision making process considerations
Relevant documents for tactical planning
Main planning documents for UN peacekeeping operations

Planning documents for peacekeeping operations

National and International planning frameworks

- EOSG strategic direction (Planning directive?)
  - UN wide planning (mission with UN partners)
    - Strategic Assessment report containing options
    - SG Directive to senior leadership in the field
  - Mission-specific planning
    - USGs’ Planning Directive
      - Security Council mandate
    - Mission Concept
      - Mission Plan
      - Mission-wide cross-cutting strategies (e.g. POC strategy)
      - Component Plans and Work Plans
  - Military ConOps
  - Police concept
  - Support concept

Field based

- ISF or equivalent

Resources

- Each entity’s budget should align with common plans
- Results-based budget
Relevant documents for tactical POC planning

- Mission Mandate
- Mission Concept
- CONOPS
- Mission Plan
- Mission POC Plan
- Force Commander OPORD
- Unit plans
Mission POC strategy
Core Considerations

• Missions with POC mandate develop POC Strategies

• Coordination tool for concerted POC action

• Work plans for all components need to be aligned with POC Strategy

• Military and Police operation orders fully aligned as well
POC Strategy Content

• Purpose, scope and key principles
• Mission threat analysis
• Mission POC action plan
• Roles, responsibilities and coordination mechanisms
A POC strategy provides the operational level guidance to allow the component HQs to draft plans and orders that will ultimately affect the battalion and FPU levels, including military observers, military liaison officers and individual police officers.
Planning References

- POC Action Plan
- POC Matrix
- Capacities and resources for POC action
- Mission POC architecture
Internal Coordination Mechanism

Senior Management Group – Protection

POC Strategy

HCT

Strategic / decision making level

HRDDP TF

MRM Taskforce

MARA WG

Joint Operational Planning Team (JOPT)

POC Planning

Joint Operational Planning Team (JOPT)

POC Action plan and Flashpoints matrix

Operational level

Protection Working Group

Protection Working Group

POC Action plan and Flashpoints matrix

Tactical level

Sector Senior Management Group – Protection

Sector POC Action Plan

Decisions

Information, recommendations

Protection Cluster, CMCoord

Protection Cluster, CMCoord
Take Away

• Every peacekeeping mission with a POC mandate develops a POC Strategy

• The scope of the strategy is usually limited to the mission but includes coordination mechanisms with other actors
Questions
Overview

- Relevant documents for tactical planning
- Mission POC strategy
- Implementing guidelines for military components
- Phases of response and use of force
- Tactical decision making process considerations
Implementing guidelines for military components
Implementing guidelines for military components

- Guidance for the strategic level (UN HQ)
- Guidance for the operational level (Field HQ)
- Guidance for the tactical level (Sector and Unit Commanders)
Guidance for the strategic level (UN HQ)

- Strategic planning
- Composition of force
- Disposition of force
- Mainstreaming POC in the CONOPS
Guidance for the operational level (Field HQ)

- Operational imperatives
- Operational planning
- Understanding the Use of Force and ROE with respect to POC
- Risk mitigation measures
- Monitoring and evaluation of results
- Expectation management
- Training
Guidance for the tactical level
(Sector and Unit Commanders)

• Planning at sector and unit level
• Conduct of POC tasks/operations
• Early Warning
• Engaging communities
Planning at sector and unit level

- Production of own POC plans and contingency plans based on directives from higher level
- POC intent of higher command reflected
Conduct of POC tasks/operations

- 4 phases of operations
- Presence and posture
- Reporting on all threats, including Child Protection and CRSV concerns
- Adherence to ROE
Conduct of POC tasks/operations

Do

- Intervene when armed elements or criminals are threatening civilians
- Prioritize actions to prevent and halt violence
- Distinguish between civilians and combatants
- Ensure your protection efforts support existing community mechanisms as much as possible
- Coordinate your actions with other components of the mission (police and civilian)
- Treat all civilians with dignity and respect and abide by the Code of Conduct
Conduct of POC tasks/operations

Child Protection considerations

**Do**

- Assist child soldiers when they surrender or get captured
- Inform CP Unit and hand over to nearest CP actor as soon as possible
- Share CP knowledge with host state military
- Encourage host state military not to use schools as bases

**Don't**

- Send children away and tell them to come back the next day after you informed CP Unit
- Hand children over to host state army without consulting CP Unit
- Underestimate your role as role mode
- Use schools as bases
Early Warning

• Situational awareness and early warning indicators

• Outreach and advocacy

• Early Warning Centers
  – Information hub in COB and TOB
  – Produce database including threats and vulnerabilities
  – Manage cell phone hotline
  – Maintain information collection plan
Engaging communities

• Regular interaction, liaison and consultation with communities and local leaders is key

• Mutually protective benefits

• Tools and good practices:
  – Community Alert Networks (CAN)
  – Community Liaison Assistants (CLA)
  – Joint Protection Teams (JPT)
Engaging communities

Do

- Ensure safety and security of interlocutors
- Know your mandate
- Act as a role model
- Report through the chain of command and focal points
- Collect evidence
- Assist survivors of child abuse and sexual violence
- Respect dignity and confidentiality
- Know referral arrangements
Engaging communities

Do

- Obtain informed consent
- Think of creative community outreach options
- Work with local NGOs and communities
- Consider possible consequences of your actions for local communities
- Ask for guidance if uncertain
Engaging communities

Don't

- Interview
- Follow-up or investigate
- Share with authorities details of victims of human rights violations
- Take pictures of child victims
- Act on behalf of victims without informed consent
- Engage in activities that may harm local communities
Engaging communities

Don't

• Be discouraged if you cannot help immediately
• Be discouraged if you think the mission should do more to help
• Casually spend time with children
• Give money, food or employment to children
• Have any sexual contact with children
Take Away

• The POC Implementing Guidelines for Military Components provide detailed guidance for strategic, operational and tactical levels

• Presence and posture as well as early warning are key factors of success

• Ensure sensitivity to Child Protection and CRSV threats and challenges
Overview

- Relevant documents for tactical planning
- Mission POC strategy
- Implementing guidelines for military components
- Phases of response and use of force
- Tactical decision making process considerations
Phases of response and use of force
Phases of Response exercise

Prevention
Pre-emption
Response
Consolidation
Phases of Response

Proactive – Plans to reduce the likelihood

Prevention
Pre-emption
Response
Consolidation

Reactive – Plans to reduce the effects
Phases of Response

For instance
- Presence, patrols, force deployments
- Mediation and conflict prevention
- Advocacy, key leader outreach
- Human rights monitoring and reporting
Phases of Response

For instance
- Increased patrolling and information gathering
- Ensure military and police presence; intercept, neutralize or defuse hostile acts; QRF/SF or Force Reserve
- Political pressure; intensified communication with armed actors and potential parties to the conflict
- Human rights monitoring and reporting
Phases of Response

For instance
- Offensive and defensive military operations
- Inter-positioning of troops
- Swift action through the speedy movement of forces such as attack helicopters, QRFs and reconnaissance
- Mitigation of suffering; evacuation
- Human rights monitoring and reporting
- Support delivery of humanitarian aid
Phases of Response

- Prevention
- Pre-emption
- Response
- Consolidation

For instance
- Mediation and stabilization post-crisis
- Protection and reassurance
- Readjust security
- Collection of evidence and human rights investigations
- Support delivery of humanitarian aid
Phases of Response

Prevention
- Patrolling
- Observation post
- Checkpoint
- Outreach and engagement
- Situational awareness
- Cordon and search
- Convoy and escort
- Operation Base

Pre-emption
- Disarmament and Demobilization
- Critical infrastructure protection
- Crowd management
- Detention
- Buffer zone
- Joint operations
- Reinforce/relief
- Extract/evacuate

Response

Consolidation

UNIBAM operational tasks
### Graduated Use of Force

#### Core Objective
Safety and security of UN military/police and those being protected as well as the rights and well being of the aggressors during a legitimate peacekeeping operations

#### Use of Force Continuum

<table>
<thead>
<tr>
<th>Level of Force</th>
<th>Threat Actions</th>
<th>UN Action/Reaction</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>DEADLY FORCE</strong></td>
<td>ASSAULTIVE (SERIOUS/FATAL ACTION)</td>
<td>LETHAL</td>
</tr>
<tr>
<td></td>
<td>* Threat uses weapons, undertakes life threatening weaponless assault, and/or disarms a military/police</td>
<td>* Use of firearm and strike to vital areas</td>
</tr>
<tr>
<td><strong>NON-DEADLY FORCE</strong></td>
<td>ASSAULTIVE (NON LIFE THREATENING)</td>
<td>DEFENSIVE TACTICS</td>
</tr>
<tr>
<td></td>
<td>* Threat conducts non-life threatening activities but has the potential to cause physical harm to peacekeepers/civilians, e.g.: stone throwing, use of incendiary devices, sabotage.</td>
<td>* Use riot control equipment including shield, water canon, soft kinetic projectiles, etc.</td>
</tr>
<tr>
<td></td>
<td>RESISTANT (ACTIVE)</td>
<td>COMPLIANCE TECHNIQUES</td>
</tr>
<tr>
<td></td>
<td>* Threat wrestles/pushes military/police or pulls away</td>
<td>* Use chemical irritant application, riot control agents/barricades/cordon/show of forces including aviation.</td>
</tr>
<tr>
<td></td>
<td>RESISTANT (PASSIVE)</td>
<td>CONTACT CONTROLS</td>
</tr>
<tr>
<td></td>
<td>* Threat is unresponsive (refuses to move dead weight) or exhibits danger cues</td>
<td>* Takedowns, handcuffs, threat of using force.</td>
</tr>
<tr>
<td><strong>AUTHORITATIVE</strong></td>
<td>COMPLIANT</td>
<td>COOPERATIVE CONTROL</td>
</tr>
<tr>
<td><strong>PRESENCE</strong></td>
<td>* Threat shows positive or cooperative behavior</td>
<td>* Physical appearance, verbal command, search techniques and apprehension tactics</td>
</tr>
</tbody>
</table>
• The four phases of response may not be sequential and can be understood as four categories of activities providing protection from physical violence

• Use of Force training is essential
Overview

• Relevant documents for tactical planning
• Mission POC strategy
• Implementing guidelines for military components
• Phases of response and use of force
• Tactical decision making process considerations
Tactical decision making process considerations
Conventional decision making process

1. Receipt of Mission
2. Mission analysis
3. Course of action production
4. Orders production
5. Execution
DMP and CPOC considerations

Conventional military tasks

POC military tasks

Tactical decision making process

POC Considerations for the tactical decision making process

Military Units

Leadership  Staff Procedures  Resources
Receipt of Mission

- Mission Mandate
- CONOPS
- Mission POC Strategy
- Mission POC Plan
- Force Commander OPORD
- Sector Commander OPORD
- Receipt of Mission

Receipt of Mission
- Mission analysis
- Course of action
- Orders production
- Execution
1. Identification of Key Actors
   a. Civilian population
   b. Potential perpetrators
   c. Host State security forces
   d. Other protection actors

2. Threat Analysis
   a. Overview
   b. Key Elements
   c. Matrix

3. Risk Analysis
   a. Vulnerability assessment
   b. Protection actor capability assessment
   c. Danger level assessment
   d. Risk analysis matrix
Course of Action (CoA)

1. Plans to reduce the likelihood
2. Plans to reduce the impact
3. Resources support synchronization with mission components
4. Coordination with protection actors
5. Consultation with communities at risk

CoAs aim to reduce or eliminate the risk.

Development of CoAs are considered under each of the four phases of response.

Civilian casualties and collateral damage must be considered rigorously.
Order Production

1. Approval of plans
2. Production of OPORD
3. Sub-units DMP
4. Rehearsals
5. Plans and orders adjustments and updates

Plans must be approved by the FHQ, SHQ, or Brigade Commander
1. Early warning mechanisms
2. Local community alert networks
3. Monitoring of armed groups
4. Instructions from S/FHQ
5. Decision of the commander on scene, reasonable belief
6. AAR and reporting of the outcome of the operation
Conventional decision making process

1. Receipt of Mission
2. Mission analysis
3. Course of action production
4. Orders production
5. Execution
1. **Identification of Key Actors**
   a. Civilian population
   b. Potential perpetrators
   c. Host State security forces
   d. Other protection actors

2. **Threat Analysis**
   a. Overview
   b. Key Elements
   c. Matrix

3. **Risk Analysis**
   a. Vulnerability assessment
   b. Protection actor capability assessment
   c. Danger level assessment
   d. Risk analysis matrix
1. Pinpoint location and area of movements

2. Determine:
   - Number of civilians by gender and age
   - Ethnicity, religion and political affiliation
   - Type of the settlement
   - Facilities of tactical importance
   - Self-protection mechanisms
   - Historical background

3. Identify the local leaders
Key actors

Civilian populations

Receipt of Mission
Mission analysis
Course of action
Orders production
Execution

A
B
Military Units
C
For each civilian population identified within the unit’s AOR.

<table>
<thead>
<tr>
<th>Civilian Population</th>
<th>Location</th>
<th>Number Children Gender</th>
<th>Ethnicity Religion Political</th>
<th>Schools</th>
<th>Hospitals</th>
<th>Markets</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community A</td>
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<td>Community B</td>
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<td>Community C</td>
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</tbody>
</table>
1. Pinpoint location and area of influence or operations

2. Determine:
   - Number, composition and C2
   - Ethnicity, religion and political affiliation
   - Hostile intent and historical background
   - Capabilities
   - Use of child soldiers

3. Identify the leaders
For each armed group within the unit’s AOR

### Key actors

#### Potential Perpetrators

<table>
<thead>
<tr>
<th>HSSF</th>
<th>Location</th>
<th>Number</th>
<th>Composition</th>
<th>C2</th>
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<tbody>
<tr>
<td>Perpetrator X</td>
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<td>Perpetrator Y</td>
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<tr>
<td>Perpetrator Z</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Ethnicity Religion Political</th>
<th>Intent</th>
<th>Capabilities</th>
<th>Historical Background</th>
<th>Use of Child Soldiers</th>
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</tbody>
</table>
1. Pinpoint location and area of influence or operations

2. Determine:
   - Number, composition and C2
   - Ethnicity, religion and political affiliation
   - Capability and will to protect civilians
   - Human rights records
   - Use of child soldiers

3. Identify the leaders
Key actors

Host State Security Forces

- HSSF
- UN Military Units
- Host State Security Forces

Receipt of Mission
- Mission analysis
- Course of action
- Orders production
- Execution
For each Host State security forces unit deployed within the unit’s AOR

### Host State Security Forces

<table>
<thead>
<tr>
<th>HSSF</th>
<th>Location</th>
<th>Number</th>
<th>Composition</th>
<th>C2</th>
</tr>
</thead>
<tbody>
<tr>
<td>HSSF X</td>
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<tr>
<td>HSSF Y</td>
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<td>HSSF Z</td>
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<table>
<thead>
<tr>
<th>Ethnicity</th>
<th>Religion</th>
<th>Political</th>
<th>Capabilities</th>
<th>Will</th>
<th>HR Violations</th>
<th>Use of child soldiers</th>
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</table>

Key actors:
- Receipt of Mission
- Mission analysis
- Course of action
- Orders production
- Execution
1. Pinpoint location and area of influence or operations

2. Determine:
   - Mandate and capabilities
   - Their capacity and will to support peacekeeping operations
   - Their dependence on peacekeeping support

3. Identify the existing coordination mechanisms with the mission
Key actors

Other Protection Actors

- UN Military Units
- Other protection actor
- Other protection actor

Flowchart:
- Receipt of Mission
- Mission analysis
- Course of action
- Orders production
- Execution
For each Host State security forces unit deployed within the unit’s AOR

<table>
<thead>
<tr>
<th>Other protection actors</th>
<th>Location</th>
<th>Mandate</th>
<th>Capabilities</th>
<th>Support capacity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Protection Actor A</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Protection Actor B</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Protection Actor C</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
1. Priority consideration to threats identified at the mission level

2. Additional threats identified at the unit’s AOR

For each threat determine:

- Situation and type of threat (What)
- Potential perpetrators (Who)
- Potentially affected population (Whom)
- Areas where civilians may be targeted (Where)
- Days and time of day attacks are most likely (When)
- Motivation behind threat (Why)
- Possible movements and tactics of the armed groups (How)
For each civilian population and armed group within the unit’s AOR

<table>
<thead>
<tr>
<th>Civilian Population A</th>
<th>Ethnical</th>
<th>Religious</th>
<th>Political</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>Armed Group X</td>
<td>Concern</td>
<td>Concern</td>
<td>----</td>
<td>Concern</td>
</tr>
<tr>
<td>Armed Group Y</td>
<td>Concern</td>
<td>----</td>
<td>Concern</td>
<td>----</td>
</tr>
<tr>
<td>Armed Group Z</td>
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</tr>
</tbody>
</table>
### Threat Analysis Matrix

<table>
<thead>
<tr>
<th>What</th>
<th>Who</th>
<th>Whom</th>
<th>Where</th>
<th>When</th>
<th>Why</th>
<th>How</th>
</tr>
</thead>
<tbody>
<tr>
<td>Threat 1</td>
<td>Perpetrator X</td>
<td>Community A</td>
<td>Lat-Lon</td>
<td>PM</td>
<td>Political</td>
<td>Possible maneuver</td>
</tr>
<tr>
<td>Threat 2</td>
<td>Perpetrator X</td>
<td>Community B</td>
<td>Lat-Lon</td>
<td>Day</td>
<td>Religious</td>
<td>Possible maneuver</td>
</tr>
<tr>
<td>Threat 3</td>
<td>Perpetrator X</td>
<td>Community C</td>
<td>Lat-Lon</td>
<td>Night</td>
<td>Ethnical</td>
<td>Possible maneuver</td>
</tr>
<tr>
<td>Threat 4</td>
<td>Perpetrator Y</td>
<td>Community A</td>
<td>Lat-Lon</td>
<td>Working Hours</td>
<td>Conduct operations</td>
<td>Possible maneuver</td>
</tr>
<tr>
<td>Threat 5</td>
<td>Perpetrator Y</td>
<td>Community B</td>
<td>Lat-Lon</td>
<td>School Hours</td>
<td>Retaliation</td>
<td>Possible maneuver</td>
</tr>
</tbody>
</table>

*For each identified threat*
### For each civilian population unit’s AOR towards each identified threat

<table>
<thead>
<tr>
<th>Threat 1</th>
<th>Number</th>
<th>Women</th>
<th>Children</th>
<th>Settlement</th>
<th>Schools</th>
<th>Hospitals</th>
</tr>
</thead>
<tbody>
<tr>
<td>CP A</td>
<td>320</td>
<td>78%</td>
<td>42%</td>
<td>Rudimentary</td>
<td>none</td>
<td>none</td>
</tr>
<tr>
<td>CP B</td>
<td>10,000</td>
<td>54%</td>
<td>34%</td>
<td>Developed</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>CP C</td>
<td>1,300</td>
<td>68%</td>
<td>45%</td>
<td>IDP Camp</td>
<td>1</td>
<td>1</td>
</tr>
</tbody>
</table>

**Risk analysis**

**Vulnerability assessment**
For each protection actor within the unit’s AOR towards each identified threat:

<table>
<thead>
<tr>
<th>Threat 1</th>
<th>Intention to protect</th>
<th>Distance Vs. mobility</th>
<th>Overall Capability</th>
<th>UNPK support</th>
</tr>
</thead>
<tbody>
<tr>
<td>Protection Actor 1</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Protection Actor 1</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Protection Actor 1</td>
<td>?</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>
For each armed group within the unit’s AOR towards each identified threat:

<table>
<thead>
<tr>
<th>Threat #</th>
<th>Intention</th>
<th>Capability</th>
<th>Historical Background</th>
</tr>
</thead>
<tbody>
<tr>
<td>Armed Group X</td>
<td>High</td>
<td>High</td>
<td>High</td>
</tr>
<tr>
<td>Armed Group Y</td>
<td>Medium</td>
<td>High</td>
<td>Low</td>
</tr>
<tr>
<td>Armed Group Z</td>
<td>Low</td>
<td>Medium</td>
<td>Low</td>
</tr>
</tbody>
</table>
For each identified threat

<table>
<thead>
<tr>
<th>What</th>
<th>Who</th>
<th>Whom</th>
<th>Where</th>
<th>When</th>
<th>Why</th>
<th>How</th>
</tr>
</thead>
<tbody>
<tr>
<td>Threat 1</td>
<td>Perpetrator A</td>
<td>Community A</td>
<td>Left</td>
<td>Yes</td>
<td>Political</td>
<td>Possible</td>
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<tr>
<td>Threat 2</td>
<td>Perpetrator B</td>
<td>Community B</td>
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<td>Yes</td>
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<td>Threat 3</td>
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<td>Community C</td>
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<td>Social</td>
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<td>Threat 4</td>
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<td>Community D</td>
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<td>Yes</td>
<td>Criminal</td>
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<td>Threat 5</td>
<td>Perpetrator E</td>
<td>Community E</td>
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</tr>
</tbody>
</table>

Risk analysis Matrix

Execution

Orders production

Course of action

Receipt of Mission

Risk

High

Medium

Low

impact

likelihood
Take Away

• POC, Child Protection and CRSV considerations influence tactical DMP

• Mission analysis critical step for assessment of perpetrators, civilians and other protection actors

• Plans need to be approved by higher command

• Risk analysis guides prioritization of threats

• Consultation with other mission and non-mission actors are crucial
Questions
Module 3:
OPERATIONAL FRAMEWORK – Wrap up
Module 3 – Conclusions

- Range of policies, guidelines and principles exist on POC, Child Protection and CRSV
- Mandate implementation never straightforward and requires targeted approach for each context
- Effective protection of civilians requires coordination and information sharing within and outside the mission
- Peacekeepers need to be proactive and creative, within the boundaries existing guidance and principles
- Child Protection and CRSV are integral to protection of civilians and require particular consideration