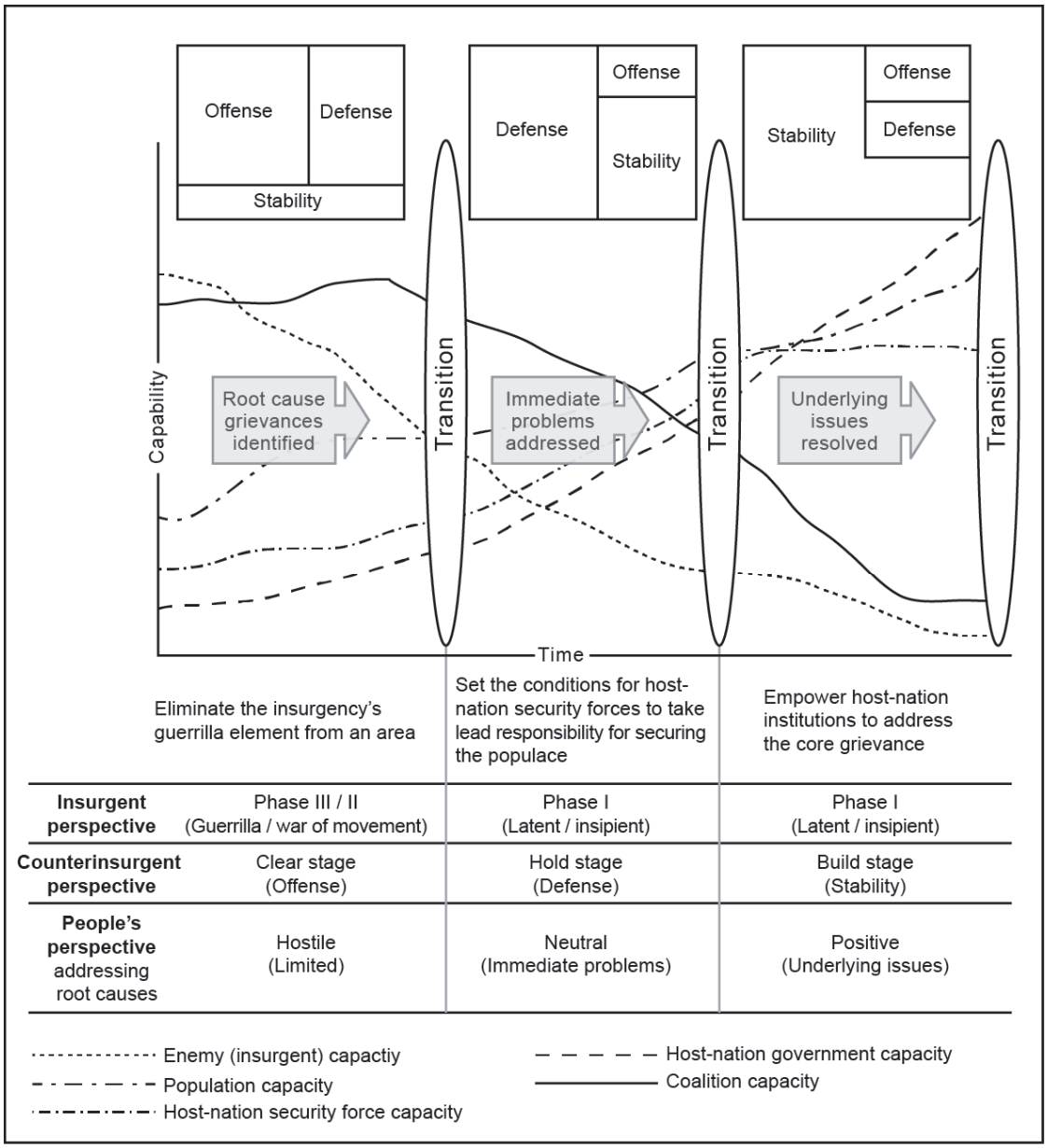

Figure 9-2. Example of a possible transition framework

OTHER DIRECT ENABLERS

9-41. The Army and Marine Corps can also integrate other direct enablers into a counterinsurgency operation. For example, indirect fires can be integrated into an ongoing counterinsurgency effort. Special forces have the capability to perform direct actions. These are short-duration strikes. Special forces can also conduct other small-scale offensive actions conducted in hostile, denied, or politically sensitive environments that employ specialized military capabilities to seize, destroy, capture, exploit, recover, or damage designated targets. As with indirect enablers, the Army and Marine Corps have a wide range of direct capabilities that can be integrated into an ongoing counterinsurgency effort. Tactical units that can be successfully integrated into a host nation's efforts to perform cordon and searches or raids could be an effective capability for any counterinsurgency operation.

9-42. As part of the joint force, the air component provides Army and Marine Corps units a number of critical direct enablers. Airpower provides supported ground forces a significant asymmetric advantage over insurgents as a result of their flexibility, situational understanding, freedom of maneuver, and access to immediate joint fires. Direct air and space enablers include, but are not limited to, air mobility, casualty evacuation, intelligence, surveillance and reconnaissance, communications, cyber, global positioning system, personnel recovery, precision engagement (close air support and air interdiction), and electronic warfare.

9-43. Two other important enablers are targeted threat infrastructure and strikes. Targeted threat infrastructure provides a means for a counterinsurgent to attack the resources that an insurgency uses to continue its effort. However, targeted threat infrastructure must always be conducted in support of other efforts. Counterinsurgents must weigh the effect of the operations on the legitimacy of the host nation among the local population. Strikes are conducted to disrupt an insurgency, and they can allow other efforts to succeed. Targeted threat infrastructure and strikes are not to be conducted in isolation, and simultaneously some force should be actively securing the population and building legitimacy.

TARGETED THREAT INFRASTRUCTURE

9-44. Targeted threat infrastructure is a method that seeks to destroy an insurgent force's physical infrastructure. This is a method that will normally only work if another force is securing the population and building legitimacy. In other words, it is a method to enable another force. This method seeks to destroy the necessary requirements of an insurgency to conduct combat operations. Targeted threat infrastructure proactively targets the physical and societal mechanisms that support and fuel the insurgency. It involves an aggressive spirit of the offense. When using this method, commanders and staffs must consider the law of war principle of proportionality. The anticipated injury or damage caused to civilians or civilian property must not be excessive in relation to the concrete and direct military advantage anticipated by an attack on a military objective. Commanders and staffs using targeted threat infrastructure must also ensure it is not contributing to the recruitment of insurgent fighters by using too heavy a hand against elements of society that are not fully or willingly supporting the insurgency.

9-45. Targeted threat infrastructure must be integrated into an effective host-nation effort that is securing the population. Targeted threat infrastructure can be an effective tool, if it is well planned and executed to avoid possible negative consequences of alienating the population and decreasing the legitimacy of the host nation. If the effect of targeted threat infrastructure is the physical elimination of the basic physical infrastructure needed by an insurgency, and it avoids the negative effects of alienating the population, it can be essential in a host nation's counterinsurgency effort. However, it is a means to enable a host nation, not a method that should be used without an additional effort to secure the population.

9-46. For targeted threat infrastructure to be effective, commanders and staffs must understand where an insurgency is attaining its strength and attack those areas and facilities. These efforts must further the desired overall end state and not undermine a host-nation government's legitimacy. Commanders and staffs plan for and limit second and third order effects of attacks. Moreover, attacks are only targeted against the infrastructure the insurgency relies on. For example, crop eradication aimed at reducing cash flow is unlikely to effect an insurgency with a large amount of financial resources. It may, however, hurt the legitimacy of the host nation.

9-47. Illicit crops such as marijuana, coca, or poppy used to fuel and fund an insurgency can be the targets threatened under the targeted threat infrastructure method. The cash from these crops may help arm, train, and pay insurgent fighters or pay condolence payments to the families of terrorists who kill themselves in suicide acts. Attacking such crops may hurt individual farmers. In some cases, farmers may be coerced by insurgents and have no real choice in the crops they produce. In others, farmers may support the insurgency. However, the illicit nature of these crops make them valid targets. To avoid creating new insurgents through crop destruction, counterinsurgents can work with interagency partners and the United States Agency for International Development to establish crop substitution programs that can help ease hardships farmers may experience.

9-48. Another key target for the targeted threat infrastructure method is any material or physical item used to fuel the insurgency. For example, a road network that is the primary means of movement for insurgents

needs to be interdicted by checkpoints or destroyed. This may inconvenience the local population, but if consistent with the principle of proportionality this can be a valid course of action. Power systems and water systems deep in insurgent controlled areas are prime targets for targeted threat infrastructure, but targeting them requires careful proportionality analysis. As critical components of a society, power and water are staples that the insurgents need to survive in their own region. By impairing these resources, counterinsurgents may undermine the insurgency's resources and its ability to continue the insurgency. However, any effort to attack these resources must be balanced with the host nation's legitimacy among the local population that is affected. Aggressive strikes and raids are central to the targeted threat infrastructure method to destroy the physical infrastructure that supports an insurgency. This tactic is not a slash-and-burn technique, but consists of well-planned, pinpointed attacks on those critical enablers that the insurgency needs to operate.

9-49. Another key target is the illicit funds used to fuel an insurgency. By establishing counter threat finance fusion centers, commanders and staffs can work with the power of interagency law enforcement and international legal partners to find, interdict, and seize huge sums of money that the illicit regime must launder before it can be used again for legal currency. By using unit counter threat finance specialists in targeted threat infrastructure operations, funds determined to have been gained through illicit means can be targeted for seizure at the local level. For example, if a man is a small farm owner and lives in a palatial home with three cars, he should be investigated, and his funds can be targeted if it is determined that his wealth is from illicit means and those means are being used to fuel an insurgency.

STRIKE

9-50. A *strike* is an attack to damage or destroy an objective or a capability (JP 3-0). A strike may be useful in disrupting an insurgency, especially in insurgent controlled areas. Strikes can be made on guerrilla bases, large, enclosed or isolated compounds, and training camps. Normally these operations are meant to disrupt an insurgency and allow for the success of other operations. Strike operations can be integrated into a host nation's operations to secure a population. The U.S. may contribute a force to perform strikes.

9-51. The purpose of a strike is to destroy insurgent forces and base areas, isolate insurgent forces from their support, and interdict insurgent infiltration routes and lines of communications. Strikes are primarily offensive operations. They are characterized by reconnaissance, intelligence gathering, and careful planning, followed by vigorously executed, coordinated attacks or raids by small, highly mobile combat forces operating in dispersed formations to locate and fix an insurgent force. Upon locating an insurgent force, strike force commanders attack, pursue, and destroy that insurgent force. If contact is lost, the strike forces resume aggressive patrolling to reestablish contact and destroy the insurgent force before it can rest, reorganize, and resume combat operations.

9-52. Strikes can be conducted in support of shape-clear-hold-build-transition framework operations after guerrilla forces are initially driven out of an area during the clear phase. Strikes are often employed to assault objectives outside cleared areas to fix and destroy guerilla forces and prevent counterattacks against government and reconstruction personnel. Counterinsurgents conduct assaults in areas where guerrillas attempt to consolidate during the hold and build phases. Precision airpower weapons can be used to support other units conducting strike operations or to conduct strike operations on their own.

9-53. Reconnaissance to locate and test insurgent dispositions and strengths or to develop additional intelligence can be followed immediately by a hasty attack or raid. Reconnaissance should emphasize thorough coverage of an area, and it is characterized by continuous, decentralized, small-unit operations. Since strike campaigns are conducted in insecure areas, plans must provide for force withdrawal after mission accomplishment.

9-54. Strike forces are generally task forces composed of military units and may contain intelligence, police, and paramilitary elements. Civilian elements may be represented. Forces designated to conduct strikes should be relieved of routine area defense responsibilities well in advance of an operation. Strike forces can be controlled at the national, regional, or local levels. Strike forces are organized as self-sufficient task forces capable of operating for extended periods in areas remote from home bases.

9-55. Once insurgent bases have been located, strike forces maneuver to destroy them. An insurgency's ability to hide weapons and to assume noncombatant guises in attempting to avoid capture may require a

thorough reconnaissance and search of the area. Suspects must be managed firmly but treated fairly to avoid turning innocent suspects into insurgency sympathizers. When small units conducting reconnaissance locate relatively large insurgent operating forces, surveillance should be maintained and reaction forces quickly deployed to destroy them. In areas suspected of harboring insurgent forces or installations, reconnaissance and surveillance should be conducted and followed with an immediate raid by reaction forces when sufficient information has been developed on a target. Good communications and mobility are essential for success in these combat operations.

9-56. Speed and surprise are important in strikes. The sudden and unexpected delivery of combat forces into an insurgent held or contested area provides significant advantages to the forces conducting strike operations. If caught by surprise, guerrillas may be unable to react effectively. Speed and surprise can be achieved by using air assault tactics to insert the first forces into the area of operations. Subsequent forces can be delivered on later airlifts or by other modes of transportation. Fires can be used to restrict escape routes or areas that are not secured by land forces.

9-57. However, strikes do not address the root causes for beginning or sustaining an insurgency, nor do they necessarily increase the legitimacy of the host-nation government. Strikes are integrated with other approaches to counterinsurgency as part of the overall operational design. In some cases, the U.S. can integrate this ability into an ongoing host-nation effort.

Chapter 10

Indirect Methods for Countering Insurgencies

10-1. An indirect approach seeks to support existing governments, security forces, and groups through increasing capacity to counter an insurgency and enabling existing capabilities. This approach indirectly counters an insurgency by working through host-nation institutions or with groups in the society. The United States (U.S.) can use nation assistance and security cooperation to aid a host nation in building its institutions.

10-2. Beyond nation assistance and security cooperation, there are several methods that are indirect methods for countering an insurgency. Among these are generational engagement, negotiation and diplomacy, and identify, separate, isolate, influence, and reintegrate. Beyond these methods, there are several indirect enablers that are important in any counterinsurgency. This includes integrated monetary shaping operations.

NATION ASSISTANCE AND SECURITY COOPERATION

10-3. *Nation assistance* is assistance rendered to a nation by foreign forces within that nation's territory based on agreements mutually concluded between nations (JP 3-0). This civil or military assistance (other than foreign humanitarian assistance) is rendered to a nation by U.S. forces within that nation's territory during peacetime, crises or emergencies, or war, based on agreements mutually concluded between the U.S. and that nation. Nation assistance operations support the host nation by promoting sustainable development and growth of responsive institutions. The goal is to promote long-term regional stability.

10-4. Nation assistance involves other government agencies that provide expertise in building civil institutions. This is an essential element in counterinsurgency because the military lacks the expertise to build civil control over the population, perform economic reforms, or aid in other basic functions that a host nation may need to prevent or prevail against an insurgency. Using a whole-of-government approach is essential in conducting nation assistance to prevent insurgencies from developing freedom of movement by exploiting the root causes of conflict within an operational environment.

10-5. *Security cooperation* is all Department of Defense interactions with foreign defense establishments to build defense relationships that promote specific US security interests, develop allied and friendly military capabilities for self-defense and multinational operations, and provide US forces with peacetime and contingency access to a host nation. (JP 3-22). This includes-

- Military to military exchanges (for example, seminars and symposia).
- Combined exercises.
- Humanitarian assistance.
- Security assistance.

When these activities are used to defeat an insurgency, they are part of a counterinsurgency operation. While not all security cooperation activities are in support of counterinsurgency, security cooperation can be an effective counterinsurgency tool. These activities help the U.S. and the host nation gain credibility and help the host nation build legitimacy. These efforts can help prevent insurgencies or shape the host nation's ability to defeat or contain insurgencies.

10-6. When directed, the Army and Marine Corps provide forces to support security cooperation missions. This requirement can include assistance in training, equipping, and advising the military forces of foreign nations. Security cooperation includes security assistance, foreign internal defense, and security force assistance. (See FM 3-22 and chapter 10 for more information on security cooperation activities. See chapter 10 for more information on working with other forces by using security cooperation.)

GENERATIONAL ENGAGEMENT

10-7. Generational engagement is a method that can be conducted in conjunction with other approaches that seeks to get the host nation to educate and empower the population to participate in legal methods of political discourse and dissent. This can be done in both high threat situations and situations where an insurgency is at its infancy and combat is less intense. It is best that the host nation undertake this method as soon as possible to affect the next generation. Generational engagement focuses on the population. Generational engagement focuses on building new constituents in the host-nation population to counter insurgent actions. Generational engagement is a method of political mobilization of the people. The purpose of the method is to get population groups to side with the host nation.

10-8. Figure 10-1 provides a general framework for generational engagement. First, counterinsurgents identify the population that they wish to engage. This relevant population may politically engage and this will encourage the host nation to redress any grievances. This may lead to a reduction of violence. This is all built on a foundation of education, empowerment, and participation. (See figure 10-1.)

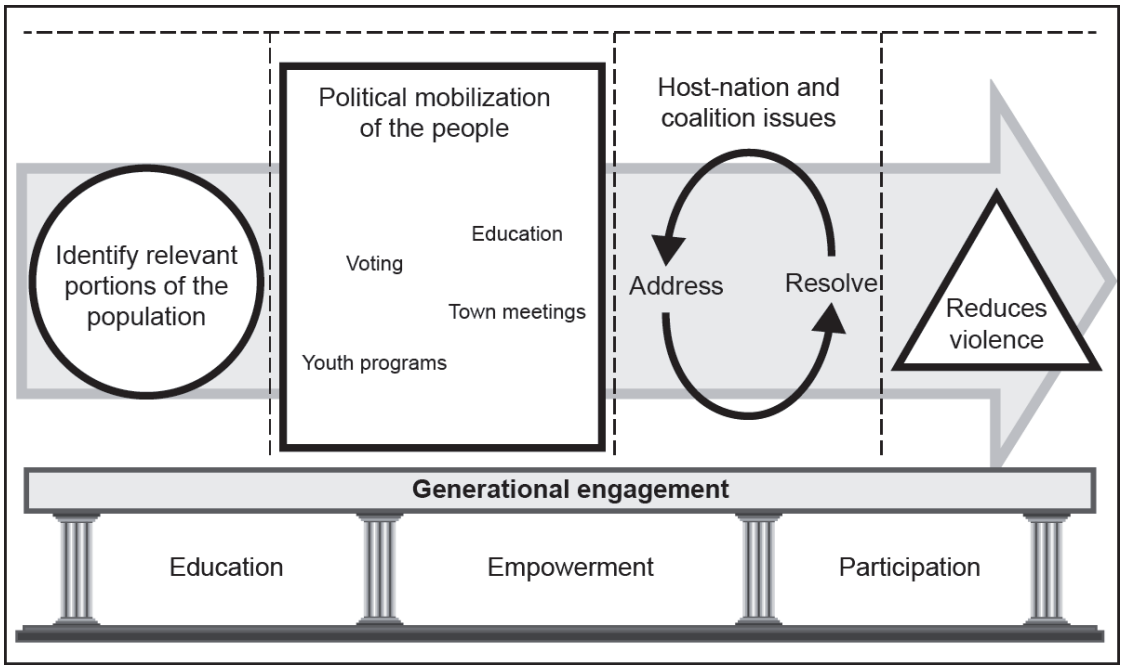

Figure 10-1. Generational engagement

10-9. Five principles are fundamental to generational engagement:

- Groups with whom counterinsurgents partner (such as nongovernmental organizations [NGOs]) must be seen as indigenous, not as foreign constructs.
- Independence of funding and resources are important. Support groups can lose credibility the more they are perceived as solely reliant on foreign funding, possibly due to a shift in priorities by a sole and influential benefactor. Organizations and their partners should identify alternative sources of support, including local sponsors, funding from the relevant ministries, or collecting dues from members.
- In selecting partners, counterinsurgents should not limit themselves to the vocal intellectual elite. If the insurgency is based on the root causes of a rural population, intellectual elites might not have legitimacy among the rural poor. Therefore, counterinsurgents should balance support between the central leadership and local branches in the provinces or townships (where youth engagement is usually most important).

- Expansion and membership numbers should not be used as a key indicator of success. It can be difficult to accurately track and confirm these numbers with national organizations. A more accurate measure is the staff, number of offices, actual activity levels, and efficacy. Activity reports and photos can verify progress.
- A main role for organizations is to make the connections between the local administrations and the provincial or national level government, as well as other stakeholders and peer organizations. At some point the NGOs will not be present to facilitate government access, and will be most effective when they facilitate cooperative and enduring relationships between the population and the government.

10-10. Generational engagement works with factions from a population to get them to see the benefit of participating in peaceful means to address their core grievances. Getting youths to understand the legal means they have to address root causes of conflict is a critical tool for reducing violence. If commanders and staffs believe that insurgencies may occur over extended periods, then some efforts must be made to engage this next generation of leaders who can establish a lasting peace. Engagement also has to be made with the intellectual elites of the country. They may still be residing in the country of conflict or in another country that has significant influence over the insurgent cause.

10-11. Soldiers and Marines planning to use generational engagement must identify relevant portions of the population through their planning. Plans and methods for engagements can vary, depending on the operational environment and the culture. This method is used in conjunction with direct methods as part of a comprehensive approach to combating insurgent forces. Counterinsurgents can make progress in defeating insurgent forces, but if they neglect the younger generation of the population they may lose the war. Continued and prolonged efforts must be made to ensure that counterinsurgents and the host-nation government are seen as positive influences. The population must identify with and trust their government. Counterinsurgent efforts are coordinated and tracked through continued assessments to ensure success.

10-12. Counterinsurgents engage with young factions of the population by implementing youth programs. Counterinsurgents also participate in local council meetings that include representatives from different generations of the population.

10-13. The idea behind these engagements is that they are initiated by the counterinsurgent forces and eventually taken over or continued by the host nation. It is not enough for the host nation to just continue to implement these engagements, rather the host nation must make every effort to ensure that these elements of the population identify more with the government than with the insurgents. Local leaders who identify with the government must be protected and supported.

10-14. Some examples of generational engagement can be as simple as ensuring that schools are open and available to students and ensuring adequate access to medical attention as part of the effort to ensure essential services. This can address younger portions of the population who, over the long term, will have a positive view of counterinsurgents and the efforts of their own government to ensure for their care and protection.

10-15. Some examples of generational engagement along the governance line of effort can include recruitment of younger influential leaders and including others in the electoral process. This may be difficult based on the culture in which counterinsurgents are operating because some cultures only allow for leadership positions for older members of the population. If members of the younger generation cannot assume roles in the government, they can still be encouraged to participate in the governance process and feel that they have a place where they can make their views heard by their local government.

10-16. Local participation that builds civil society has proven important in countering an insurgency. This can be essential in building legitimacy for a host government. For example, in Vietnam, the U.S. military and Department of State, along with the government of South Vietnam, established several youth groups that were very successful. One example, the 4-T Youth Club, was modeled after the American 4-H organization. Over 2000 4-T clubs served as a model of success for organizing youths at the grassroots level. A host government is essential in building local participation and a civil society. The Republican Youth Movement, National Revolutionary Movements, and Personnel Labor Revolutionary Parties were all models of successful youth engagement. These efforts increased the legitimacy of the host nation while decreasing the ability of the insurgency to recruit. These programs were generators of self-esteem for the

participants and worked out pent-up student energy by deploying them to the provinces. In Vietnam, youth programs proved beneficial.

10-17. Outside groups can be very effective at generational engagement. For example, the Afghanistan Youth National and Social Organization is a non-profit, non-governmental organization that enrolls young Afghani males. It has district chapters, made up of around 45,000 dues-paying members, it enjoys a great deal of autonomy, and it organizes according to the needs of its local members. Its civic education program educated Afghans about their political rights and obligations, and it strengthened dialogue between local leaders and government officials. The importance of engaging local youth in Afghanistan was indicated in after action reviews and outside groups play an important part in building civic society. In sum, a non-governmental organization was effective at engaging the population and encouraging dialogue.

10-18. The first step that counterinsurgents can take to ensure that this happens is by leveraging key leadership at the local and district levels to meet with and discuss significant issues with the population. Just meeting with the younger elements of the population will not constitute completion of generational engagement. There must be efforts to follow through on major discussion topics and resolve issues that are significant to them. Where counterinsurgent forces are able to, they must continue to push local leaders to not just meet with them but also to address and resolve issues. This can be done initially by counterinsurgents and eventually by the host-nation government in concert with host-nation security forces.

10-19. Lastly, host-nation security forces must ensure that these actions are taken and that they are perceived as supportive of all elements of the population. This may done initially with counterinsurgent forces as the lead elements and later as host-nation forces develop their ability to take the lead on providing security as a supporting element of government representatives.

NEGOTIATION AND DIPLOMACY

10-20. Negotiation and diplomacy are ways to resolve or defeat an insurgency. Counterinsurgents must influence the host-nation government and its subordinate elements (for example, the office of land reform) to remove the root causes that have led to acts of subversion and violence in order to seize, nullify, or challenge political control of a region. (See figure 10-2 which shows the process of negotiation and diplomacy.)

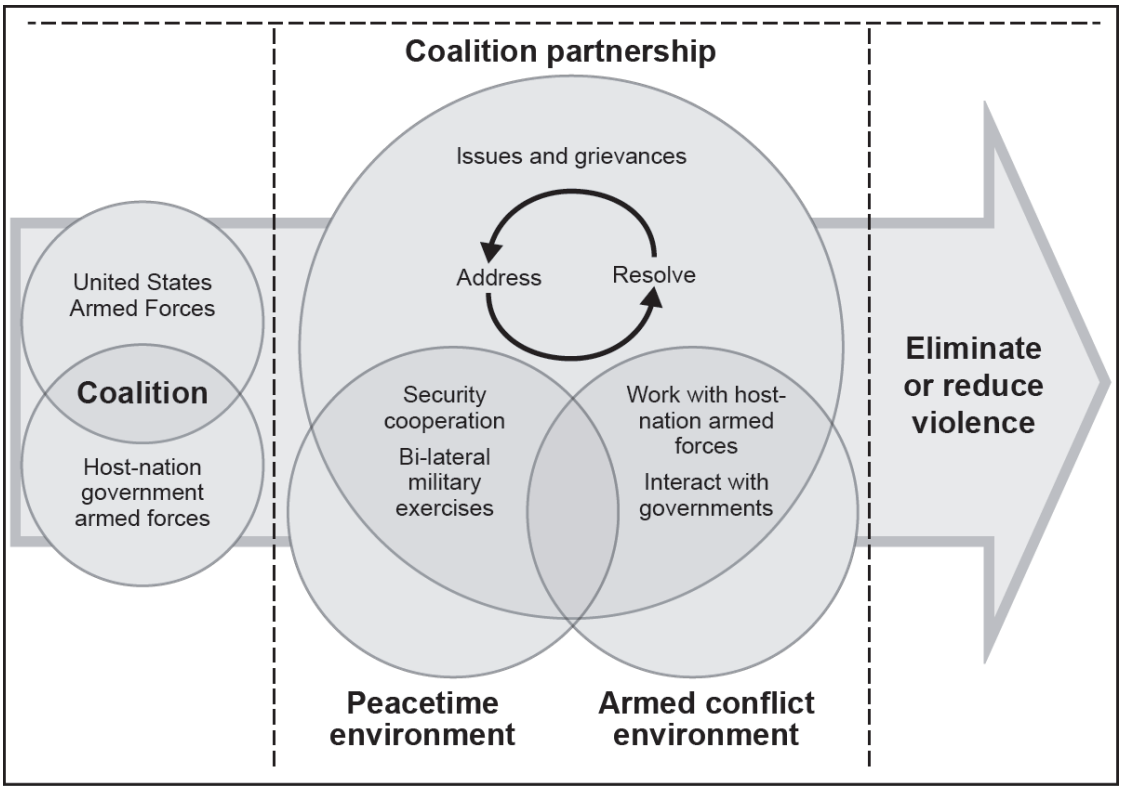

Figure 10-2. Negotiation and diplomacy

10-21. The goal of negotiation and diplomacy is to address the insurgent root cause and therefore reduce the causes for armed conflict. If a host nation can be influenced by U.S. government or military personnel to peacefully address root causes, then the expected outcome is a reduction in violence and bringing the insurgents into the political process to have their issues resolved peacefully. If the host-nation government can do this successfully, the insurgency may not totally go away, but it may only use force of arms in a limited context that would manifest as limited insurrections compared to a full blown armed insurgency.

10-22. The U.S. has many tools at its disposal to influence a host nation in addressing the root causes of an insurgency. For example, economic and military aid can be tied to certain actions or standards of behavior by a host nation. Counterinsurgents must also evaluate how their actions help shape the environment. Contracting, for example, has direct links to the economy and the society. Using contracts to encourage a host nation to address root causes is another possible tool. In sum, commanders should make an assessment of how they are interfacing with a host nation and determine what tools are available to enable and encourage the host nation to take the needed actions to defeat an insurgency.

10-23. In an armed conflict environment where U.S. forces have been sent in to assist a host nation to fight its insurgency, U.S. military personnel can work with the host-nation armed forces to reduce causes for conflict, and U.S. military personnel can also interact with U.S. and host-nation government personnel to take steps to peacefully address core grievances and root causes of conflict.

10-24. In a peacetime environment where U.S. forces are not committed to help a host nation combat its insurgency, U.S. military personnel can lessen the causes of a potential crisis or insurgency in the conduct of security cooperation activities and bi-lateral military exercises. If one of the insurgents' root causes is against the host-nation military for human rights abuses or using heavy handed tactics with the local population, U.S. military personnel can work with the military wing of the government to find alternative ways of dealing with the population.

IDENTIFY, SEPARATE, ISOLATE, INFLUENCE, AND REINTEGRATE

10-25. Identify, separate, isolate, influence, and reintegrate is a method that combines several activities that affect relevant population groups. This can be done in both high threat situations and situations where the insurgency is at its infancy and combat is less intense. This method works by, with, and through the host nation; however, it may have some elements which Soldiers and Marines are directly interacting with a local population.

10-26. Identify, separate, isolate, influence, and reintegrate is a proactive method of addressing root causes before a full blown armed insurgency can develop. Its purpose is to identify and separate the insurgents from the population. This is a primary requirement for forces conducting counterinsurgency. By identifying who is an insurgent and who is not, and then applying resources to separate insurgents from the population, commanders and planners can more effectively focus their efforts on making the insurgency feel isolated. Insurgents may then believe that their causes for conflict are not supported by the population. Once the insurgent leaders and members feel isolated from the population, peaceful efforts can be made to influence insurgents to surrender, return, and be reintegrated into society.

10-27. Commanders conduct a detailed assessment of the insurgent and population networks before executing the identify, separate, isolate, influence, and reintegrate method. This assessment guides the application of individual means to disassemble the insurgent network. Joint forces and other actors may enter the process at many different stages; therefore, assessment is a continuous process used to guide decisionmaking throughout operations.

IDENTIFY

10-28. The identify, separate, isolate, influence, and reintegrate method is used to divide and conquer the insurgency, including all elements of the insurgency listed in chapter 4. The U.S. Marine Corps refers to these as identity operations (See Marine Corps order [MCO] 5530.17), while the Army uses identity activities. The elements of an insurgency are the leadership (including the political cadre), guerilla units, auxiliary forces, and the underground elements. Although all elements of the insurgent network should be identified, the main target of the identify, separate, isolate, influence, and reintegrate effort is to identify the guerillas and eventually neutralize them, since they are the main source of the violence. Military operations should support the host nation in any thorough population screening to identify and eliminate insurgents and to identify any lingering insurgent support structures.

10-29. Operations that support identity activities include—

- Raids and cordon operations.
- Base access, checkpoints, and protection of critical sites.
- Area security operations.
- Border control and ports of entry.
- Site exploitation.
- Population census using biometric data collection devices and mapping the human environment and patterns of life
- Medical capacity and tracking medical records.

10-30. Tools to support identity activities include—

- Biometrics and biometrically enabled intelligence collection.
- Tip lines.
- Civil records (land documents and registration databases).
- Reward programs (paying civilians to identify insurgents and their networks).
- Forensics and forensics-enabled intelligence collection.
- Document and media exploitation.

SEPARATE

10-31. While killing or capturing insurgents in counterinsurgency operations may be necessary, an alternate and still effective method in the long run is to separate an insurgency from the population, the second phase of the identify, separate, isolate, influence, and reintegrate method. Counterinsurgents need to isolate their adversaries from the relevant population, both physically and psychologically. At the same time, counterinsurgents should also seek to bolster their own legitimacy and credibility to exercise influence over that same population.

10-32. Establishing security forces in bases among the population furthers the continued separation of the local insurgents and the population. The success or failure of the effort depends on effectively and continuously securing the population. In some cases, it may be useful to physically secure an area using barriers or other means.

10-33. Combined action programs, such as community stability operations, are local level stability operations designed to augment wider counterinsurgency operations. Village or community stability operations can work in areas with limited insurgent activity and attempt to establish security and stability "bubbles" around rural communities. These cordons are created and ideally expanded to make the area inhospitable to insurgents and enable legitimate local governance, which further separates the insurgents from the local population. (See JP 3-24, chapter 5, for more information on stability operations.) Appropriate tasks for units include, but are not limited to, the following:

- Helping host-nation security forces maintain entry control points.
- Providing reaction force capabilities through the parent unit.
- Conducting multinational, coordinated day and night patrols to secure the town and area.
- Facilitating local contacts to gather information in conjunction with local host-nation security force representatives.
- Training host-nation security forces in leadership and general military subjects, so they can secure the town or area on their own.
- Conducting operations with other multinational forces and host-nation units, if required.
- Operating as a team with host-nation security forces to instill pride, leadership, and patriotism.
- Assisting host-nation government representatives with civic action programs to establish an environment where the people have a stake in the future of their town and nation.
- Protecting host-nation judicial and government representatives and helping them establish the rule of law.

10-34. The lines of operations that support the separation process include—

- Sweeps and cordon and searches.
- Combat outposts.
- Village and community stability operations.
- Border operations and port of entry operations.
- Strikes, raids, and ambushes.
- Interdiction operations.
- Military deception and military information support operations.
- Electronic warfare.
- Information collection.

ISOLATE

10-35. The isolation phase objective is to break the psychological and physical links between insurgents and the remainder of the insurgent organization and its support base. The first step in this segregation is to identify vulnerabilities of the insurgents. This requires a deep understanding of the operational environment and, more specifically, an understanding of all the adversaries (for example, the insurgent network, transnational terrorists, and external supporters).

10-36. Counterinsurgents ensure efforts strive to physically isolate the insurgency in all domains (air, land, maritime, and cyberspace) from other nodes of the insurgent network. Ultimately this means controlling the physical and cognitive domains. However, completely controlling the domains at all times is not realistic.

10-37. Patrolling and cordon and search operations can physically isolate insurgents through capture or deterrence. Following these operations, counterinsurgents' treatment of captured insurgents has immense potential impact on insurgent morale, retention, and recruitment. Humane and just treatment may afford counterinsurgents many short-term opportunities as well as potentially damaging insurgent recruitment. Abuse may foster resentment and hatred, offering the enemy an opportunity for propaganda and assist potential insurgent recruitment and support. It is important that unless they are entitled to another standard based on status, all detainees or other persons captured in any conflict, regardless of how it is characterized, shall be treated, at a minimum, in accordance with Common Article 3 of the Geneva Conventions of 1949.

10-38. Isolation must include operations to counter the insurgency lines of communication to recruit, obtain funding, weapons, equipment, direct operations, or gain intelligence. Operations such as information operations, electronic warfare, and cyberspace operations are examples of efforts designed to detect and respond to enemy insurgent networks. These operations are vital as force multipliers to identify insurgent activities and create conditions to deny or defeat their operations.

10-39. In addition to physical and psychological isolation, efforts to isolate the insurgency economically are necessary, but must be narrowly focused on the activities of insurgents. These efforts seek to isolate the insurgency as much as possible, as complete isolation of the insurgency is not realistic. If implemented too broadly, efforts to isolate may have a negative effect on the population and strengthen the insurgency. (For example, eradicating the poppy harvest in Afghanistan may have cut funding to the Taliban, but it also alienated the farmers who subsisted on the illicit crop.) Economic efforts to isolate an insurgent require both physical and informational interruption of financial, business, and criminal enterprises. Attempts to isolate insurgents from the population economically must be narrowly focused on the insurgents and minimize the effect on the population by offering viable replacement sources of employment and revenue. A primary means of the financial isolation is through counter threat finance operations.

10-40. The lines of operations that support the isolation process include—

- Border operations and port of entry operations.
- Strikes, raids, and interdiction operations.
- Counter threat finance.
- Military deception and military information support operations.
- Cyber electromagnetic activities.
- Electronic warfare.
- Intelligence operations.
- Information collection.

INFLUENCE

10-41. The intent to influence the insurgent network is for the population to abandon support to the insurgency's efforts. Planned influence operations should convey selected information and indicators to insurgent networks to influence their emotions, motives, objective reasoning, and ultimately the behavior of insurgent network itself. While it is unlikely counterinsurgents will change insurgents' beliefs, it is possible to change their behavior. The counterinsurgency lines of effort (shown in figure 7-2 on page 7-9) support this behavior modification, but to further mitigate the insurgent threat to the host nation, additional programs should be offered as enticement solutions. In other words, counterinsurgents must leave a way out for insurgents who have lost the desire to continue the struggle.

10-42. Effective amnesty and reintegration programs provide insurgents this avenue; amnesty provides the means to quit the insurgency and reintegration allows former insurgents to become part of greater society. Rifts between insurgent leaders, if identified, can be exploited in this fashion. Offering amnesty or a seemingly generous compromise can also cause divisions within an insurgency and present opportunities to split or weaken it. Counterinsurgents can also act to magnify existing rifts. If insurgent forces are

expelled or have broken into smaller groups, they must be prevented from reentering the area or reestablishing an organizational structure inside the area.

10-43. Amnesty programs provide a means for members of an insurgency to stop fighting. The essential part of an amnesty program is that insurgents believe they will be treated well and protected from their former comrades' potential reprisal. Thus, counterinsurgents must have detailed information operation plans to inform the insurgents about the program, to turn themselves in, and to support subsequent amnesty efforts. Pragmatism must be the first consideration of amnesty programs, not ideology or vendetta. Counterinsurgents also must have methods to protect the former insurgents. Incentives for disaffected insurgents or their supporters are important, especially modest monetary rewards.

10-44. Turning former insurgents against their previous comrades can prove invaluable to counterinsurgency efforts. Former insurgents can provide vital information and even become valuable allies and combatants. However, information provided by a former insurgent must be evaluated and validated to prevent misinformation and deception. Incentives and a sense of fair treatment by counterinsurgents are vital to effective defector programs, which are also dependent on effective information operations so insurgents are aware of their options. Insurgents may be prone to defect when conflict has been prolonged, the broad population is weary of conflict, or if the insurgents have an uneven sense of purpose or drive. Defector knowledge of how the insurgents are led, organized, and operate can prove invaluable. This can include personality profiles of insurgent leaders, current communication procedures, plans, and tactics, techniques, and procedures. This detailed intelligence is difficult to gain without defector operations.

10-45. The influence lines of operations include—

- Information operations.
- Military information support operations.
- Military deception.
- Cyber electromagnetic activities.
- Engagement.
- Stability operations.
- Defense support to public diplomacy.
- Negotiation and diplomacy.
- Targeted strikes and raids.
- Support to amnesty programs.

REINTEGRATE

10-46. The objective of reintegrating an insurgent is for the former insurgent to become a productive member of the society. Military forces, governmental organizations, NGOs from the international community, and the host nation must cooperate to plan and execute reintegration programs. Former insurgents must develop confidence in reintegration and the organizations charged with implementing it. To build this confidence, reintegration programs must be holistic and encompass efforts to restore the society, the government, and the economy at all levels.

10-47. Reintegration programs should help protect and empower moderate insurgents from extremist influence and encourage them to not rejoin the insurgency. Programs must be tailored for each area and insurgency. They can include vocational, educational (especially reading and writing), and religious programs. The employment opportunities extended to former insurgents depend on an effectively governed, viable economy with an active market sector. If the reintegration process does not provide alternative economic opportunities to the former combatants, the likelihood of their return to violence substantially increases.

10-48. Demobilization of insurgents normally involves the controlled discharge of active combatants from paramilitary groups, militias, and insurgent forces that have stopped fighting. Demobilization under these circumstances may include identifying and gathering ex-combatants for demobilization efforts. Demobilization involves deliberately dismantling insurgent organizations and belligerent group loyalties, replacing those with more appropriate group affiliations, and restoring the identity of former fighters as part

of the national population. The demobilization of insurgents enables the eventual development of value systems, attitudes, and social practices that help them reintegrate into civil society.

10-49. Reintegration is the process through which former combatants, belligerents, and displaced civilians receive amnesty, reenter civil society, gain sustainable employment, and become contributing members of the local population. It encompasses the reinsertion of individual former insurgents into host-nation communities, villages, and social groups. Reintegration is a social and economic recovery process focused on the local community. It complements other community-based programs that spur economic recovery, training, and employment services. It includes programs to support resettlement in civilian communities, basic and vocational education, and assistance in finding employment in local economies. It accounts for the specific needs of women and children associated with insurgent and other armed groups.

10-50. Insurgents, when properly protected, reintegrated, and well treated, can become positive members of their community. Conversely, unprotected, poorly prepared, or poorly treated former insurgents will become powerful propaganda opportunities for the insurgents. Reintegration processes and programs, such as host nation-led moderate ideological or religious education and job training, should be started early in the reintegration process.

10-51. Counterinsurgency operations ultimately support reintegration through the integration of the stability functions in planning and execution. The stability functions are security, governance and participation, humanitarian assistance, rule of law, and economic stabilization and infrastructure. Specific consideration within stability operations to support the reintegration process include—

- Civil-military operations and commander's emergency response program funds for special projects.
- Support to civic education projects.
- Support to employment programs.
- Support to relocation to prevent reprisals.
- Support to integration into the political process.
- Support to transitional justice.

10-52. The importance of influencing members of an insurgency to surrender cannot be overstated. The importance of how a former insurgent is reintegrated into a peaceful society is also critical because the way a war is won will decide how long the peace will last.

10-53. Counterinsurgents should offer surrendered insurgents generous terms, and counterinsurgents should follow those terms. By separating an insurgent from the population, commanders and staffs make that insurgent feel vulnerable and also take from the insurgency a means for recruitment and logistic support. Planners and commanders should work toward creating liberal and generous surrender terms. Counterinsurgents must protect surrendered insurgents from reprisals from their former insurgent colleagues.

OTHER INDIRECT ENABLERS

10-54. The U.S. can integrate enablers into a host nation's counterinsurgency efforts. These enablers can provide intelligence or prevent the flow of resources to a counterinsurgency. Various intelligence capabilities, such as signals intelligence, human intelligence, and geospatial intelligence, may be essential to a host nation's counterinsurgency. Sharing of information from these sources may enable a host nation to defeat an insurgency. Also, other enablers, such as airlift capabilities, might be important for counterinsurgency. Another capability that can be integrated into a counterinsurgency effort is counter threat finance. Counter threat finance works to detect, counter, contain, disrupt, deter, or dismantle the transitional financing of state and non-state enemies threatening the U.S. Counter threat finance can deny an insurgent access to vital funding streams by identifying the sources and conduits of funding. In counterinsurgency, this can play an important role because of the connection between insurgencies and black markets. It provides one means to prevent an insurgency from obtaining resources. (For more information on counter threat finance, see ATTP 3-07.20/MCRP 3-33 and DODD 5205.14.)

10-55. The effective integration and synchronization of many capabilities, organizations, and functions that support the collection, analysis, exploitation and sharing of identity information leads to the identification of threat personnel, groups, and networks. These capabilities include biometric data, forensic data, document and media exploitation, intelligence, and other information exchanges. Identification of personnel allows multinational partners to prevent or mitigate insurgents or counterinsurgents from conducting operations among the innocent population. U.S. forces must comply with U.S. Army Forces Command predeployment training requirements. These requirements (such as training in personnel recovery, mitigation of insider threats, biometrics, languages, and cultural awareness) will further enable U.S. forces in a counterinsurgency environment.

INTEGRATED MONETARY SHAPING OPERATIONS

10-56. Integrated monetary shaping operations are the use of monetary resources, provided with various types of aid (for example, economic, financial, humanitarian, or developmental), involving the voluntary transfer of resources (for example, money, equipment, knowledge, or training other than military) from U.S. or unified action partners to a host nation, directly or indirectly, for mutual benefit. (See ATP 3-07.20/MCRP 3-33.1G for more information on integrated monetary shaping operations.) Integrated monetary shaping operations are the coordinated use of money, goods, or services to support the commander's objectives. They are a means to an end. Integrated monetary shaping operations are used to attack sources of instability, build partnerships, and provide for economic stabilization and security. Integrated monetary shaping operations have two major components:

- Supporting operations by funding developmental assistance, infrastructure, and governance support projects to win the support of an indigenous populace and erode support for the adversary.
- Denying adversaries sanctuary and operational flexibility by hindering their ability to reliably fund operations.

10-57. Integrated monetary shaping operations can be an effective tool to stabilize the security environment. However, they can also undermine both the local and national economies. One essential consideration of counterinsurgencies is to understand that long-term counterinsurgency efforts have an economic impact on the host nation. Additionally, the implementation of funding and projects can have negative secondary and tertiary effects. Commanders should recognize decisions over which contractors, communities, and individuals are chosen to receive funding could create winners and losers in their area. These effects can exacerbate tensions in the area. Finally, a counterinsurgency can last many years, and this effort can distort the pricing of goods and services within the local and national economy. Counterinsurgents must understand that they can undermine their own efforts by demanding goods in such quantities that they fundamentally alters market forces, which results in economic dependence on the counterinsurgency. This can result in economic problems that can undermine the host nation's stability when the external counterinsurgent departs.

10-58. Integrated monetary shaping operations can be effective, but they should be linked into an overall development plan. Without that link, the haphazard use of money can be highly destructive to an economy because it creates an unsustainable economy once the counterinsurgent leaves. The basic point of integrated monetary shaping operations is primarily to be a catalyst for long-term and natural development and only secondarily to meet short-term needs or security concerns. Counterinsurgents must understand that interactions with the local culture do have far-reaching effects. The host-nation economy is one area where counterinsurgents can have both positive and negative effects.

10-59. Integrated monetary shaping operations can also inform a commander's situational understanding. Property ownership records include census records, deeds, and other means of determining ownership of land and buildings. They help counterinsurgents to determine who should or should not be living in a specific area and help them secure the population. In some cases, it may be necessary for Soldiers and Marines to go door to door and collect census data themselves.

10-60. Financial records can provide information on sources of insurgent funding. Collection of financial records often requires help from agencies like the Department of the Treasury and financial institutions. It may require analyzing criminal activities or traditional means of currency transfer.

10-61. Property ownership and financial records can reveal information about the structure of a society. Who owns and controls land and who controls debt provide some information on who may be a power broker in a particular society. Finding these individuals or institutions provides greater situational understanding for counterinsurgents.

10-62. Integrated monetary shaping operations can be used to aid stability efforts. Applicable funding authorities guide what types of uses of money are authorized. If authorized for the area of operations, some possible uses of money include—

- Repairing damage resulting from operations.
- Providing condolence payments to civilians for death or injury resulting from operations. This type of payment must be in accordance with prevailing standards for payments of solatia, a victim's bereavement fund, or compensatory statutes provided by donor agencies and the United Nations. (Counterinsurgents must be aware of the going rates and, as far as possible, ensure that the right messaging is provided to the village or other district leadership where death or injury has occurred resulting from operations.) Further, counterinsurgents must guard against payment for injury or accident becoming a means of extortion or harassment.
- Funding civic clean-up projects and other sanitation projects and equipment to provide those services.
- Funding small-scale infrastructure improvements to improve the quality of life of citizens.
- Funding agricultural projects to improve farming practices, improve livestock health, or implement cooperative farming programs. This type of activity should be conducted in consultation with donor agricultural agencies or the host-nation departments of agriculture to ensure that land rights and water rights of communities are not infringed and crop management is according to agriculturally sustainable principles.
- Repairing civic and cultural sites and facilities. Preservation of cultural heritage is a sensitive issue and due respect to the site or culture and its practices must be adhered to. Counterinsurgents might be better to maintain a low profile and let the cultural leaders take a leading role in this initiative.
- Repairing institutions and infrastructure critical to governance and rule of law (such as prisons, courthouses, and police stations).
- Purchasing education supplies or repairing infrastructure critical to providing education to the local population.
- Paying rewards, often discreetly, to citizens who provide information on enemy activities and locations.
- Supporting the creation, training, and operation of host-nation security forces.
- Funding events and activities designed to build relationships with host-nation officials and citizens.

Money Usage Principles in Counterinsurgency

10-63. Seven principles can help guide the commander and staff in integrated monetary shaping operations in a counter insurgency. They are—

- Host-nation ownership.
- Capacity building.
- Sustainability.
- Selectivity.
- Partnership.
- Flexibility.
- Accountability.

Host- Nation Ownership

10-64. Units must ensure that there is counterinsurgent and host-nation ownership of any project. The local population and local government officials should view any project as their own and not one that has

been imposed on them by outside agencies. A project that has been conceptualized, funded, and constructed at the local level legitimizes the local government in the eyes of the population and further contributes to stability. However, host-nation officials might lack the capacity to implement and manage the project. Counterinsurgents often consult development agencies to promote adequate ownership and accountability for projects.

Capacity Building

10-65. Capacity building involves the transfer of knowledge, techniques, and skills to the local people, institutions, and government. This transfer enables those people to develop the capabilities to deliver essential services to the population. Ultimately, the local officials and institutions that gain capacity are better prepared to lead their regions through political, economic, and security-related issues.

Sustainability

10-66. The principle of sustainability states that commanders should design and select projects and services that have a lasting effect on the local population. In other words, the impact of the projects under consideration must endure after forces hand over the facility or service to local authorities and the unit (or contractors) departure from the site. Sustainability implies that the local government has the necessary resources to staff and maintain the project. There are examples where commanders have failed to conduct adequate analysis and built new schools or medical clinics only to discover that too few teachers or doctors were available to staff these facilities. Similarly, some commanders have purchased large generator systems to address electricity shortfalls for neighborhoods within their areas of operation. However, without addressing the fuel, maintenance, and service requirements of these systems, the machines eventually failed and were unable to serve as a sustainable solution for the local electrical deficit.

Selectivity

10-67. The development community defines the principle of selectivity as the allocation of resources based on need, local commitment, and foreign policy interests. These characteristics, while strategic, are equally important at the tactical level. Commanders seldom receive all of the financial resources they would like to have when implementing their essential service, economic, and governance lines of effort. Therefore, commanders and staffs allocate the available resources into select areas where there is a strong local commitment to the reconstruction program, where the project can positively impact the most people, and where the project under consideration can simultaneously best achieve the commander's intent.

10-68. Commanders and staffs carefully research nominations, adopt best practices, and design for local conditions in their proposed projects. Commanders assess local conditions before investing financial resources into any potential relief or reconstruction program. Commanders and staffs do not invest money in an intelligence vacuum. They consider all available information about local conditions (such as the population's requirements, animosities, traditions, capabilities, and economics). A detailed assessment of local conditions will best inform the commander on the project's potential to deliver its desired effects. Each project should have a clearly defined, decisive, and attainable objective. Commanders and staffs must assess potential unintended results from their integrated monetary shaping operations. Many second or third order negative effects from a project may potentially outweigh the benefits from the original commander's intent.

Partnership

10-69. The principle of partnership involves close collaboration with local governments, communities, donors, nonprofit organizations, the private sector, international organizations, and universities. Partnership plays a central role in any relief, reconstruction, or development program, as it supports each of the other principles of reconstruction and development. In the context of money in integrated monetary shaping operations, effective partnership ensures the unit's financial resources are well invested and synchronized to support the host nation's internal defense and development programs and support other U.S. government strategic objectives for the country.

Flexibility

10-70. The principle of flexibility mandates that units adjust to changing conditions, take advantage of opportunities, and maximize effectiveness as part of their reconstruction and development program. Just as the conditions for offensive and defensive operations are often changing and uncertain, so are the relief and reconstruction tasks associated with stability operations. These conditions often require commanders to change tactics to achieve desired objectives.

Accountability

10-71. Enforcing accountability, building transparency into systems, and emplacing effective checks and balances to guard against corruption are important components to any relief, reconstruction, or development program. Accountability in all actions, to include the unit's integrated monetary shaping operations, reinforces the legitimacy of the commander and operations, as well as the legitimacy of the local government, in the eyes of the population. (See ATP 3-07.20/MCRP3-33.1G for more information on integrated monetary shaping operations.)

Chapter 11
Working With Host-Nation Forces

11-1. The use of security cooperation tools to build governmental capability, including building a host nation's forces, may be essential. In the eyes of a local population, the credibility of the host-nation government is vital in counterinsurgency efforts to address the threat and conditions of instability. The host nation's military, police, and paramilitary forces are often the most visible elements of a host-nation government's power and authority. Therefore, building the capacity of a host nation's security forces should work toward improving the security force's competence, capability, commitment, and confidence. (See table 11-1.)

Table 11-1. Developing a host-nation security force

Developmental Area	*Developmental Indicators*
Competence	Host-nation security forces must possess and demonstrate individual and collective skills in their respective warfighting or law enforcement tasks. They must also support institutional functions.
Capability	Host-nation security force organizations must be appropriately sized to accomplish their respective missions. A host-nation security force must be adequately manned and equipped at a level that is sustainable, given that host nation's own resources. A host-nation security forces' supporting institutions, such as their national level force generation and logistic agencies, must be organized and directed in a manner that adds value to the lower-level, host-nation security forces' mission requirements.
Commitment	A host-nation security force must be committed to the peaceful transition of political power. It must also be committed to the security and survival of the state, the rule of law, the preservation of human rights, civil liberties for the population, and to fighting hard (when necessary) to defeat the active insurgency.
Confidence	A host-nation's population must believe that its host-nation security forces' actions are always in the best interests of the people. A host-nation government must believe that its host-nation security force supports that government's legal authority. Also, the international community must see a host nation's security force as a force for good that respects human rights and the international law of war.

11-2. To enable a host-nation security force to conduct counterinsurgency operations, United States (U.S.) or multinational forces conduct various security cooperation activities. Commanders often view host-nation security force development as an essential task and one of their primary lines of effort. The resulting increase in a host nation's ability to secure its own population yields significant benefits because host-nation troops are normally more effective in conducting operations among the local population than U.S. or multinational forces. Transitioning responsibility for operations to the host-nation security force reduces the visible presence of U.S. or multinational troops, further enhancing the legitimacy of the host-nation government.

11-3. Security cooperation can be an effective means to shape and aid a host nation's counterinsurgency efforts. In the case of El Salvador, the U.S. had limits on its level of direct involvement. The U.S. mainly

provided the government of El Salvador with security assistance. By following an effective strategy that linked this aid to governmental and military reform, the U.S. was able to shape the ongoing counterinsurgency and aid the government of El Salvador in defeating its insurgency.

Security Cooperation in El Salvador

In 1979, a group of disparate insurgent groups formed a coalition that would become a significant threat to the Salvadoran government. They were opposed by the Salvadoran armed forces, at that time a barracks-bound, defensively minded organization with severe deficiencies in command and control, tactical intelligence, tactical mobility, and logistics. The Salvadoran army did poorly in combat, and its only significant successes early in the conflict were in intimidating and massacring the civilian population.

The mid-1980s saw a massive U.S. aid effort, and considerable civilian and military reform. Congressionally constrained to an initial limit of no more than 55 military advisors and no combat troops, U.S. aid consisted of arms, military trainers, and reform and civic action programs. Several of these programs made slow progress because many in the Salvadoran military resented their imposition by an outside power.

Though resentful of the imposition, many in the Salvadoran military recognized the incentive structure, where much U.S. aid was contingent on improving El Salvador's human rights record. Salvadoran Defense Minister Vides Casanova said, "We know that improving our image is worth millions of dollars of aid for the country." Even if many Salvadoran counterinsurgents were principally motivated by the flow of foreign aid, they did learn, they did increase their competence, and they did improve their human rights behavior. The idea of focusing on all aspects of the struggle, political, social, economic, as well as military, had taken root and continued to the end of the war.

11-4. One issue with developing security forces in counterinsurgency is the issue of the quality versus the quantity of host-nation counterinsurgency forces. In the case of counterinsurgency, quality tends to be more important than quantity. While quantity and quality must be balanced to some degree and "quantity has a quality all its own" to the extent that too small a force will not be able to accomplish its mission, quantity is not a substitute for quality.

11-5. U.S. or multinational efforts to develop the capability and capacity of a host-nation security force must focus on operational and developmental needs of host-nation counterparts. Developing a sound plan to develop a host nation's capability to address the root causes of the insurgency requires a deliberate, comprehensive assessment of that host nation's security force. The set of metrics that the U.S. or multinational forces selects to assess a host-nation security force must be appropriate for the type of security force being assessed. For example, assessment of a host-nation army may require a completely different set of criteria from those used to assess a host-nation police force. Likewise, a host nation's border or customs police, local (city or county) police, and provincial, state, or national police must all be assessed according to their specific mission requirements, while taking into consideration that host nation's federal or local laws, political considerations, culture, and tribal affiliations.

ASSESSING AND DEVELOPING A HOST-NATION FORCE

11-6. Assessment of host-nation army or land forces typically comes more naturally to U.S. or multinational forces than assessing host-nation police forces. It is easier for a Soldier or Marine to assess another Army or Marine Corps unit than it is for a Soldier or Marine to accurately assess a police precinct, fire department, or sanitation department. Developing measures of performance and measures of effectiveness based on their standards and how effective those standards are is important. (See chapter 12 for more information on assessments.)

11-7. One method to create an assessment framework is to form a working group of subject matter experts. This working group will review any lines of effort and tasks identified by the host nation and recommend

additions and subtractions based on their expert opinion. They will then identify relevant objective and subjective metrics that accurately measure the capability and capacity of the security force based on its doctrine, organization, training, materiel, leadership, personnel, facilities, policies, and operations.

11-8. U.S. or multinational forces working to develop the capability and capacity of host-nation security forces during the course of counterinsurgency operations must understand the difference between the assessment of host-nation security forces and the fulfillment of higher headquarters' reporting requirements. Assessment requires a steady, persistent cycle of observation. Those observations help inform plans for subsequent security cooperation activities. They are also generally included in reports that help higher echelons make assessments of the overall effort. However, the data required for a report may not be enough to assess a host-nation security force. Historical examples of these kinds of reports include the operational readiness assessment submitted by advisor teams during operation Iraqi Freedom, and the commander's unit assessment tool prepared by advisors or partner units during operation Enduring Freedom in Afghanistan. Higher headquarters reports rarely constitute a complete assessment of the host-nation security force at the tactical level.

11-9. Learning from how a host nation fights could benefit U.S. and multinational efforts in countering an insurgency. When the U.S. decides to become involved in an insurgency, U.S. forces need to learn how the host nation fights. If possible, the U.S. should send officers and noncommissioned officers to the host nation's professional military schools. If the host nation does not have a developed institutional military, the U.S needs to find ways for leaders to observe how the host nation operates. To the extent possible, host-nation forces are built following host-nation doctrine or otherwise following the host nation's traditional organization and approach.

11-10. Security cooperation is a multi-echelon endeavor that builds the capability and capacity of a host-nation security force at the executive direction, generating force, and operating force functions. During counterinsurgency operations, U.S. or multinational forces may take a bottom-up approach to building a host nation's capacity to defeat the insurgency and defend its sovereignty by first developing host-nation security forces at the small-unit level. This approach buys time and space for a host nation to develop capacity at higher echelons. In time, a host-nation security force establishes the capacity to generate its own forces through recruiting, vetting, and induction of enlistees as well as officer candidates; initial entry training for all personnel, to include basic warrior or police skills and advanced technical, tactical, and leadership training; and processes for promotion, noncommissioned officer training, and senior leader training. A host-nation security force must also develop processes for acquisition and life-cycle management of major end items, as well as processes for procurement of all classes of supply, and contracting of other services or capabilities. At the executive direction levels, a host-nation security force must establish policies and a system of orders and directives that supports that host nation's statutory framework and drives standardization of policies and procedures through a top-down flow of information and a robust command inspection program. U.S. or multinational personnel charged with conducting security cooperation activities in a counterinsurgency environment must look beyond the immediate tactical conditions on the ground and collaborate with multiple agencies to develop the supporting infrastructure required for a host-nation security force to sustain and regenerate itself over the long term.

11-11. A bottom up approach does not negate the importance of strategic and operational planning in security cooperation. In fact, decisions made at the strategic level may have strategic value and yet make little tactical or operational sense to local commanders and staffs. The is especially true with foreign military sales. For example, the U.S. may sell a major weapon system to a host nation that has inadequate means to maintain and support that weapon system. However, the sale may accomplish an essential political goal, or it may ensure a continued relationship between the host nation and the U.S. If a host nation is dependent on the U.S. for maintaining a major weapon system, this gives the U.S. influence over that host nation's decisionmaking process. Tactical leaders must understand how their actions fit into the overall operational approach.

11-12. Counterinsurgency usually requires an adaptable campaign plan that includes specific objectives for all lines of effort, to include host-nation security force development. Comprehensive assessments of host-nation security force units conducted at regular intervals (possibly aligned with reporting requirements) provide critical information that can shape and inform U.S. or multinational units' goals and objectives for host-nation security force development. One proven technique for creating an adaptable

campaign plan is to prepare a draft plan prior to deployment, and then complete the plan once the initial assessment is complete. Following every subsequent assessment, the U.S. or multinational commander develops new goals and objectives based upon the developmental needs of the host-nation security force, and then the commander issues a fragmentary order with specific tasks for the advisor teams or partner units that support the new goals.

11-13. Host-nation security force developmental goals must include harmonized coordination among the various branches of the host-nation security force, particularly between the land forces and the police. All components of a host-nation security force must understand their own constitutional mandates and limitations. For example, a host-nation army must know if or when it has the authority to detain individuals suspected of a crime. Host-nation police forces must understand and support the rule of law, and ensure that their actions harmonize with the nation's criminal courts, as well as with the prison system. Finally, when U.S. and multinational forces advise host-nation security force personnel, they must conduct the proper troop-to-task analysis to ensure that land forces orient their operations according to host-nation army doctrine, while police forces should be employed in a way that meets the expectations of a host-nation government and the people they protect.

11-14. Monitoring of host-nation security forces serves multiple functions, including intelligence and operations security. U.S. or multinational forces must always be aware of a host-nation security forces leadership's loyalty to its host nation and be sensitive to any perceived intentions on the part of a host-nation security force that may run counter to legitimization of its nation's government.

11-15. Unified action partners advise host-nation security forces to affect changes in the way they operate. If host-nation security forces are efficient across all functions, no advising is necessary. However, the only way a host-nation security force will undergo enduring growth and improvement is if the motivation comes from within. Therefore, advisors must shape host-nation security force actions so that they make their own processes and their systems work as intended. Prior to and during deployment, advisors must apply a motivated approach to learning and understanding a host-nation security force's organizational design. To build effective working relationships, advisors need to possess a basic understanding of the host nation's culture, social mores, and taboos. Language capability (focused on rapport-building words and phrases instead of just operational jargon) further enhances an advisor's credibility and status. The ability to negotiate and communicate diplomatically is essential for effective advising.

11-16. Once the U.S. or multinational forces gain an understanding of their counterparts' culture and organizational design and have completed an initial assessment of the host-nation security force unit's capabilities and capacity, advising activities can commence. Advisors consider culture, resources available, and the base line assessment when choosing which advising task to employ when advising the host-nation security force. There are three tasks that impart knowledge to the host-nation security force: teach, coach and advise.

- Teaching involves a number of activities designed to impart knowledge or skills to host-nation security force counterparts, but the advisor or partner unit drives the process.
- Coaching also involves the transfer of knowledge, skills, and abilities, but host-nation security force units or individuals assume responsibility for applying what they have learned when executing counterinsurgency tasks.
- Advising simply involves providing advice to commanders and staffs on their actions. There is no longer a need to actively transfer knowledge. Advising is passive and allows a host nation to be the primary actor.

In many counterinsurgencies, the U.S. will only provide equipment, training, and advice. The host nation has a better understanding of the operational environment and is able to better maintain its legitimacy if it does not employ foreign forces directly. Advisors must keep in mind that they are also students and they probably have a great deal to learn from their host-nation counterparts. (See figure 11-1.)

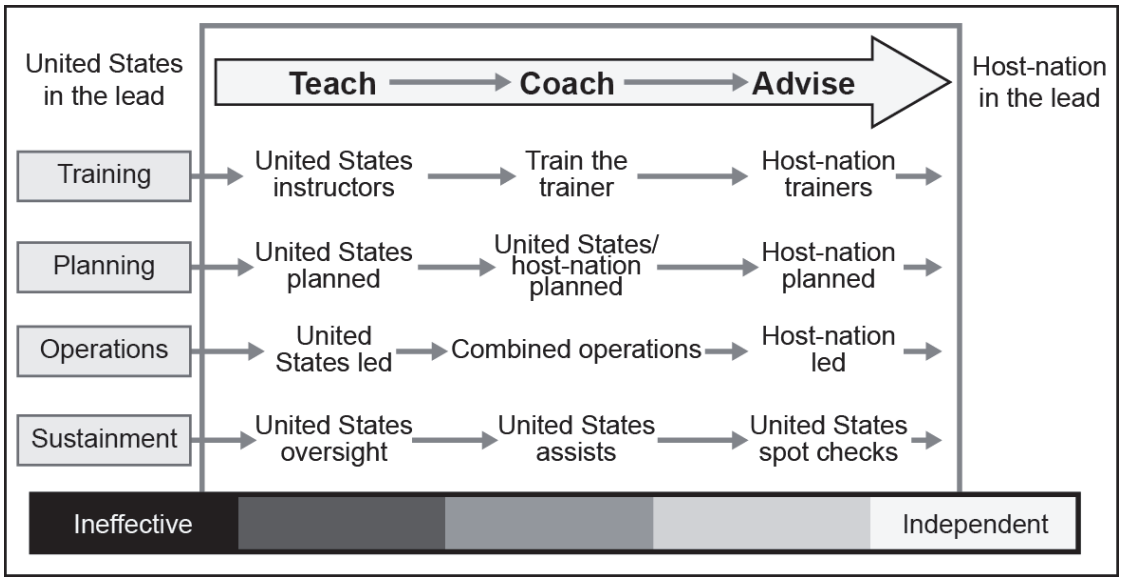

Figure 11-1. Host-nation security force meter

11-17. Regardless of the tasks taken to develop the capabilities of a host-nation security force, a key interest of security cooperation in counterinsurgency is to legitimize a host-nation security force in the eyes of its population. This is best accomplished by setting the conditions for a host-nation security force to conduct security and law enforcement operations independently and professionally.

11-18. Assisting a host-nation security force in counterinsurgency means providing or augmenting a host nation's security forces with U.S. or multinational capabilities or resources that they cannot generate on their own. Forms of assistance may include enablers such information collection assets and capabilities in support of a host-nation security force's intelligence collection efforts. U.S. or multinational forces may provide assistance in the form of certain battlefield effects such as close air support, electronic warfare, secure long-range communications, or information operations. Assistance to host-nation security forces often complements their nascent logistics capabilities, such as transportation or mobility, medical capabilities, or corrective maintenance support. Assistance may also come in the form of materiel support across one or more classes of supply. For example, the U.S. may provide a host nation with fuel under a bilateral agreement, even if that host nation could acquire its own fuel for operational efficiency. Historically, host-nation security force personnel have shown few reservations about asking U.S. forces for materiel or other forms of assistance. Before providing any of these types of assistance, U.S. forces must ensure legal authorities permit the assistance. When pressed for assistance of any kind, U.S. or multinational personnel should ask themselves three questions:

- Do my counterparts really need this materiel or capability to accomplish their mission?
- Is there any way host-nation security forces could procure or acquire this resource or capability using their own systems, processes, or methods?
- Can host-nation security forces sustain this system or capability over the long term?

11-19. Commanders and staffs should consider the following example. Host-nation security force counterparts suspect that insurgent forces have established camps on the far side of a ridgeline where they assemble and conduct final preparations prior to conducting attacks into major towns in the area. These counterparts ask if the U.S. commander can arrange for unmanned aircraft systems to maintain persistent surveillance over these suspected campsites to provide early warning of pending attacks. By posing the three fundamental questions listed in paragraph 11-18, it may be possible to determine other courses of action whereby a host-nation security force can produce and sustain the same effects. For example, the commander might offer a host-nation security force instruction on how to build an information collection plan and techniques for determining named areas of interest. Next, the advisors could coach their

counterparts on determining what capabilities they have at hand to observe those named areas of interest. Can they establish permanent outposts or temporary observation posts that overlook these named areas of interest? Can they establish or improve relations with local police forces or tribal networks to establish hotlines linking the local population and the host-nation security force? Host-nation security force personnel may often imagine U.S. or multinational technological or logistic capabilities as more powerful than they truly are, and they may also fail to consider or neglect their own capabilities that can ultimately create the same effect.

RELATIONSHIPS

11-20. Counterinsurgency operations require well-defined and understood relationships between U.S. and multinational forces and a host-nation security force. Insurgent forces will quickly identify and exploit gaps in counterinsurgents' leadership and cohesion. Clearly defined relationships that evolve as a host-nation security force's operational capabilities grow are essential for effective mission command and facilitate a smooth transition to a host-nation security force lead for security. Broadly stated, five possible command relationship types are worth considering for each specific counterinsurgency operation. These relationships are parallel, lead nation, partnered, integrated, and advisory. Each of these relationships requires U.S. or multinational forces to modify or adapt their organizations for combat to complement combined U.S. or multinational and host-nation security force counterinsurgency goals. (See figure 11-2.)

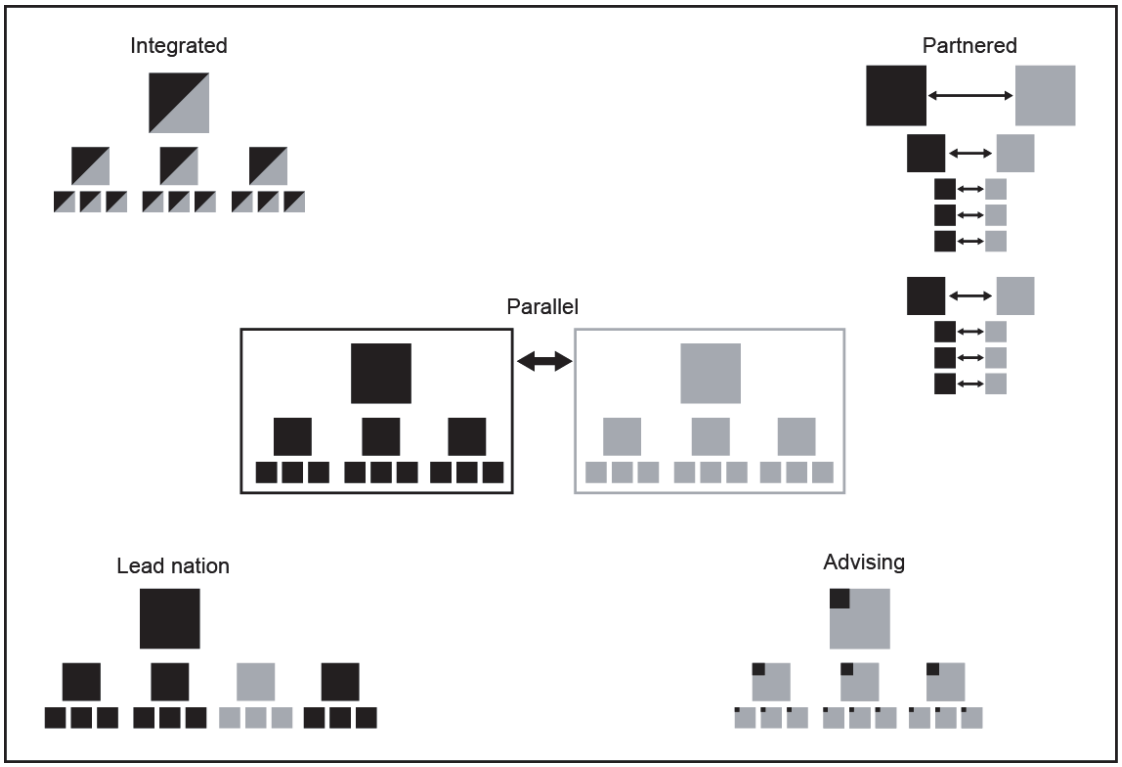

Figure 11-2. Counterinsurgency command relationships

11-21. These relationships are useful for tactical and operational forces to understand. However, they are also somewhat different than the relationships found in JP 3-16. While JP 3-16 outlines a command structure in which the joint force can integrate multinational partners, paragraphs 11-22 through 11-26 provide information for understanding how to integrate forces at the tactical and operational level.

PARALLEL

11-22. A parallel command is when U.S. or multinational forces maintain their own command structure with no integration or partnership with a host nation. Under a parallel command structure, no single force commander is designated. This arrangement is suitable when a host-nation security force has well established, mature operational and institutional capabilities, and U.S. or multinational forces deploy to provide additional capabilities. The relationship may be based on U.S. forces being given a specific task. For example, U.S. forces may only conduct raids or only gather intelligence for the national command authority. It can also be based on the U.S. forces being given their own area of operations within a host nation. This can be done for various reasons, including that the area is sensitive to host-nation forces and an external counterinsurgent may provide a temporary stabilization of the area. This arrangement supports unit cohesion, and it also supports unity of command.

LEAD NATION

11-23. A lead nation structure exists when all member nations place their forces under the control of one nation. This relationship works with one nation's forces in the lead, and the supporting nation provides a unit or units that are attached to and under operational or tactical control of the lead nation. This arrangement provides flexibility in that the U.S. or multinational force may initially serve as the lead nation, and as the operational capacity of the host-nation security force grows, the host nation can eventually assume the role of lead nation. In also provides a possible means for the U.S. to aid a host nation in an ongoing insurgency. For example, the U.S. could provide a brigade to a host nation in an ongoing insurgency. Like parallel command, this arrangement supports unit cohesion, and it also supports unity of command.

PARTNERED

11-24. This arrangement differs from parallel command in that U.S. or multinational forces and host-nation security forces are paired down to the small-unit level. Commanders and staffs must consider how to manage unity of command, logistics challenges, and language and cultural barriers. Partnering has the advantage of maintaining a degree of unit cohesion (individual units are still homogenous), and the specific capabilities of each nation's force can be leveraged down to the small-unit levels.

INTEGRATED

11-25. Integrate means to assemble forces from both the U.S. or multinational and a host-nation security force, and meld them into a single, inseparable unit. Integration, also referred to as augmenting, poses many challenges, but it has been used successfully in the past. For example, the Korean augmentation to the U.S. Army was a very successful program that integrated individual South Korean soldiers into Army units. This yielded units with enhanced manpower, and cultural and linguistic fluency, down to the squad level. The drawback is that integration requires significant time to institutionalize and does little to enable a host-nation security force as a whole to assume lead responsibility for operations. Integration requires a single shared language for all personnel, so either the U.S. or multinational forces will have to learn the host nation's language or host-nation security force personnel will have to learn English. Furthermore, integration of U.S. and host-nation security forces into a single coherent force requires significant combined training in individual and collective tasks, which will result in a period at the beginning of the deployment when the integrated force is not fully combat capable. This could result in extended deployment periods to compensate for this operational integration and training period. Finally, integration does little to build the capability and capacity of the host nation's ministerial-level leadership or the security forces' supporting institutions.

ADVISING

11-26. When host-nation security force units achieve a certain degree of organizational maturity at a specific echelon, U.S. or multinational forces may assign individuals or teams of advisors to perform any number of advisory tasks. One advantage of this approach is that is imposes the smallest possible U.S. or multinational force requirement. It also puts the host-nation security force in the most visible role of

providing security to local population. Finally, since the basing and force requirements are relatively small for U.S. or multinational forces, it is the most flexible and adaptable relationship. Advisor teams can be quickly reassigned to different host-nation security force units based upon capability gaps across the host-nation security force. (See FM 3-22 for more information on advisors.)

SECURITY COOPERATION PLANNING

11-27. Security cooperation activities occur across the range of military operations. Two important activities relevant to counterinsurgency are foreign internal defense and security force assistance. *Foreign internal defense* is participation by civilian and military agencies of a government in any of the action programs taken by another government or other designated organization to free and protect its society from subversion, lawlessness, insurgency, terrorism, and other threats to its security (JP 3-22). *Security force assistance* consists of the Department of Defense activities that contribute to unified action by the US Government to support the development of the capability and capacity of foreign security forces and their supporting institutions (JP 3-22). Moreover, security assistance, which includes activities in which the U.S. provides defense articles, military training, and other defense-related services by grant, loan or credit, could be important in equipping and resourcing a counterinsurgency force. Both foreign internal defense and security force assistance represent important defense activities to build the capacity of a host nation to defeat an insurgency. (For a further discussion on foreign internal defense, security force assistance, and security assistance, see FM 3-22).

11-28. Security cooperation activities are part of both strategy and policy. In planning security cooperation activities, combatant commanders start with the *National Security Strategy* issued by the White House and expanded upon in overarching Department of Defense (DOD) guidance documents. The *National Defense Strategy* influences the *Guidance for Employment of the Force*, which provides the parameters for combatant commands to develop their theater and functional campaign plans, which are the mechanisms to support the synchronization of the comprehensive civilian and military efforts specifically designed to end insurgent violence and facilitate a return to peaceful political processes. The combatant commander's plans are comprehensive, as they consider design, organization, integration, conditions and objectives for a region during steady state, crisis, and contingency (including counterinsurgency). DOD develops its plans, taking into consideration all relevant stakeholders (including other partner nations and international organizations.) These plans should incorporate the full range of capabilities that are required to meet the desired end state. These plans set conditions for actions that take place throughout all phases of joint operations. (See figure 11-3 for a graphic representation of this relationship.) (See FM 3-22 for a detailed explanation on security cooperation activities and planning.)

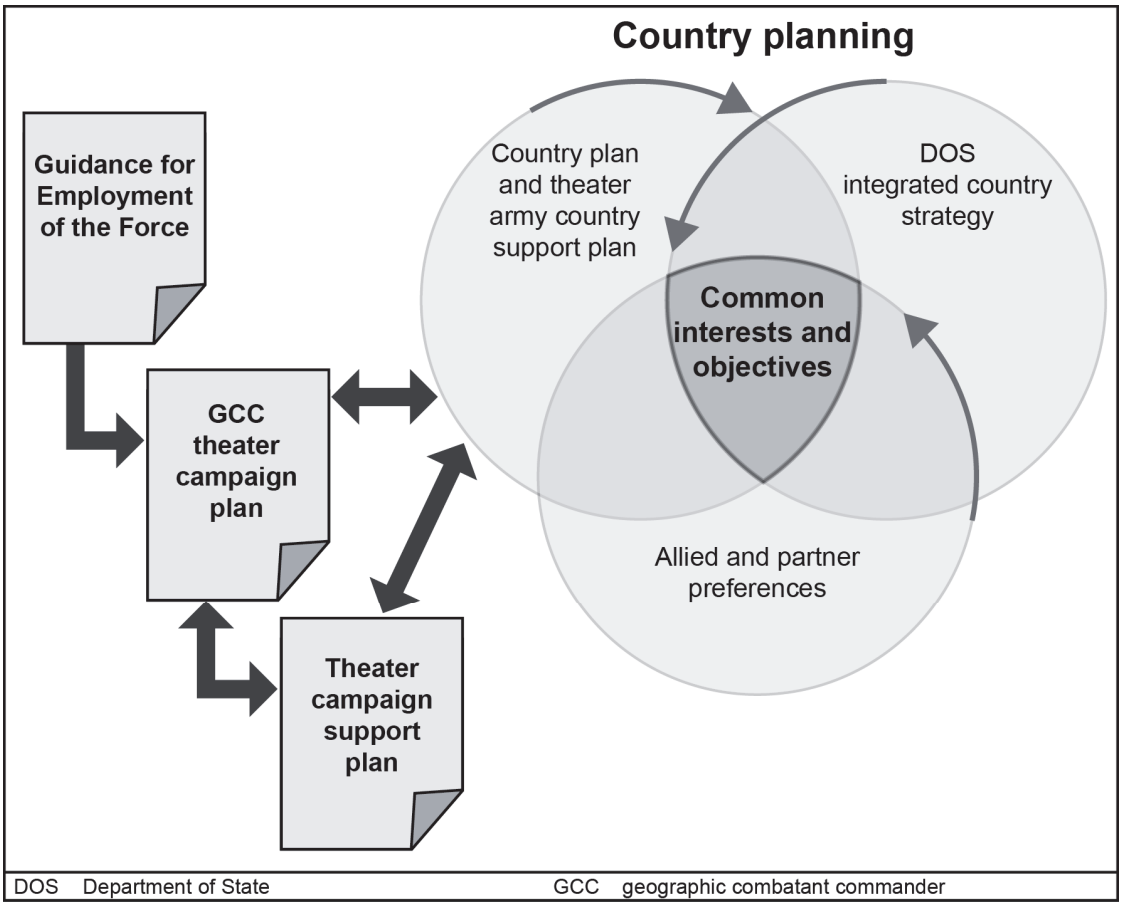

Figure 11-3. Country planning

JOINT PHASING MODE

11-29. Security cooperation takes place during all phases of the joint phasing model. Counterinsurgents may use security cooperation to prevent an insurgency before a major combat operation, during a combat operation, and after a major operation. This can also apply to an active insurgency. While the joint phasing model does not provide a universally prescriptive template for all conceivable joint operations, it does provide a flexible model to arrange operations. The operation plan consists of six phases:

- Phase 0, shape.
- Phase I, deter.
- Phase II, seize the initiative.
- Phase III, dominate.
- Phase IV, stabilize.
- Phase V, enable civil authority.

11-30. Shape, or phase 0, operations of the joint phasing model are joint and multinational operations that include normal and routine military activities. During phase 0, both the Army and Marine Corps perform security cooperation activities as directed in higher plans and orders to indirectly support a host nation in countering an insurgency. Since security cooperation operations can continue through all phases of the operation, many of the activities, such as foreign internal defense direct support and foreign internal defense combat operations, must have the unified application of U.S. forces to achieve the desired effects in countering insurgent operations. This is critically important as these efforts are important elements in phases II and III. Foreign internal defense, security force assistance, and other security cooperation

activities are essential throughout the phases of any operation. (See JP 5-0 for more information on the joint phasing model.)

11-31. If the U.S. commits forces to a counterinsurgency conflict, it will normally deploy a joint task force or multinational joint task force headquarters to provide planning and command and control. The multinational joint task force's desired end state is to terminate the operation plan at the conclusion of Phase V, stand-down or redeploy the multinational joint task force headquarters, and revert to Phase 0 operations. The geographic combatant command and respective Service component commands, in coordination with the country team, resume security cooperation activities directed by the country plan. Counterinsurgency operations typically extend across all phases (0 through V). Therefore, U.S. or multinational security force assistance and foreign internal defense activities in support of the host-nation security force's counterinsurgency conflict may occur under the auspices of the American ambassador to the host nation and the geographic combatant commander, or under the authority of the multinational joint task force commander.

DEVELOPING HOST-NATION SECURITY FORCES

11-32. Both foreign internal defense and security force assistance can be used as part of a long term plan to develop and deploy a host-nation force to defeat an insurgency. While the U.S. may intervene in a country that only needs enablers to enhance an already effective military force, a host nation may lack an effective military. If the host nation lacks an effective military, aid in the development of that host-nation military could follow five phases: planning and resourcing host-nation security force, generation of host-nation security force, employment of host-nation security force, transition of responsibility for security to host-nation security force, and sustainment of host-nation security force. These phases are distinct and independent of those in the joint phasing model. U.S. or multinational forces conduct parallel planning with their host-nation security force counterparts to achieve strategic, operational, and tactical objectives in support of the overall counterinsurgency campaign, while at the same time working toward milestones that lead to a successful transition from U.S. or multinational lead to host-nation security force lead for security.

11-33. Typically, the first phase of building a host-nation security force, planning and resourcing, falls to the responsibility of geographic combatant command-level planners in coordination with the country team. Coordination of legal authorities and funding for security force assistance and foreign internal defense activities is an interagency process because it typically involves resources provided under a number of different sections of the United States Code (USC). Moreover, other security cooperation programs, such as foreign military sales, may be essential in equipping another military to perform foreign internal defense operations.

11-34. Generating the host-nation security force is the second phase in building a host-nation security force. If the U.S. is deploying conventional forces, this will probably be the initial phase in which regiments or brigade combat teams will actually have an active role. These forces can partner with host-nation security forces of varying developmental levels in the conduct of counterinsurgency operations. For example, while supporting recent counterinsurgency operations in Colombia and the Philippines, host-nation security force counterparts had already fielded relatively sophisticated, well-developed operational units supported by robust supporting institutions and well established executive-level or ministerial leadership. In other U.S. historical counterinsurgency operations such as Afghanistan and Iraq, the host-nation security force operational units, their supporting institutions, and the most senior-level executive leadership functions were undeveloped or completely non-existent. In situations such as these, U.S. and multinational forces must organize, train, and equip host-nation security force units while assisting in the building or rebuilding of their supporting infrastructure. The organize, train, and equip security force assistance tasks may be assigned to U.S. or multinational regiment- or brigade-sized units while they are simultaneously battling the insurgents. At the same time, unified action must be taken to establish a host-nation security force's own sustainable force generation capabilities and capacity. U.S. or multinational personnel, working with their host-nation security force counterparts, are placed in a difficult predicament in that they must carefully select key host-nation security force leaders to be pulled away from the immediate counterinsurgency fight to assume critical command and staff positions within the host-nation security force's organizations. Counterinsurgents must exercise restraint by not assigning all of the best host-nation security force leaders to operating force units while neglecting to invest in their own force generation capacity. (See figure 11-4.)

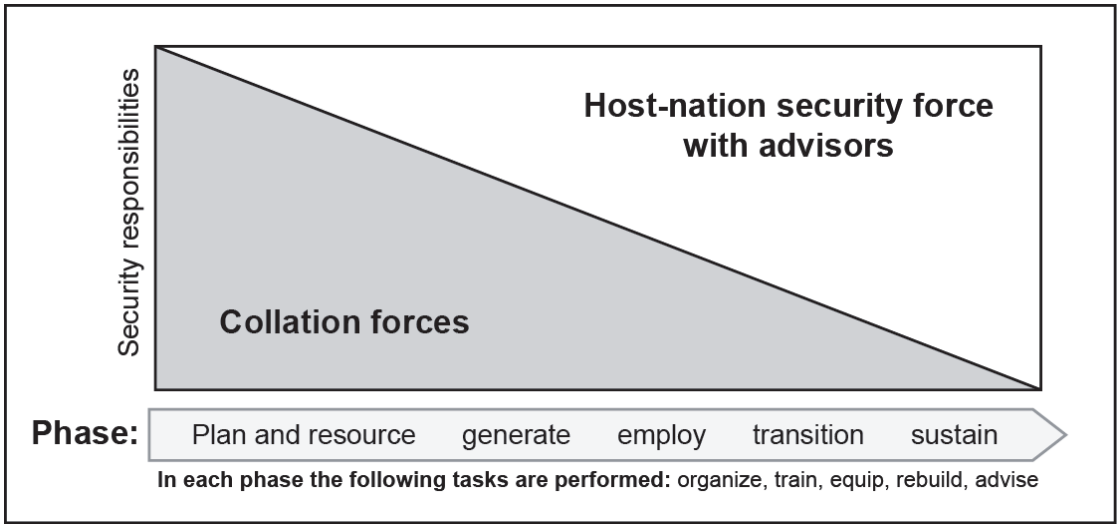

Figure 11-4. Phases of building a host-nation security force

11-35. The third phase of building a host-nation security force is the employment of a host-nation security force to protect the population and defeat the insurgents. During this phase, the primary focus shifts from organizing, training, equipping, and rebuilding host-nation security forces to employing host-nation security forces to perform the security tasks for which they were designed. As one host-nation security force unit enters the employment phase, other units may have just begun the force generation process. Meanwhile, there may be more seasoned host-nation security force units that are ready to transition to the lead for security operations in their assigned area of operations. Additionally, it may be possible to generate host-nation police forces more quickly than army units, since they can be employed individually or in small station-level units, they do not need to conduct large-scale collective training exercises, and they typically have fewer materiel requirements. However, it may take considerably longer for police forces to show their effectiveness during the employment phase due to the length of time it takes for police forces to gain the trust of the local population and build productive, enduring relationships with local or tribal leaders.

11-36. The fourth phase of building a host-nation security force in a counterinsurgency is the transition of responsibility for security operations from the U.S. or multinational forces to a host-nation security force. In some instances, such as in Colombia or the Philippines, a host-nation security force may already be mature and highly capable in most or all operational realms (land, air, and maritime). Security force assistance activities and the resulting transition to a host-nation security force lead may refer only to specific functions such as intelligence or an even more discreet set of tactical tasks, such as employment of remote sensors, that supports the host nation's strategic or operational counterinsurgency goals. In these instances, the U.S. may provide operational capabilities to meet the immediate threat, while conducting security force assistance in the form of equipment or training to close the capabilities gap. Once the capability gap is filled, a host nation's security force assumes responsibility for that function, and U.S. forces redeploy, with the country team providing the host nation access to long-term security assistance programs as appropriate.

11-37. The defense attaché office and foreign area officers play an important role in long-term security assistance programs. In other cases such as Iraq, U.S. or multinational forces may initially have to assume responsibility for all security tasks in all operational realms, and across all security force functions (land forces, police, and border security). In the latter case, transition is a lengthy process with no clearly defined beginning or end date.

11-38. Transition will likely be conducted in steps or subphases, and the steps or subphases may be geographic, functional, or a combination of both. For example, the transition to host-nation security force lead for land force security operations may transpire one province at a time until the entire country has transitioned. A second example might be for transition to occur for land forces across the entire country by

January 20XX, all police forces by June 20XX, and air and maritime forces by December 20XX. A transition to a host-nation security force lead should be conditions or assessments-based, although the U.S. or multinational forces may elect to use a set transition date as a forcing function to compel the host-nation security forces to assume greater responsibility for securing their own country and their own people. Transitions will rarely be simple. In cases where U.S. or multinational general-purpose brigade combat teams deploy for extended tours such as 12-month rotations, units may find that they are supporting the host-nation security force transition to lead for security when they arrive in-country and still supporting the same transition when they redeploy one year later.

11-39. The fifth phase of building a host-nation security force in counterinsurgency is sustainment. In this context, the term sustainment does not refer exclusively to logistic sustainment or sustainment functions. Rather, sustainment is an ongoing set of security assistance activities (Title 22) and security cooperation activities (Title 10) designed to enhance the capabilities and capacity of a host nation to provide for its own security and to participate in regional or global multinational operations. These programs also seek to develop enduring relationships with key leaders within the host-nation security force and to facilitate peacetime or contingency access to host-nation facilities such as ports, airfields, and training venues. As the transition to the host-nation security force lead for security draws to a close, there may be a number of security force assistance tasks that require an extended period to be completed properly. Examples include foreign military sales of new equipment such as tanks, artillery, helicopters, or watercraft and subsequent deployment of mobile training teams to train the host-nation security force on the employment of these new weapons systems. Enduring geographic combatant command-level security cooperation activities, such as rotational deployment of U.S. forces to conduct combined exercises with the host-nation security force, sustain and extend the development of the capability and capacity of a host-nation security force to deal with residual insurgent threats and potential future external threats to that host nation's sovereignty.

11-40. In a counterinsurgency, the host-nation security force's executive and ministerial leadership, its force generation capacity, and its operating forces' capabilities must develop and mature quickly, while U.S. or multinational forces initially provide time in the form of security to allow this process to succeed. U.S. or multinational forces gradually reduce and eventually relinquish control of the counterinsurgency to a host-nation security force. Parallel planning with a host-nation security force provides the blueprint for what must occur from the U.S. or multinational side and a host-nation security force side of an operation. Both entities plan for transition to host-nation security force lead, but they approach the transition from different perspectives. Initially, teaching, coaching, and advising host-nation security forces in their planning efforts is part of the overall process, but it ultimately should result in a host-nation security force having the capability and capacity to defeat an insurgency on its own.

PARALLEL PLANNING

11-41. When enabling a host nation to develop a security force, parallel planning is essential. Parallel planning is a time-saving technique that enables leaders at all levels from fire team to division to initiate the operations process (plan, prepare, execute, and assess) prior to the receipt of a complete operation order. Parallel planning allows units to generate tempo by conducting a multi-tiered planning process. This reduces haste and provides all echelons more available time to prepare for future actions. Likewise, parallel planning with host-nation security forces enables greater efficiency and the ability to conduct simultaneous actions. It also serves as an essential step in the host-nation security force transition to the lead for security in a counterinsurgency.

11-42. Parallel planning with the host-nation security force assumes adequate planning capabilities on the part of at least some of the host-nation security force commanders and staffs. When making this assumption, U.S. or multinational forces assume operational risks relating to the ability of the host-nation security force staffs to deliver on their planning requirements. Considerations when conducting parallel planning with the host-nation security force commanders and staffs may include, but are not limited to, varying or competing agendas, lower literacy rates, access to computer technology, and use of graphics or visuals. U.S. commanders and staffs conducting parallel planning consider these points:

- U.S. or multinational forces have their own national security objectives, while host-nation counterparts may have conflicting objectives from the national to the local level.
- Literacy rates in many of the countries that the U.S. or multinational forces may partner with are often far below that of the U.S. or other western countries. Lack of formal education, however, does not preclude the host nation from being capable of understanding the western style of military planning.
- Access to computer technology in various host nations often does not match that of the U.S. or western countries. Commanders and staffs may have to use manual methods of data collection, storage, and dissemination.
- Instructional programs, whether computer based or done on a terrain model, are based on western preference for the presentation of information through visual modalities. Successful counterinsurgency operations require U.S. or multinational advisors to imbue their host-nation security force counterparts with the capability to process raw data into information that provides knowledge and leads to an understanding of an operational environment.
- Security classification of host-nation counterparts.
- Foreign disclosure restrictions.

11-43. Regardless of the difficulties of parallel planning, U.S. and multinational forces make every effort to understand host-nation planning capabilities prior to conducting operations. Despite the many challenges presented by conducting parallel planning with host-nation security forces, U.S. and multinational forces should be completely integrated into the planning process as early as possible because the host nation can potentially bring to the counterinsurgency specific and essential abilities. (See table 11-2 for examples of host-nation contributions.)

Table 11-2. Host-nation contributions

Task	*Reason for contribution*
Understand an operational environment	An area of operations is a host nation's home and its culture; a host-nation force knows the language, the different groups, the political situation, educational levels, economic considerations, historical bad actors, and unofficial community leaders.
Provide human intelligence	Host-nation security forces may be able to better gather information that leads to human intelligence for many reasons, including speaking the same language and understanding the important players in the area.
Put the pieces together	Host-nation forces can often better integrate the different fragments of intelligence into the context of an operational environment.
Determine credibility of intelligence assets (sources, walk-ins, call-ins)	Host-nation forces possess a vastly superior sense of cultural intelligence and may be able to assist in assigning credibility to sources.
Validate and check interpreters	Host-nation forces can assist in confirming the locally hired interpreters' abilities to interpret.
Identify and root out infiltrators	Host-nation forces can pick out minute differences between normal and abnormal behaviors.
Gain information superiority	Host-nation forces can help write messages that may resonate with the local population.
Vet locally hired personnel for counterintelligence and security purposes	Host-nation forces have access to resources not necessarily available to U.S. personnel.

11-44. Tactical-level planners in the U.S. military employ either the military decisionmaking process or the Marine Corps planning process to gain an understanding of an operational environment, identify the

tactical problem, develop possible courses of action, and evaluate and select the best course of action to most effectively address the tactical problem. Commanders and staffs first properly frame the problem. When given a set of inputs, such as an order from higher headquarters or some other initiating directive, certain intelligence products, and an initial commander's visualization, commanders and staffs complete the steps to work toward a specified output, such as a finished operation order. In cases where host-nation security force leaders have been directly involved in combat operations over many years, those leaders who survive often owe their lives to their own ability to improvise. As a result, many host-nation security force leaders apply an intuitive, instead of a process-oriented, method of making decisions. They can immediately size up a tactical situation, almost instantaneously recognize dangers and opportunities, and decide upon a course of action. While this capability can serve in critical situations, it cannot be taught to others, and it is of no use in situations unrelated to the leader's own experiential learning. Therefore, U.S. or multinational advisors may have to work patiently with their host-nation security force counterparts for them to develop a planning and decision support process instead of allowing them to rely solely on the intuitive approach.

11-45. U.S. and multinational planners ensure that they have conducted basic mission analysis prior to parallel planning with host-nation partners. This allows advisors to develop and assess assumptions, identify implied and specified tasks, determine what assets and capabilities are available, and formulate a tentative timeline to coordinate advisory efforts throughout the planning process.

Chapter 12
Assessments

12-1. *Assessment* is a continuous process that measures the overall effectiveness of employing joint force capabilities during military operations. It is also a determination of the progress toward accomplishing a task, creating a condition, or achieving an objective (JP 3-0). The assessment process monitors the effects of actions on mission accomplishment. Operational assessments have three enduring purposes. First, they monitor the nature, scope, and severity of a situation. Second, they track a military force's implementation of a plan in combination with collaborating agencies. Finally, operational assessments evaluate progress towards achieving goals or objectives. Commanders and staffs must integrate assessments into the Army design methodology and conceptual planning. Assessments are crucial for successful adaptation and innovation by commanders within their respective areas of operation. Assessments are also essential in any type of transition. They are a key ingredient in adapting and learning. Assessments must be part of initial design. Commanders and staffs must conceptualize what is actually important and determine how to question those assumptions from the beginning of understanding a problem. (See ADRP 5-0 and ADRP 6-0 for doctrine on assessments.) Assessment precedes and is integrated into every operations activity and entails two broad, enduring tasks:

- Continuously monitoring the current situation (including the environment as it affects friendly forces, enemy forces, and the population) and the progress of the operation.
- Evaluating the operation against established criteria, expected outcomes, and the desired end state.

12-2. Commanders, assisted by their staffs, continuously evaluate an operation's progress against the established commander's intent, mission, and concept of the operation. Based on their assessments, commanders may adjust the operation and associated activities to better achieve the end state and adjust assessment criteria to address the most credible and relevant activities.

12-3. The critical role of assessment necessitates establishing measures of effectiveness and performance during planning. Commanders choose these measures carefully so that they align with the overall operational design and the superior commander's intent. These measures reflect the interrelationship among the lines of effort. Commanders and staffs revise their assessment and measures of effectiveness and performance as an operation progresses to most effectively focus limited collection and analytical resources.

12-4. Sound assessment blends qualitative and quantitative analysis with the judgment and intuition of all leaders. Commanders must apply assessments carefully, as counterinsurgency operations most often involve complex societal issues that may not lend themselves to quantifiable measures of effectiveness. Moreover, bad assumptions and false data can undermine the validity of both assessments and conclusions drawn from them. Data and metrics can inform a commander's assessment. However, they must not be allowed to dominate it in uncertain situations. Subjective and intuitive assessment must not be replaced by an exclusive focus on data or metrics. Commanders must exercise their professional judgment in determining the proper balance.

ASSESSMENT FRAMEWORKS

12-5. Several assessment frameworks have been developed over the past decade. Depending on their specific purpose, they can be used as tools to develop an interagency initial assessment, assess conflicts, or measure progress. For example, the Interagency Conflict Assessment Framework is a recognized and very useful initial assessment framework (See United States [U.S.] Government publication *Interagency Conflict Assessment Framework*). Alternatively, units may use some form of systems analysis based on the operational variables.

ASSESSMENT METHODS

12-6. Selecting the appropriate approach to assessment is the commander's most important assessment decision. Assessment methodologies may be centralized, decentralized, or both. A centralized methodology requires units to collect and report information requirements to their higher headquarters for analysis and situational understanding. This is a common methodology and is often described as pattern and trend analysis. Pattern and trend analysis uses centralized quantitative analysis to produce a snapshot of the operation's momentum over time. Pattern and trend analysts tend to accept that counterinsurgency data will be inaccurate and incomplete, but when viewed in aggregate this data will be sufficient to produce relevant, centralized, and quantifiable analysis. Pattern and trend analysis measures progress, but it is not truly an assessment. The problem with the centralized approach to assessment is that the decentralized nature of counterinsurgency prevents the development of any centralized model to understand the important nuances of local context. Decentralized assessments enable subordinate units to develop and measure progress locally. The interaction between levels of command is critical to informing the higher commander. Although decentralized assessments are preferred by the lower tactical levels, actual measurement of progress is limited by the lack of a common starting point. This often gives the best picture of a local situation, but it lacks the context of how it compares to other locations. Senior commanders must weigh the results by comparing assessments with dissimilar measurements. This makes the development of an aggregate analysis very difficult.

12-7. Military forces in counterinsurgencies usually use a combination of these two assessment methods, choosing common reporting requirements for all subordinates but also requiring a subjective analysis from each of the subordinate commanders to aid in informing the senior commanders' situational understanding. Units report qualitative statistics to enable pattern analysis, and commanders provide quantitative analysis to fully depict what the statistics mean at the local level. The combined assessment involves a top down planning, bottom-up refinement approach in which analysis is conducted at the level the data is collected and reports to higher headquarters include narratives from local commanders. This type of assessment eschews the establishment of core level metrics at the highest levels and allows commanders to establish additional metrics in accordance with their situation and their resources. Combined assessment generally results in more accurate reporting and efficient use of collection and analysis resources.

12-8. In geographically distributed, decentralized counterinsurgency campaigns, only a few activities produce similar outcomes or are consistently implemented across the theater of operations. What is important in one area may not be important in another. Similarly, what works in one area may not work in another area.

ASSESSMENT CONSIDERATIONS

12-9. Assessment begins as soon as a military force receives an alert or warning and does not end until after that force has ceased operations and left the area of operations. Assessment begins with an initial assessment that serves as the basis for planning. Planning develops this into an operational assessment that evaluates plan effectiveness and focus. The assessment is continually reassessed. Often plans are updated because of the reassessment process.

12-10. The assessment should reflect the achievements of collaborating partners. Military forces cannot defeat an insurgency alone. Assessors must realize that information about the underlying root causes for social, cultural, political, and economic turbulence will probably be incomplete. Obtaining reliable information can be costly and time-consuming. Assessors should be extremely wary of methods that claim to provide this information quickly. An assessment based on faulty information can result in military force actions that are counterproductive. It is better for assessors to monitor the situation, track what every organization is doing, and be clear about what they do not know. The next step is to postulate, hypothesize, and clearly state what assumptions the evaluation process is making. Assessors seek information to test assumptions and revise estimates as operations continue.

12-11. At its core, a counterinsurgency environment is a political problem. Understanding and solving the political problem is the essence of counterinsurgency operations. A counterinsurgency environment is complex, with many lines of effort covering a variety of political, military, economic, social, infrastructural, and informational activities. As such, developing a comprehensive assessment is a

time-consuming process that is difficult to perform properly and effectively. Counterinsurgents must assess not only their own actions or inactions, but also those of insurgents and the population. In understanding these actions and inactions, counterinsurgents must have a thorough knowledge of the history and culture of their areas of operations. These assessments must include, among many other factors, the context for any given situation, the perceptions of those involved, and the possible outcomes of actions or inactions.

12-12. Commanders are responsible for assessments. The commander's direct and personal involvement in the assessment process is critical. Moreover, assessments must contain both subjective and objective elements. Assessments combine elements of science and art. They are not simply a collection of numbers or indicators. Commanders and staffs must understand assessments in the context of the overall campaign, not just from a military perspective.

12-13. Countering an insurgency most often involves an extended campaign. Counterinsurgents must assess actions or inactions broadly, to include how they are viewed locally, within the multinational force (if one exists), host nation, and the region. Counterinsurgents also assesses actions against host-nation strategic goals. Without the backing of each of these levels, counterinsurgents risk loss of legitimacy and potential failure.

12-14. Eliminating the root causes of an insurgency is the goal of a counterinsurgency. Assessment must focus on those activities and actions that are most important in addressing these root causes. Assessment must be focused on gathering the right information needed to understand what to do. The commander must determine if counterinsurgents are doing things right, if counterinsurgents are doing the right things, and if change is necessary.

12-15. Balanced assessments include information from all relevant and objective sources, including both quantitative and qualitative data. This data includes the proper combination of centralized and decentralized reporting. A balanced assessment includes countering opinions and data that contradict overall findings. A combination of quantitative and qualitative types of indicators reduces the chance of misconstruing trends.

12-16. No assessment will ever show all the aspects of a counterinsurgency campaign. Efforts to show all aspects of a counterinsurgency waste resources and place unrealistic demands on subordinate units that often result in falsified reporting. Assessment should rely principally on information gathered through ongoing intelligence and operational reporting. Demands for additional reporting should be minimized.

12-17. There is no substitute for seeing a battlefield as a means for understanding a situation. Battlefield circulation is critical to establishing relationships between commanders at all levels. The view of a commander who daily walks and lives in a particular area of operations provides a level of insight that no statistic or report can replace. These first-hand encounters provide commanders a lens with which to review and compare centralized reports and trend analysis with the intuition and local understanding of subordinate commands.

12-18. Collecting, assembling, and analyzing information is a time and labor-intensive process. Commanders balance time and resources for assessment just as they do across the planning, decision, and execution continuum. To help achieve this balance, commanders and staffs ask the following questions:

- What must be understood to begin planning?
- What will be assessed and to what detail?
- How will a particular task, objective, end state condition, or assumption be assessed?
- What measures of effectiveness and measures of performance will be used?
- What information requirements (indicators) are needed to support a particular assessment?
- Who on the staff has primary responsibility for assessing a particular area?
- What is the collection plan?
- How can the host nation help?
- How can the other agencies of the U.S. government assist?

DEVELOPING MEASUREMENT CRITERIA

12-19. Assessment requires determining why and when progress is being achieved along each line of effort. Traditionally, commanders use discrete quantitative and qualitative measurements to evaluate

progress. However, the complex nature of counterinsurgency operations makes progress difficult to measure. Subjective assessment at all levels is essential to understand the diverse and complex nature of counterinsurgency problems. It is also needed to measure local success or failure against the overall operation's end state. Additionally, commanders need to know how actions along different lines of effort complement each other; therefore, planners evaluate not only progress along each line of effort but also interactions among lines of efforts.

12-20. The most common types of assessment measures are measures of effectiveness (MOEs) and measures of performance (MOPs). A *measure of effectiveness* is a criterion used to assess changes in system behavior, capability, or operational environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect (JP 3-0). MOEs focus on the results or consequences of actions. MOEs answer the question, "Are we achieving results that move counterinsurgents towards the desired end state, or are additional or alternative actions required?" A *measure of performance* is a criterion used to assess friendly actions that is tied to measuring task accomplishment (JP 3-0). MOPs answer the question, "Was the task or action performed as the commander intended?"

12-21. MOEs and MOPs for assessing counterinsurgency operations are designed with the same characteristics. MOEs and MOPs are measurable, observable, distinctive, relevant, and responsive:

- MOEs and MOPs have quantitative or qualitative standards against which they can be measured. The most effective measurement is a combination of quantitative and qualitative measures to guard against an inaccurate view of results.
- Each MOE and MOP measures a separate, distinct aspect of the task, purpose, or condition.
- MOEs and MOPs are relevant to the measured task, outcome, and condition. Host-nation local, regional, and national leaders, and NGO personnel, may provide practical ideas, professional ideas, and feedback to craft relevant MOPs and MOEs.
- Assessment tools detect environmental and situational changes.

DESIGNING MEASURES OF EFFECTIVENESS AND PERFORMANCE

12-22. An MOE provides some information about how an operational environment is changing. An MOE of a number of attacks on counterinsurgents can indicate a successful counterinsurgency, or it can indicate insurgent control of an area and an unwillingness of counterinsurgents to contest that control. In this example, commanders and staffs need to understand why the number of attacks are down. What is essential to any MOE is the development of an effective measure that tells the commander critical information about how an operational environment is changing.

12-23. Moreover, in developing MOPs, commanders and staffs measure a unit's performance based on the conditions of its area of operations. In other words, MOPs should be developed as a means to measure if a unit is effectively doing the things that the commander and staff view as essential to defeating an insurgency. MOPs are developed based on a counterinsurgency mission and an area of operations.

12-24. When designing MOEs and MOPs, commanders and staffs consider several points:

- Raw counts of something is usually not as important as how many out of a possible total and how important each one is.
- Knowledge of the state of insurgent training may provide information about the overall capability of the insurgency. If an insurgency can produce trained units, it may have a higher military and sustainment capacity.
- Training in other states could indicate support from another state.
- A high number of un-coerced informant reports could be an important indicator of a breakdown in insurgent security. Also, the position of the informer in the society might be an important indicator.
- The number of insurgent attacks is not always as important as the scale of an insurgent attack. Large-scale attacks require a level of operational sophistication that may imply an increased insurgent capability.

- How many insurgents are caught and jailed may be an important MOE. However, the number convicted and sentenced by government judicial authorities and remaining in jail over time is also an important MOE of governmental capability and corruption.
- The number of recruits available for an insurgency can be an important indicator of the government's and the insurgency's legitimacy.
- An MOP based on the number of patrols in a given area over a period may not be as effective as the persistence of patrols in a given area over the same period of time.
- An MOE based on the amount of money seized may not be as important as an MOE based on denying funding sources. It may simply show an increased flow of funds into an area.

12-25. When developing MOPs and MOEs, commanders and staffs avoid developing MOPs or MOEs that highlight what a commander and staff are actively doing to defeat an insurgency. For example, building a number of schools can be used as an MOP, and the number of students in the school can be used as an MOE. However, these activities may have no effect on an insurgency at all. Commanders and staffs connect MOEs and MOPs to their operational environment and insurgency. Accepting the assumption that what one is doing is actually relevant to defeating an insurgency is an easy means to undermine the effectiveness of MOPs and MOEs. Commanders and staffs avoid the trap of thinking that because they do something and measure it, it is important.

12-26. Commanders and staffs generally avoid measures that lack context. For example, the number of enemy killed, without any context, is normally a dangerous MOP. The number of enemy killed can indicate that the insurgency is increasing its recruitment and capabilities, thus more insurgents are being killed in more attacks. Commanders and staffs establish some context in any measure that they use.

12-27. Vietnam highlights the importance of creating an assessment framework that is contextual to the insurgency and is relevant to actually measuring success. In Vietnam, U.S. leadership made assumptions about what were important measures of success without connecting those measurements to situational understanding. Many U.S. leaders did not actively question their assumptions. Even worse, their ineffective assessment framework had an influence on operations.

Measuring Effectiveness and Performance in Vietnam

Historical accounts of the conflict in Vietnam vary widely in the points emphasized and the explanations offered. Disputes are facilitated by the different personal experiences of many different direct observers who saw or participated in sometimes very different slices of the conflict at different times, at different operational levels, and in different parts of the country. What, if anything, could have been done to change the outcome of the war and who to blame for that outcome remains fairly hotly contested. What the outcome was, however, is not contested: U.S. forces withdrew in 1973, and the Saigon government fell to the combined pressure of the insurgency and North Vietnamese regular forces in April of 1975, unequivocally a counterinsurgent loss.

The literature on the U.S. military's Vietnam-era assessment process is highly negative; even the most strident defenders of the assessment reports produced during that period expressed some dissatisfaction with the process. Assessments of the Vietnam War varied in type, purpose, and intended consumer. The entire process changed and grew between the early 1960s and the early 1970s; there was no single "Vietnam War assessment." There were many assessment processes, and many were burdened with murky objectives, measures that were poorly connected to those objectives, and poor data collection. Quantitative data of questionable veracity were used to make optimistic prognostications, such as the illusion of a trend toward "a light at the end of the tunnel." Distrust of Vietnam-era military briefings became so endemic that members of the press corps referred to the daily military press briefings as the "five o'clock follies."

The Military Assistance Command, Vietnam, or MACV, was the theater-level military command in Saigon, South Vietnam. MACV was the neck of the funnel for nearly all field reports on operations, intelligence, pacification, and other data

categories. Some of the MACV reports and nearly all of the Secretary of Defense's reports relied heavily on aggregated quantitative data and pattern and trend analysis. In some cases, data collection requirements were developed to meet perceived operational or strategic needs; in other cases, they were specifically designed to provide data that would show some kind of progress without context. For example, in 1968, MACV reported the number of cakes of soap it had issued to Vietnamese villagers in 1967 (572,121), an irrelevant input metric. More famous (or infamous) is the use of "body counts" as a primary progress metric. Not only were body counts a poor proxy for progress driven by an untenable assumption about adversary attrition, but data collected were wildly inaccurate because of the adversary emphasis on reclaiming bodies, difficult terrain, duplicate reporting, and the temptation to exaggerate, among other reasons.

Assessment of the Vietnam War was haphazard before MACV became a theater combat command in the early 1960s. Between the mid-1960s and the early 1970s, MACV and the Office of the Secretary of Defense (with Central Intelligence Agency assistance) created the single largest and most comprehensive military counterinsurgency assessment apparatus in the history of warfare. It involved the efforts of hundreds of thousands of military personnel, civilians, Vietnamese nationals, intelligence experts, and analysts over the course of several years. These contributors produced hundreds of millions of data items (in Department of Defense [DOD] parlance), tens of thousands of tactical and operational analytic reports, and hundreds of comprehensive assessments that addressed nearly every aspect of the war. Data flowed up from the hundreds of thousands of troops on the ground, province advisors, military advisors to Republic of Vietnam units, U.S. civilian officials, and U.S. intelligence officers, as well as Republic of Vietnam military units, government agencies, and civilian development teams. These data points were then fed into catalogs and computer databases, including the Hamlet Evaluation System, the Terrorist Incident Reporting System, the Territorial Forces Effectiveness System, the Pacification Attitude Analysis System, the Situation Reports Army File, and many others. "Data" could mean anything from a simple number (for example, rounds fired in a single artillery attack) to a more complex set of ostensibly correlated survey data (for example, hamlet evaluation data).

Assessment in Vietnam was non-trivial: A July 26, 1970, U.S. military intelligence briefing listed 44 provinces, 257 districts, 2,464 villages, 11,729 hamlets, and 1,500 miles of coastline from the demilitarized zone with North Vietnam to the border with Cambodia in the Gulf of Siam. The challenges of assessment in Vietnam are the same challenges faced in any counterinsurgency: How should policymakers determine progress and decide strategy if all they have to choose from is inaccurate, decontextualized, and aggregated numbers or thousands of pages of lengthy narrative?

While it is not possible to state that poor assessment led to the loss of the Vietnam War, the war was distinguished by internal confusion, poor decisionmaking, and, ultimately, strategic defeat. It is apparent from analyzing the way in which assessments were presented and used that they contributed to many of the poor decisions that led to this defeat.

BROAD INDICATORS OF PROGRESS

12-28. Numerical and statistical indicators have limits when measuring social environments. For example, in South Vietnam U.S. forces used the body count to evaluate success or failure of combat operations. Yet, the body count only communicated a small part of the information commanders needed to assess their operations. It was therefore misleading. Body counts can be a partial, effective indicator only when adversaries and their identities can be verified. (Normally, this identification is determined through a uniform or possession of an insurgent identification card.) Additionally, an accurate appreciation of what insurgent casualty numbers might indicate regarding enemy strength or capability requires knowing the exact number of insurgent armed fighters initially present. In addition, this indicator does not measure

several important factors. For example, it does not measure which side the local population blames for collateral damage, whether this fighting and resultant casualties damaged the insurgent infrastructure and affected the insurgency strategy in that area, and where families of dead insurgents reside and how they might react. Within the essential services lines of effort, the number of schools built or renovated does not equate to the effective operation of an educational system, nor is it as important as the number of children in school. Moreover, counterinsurgents should question whether the number of children taught is an important measure at all.

12-29. Planners start with broad measures of social and economic health or weakness when assessing environmental conditions. Examples of possible counterinsurgency indicators include—

- Acts of violence (numbers of attacks and friendly or host-nation casualties).
- Dislocated civilians. The number, population, and demographics of dislocated camps or the lack of lack of camps are indicators of overall security and stability. A drop in the number of people in camps often indicates a return to normalcy. The numbers of people and families exiled from or fleeing their homes and property and people returning to them are measurable and revealing.
  - Human movement and religious attendance. Religious activity can be used as a measure of religious freedom and of how much confidence the population has in their government's security. Possible indicators include the ability or lack of ability of religious pilgrims to move about the country.
  - Development and active use of places of worship.
  - Number of religious structures (for example, temples, churches, mosques, religious schools) closed by a government.
- Presence and activity of small- and medium-sized businesses. When danger or insecure conditions exist, these businesses close. Patrols can report on the number of businesses that are open and how many customers they have. Tax collections may indicate the overall amount of sales activity.
- Level of agricultural activity:
  - Is a province, region, or nation self-sustaining, or must life-support type foodstuffs be imported?
  - How many acres are under cultivation? Are the fields well maintained and watered?
  - Are agricultural goods getting to market? Has the annual need increased or decreased?
- Presence or absence of associations. The formation and presence of multiple political parties indicates more involvement of the people in government. Meetings of independent professional associations demonstrate the viability of the middle class and professions. Trade union activity indicates worker involvement in the economy and politics.
- Government services available. Examples include—
  - Police stations operational and police officers present throughout the area.
  - Clinics and hospitals in full operation, and whether or not new facilities sponsored by the private sector are open and operational.
  - Schools and universities open, functioning, with increasing attendance over time.
- Freedom of movement of people, goods, and communications. This is a classic measure to determine if an insurgency has denied areas in the physical, electronic, or print domains.
- Tax revenue. If people are paying taxes, this can be an indicator of host-nation government influence and subsequent civil stability.
- Industry exports.
- Employment or unemployment rate over time. An increasing employment rate over time is generally a sign of stability.
- Amount of electricity produced. Increasing production of electricity is associated with provisions for essential services. However, increased stability often results in greater demand so care must be taken in the use of this indicator.
- Specific attacks on infrastructure.

ASSESSMENT CELL

12-30. An assessment cell normally shadows the planning effort, looking for areas of the plan that may require assistance in measuring progress toward planned goals and the purpose of the operation. Assessing progress is the responsibility of all staff sections and not the sole responsibility of any one staff section or command post cell. Each staff section assesses the operation from its specific area of expertise. However, staff sections must coordinate and integrate their individual assessments and associated recommendations across the warfighting functions to produce comprehensive assessments for the commander, particularly in counterinsurgency operations.

12-31. The function and purpose of an assessment cell or working group must include not only the assessment of the plan and progress of operations, but also the effects of those operations on operational environments. To understand the effect, it is important to assess not only what happened or how, but why a particular result was achieved. This level of understanding aids in informing future decisions and plans.

12-32. In counterinsurgency operations, especially in widely decentralized operations, assessment cells with analysts are organized down to and including the battalion level. This capability greatly assists in the development of bottom-up assessment metrics that provide context and balance for other types of assessment.

DIRECTED TELESCOPE TECHNIQUE

12-33. The directed telescope technique aids commanders with assessments by providing eyes on the ground. Military commanders often find value in a separate and objective source of information regarding actions and events "on the ground."

12-34. When using the directed telescope technique, commanders send trusted subordinates and teams to the battlefield to swiftly assess and report. This helps commanders get a sense for what is transpiring in the field. This technique does not take the place of regular after action reviews or reporting, but instead it helps commanders confirm or deny the visual image they have of how operations are going and the impact their troops efforts' are having.

12-35. The duties of a team assigned to a directed telescope mission include a variety of skills and qualities to be successful. They include—

- Good judgment.
- Unfailing tact.
- Initiative.
- Sympathy, which implies a desire to help rather than to criticize.
- Acute perception, coupled with exactness and accuracy in determining facts.
- Ability to express themselves and deliver impartial reports in the clearest and most concise terms.
- Good tactical knowledge.

12-36. Instead of spying or informing the commander on personnel or single events, the focus is to provide advice to units based on their findings, report trends to the commander, and most importantly provide recommendations that are feasible, acceptable, and suitable.

12-37. The directed telescope technique can work at various echelons and can be included when battalion and brigade staff and personnel are supporting subordinate units in information analysis, operations, planning, and training.

Chapter 13
Legal Considerations

13-1. Counterinsurgency operations are complex and raise challenging legal issues for Soldiers, Marines, and their commanders. Counterinsurgency commanders, staffs, and planners should consult their servicing legal advisors often in their initial planning and as they encounter changing conditions that may change the application of relevant legal authorities. This chapter is not intended as a complete legal guide or a substitute for legal advice, but rather serves to alert counterinsurgency leaders of some of the more common legal issues that may affect United States (U.S.) counterinsurgency operations. This summary cannot replace a consultation with the unit's supporting legal advisor.

13-2. All U.S. military operations, including counterinsurgency operations, are governed by U.S. domestic law, the international law binding on the U.S. (to include the law of war), and U.S. policy and regulations. A number of areas of the law are critical for counterinsurgency operations, including the authority to deploy forces and conduct counterinsurgency operations in the first instance, the laws governing the conduct of operations, and the laws that fund counterinsurgency operations. The law of war, including the treatment of civilians and detainees, and the application of rules of engagement, in particular, are critical issues that have a significant impact on the conduct of counterinsurgency operations.

AUTHORITY TO ASSIST A FOREIGN GOVERNMENT

13-3. In addition to the authorities to use military force, through a variety of statutes contained in Title 10, United States Code (USC) and Title 22, USC, Congress has authorized and directed the Department of Defense (DOD) and Department of State, respectively, to provide assistance to foreign governments relevant to counterinsurgency. For example, U.S. forces may be called upon to provide foreign internal defense or training to foreign security forces (such as military forces and police).

AUTHORITY FOR FOREIGN INTERNAL DEFENSE

13-4. The President or Secretary of Defense may issue a deployment or execution order, which may authorize U.S. forces to make limited contributions during operations that involve foreign internal defense. If the Secretary of State requests and the Secretary of Defense approves, U.S. forces can participate in foreign internal defense. The request and approval may go through the standing statutory authorities in Title 22, USC. Among other foreign relations programs, Title 22 contains the Foreign Assistance Act and the Arms Export Control Act. Programs under Title 22 authorize security assistance, developmental assistance, and other forms of aid. The request and approval might also occur under various provisions of Title 10, as well. Title 10 authorizes certain types of military-to-military contacts, exchanges, exercises, and limited forms of humanitarian and civic assistance in coordination with the U.S. ambassador for the host nation. In such situations, U.S. military personnel ordinarily work as administrative and technical personnel of the embassy. They are part of the U.S. diplomatic mission, pursuant to a status of forces agreement, or pursuant to an exchange of notes. This cooperation and assistance is limited to liaison, contacts, training, equipping, and providing defense articles and services. It does not include direct involvement in operations.

GENERAL PROHIBITION ON ASSISTANCE TO POLICE

13-5. The Foreign Assistance Act specifically prohibits assistance to foreign police forces except within carefully circumscribed exceptions. The lead role in providing police assistance within those exceptions normally has been delegated to the Department of State's Bureau of International Narcotics and Law Enforcement Affairs. U.S. commanders are not able to train foreign law enforcement personnel unless given specific legal authority. That said, Congress granted DOD the authority to train the police forces of Iraq and Afghanistan. Moreover, Congress has provided limited authority for U.S. forces to train foreign law enforcement personnel in counternarcotics and counter narco-terrorism operations

RULES OF ENGAGEMENT

13-6. *Rules of engagement* are directives issued by competent military authority that delineate the circumstances and limitations under which United States forces will initiate and/or continue combat engagement with other forces encountered (JP 1-04). Often these directives are specific to an operation. Absent operation-specific rules of engagement, U.S. forces apply the standing rules of engagement. When working with a multinational force, commanders must thoroughly coordinate the rules of engagement.

MISSION-SPECIFIC RULES OF ENGAGEMENT

13-7. The standing rules of engagement provide a mechanism for combatant commanders to develop mission-specific rules of engagement by implementing supplemental measures within their discretion, or by submitting a request for supplemental measures to the Secretary of Defense for approval. These mission-specific rules of engagement are then passed down the chain of command in the form of a rules of engagement execute order, fragmentary order, or other formal operational tasking. The combatant commander and subordinate commanders must follow these mission-specific rules of engagement. Combatant commanders may augment the rules of engagement as necessary by implementing supplemental measures within their authority to approve. Both combatant commanders and subordinate commanders are required to notify the Secretary of Defense of any restrictions placed on the Secretary of Defense-approved mission-specific rules of engagement. Commanders at all levels are required to evaluate the rules of engagement and request changes if they determine the rules of engagement are inadequate for the mission.

13-8. Taken as a whole, the rules of engagement regulate the conduct of U.S. forces for the application of force for mission accomplishment and the exercise of self-defense. For instance, for mission accomplishment, U.S. forces may be authorized to engage enemy forces declared hostile anywhere in the area of operations at anytime without the need to observe a hostile act or demonstrated hostile intent. With respect to self-defense, unit commanders always retain the inherent right and obligation to exercise unit self-defense in response to a hostile act or demonstrated hostile intent. U.S. forces may exercise individual self-defense in response to a hostile act or demonstrated hostile intent; however, unit commanders may limit individual self-defense by members of their unit. The rules of engagement in counterinsurgency operations change from time to time. To meet the ever-changing operational environment, supplemental measures and the level of force commanders employ from day to day may change often. Commanders must regularly review the rules of engagement for their effectiveness in a complex counterinsurgency environment. Counterinsurgency leaders should frequently train their Soldiers and Marines in the application of the rules of engagement to the situations they may encounter in the area of operations so their actions become instinctive, effective, and legally sound.

MULTINATIONAL RULES OF ENGAGEMENT

13-9. U.S. forces assigned to the operational or tactical control of a multinational force follow the rules of engagement of the multinational force for mission accomplishment, if authorized by the Secretary of Defense. U.S. forces retain the right of self-defense. Apparent inconsistencies between the right of self-defense contained in U.S. rules of engagement and the rules of engagement of the multinational force will be submitted through the U.S. chain of command for resolution. While final resolution is pending, U.S. forces will continue to operate under the U.S. rules of engagement. When U.S. forces, under U.S. operational or tactical control, operate with a multinational force, reasonable efforts are made to develop combined or common rules of engagement. If common rules of engagement cannot be developed, U.S. forces operate under U.S. rules of engagement. The multinational forces will be informed prior to U.S. participation in the operation that U.S. forces intend to operate under U.S. rules of engagement. U.S. forces remain bound by international agreements to which the U.S. is a party even though other multinational force members may not be bound by them. The U.S. does not interpret any international agreements, such as status-of-forces agreements, to limit U.S. forces' right of self-defense.

LAW OF WAR

13-10. Counterinsurgency operations may occur in both an international armed conflict (state versus state) and a non-international armed conflict (state versus armed nonstate actor). Situations can occur, such as

during occupation, where armed forces are engaged in combat with armed nonstate actors, or other persons who are not part of a state's armed forces. Any hostilities between state and non-state actors may rise to the level of a non-international armed conflict. A non-international armed conflict may exist in the same area of operations as an ongoing international armed conflict. An armed conflict exists whenever there is a resort to armed force between states (in an international armed conflict) or protracted armed violence between governmental authorities and organized armed groups or between such groups within a state (in a non-international armed conflict). Regardless of the context, U.S. forces obey the law of war. The U.S. is bound by the law of war treaties to which it is a party, as well as binding norms of customary international law.

13-11. The law of war is the branch of international law applicable to the conduct of armed conflict and concerns the rights and relationships among the participants and victims of armed conflicts. It is often called the law of armed conflict or international humanitarian law. The law of war generally regulates the use of force to the amount necessary to achieve the aim of the conflict and spares those who do not or no longer directly participate in hostilities. The purposes of adhering to the law of war include—

- Ensuring good order and discipline.
- Fighting in a disciplined manner consistent with U.S. national values.
- Maintaining domestic, international, and local support.
- Protecting combatants, noncombatants, and civilians from unnecessary suffering.
- Safeguarding persons who fall into the hands of an enemy.
- Facilitating the restoration of peace.

13-12. The primary sources of the law of war include the various Hague Conventions, the four Geneva Conventions of 1949, the 1980 UN Conventional Weapons Convention and its five protocols, and customary international law. Many nations that have been recent coalition partners with the U.S. are also parties to two additional 1977 protocols to the Geneva Conventions, Additional Protocol I and Additional Protocol II. However, the U.S. is not a party to these two protocols. Without recognizing the authority of these two protocols, the U.S. recognizes that many of their provisions, some of which are discussed in this manual, are either an accurate statement of the law or consistent with U.S. practice.

13-13. The law of war is based on the following fundamental principles:

- First, military necessity, that is, that a belligerent is justified in applying those measures not forbidden by international law which are indispensable for securing the complete submission of the enemy as soon as possible.
- Second, humanity, which requires military forces to avoid inflicting gratuitous violence on the enemy.
- Third, discrimination, which posits that military attacks should be directed at combatants and other military targets, not civilians or civilian property.
- Fourth, proportionality, expressed in the concept that the expected incidental loss of civilian life, injury to civilians, and damage to civilian objects must not be excessive in relation to the concrete and direct military advantage anticipated.

MILITARY NECESSITY

13-14. The principle of military necessity is expressed in Article 23(g), of Hague IV Annex., which forbids a belligerent to destroy or seize the enemy's property, unless such destruction or seizure be imperatively demanded by the necessities of war. While no law of war treaty defines military necessity, its role is recognized in many treaties to which the U.S. is a state party. Moreover, the U.S. has defined military necessity in its law of war manuals. Military necessity is that principle which justifies those measures not forbidden by international law which are indispensable for securing the complete submission of the enemy as soon as possible. (See FM 27-10 for more information on military necessity.)

13-15. Military necessity does not authorize all military action and destruction. Under no circumstances may military necessity authorize actions specifically prohibited by the law of war, such as the murder of prisoners of war, ill-treatment of prisoners of war or internees, the taking of hostages, or the execution of a reprisal against a person or object specifically protected from reprisal. Civilian objects are generally

protected from intentional attack or destruction. However, civilian objects may lose their protections if they are being used for military purposes, or there is a military necessity for their destruction or seizure. Civilian objects may, in such circumstances, become military objectives, and if so, the law of war permits their destruction. In treaties such as Hague IV and its annex and the Geneva Conventions, where an express prohibition has been stated, neither military necessity nor any other rationale of necessity may override that prohibition. In short, the principle of military necessity authorizes that use of force that is required to accomplish the mission, but it does not authorize acts otherwise prohibited by the law of war. This principle must be applied in conjunction with other law of war principles as well as other, more specific legal constraints set forth in law of war treaties to which the U.S. is a party.

HUMANITY, UNNECESSARY SUFFERING, OR SUPERFLUOUS INJURY

13-16. The right of belligerents to adopt means of injuring the enemy is not unlimited, as Hague IV Annex, Article 22, states. Article 23(e) then captures the essence of the Law of War principle of humanity as it prohibits the employment of arms, projectiles, or material calculated to cause unnecessary suffering. The principle of humanity is also called the principle of unnecessary suffering or superfluous injury. The terms unnecessary suffering and superfluous injury are regarded as synonymous. Although neither of the terms is defined, they are understood to refer to injury to persons, rather than damage to objects. The prohibition of unnecessary suffering constitutes acknowledgement that the suffering of combatants is lawful and expected, and may include severe injury or loss of life. As a general proposition, the suffering inflicted by weapons or munitions would be deemed unnecessary only if—

- Its use was calculated to cause unnecessary suffering.
- The inevitable result of the normal use causes an injury the nature of which is considered by governments as manifestly disproportionate in relation to the military advantage anticipated from employment of the weapons or munitions.

13-17. Weapons' or munitions' effects must be weighed in light of comparable lawful weapons and munitions in use on the modern battlefield. A weapon cannot be declared unlawful merely because it may cause severe suffering or injury. The appropriate determination is whether a weapon's or munitions' employment for its normal or expected use would be prohibited under some or all circumstances. The correct criterion is whether the employment of a weapon for its normal or expected use inevitably would cause injury or suffering manifestly disproportionate to its military effectiveness. A state is not required to foresee or anticipate all possible uses or misuses of a weapon or munitions, since almost any weapon or munition can be misused in ways that might be prohibited.

13-18. Under the law of war, combatants may kill or wound enemy combatants and civilians taking a direct part in hostilities; such acts are legitimate if accomplished with lawful means and methods. For example, the prohibition of unnecessary suffering does not limit the bringing of overwhelming firepower on an opposing military force in order to subdue or destroy it. What the law of war does prohibit is the design, modification, or employment of a weapon or munitions for the purpose of increasing or causing suffering beyond that required by military necessity.

DISCRIMINATION

13-19. The principle of discrimination, sometimes referred to as the principle of distinction, is the international law obligation of parties to a conflict to distinguish between the civilian population (or individual civilians not taking a direct part in the hostilities) and combatant forces when engaged in military operations, directing the application of force solely against personnel belonging to the latter. Similarly, military force may be directed only against military objects or objectives, and not against civilian objects. A military objective is not limited to military bases, forces, or equipment, but includes other objects that contribute to an opposing state's ability to wage war. Additionally, a civilian object is immune from intentional attack unless and until it loses its protected status through enemy abuse of that status. The principle of discrimination also provides civilians immunity from direct attack for as long as they take no part in hostile acts against military forces.

13-20. The principle of discrimination applies to military forces engaged in offensive or defensive operations, and to governments providing protection for their civilian population and civilian objects. Each

government and its military forces, as well as armed nonstate parties to a conflict, are obligated to separate their military or other fighting forces and military objects from the civilian population and civilian objects, to take steps to protect the civilian population (or civilians within its control) through affirmative steps such as evacuation from the vicinity of military operations or air raid precautions, and to minimize or avoid actions that might otherwise place the civilian population at risk from lawful military operations by the opposing force. The employment of voluntary or involuntary human shields to protect military objectives, individual military units, or military personnel is a violation of the law of war principle of discrimination.

13-21. Physical damage or destruction of property is an inevitable and lawful aspect of combat. Military equipment (other than military medical equipment and transportation) is subject to lawful attack and destruction at all times. Civilian objects, including cultural property, are protected from seizure or intentional attack unless there is military necessity for their seizure or destruction, that is, they become military objectives. Destruction of civilian objects that is expressly prohibited, or that is not justified by military necessity, or that is wanton or excessive, is unnecessary destruction for which a commander may be culpable.

13-22. The civilian population and individual civilians not taking a direct part in hostilities are protected from intentional attack. Where civilians are present on the battlefield or in proximity to legitimate military objectives, or they are being used to shield legitimate targets from an attack that otherwise would be lawful, they are at risk of injury incidental to the lawful conduct of military operations. A law of war violation occurs when—

- The civilian population is attacked intentionally.
- Civilian casualties incidental to an otherwise lawful attack become excessive in relation to the concrete and direct military advantage to be gained and are attributed to the wanton conduct of an attacking force, for which the defending force or individual civilians or groups of civilians (such as voluntary human shields) bear no responsibility.
- A defender or attacker employs civilians as voluntary or involuntary human shields. Each of these acts constitutes a violation of the principle of discrimination.

13-23. The law of war does not expressly prohibit civilians from taking a direct part in hostilities. If they do, however, they may be targeted for so long as they take a direct part. Civilians do not enjoy the combatant's privilege—that is, they do not have combatant immunity—and if captured, they may be prosecuted for their belligerent acts under the domestic law of the captor. Civilians engaging in belligerent acts not only forfeit their immunity from direct attack; they also make it more difficult for military personnel to apply the principle of discrimination and, thereby, put all civilians at risk. There is no definition of direct part in hostilities in treaty law or customary international law. At a minimum, it encompasses actions that are belligerent per se, that is, by their very nature and purpose can be expected to cause actual harm to an enemy. In general, the qualification of an act as direct participation in hostilities is a fact-dependent analysis that must be made after analyzing all relevant available facts, in the circumstances prevailing at the time.

13-24. Within an international armed conflict or a non-international armed conflict, the armed forces of a state may engage in hostilities with armed nonstate actors. This is the classic counterinsurgency environment. While most international armed conflict involves warfare between the armed forces of two or more states, situations can occur, such as during occupation, where such armed forces and other armed security forces of the state (including police forces) are engaged in combat with armed nonstate actors, or other persons who are not part of a state armed force. These groups can take a variety of forms, including an organized resistance movement that belongs to a state party but fails to meet the requirements for prisoner of war status under the Geneva Convention Relative to the Treatment of Prisoners of War Article 4A (2), or a terrorist organization such as al Qaeda that, without regard to compliance with any of the other requirements of Article 4A(2) (such as being under responsible command, wears fixed distinctive sign recognizable at a distance, carries arms openly, and conducts operations in compliance with the law of war), operates without any authorization or affiliation with a state and thereby falls outside of the Geneva Convention's protections. An individual who is formally or functionally part of an organized armed group that is engaged in hostilities may be targeted at any time. In essence, membership in armed forces or armed groups (such as the status of belonging to such a group) and direct participation in hostilities (such as a conduct-based standard) are separate bases for targeting under the law of war.

13-25. U.S. practice is that the designation of an armed nonstate group as hostile (as such targetable at all times) and its members as direct participants in hostilities, should only be made by an official authorized to do so. Without such a designation, the determination of whether a civilian may be targeted depends on whether that civilian is committing specific acts that amount to hostile acts or demonstrations of hostile intent, in accordance with the standing rules of engagement. In addition, individual conflicts may involve specific rules of engagement that incorporate direct participation in hostilities analysis.

PROPORTIONALITY

13-26. Proportionality requires that the anticipated loss of life and damage to property incidental to attacks must not be excessive in relation to the concrete and direct military advantage expected to be gained. Proportionality is process-oriented rather than result-oriented. Decisionmakers are expected to take all feasible precautions in planning military operations, but they remain dependent on the (often imperfect and incomplete) information available at the time to weigh the risk these operations may pose to the civilian population. In this context, proportionality may be viewed as a fulcrum upon which military forces and commanders must weigh the legitimate destructive effect of an attack (the law of war principle of military necessity) against the undesirable incidental effects of an attack (such as the risk of death or injury to civilians not taking a direct part in hostilities). Proportionality may be applied by decisionmakers at the national, strategic, operational, or tactical level.

13-27. Proportionality does not prohibit destruction for which there is military necessity, or limit the degree of engagement of enemy military forces in the absence of civilians or civilian objects. In particular, it does not prohibit bringing overwhelming firepower to bear on an opposing military force to subdue or destroy it. Nor does it prohibit injury to civilians that is incidental to lawful military operations. As used in this context, proportionality constitutes an acknowledgment of the unfortunate inevitability—but lawfulness—of incidental injury to civilians not taking a direct part in hostilities, or of the incidental damage or destruction of civilian objects, despite precautions, in the execution of legitimate military operations, particularly when these persons or objects have been intermingled with military forces or objectives.

13-28. Proportionality is weighed by a commander in determining whether, in engaging in offensive or defensive operations, that commander's actions may be expected to cause incidental loss of civilian life, injury to civilians, damage to civilian objects, or a combination thereof, that would be excessive in relation to the concrete and direct military advantage anticipated by those actions. The military advantage anticipated is intended to refer to the advantage anticipated from those actions considered as a whole, and not only from isolated or particular parts thereof. Generally, military advantage is not restricted to tactical gains, but is linked to the full context of a war strategy.

HONOR

13-29. Honor has long been a basis of warrior ethos and of the law of war. Honor demands a certain mutual respect and trust between opposing forces. It denounces and forbids resort to dishonorable means, expedients, or conduct that would constitute a breach of trust. An example of this form of honor is the use of a white flag, which in land warfare represents a flag of truce. Its display is predicated upon good faith. Its misuse is prohibited and constitutes a war crime. Another example of how honor applies comes from law of war requirements regarding the treatment of persons *hors de combat*—that is, military personnel who are no longer able to fight due to sickness, injury, or wounds, or because they are shipwrecked. The principle of honor (and other humanitarian considerations) requires that an individual who is *hors de combat* be treated and protected in the same manner as one would wish to be treated and protected by the enemy if the roles were reversed. However, this principle is not dependent upon reciprocity.

THE SOLDIER'S AND MARINE'S BASIC RULES

13-30. It is DOD policy that members of DOD components comply with the law of war during all armed conflicts, however such conflicts are characterized (such as international armed conflict or non-international armed conflict), and in all other military operations. The law of war principles discussed in paragraphs 13-13 through 13-29 can be safely applied by Soldiers and Marines by adhering to the following ten basic rules:

- Soldiers and Marines fight only enemy combatants.
- Soldiers and Marines do not harm enemies who surrender. They disarm them and turn them over to their superiors.
- Soldiers and Marines do not kill or torture enemy prisoners of war or detainees.
- Soldiers and Marines collect and care for the wounded, whether friend or foe.
- Soldiers and Marines do not attack medical personnel, facilities, or equipment.
- Soldiers and Marines destroy no more than the mission requires.
- Soldiers and Marines treat all civilians humanely.
- Soldiers and Marines do not steal. They respect private property and possessions.
- Soldiers and Marines do their best to prevent violations of the law of war.
- Soldiers and Marines report all violations of the law of war to their superior.

13-31. When working with host-nation or local friendly forces in a counterinsurgency, it is critical to both teach and enforce these rules among allies and friendly forces. Following the law of war is a critical component of counterinsurgency operations that directly supports the accomplishment of the strategic mission to defeat the insurgency and establish local rule by gaining the trust of the local civilian population, or at a minimum, enabling a local population to cease active support of an insurgency. Violations of the law of war have a direct and significant negative impact on the ability to conduct successful counterinsurgency operations.

13-32. The law of war includes rules governing situations in which the military forces of one state occupy the territory of another. Occupation is not a transfer of sovereignty. It does, however, grant the occupying power the authority and responsibility to restore and maintain public order and safety. The occupying power must enforce, as much as possible, the laws in force in the host nation. One of the four Geneva Conventions of 1949—the Geneva Convention Relative to the Protection of Civilian Persons in Time of War—becomes a prominent source of law during occupation, as well as the Hague Convention IV Regulations of 1907.

NON-INTERNATIONAL ARMED CONFLICT

13-33. The full body of the law of war only applies during international armed conflict. It does not apply during a non-international armed conflict. This does not mean no rules apply during a non-international armed conflict. For instance, the law of war principle of distinction still applies. It requires force to be directed at combatants and not innocent civilians, and a proportionality analysis is required when targeting combatants and military objectives if civilians or civilian objects may be impacted. Counterinsurgency operations are almost certain to be a feature of non-international armed conflict, the most common form of armed conflict today. During counterinsurgency operations, Common Article 3 of the Geneva Conventions applies. Commanders must be aware of Common Article 3, and the basic protections that must be afforded to insurgents or others captured by U.S. forces, as well as the status of insurgents under the laws of the host nation.

GENEVA CONVENTION, COMMON ARTICLE 3

13-34. Although insurgencies can occur within the context of an international armed conflict, they are classically conflicts between states and non-state actors that are considered to be non-international armed conflicts.

13-35. It bears emphasis, however, that one article contained in all four of the Geneva Conventions—Common Article 3—is specifically intended to apply to non-international armed conflicts. Common Article 3 affords significantly fewer protections to combatants fighting in a non-international armed conflict than does the full body of the law of war in an applicable international armed conflict. However, it does set a simple baseline of humane protection, along with fundamental rules that reflect the principles captured in the broader law of war.

13-36. Common Article 3 requires that in the case of armed conflict not of an international character (a non-international armed conflict) occurring in the territory of one of the high contracting parties to the

Geneva Conventions, each party to the conflict shall be bound to apply, as a minimum, to six provisions of Common Article 3. (See figure 13-1 for a list of these provisions.)

(1) Persons taking no active part in the hostilities, to include members of armed forces who have laid down their arms and those placed hors de combat by sickness, wounds, detention, or any other cause, shall in all circumstances be treated humanely, without any adverse distinction founded on race, color, religion or faith, sex, birth or wealth, or any other similar criteria.

(2) To this end, the following acts are and shall remain prohibited at any time and in any place whatsoever with respect to the above-mentioned persons:

(a) Violence to life and person, in particular murder of all kinds, mutilation, cruel treatment and torture;

(b) Taking of hostages;

(c) Outrages upon personal dignity, in particular humiliating and degrading treatment;

(d) The passing of sentences and the carrying out of executions without previous judgment pronounced by a regularly constituted court, affording all the judicial guarantees which are recognized as indispensable by civilized peoples.

(3) The wounded and sick shall be collected and cared for.

(4) An impartial humanitarian body, such as the International Committee of the Red Cross, may offer its services to the Parties to the conflict.

(5) The Parties to the conflict should further endeavor to bring into force, by means of special agreements, all or part of the other provisions of the present Convention.

(6) The application of the preceding provisions shall not affect the legal status of the Parties to the conflict.

Figure 13-1. Provisions binding high contracting parties

APPLICATION OF CRIMINAL LAWS OF A HOST NATION

13-37. There is no concept of prisoner-of-war status in non-international armed conflict, as reflected in Common Article 3. Insurgents may be prosecuted by a host nation as criminals for offenses related to participation in hostilities, such as bearing arms against government forces. Similarly, U.S. forces captured by insurgents are not prisoners of war, but must be treated in accordance with Common Article 3. U.S. forces conducting counterinsurgency operations should remember that the insurgents are, as a legal matter, criminal suspects within the legal system of a host nation. To support criminal prosecution of insurgents, counterinsurgents must develop and implement procedures to carefully preserve weapons, witness statements, photographs, and other evidence collected at a scene. This evidence is used to process the insurgents into a host-nation legal system and hold them accountable for their crimes, thus promoting the rule of law.

13-38. U.S. personnel may be subject to host-nation law, depending on the terms of any existing status of forces agreement between a host nation and the U.S. Status of forces agreements establish the legal status of military personnel in foreign countries and generally provide the U.S. military some level of protection from host-nation criminal jurisdiction. In the absence of an agreement or some other arrangement with the host nation, DOD personnel in foreign countries may be subject to the criminal law of that host nation.

DETENTION AND INTERROGATION

13-39. Human intelligence is essential in counterinsurgency operations. Acquiring human intelligence requires interrogation. The need for intelligence within a counterinsurgency, especially in conjunction with a third country or host-nation capture and detention scenario, can create great pressure to obtain time-sensitive information from detained individuals and suspected insurgents. Soldiers and Marines adhere to only approved detainee handling methods and interrogation techniques. In addition to complying with the law of war, U.S. forces must comply with domestic legal authorities such as the Detainee

Treatment Act of 2005, DODD 3115.09, FM 2-22.3, and other specific standards that guide U.S. forces working with detainees.

DETAINEE TREATMENT ACT OF 2005

13-40. U.S. law prohibits U.S. forces, including officials from other government agencies, from using certain methods to obtain information. In response to documented instances of detainee abuse, to include maltreatment involving interrogation, Congress passed, and the President signed into law, the Detainee Treatment Act of 2005. (See table 13-1 for an extract of the Detainee Treatment Act of 2005.)

Table 13-1. Extract of the Detainee Treatment Act of 2005

Section 1002: Uniform Standards for the Interrogation of Persons Under the Detention of the Department of Defense
(a) In General.—No person in the custody or under the effective control of the Department of Defense or under detention in a Department of Defense facility shall be subject to any treatment or technique of interrogation not authorized by and listed in the United States Army Field Manuel on Intelligence Interrogation [FM 2-22.3]. (b) Applicability—Subsection (a) shall not apply with respect to any person in the custody or under the effective control of the Department of Defense pursuant to a criminal law or immigration law of the United States. (c) Construction.—Nothing in this section shall be construed to affect the rights under the United States Constitution of any person in the custody or under the physical jurisdiction of the United States.
Section 1003: Prohibition on Cruel, Inhuman, or Degrading Treatment or Punishment of Persons Under Custody or Control of the United States Government
(a) In General—No individual in custody or under the physical control of the United States Government, regardless of nationality or physical location, shall be subject to cruel, inhuman or degrading treatment or punishment. (b) Construction—Nothing in this section shall be construed to impose any geographical limitation on the applicability of the prohibition against cruel, inhuman, or degrading treatment or punishment under this section. (c) Limitation on Supersedure.—The provision of this section shall not be superseded, except by a provision of law enacted after the date of the enactment of this Act which specifically repeals, modifies, or supersedes the provisions of this section. (d) Cruel, Inhuman, or Degrading Treatment or Punishment defined.—In this section, the term "cruel, inhuman, or degrading treatment or punishment" means the cruel, unusual, and inhumane treatment or punishment prohibited by the Fifth, Eighth, and Fourteenth Amendments to the Constitution of the United States, as defined in the United States Reservations, Declarations and Understandings to the United Nations Convention Against Torture and Other Forms of Cruel, Inhuman, or Degrading Treatment or Punishment done at New York, December 10, 1984.

INTERROGATION FIELD MANUAL

13-41. The Detainee Treatment Act established FM 2-22.3 as the legal standard for interrogations. U.S. forces may not use any interrogation technique other than those prescribed by FM 2-22.3. Commanders ensure that interrogators receive proper training and supervision. Executive Order 13491 extends this requirement to all U.S. government agencies.

STANDARDS FOR DETENTION AND INTERNMENT

13-42. Regardless of the precise legal status of those persons captured, detained, or otherwise held in custody by U.S. forces, they must receive humane treatment until properly released to host-nation authorities, who then assume legal responsibility. They must be provided the minimum protections of Common Article 3 to the Geneva Conventions. Specially trained, organized, and equipped military police units in adequately designed and resourced facilities should accomplish prolonged detention. Such

detention must follow the detailed standards contained in Army Regulation 190-8/Marine Corps Order 3461.1. Military police operating such facilities shall not be used to assist in or set the conditions for interrogation.

TRANSFER OF DETAINEES TO THE HOST NATION

13-43. There are certain conditions under which U.S. forces may not transfer the custody of detainees to the host nation or any other foreign government. U.S. forces retain custody if they have substantial grounds to believe that the detainees would be in danger in the custody of others. Such danger could include being subjected to torture or inhumane treatment. (See DODD 2310.01E for more information on transferring detainees and consult the legal advisor or staff judge advocate.)

ENFORCING DISCIPLINE OF U.S. FORCES

13-44. Despite rigorous selection and training, some personnel will commit infractions requiring discipline. The Uniform Code of Military Justice is the criminal code applicable to all U.S. military members and, in time of declared war or contingency operations, other persons serving with or accompanying U.S. armed forces in the field. Commanders and general officers are responsible for their subordinates and their behavior. Commanders must give clear guidance and ensure compliance. All civilians, including contractors, working in support of operations of the U.S. forces overseas must comply with the law of war.

UNIFORM CODE OF MILITARY JUSTICE

13-45. Although most well-led and well-trained U.S. military personnel perform their duties honorably and lawfully, some will commit various crimes, including violations of the law of war. U.S. military personnel remain subject at all times to the Uniform Code of Military Justice. Suspected criminal behavior must be investigated and, where appropriate, remedied by corrective action. This includes violations of orders, maltreatment of detainees, assaults, thefts, sexual offenses, destruction of property, and other crimes, to include homicides, which may be committed during a counterinsurgency. All reportable incidents committed by or against U.S. personnel, enemy persons, or any other individual must be reported promptly, investigated thoroughly, and, where appropriate, remedied by corrective action. A reportable incident is a possible, suspected, or alleged violation of the law of war, for which there is credible information, or conduct during any operation in the range of military operations that would constitute a violation of the law of war if it occurred during an armed conflict.

COMMAND RESPONSIBILITY

13-46. In some cases, military commanders may be deemed responsible for crimes committed by subordinates or others subject to their control. This situation arises when the criminal acts are committed pursuant to the commander's order. A commander is legally responsible for a war crime committed by that commander's subordinates if that commander knew, or should have known, that the subordinates were about to commit the violation and the commander did nothing to prevent it or that the subordinates had committed the violation and the commander failed to address the violation. Commanders must know that under international law, commanders are responsible if they know, or should have known, their subordinates are about to commit or have committed a violation of the law of war. In a counterinsurgency environment, where compliance with the law of war is critical to the success of the mission, commanders should expect to be held accountable for failing to report and investigate reportable incidents. Commanders may not ignore credible information that indicates U.S. forces may have committed, intend to commit, or are in the process of committing violations of the law of war. In addition, commanders must pay close attention to the command climate within their units. Commanders must foster a climate through leadership and training that helps Soldiers and Marines understand the critical need to abide by the law of war, in particular, to distinguish between civilians and insurgents, to refrain from unnecessarily harming civilians, and to treat detainees in accordance with all applicable laws, policies, and regulations.

GENERAL ORDERS

13-47. Orders issued by general officers in command during counterinsurgency will include provisions, such as a prohibition against drinking alcohol or against entering host-nation places of religious worship, important to maintaining discipline of the force. These types of orders safeguard the image of U.S. forces and promote the legitimacy of a host-nation government. These types of orders are readily enforceable under the Uniform Code of Military Justice.

CIVILIAN PERSONNEL AND CONTRACTORS

13-48. Modern counterinsurgency operations involve many DOD civilians as well as civilian personnel employed by government contractors. These civilians may be made subject to general orders. They are subject to U.S. laws and to the laws of the host nation. These civilians may be prosecuted or receive adverse administrative action by the U.S. or contract employers. Article 2(a)(10) of the Uniform Code of Military Justice provides court-martial jurisdiction over persons serving with or accompanying an armed force in the field during a time of declared war or a contingency operation. Under this authority, commanders have Uniform Code of Military Justice authority to disarm, apprehend, and detain DOD civilians and contractors suspected of having committed a felony offense in violation of the rules for the use of force, or outside the scope of their authorized mission, and to conduct the basic Uniform Code of Military Justice pretrial process and trial procedures currently applicable to courts-martial of military service members. Before bringing a DOD civilian or contractor to a court-martial, however, the Department of Justice must have the opportunity to review and determine whether it will pursue the matter pursuant to the Military Extraterritorial Jurisdiction Act. This act extends federal criminal jurisdiction over felony offenses committed by DOD civilians, contractor personnel, and others while employed by or accompany the armed forces overseas. The Military Extraterritorial Jurisdiction Act is implemented within the DOD by DODI 5525.11. Third country nationals employed by U.S. forces are covered under the Military Extraterritorial Jurisdiction Act, but host-nation personnel are not.

TRAINING AND EQUIPPING FOREIGN FORCES

13-49. Foreign forces need training and equipment to be effective. U.S. laws require Congress to authorize such expenditures. U.S. laws require the Department of State to verify that the host nation receiving the assistance has not engaged in a consistent pattern of gross violations of internationally recognized human rights. All training and equipping of foreign security forces must be specifically authorized. Usually, DOD involvement is limited to a precise level of man-hours and materiel requested from the Department of State under the Foreign Assistance Act or Arms Export Control Act. The President may authorize deployed U.S. forces to train or advise host-nation security forces as part of an operational mission. In this case, DOD personnel and operation and maintenance appropriations provide an incidental benefit to those security forces. All other weapons, training, equipment, logistic support, supplies, and services provided to foreign forces must be paid for with funds appropriated by Congress for that purpose. Examples include the Iraq Security Forces Fund and the Afghan Security Forces Fund appropriations. Moreover, the President must give specific authority to DOD for its role in such training and equipping efforts.

13-50. In counterinsurgency, like all operations, commands require specific authority to expend funds. That authority is normally found in the National Defense Authorization Act (NDAA), specifically, operation and maintenance funds. In recent counterinsurgency operations, Congress appropriated additional funds to commanders for the specific purpose of dealing with counterinsurgency. Recent examples include the Commanders' Emergency Response Program, Global Train and Equip Program, and the Global Security Contingency Fund.

DOD FUNDS GENERALLY NOT EXPENDABLE BY COMMANDERS FOR THIS PURPOSE

13-51. Congress specifically appropriates funds for foreign assistance. The United States Agency for International Development expends such funds under the legal authorities in Title 22. Provisions of Title 22 authorize small amounts of money. These funds are appropriated annually for commanders to provide humanitarian relief, disaster relief, or civic assistance in conjunction with military operations. These

standing authorities are narrowly defined and generally require significant advance coordination within the DOD and the Department of State. As such, they are of limited value to ongoing counterinsurgency operations.

COMMANDER'S EMERGENCY RESPONSE PROGRAM

13-52. The Commanders' Emergency Response Program is a statutory authorization to obligate funds from the DOD operation and maintenance appropriation for the primary purpose of authorizing U.S. military commanders to carry out small-scale projects designed to meet urgent humanitarian relief requirements or urgent reconstruction requirements within their areas of responsibility that provide an immediate and direct benefit to the people of Afghanistan. When authorized, Commanders' Emergency Response Program authority is found in annual NDAAs. Notably, the authority to use Commanders' Emergency Response Program in Iraq was specifically repealed, eliminating the use of Commanders' Emergency Response Program in Iraq. The Commanders' Emergency Response Program is one of the most important authorities commanders have in Afghanistan.

13-53. Some NDAAs include waiver authority for certain contracting requirements for the Commanders' Emergency Response Program, enabling the use of streamlined contracting procedures. For example, one NDAA provided that, "[f]or purposes of the exercise of the authority provided by this section or any other provision of law making funding available for the [Commanders' Emergency Response Program] ... the Secretary may waive any provision of law not contained in this section that would (but for the waiver) prohibit, restrict, limit, or otherwise constrain the exercise of that authority." As a result, the Secretary of Defense has periodically waived the Competition in Contracting Act requirements for Commanders' Emergency Response Program-funded projects. Therefore, Commanders' Emergency Response Program-funded projects did not need to follow the competition requirements of the Federal Acquisition Regulation.

13-54. In addition to being authorized for certain types of projects to assist the civilian population affected by an insurgency, Commanders' Emergency Response Program funds are often available for payment to host-nation civilians in certain specified situations. For example, under the Commanders' Emergency Response Program for Afghanistan, appropriated funds may be used to repair property damage that results from U.S., multinational, or supporting military operations that are not otherwise compensable under the Foreign Claims Act. These funds can also be used for condolence payments to individual civilians for the death or physical injury resulting from U.S., multinational, or supporting military operations that are not compensable under the Foreign Claims Act. Such payments include payments to surviving spouse or kin of defense or police personnel killed because of U.S., multinational, or supporting military operations. On the other hand, Commanders' Emergency Response Program for Afghanistan funds may not be used to pay rewards or fund any type of weapon buy-back program. Instead, a provision in U.S. Code authorizes a rewards problem.

GLOBAL TRAIN AND EQUIP OR BUILDING PARTNER CAPACITY

13-55. Other NDAA provisions have recently authorized DOD to build the capacity of foreign military forces in support of overseas contingency operations. Current NDAA Train and Equip authority allows DOD to build the capacity of a foreign country's national military forces in order for that country to—

- Conduct counterterrorist operations.
- Participate in or support military and stability operations in which the U.S forces are a participant.

This authority includes building the capacity of maritime security forces conducting counterinsurgency operations.

GLOBAL SECURITY CONTINGENCY FUND

13-56. Congress has used the NDAA to authorize the Global Security Contingency Fund, which provides funds to the Secretary of State or Secretary of Defense to provide assistance to designated countries for the purposes of enhancing the country's national military forces, and other national security forces that conduct

border and maritime security, internal defense, and counterterrorism operations. Funds provided may also be used for the justice sector, including law enforcement and prisons, rule of law programs, and stabilization efforts in a country in those cases in which the Secretary of State, in consultation with the Secretary of Defense, determines that the conflict or instability in a country or region challenges the existing capability of civilian providers to deliver such assistance. Funds come from both DOD operation and maintenance appropriations and Department of State funds.

HUMAN RIGHTS VETTING

13-57. Congress typically limits when it funds training or equipment for foreign security forces under provisions commonly known as the Leahy Amendment or Leahy vetting procedures. If the Department of State has credible information that the foreign security force unit identified to receive the training or equipment has engaged in a consistent pattern of gross violations of internationally recognized human rights, Congress prohibits funding. Such prohibitions impose a requirement upon Department of State and DOD. These departments must vet the proposed recipient units against a database of credible reports of human rights violations.

CLAIMS AND SOLATIA

13-58. Under certain conditions, the U.S. government makes payments to host-nation civilians. The Foreign Claims Act permits certain claims to be filed against the U.S. government. In some countries, solatia payments are available.

FOREIGN CLAIMS ACT

13-59. Under the Foreign Claims Act, claims by host-nation civilians for property losses, injury, or death caused by service members or the civilian component of the U.S. forces may be paid to promote and maintain friendly relations with a host nation. Claims that result from noncombat activities or negligent or wrongful acts or omissions are payable. Claims that are not payable under the Foreign Claims Act include losses from combat, contractual matters, domestic obligations, and claims that are either not in the best interest of the U.S. to pay or that are contrary to public policy. Because payment of claims requires adjudication of the claim and because many claims prove, upon investigation, to be not payable, U.S. forces must be careful not to raise expectations by promising payment.

SOLATIA

13-60. If U.S. forces are conducting counterinsurgency in a country where payments in sympathy or recognition of loss are common, solatia payments to accident victims may be legally payable. Solatia payments are not claims payments. They are payments in money or in kind to a victim or to a victim's family as an expression of sympathy or condolence. The payments are customarily made immediately and generally are nominal. The individual or unit involved in the damage has no legal obligation to pay; compensation is simply offered as an expression of remorse according to local custom. Solatia payments should not be made without prior coordination with the combatant command.

ESTABLISHING THE RULE OF LAW

13-61. Establishing the rule of law is a key goal and end state in counterinsurgency. Defining that end state requires extensive coordination between the instruments of U.S. power, a host nation, and multinational partners. Attaining that end state is usually the mission of host-nation authorities, international and intergovernmental organizations, the Department of State, and other U.S. government agencies, with, in some cases, support from U.S. forces. Some key aspects of the rule of law include—

- A government that derives its powers from the governed and competently manages, coordinates, and sustains collective security, as well as political, social, and economic development. This includes national, regional, and local government.
- Sustainable security institutions. These include a civilian-controlled military as well as police, court, and penal institutions, all of which should be perceived by the local population as fair, just, and transparent.
- Fundamental human rights. The United Nations Declaration on Human Rights and the International Convention for Civil and Political Rights provide a guide for applicable human rights. However, the latter provides for derogation from certain rights during an officially proclaimed state of public emergency that threatens the life of the nation. Respect for the full panoply of human rights should be the goal of a host nation; derogation and violation of these rights by host-nation security forces, in particular, often provides an excuse for insurgent activities.

13-62. In times of extreme unrest and insurgency, host-nation legal structures—courts, prosecutors, defense assistance, and prisons—may cease to exist or function. Under these conditions, counterinsurgents may need to undertake a significant role in the reconstruction of the host-nation judicial system to establish legal procedures and systems to deal with captured insurgents and common criminals. During judicial reconstruction, counterinsurgents can expect to be involved in providing sustainment and security support. They can expect to provide legal support and consultation to the host-nation judicial entities. Even when judicial functions are restored, counterinsurgents may still have to provide logistic and security support to judicial activities for a prolonged period. This support continues as long as insurgents continue to disrupt activities that support the legitimate rule of law.

13-63. Rule of law is a principle under which all persons, institutions, and entities, public and private, including the state itself, are accountable to laws that are publicly promulgated, equally enforced, and independently adjudicated, and that are consistent with international human rights principles. In assessing rule of law, counterinsurgency planners should consider the end state for which the host nation should strive. While the form of the rule of law among different states may differ markedly, the effects should be similar. Some effects from the application of rule of law include the following:

- The state monopolizes the use of force in the resolution of disputes.
- Individuals are secure in their persons and property.
- The state is itself bound by law and does not act arbitrarily.
- The law can be readily determined and is stable enough to allow individuals to plan their affairs.
- Individuals have meaningful access to an effective and impartial legal system.
- The state protects basic human rights and fundamental freedoms.
- Individuals rely on the existence of justice institutions and the content of law in the conduct of their daily lives.

13-64. While no nation achieves these effects entirely, counterinsurgent efforts should support and reinforce host-nation rule of law efforts to approach them. Rule of law operations can become a key line of effort for counterinsurgents. Because many variables—whether cultural, economic, institutional, or operational—affect rule of law and rule of law operations, no single approach to assessment or implementation can be established.

13-65. In counterinsurgency environments, it is likely that justice mechanisms will have either collapsed or be in serious need of rebuilding. Given the time and resources required to establish a fully functional judicial system, counterinsurgents may need to support interim justice mechanisms—mechanisms to provide justice in communities even while permanent judicial mechanisms are being developed. Such interim justice mechanisms may use simplified formal mechanisms or informal justice mechanisms such as traditional customs or other forms of community-based dispute resolution. Interim justice development and institutional capacity building should be mutually reinforcing. Overall, progress in the rule of law is far more rapid when building the capacity of police, prosecutors, judiciary, civil dispute resolution, and corrections occurs simultaneously rather than sequentially.

13-66. Transitional justice mechanisms (truth commissions, trials and amnesties, purges from office, and reparations) address past violations of human rights and humanitarian law. They can be effective in

building the rule of law and reducing support for an insurgency. Trials and amnesties are important components of reconciliation and reintegration. Truth commissions can serve the same function, and can simultaneously expose the legal and humanitarian violations of an insurgency to a population and the world. Counterinsurgency forces should coordinate with civilian leaders and consider including these processes in their operations.

13-67. In some parts of the world, formal state-sanctioned and state-run courts are not the primary method for resolving disputes. Instead, people resolve disputes through traditional customs and processes. For example, many Afghans rely on *shura* and *jirga*, councils of community leaders who mediate conflicts. In seeking to establish the rule of law, counterinsurgents need to understand what traditional forms of justice already exist in a community. Counterinsurgents should consider whether these systems should be integrated into the formal legal system, and they should also consider whether they can rely on those traditional systems of justice as interim mechanisms while more formal court systems are being developed.

13-68. Counterinsurgents must be attentive to both civil and criminal justice. The criminal justice system includes police, court systems, and corrections facilities. Its goal is to incapacitate, punish, deter, and rehabilitate criminals. The civil justice system addresses disputes that are not of a criminal nature, such as contract or property disputes. When the institutions of justice have collapsed or need to be rehabilitated, the absence of both civil and criminal justice can cause instability and frustration in local communities. The rule of law requires functioning systems for addressing both criminal and civil justice.

13-69. Helping a society develop a functioning civil and criminal legal system can be essential to counter an insurgency. A knowledge of the host-nation legal system may help a commander determine the best means to aid that development. Because a legal system develops over time within each society, understanding its development and history helps explain its relevance to society. Laws and norms that make little sense on the outside may have deep cultural and historic roots. The Army and the Marine Corps legal communities can help a commander better understand the legal environment and how to help reestablish and reinforce the rule of law.

13-70. Counterinsurgents should inform and educate the media, local community, host nation, and public at large about applicable law of war provisions, U.S. and host-nation laws, and the obligations of those participating in hostilities. Providing this information can help build trust and legitimacy by helping locals and the media understand the rules U.S. forces follow and the safeguards they apply in operations. Legal preparation of the battlefield can also help delegitimize the insurgents, as locals and the media will better understand the insurgents' violation of the laws.

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Glossary

The glossary lists acronyms and terms with Army, multi-Service, or joint definitions. Where Army and joint definitions are different, (Army) precedes the definition. The proponent manual for terms is listed in parentheses after the definition. Terms for which the Army and Marine Corps have agreed on a common definition are followed by (*Army-Marine Corps*).

SECTION I—ACRONYMS AND ABBREVIATIONS

ABCA	American, British, Canadian, Australian, and New Zealand
ADP	Army doctrine publication
ADRP	Army doctrine reference publication
ASCOPE	areas, structures, capabilities, organizations, people, events
ATTP	Army tactics, techniques, and procedures
COIN	counterinsurgency
DA	Department of the Army
DOD	Department of Defense
DODD	Department of Defense directive
DODI	Department of Defense instruction
FM	field manual
JP	joint publication
G-2	assistant chief of staff, intelligence
G-3	assistant chief of staff, operations
MACV	Military Assistance Command, Vietnam
MCDP	Marine Corps doctrine publication
MCO	Marine Corps order
MCRP	Marine Corps reference publication
MCWP	Marine Corps warfighting publication
MOE	measure of effectiveness
MOP	measure of performance
NDAA	National Defense Authorization Act
NGO	nongovernmental organization
S-2	intelligence staff officer
S-3	operations staff officer
SOF	special operations forces
STANAG	standardization agreement
TC	training circular
U.S.	United States
USC	United States Code

SECTION II—TERMS

all-source intelligence

Intelligence products and/or organizations and activities that incorporate all sources of information in the production of finished intelligence. (JP 2-0)

area of interest

That area of concern to the commander, including the area of influence, areas adjacent thereto, and extending into enemy territory. This area also includes areas occupied by enemy forces who could jeopardize the accomplishment of the mission. (JP 3-0)

area of operations

An operational area defined by the joint force commander for land and maritime forces that should be large enough to accomplish their missions and protect their forces. (JP 3-0)

assessment

1. A continuous process that measures the overall effectiveness of employing joint force capabilities during military operations. 2.Determination of the progress toward accomplishing a task, creating a condition, or achieving an objective. (JP 3-0)

base

A locality from which operations are projected or supported. (JP 4-0)

biometrics

The process of recognizing an individual based on measurable anatomical, physiological, and behavioral characteristics. (JP 2-0)

center of gravity

The source of power that provides moral or physical strength, freedom of action, or will to act. (JP 5-0)

clear

A tactical mission task that requires the commander to remove all enemy forces and eliminate organized resistance within an assigned area. (FM 3-90-1)

combat outpost

A reinforced observation post capable of conducting limited combat operations. (FM 3-90-2)

command

The authority that a commander in the armed forces lawfully exercises over subordinates by virtue of rank or assignment. (JP 1)

control

(Army) The regulation of forces and warfighting functions to accomplish the mission in accordance with the commander's intent. (ADP 6-0)

counterinsurgency

Comprehensive civilian and military efforts designed to simultaneously defeat and contain insurgency and address its root causes. (JP 3-24)

country team

The senior, in-country, United States coordinating and supervising body, headed by the chief of the United States diplomatic mission, and composed of the senior member of each represented United States department or agency, as desired by the chief of the United States diplomatic mission. (JP 3-07.4)

cyberspace

A global domain within the information environment consisting of the interdependent network of information technology infrastructures and resident data, including the Internet, telecommunications networks, computer systems, and embedded processors and controllers. (JP 1-02)

end state

The set of required conditions that defines achievement of the commander's objectives. (JP 3-0)

foreign internal defense

Participation by civilian and military agencies of a government in any of the action programs taken by another government or other designated organization to free and protect its society from subversion, lawlessness, insurgency, terrorism, and other threats to its security. (JP 3-22)

human intelligence

(joint) A category of intelligence derived from information collected and provided by human sources. (JP 2-0) (Army) The collection by a trained human intelligence collector of foreign information from people and multimedia to identify elements, intentions, composition, strength, dispositions, tactics, equipment, and capabilities. (FM 2-22.3)

information environment

The aggregate of individuals, organizations, and systems that collect, process, disseminate, or act on information. (JP 3-13)

information fratricide

The result of employing information-related capabilities in a way that causes effects in the information environment that impede the conduct of friendly operations or adversely affect friendly forces. (FM 3-13)

information operations

The integrated employment, during military operations, of information-related capabilities in concert with other lines of operations to influence, disrupt, corrupt, or usurp the decisionmaking of adversaries and potential adversaries while protecting our own. (JP 3-13)

information-related capability

A tool, technique, or activity employed within a dimension of the information environment that can be used to create effects and operationally desirable conditions. (JP 3-13)

insurgency

The organized use of subversion and violence to seize, nullify, or challenge political control of a region. Insurgency can also refer to the group itself. (JP 3-24)

intelligence

The product resulting from the collection, processing, integration, evaluation, analysis, and interpretation of available information concerning foreign nations, hostile or potentially hostile forces or elements, or areas of actual or potential operations. (JP 2-0)

intelligence preparation of the battlefield/*battlespace*

(*Army-Marine Corps*) A systematic process of analyzing and visualizing the portions of the mission variables of threat/adversary, terrain, weather, and civil considerations in a specific area of interest and for a specific mission. By applying intelligence preparation of the battlefield/battlespace, commanders gain the information necessary to selectively apply and maximize operational effectiveness at critical points in time and space. (FM 2-01.3/ MCRP 2-3A)

intergovernmental organization

An organization created by a formal agreement between two or more governments on a global, regional, or functional basis to protect and promote national interests shared by member states. (JP 3-08)

internal defense and development

The full range of measures taken by a nation to promote its growth and to protect itself from subversion, lawlessness, insurgency, terrorism, and other threats to its security. (JP 3-22)

irregular warfare

A violent struggle among state and non-state actors for legitimacy and influence over the relevant population(s). (JP 1)

line of effort

In the context of joint operation planning, using the purpose (cause and effect) to focus efforts toward establishing operational and strategic conditions by linking multiple tasks and missions. (JP 5-0)

line of operation

A line that defines the interior or exterior orientation of the force in relation to the enemy or that connects actions on nodes and/or decisive points related in time and space to an objective(s). (JP 5-0)

measure of effectiveness

A criterion used to assess changes in system behavior, capability, or operational environment that is tied to measuring the attainment of an end state, achievement of an objective, or creation of an effect. (JP 3-0)

measure of performance

A criterion used to assess friendly actions that is tied to measuring task accomplishment. (JP 3-0)

mission command

The exercise of authority and direction by the commander using mission orders to enable disciplined initiative within the commander's intent to empower agile and adaptive leaders in the conduct of unified land operations. (ADP 6-0)

mission orders

Directives that emphasize to subordinates the results to be attained, not how they are to achieve them. (ADP 6-0)

nation assistance

Assistance rendered to a nation by foreign forces within that nation's territory based on agreements mutually concluded between nations. (JP 3-0)

nongovernmental organization

A private, self-governing, not-for-profit organization dedicated to alleviating human suffering; and/or promoting education, health care, economic development, environmental protection, human rights, and conflict resolution; and/or encouraging the establishment of democratic institutions and civil society. (JP 3-08)

operational approach

A description of the broad actions the force must take to transform current conditions into those desired at end state. (JP 3-0)

operational environment

A composite of the conditions, circumstances, and influences that affect the employment of capabilities and bear on the decisions of the commander. (JP 3-0)

public affairs

Those public information, command information, and community engagement activities directed toward both the external and internal publics with interest in the Department of Defense. (JP 3-61)

rules of engagement

Directives issued by competent military authority that delineate the circumstances and limitations under which United States forces will initiate and/or continue combat engagement with other forces encountered. (JP 1-04)

running estimate

The continuous assessment of the current situation used to determine if the current operation is proceeding according to the commander's intent and if planned future operations are supportable. (ADP 5-0)

security cooperation

All Department of Defense interactions with foreign defense establishments to build defense relationships that promote specific US security interests, develop allied and friendly military capabilities for self-defense and multinational operations, and provide US forces with peacetime and contingency access to a host nation. (JP 3-22)

security force assistance

The Department of Defense activities that contribute to unified action by the US Government to support the development of the capacity and capability of foreign security forces and their supporting institutions. (JP 3-22)

site exploitation

A series of activities to recognize, collect, process, preserve, and analyze information, personnel, and/or materiel found during the conduct of operations. (JP 3-31)

strike

An attack to damage or destroy an objective or a capability. (JP 3-0)

target audience

An individual or group selected for influence. (JP 3-13)

unified action

The synchronization, coordination, and/or integration of the activities of governmental and nongovernmental entities with military operations to achieve unity of effort. (JP 1)

unity of command

The operation of all forces under a single responsible commander who has the requisite authority to direct and employ those forces in pursuit of a common purpose. (JP 3-0)

unity of effort

Coordination and cooperation toward common objectives, even if the participants are not necessarily part of the same command or organization, which is the product of successful unified action. (JP 1)

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MCWP 3-33.5
13 May 2014

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Chief of Staff

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1412701

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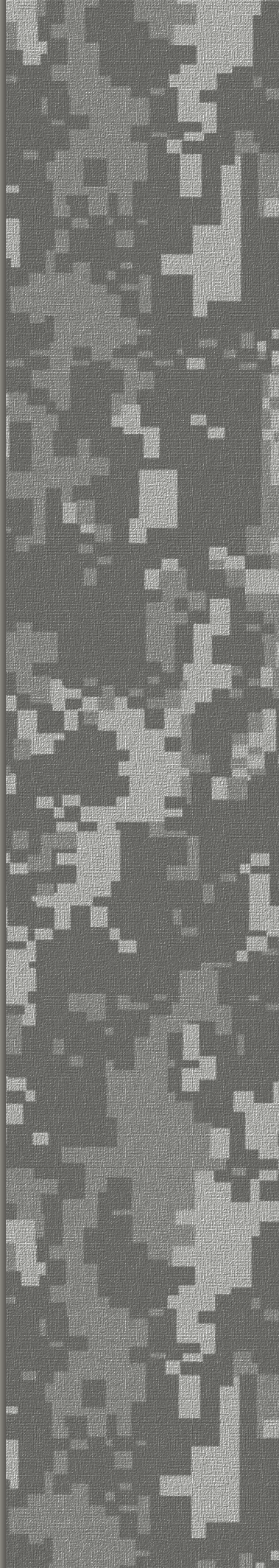

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