

ADRP 3-07

STABILITY

AUGUST 2012

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Stability

1. This change is an administrative change of figures.
2. A plus sign (+) marks new material.
3. ADRP 3-07, 31 August 2012, is changed as follows:

Remove Old Pages

Insert New Pages

pages i-iv

pages i-iv

pages 2-7 and 2-8

pages 2-7 and 2-8

4. File this transmittal sheet in front of the publication for reference purposes.

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Stability

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Preface

Army Doctrine Reference Publication (ADRP) 3-07 augments the stability doctrine established in Army Doctrine Publication (ADP) 3-07, *Stability*. ADP 3-07 is the Army's doctrine for stability tasks. ADP 3-07 presents overarching doctrinal guidance and direction for conducting these operations, setting the foundation for developing other fundamentals and tactics, techniques, and procedures detailed in subordinate doctrinal publications. It also provides operational guidance for commanders and trainers at all echelons.

It constitutes the Army's view of how to conduct stability tasks in operations on land and sets the foundation for developing the other principles, tactics, techniques, and procedures detailed in subordinate doctrinal publications. Combined with ADP 3-07, the doctrine in ADRP 3-07 provides a foundation for the Army's operational concept of unified land operations. This publication also forms the foundation for training and Army education curricula on stability tasks in operations.

The principal audience for ADP 3-07 is the middle and senior leadership of the Army, officers in the rank of major and above who command Army forces or serve on the staffs that support those commanders. It also applies to the civilian leadership of the Army. This publication is also intended to serve as a resource for the other government agencies, intergovernmental organizations, international organizations, nongovernmental organizations, and private sector entities who seek to better understand the role of the military in broader stability efforts. Trainers and educators throughout the Army will also use this publication.

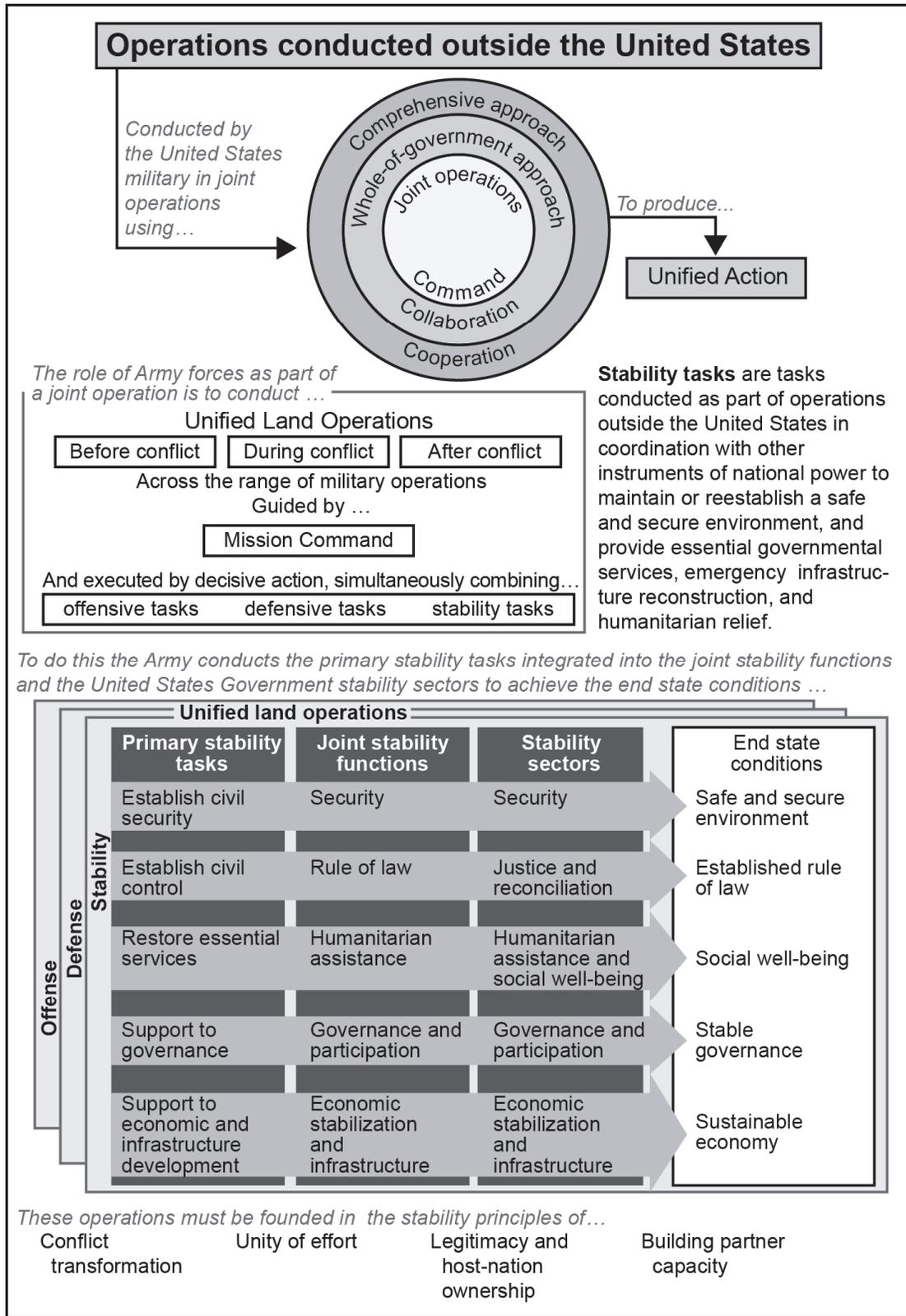
Commanders, staffs, and subordinates ensure their decisions and actions comply with applicable U.S., international, and, in some cases, host-nation laws and regulations. Commanders at all levels ensure their Soldiers operate in accordance with the law of war and the rules of engagement. See Field Manual (FM) 27-10.

ADP 3-07 implements the standardization agreement entitled Allied Joint Publication (AJP)-3.4.

ADRP 3-07 uses joint terms where applicable. Most terms with joint or Army definitions are in both the glossary and the text. Terms for which ADRP 3-07 is the proponent publication (the authority) have an asterisk (*) in the glossary. Definitions for which ADRP 3-07 is the proponent publication are in boldfaced text. These terms and their definitions will be in the next revision of FM 1-02. For other definitions in the text, the term is italicized and the number of the proponent publication follows the definition.

ADRP 3-07 applies to the Active Army, Army National Guard/Army National Guard of the United States, and United States Army Reserve unless otherwise stated.

The proponent of ADRP 3-07 is the United States Army Combined Arms Center. The preparing agency is the United States Army Peacekeeping and Stability Operations Institute, U.S. Army War College. Send written comments and recommendations on a DA Form 2028 (Recommended Changes to Publications and Blank Forms) to Commander, U.S. Army Combined Arms Center and Fort Leavenworth, ATTN: ATZL-MCK-D (ADRP 3-07), 300 McPherson Avenue, Fort Leavenworth, KS 66027-2337; by e-mail to usarmy.leavenworth.mccoe.mbx.cadd-org-mailbox@mail.mil; or submit an electronic DA Form 2028.



+ Introductory figure. Stability underlying logic

Introduction

Throughout U.S. history, the U.S. Army has learned that military force alone cannot secure sustainable peace. U.S. forces can only achieve sustainable peace through a comprehensive approach in which military objectives nest in a larger cooperative effort of the departments and agencies of the U.S. Government, intergovernmental and nongovernmental organizations, multinational partners, the private sector, and the host nation. Stability tasks outlined in this manual are necessary toward achieving sustained peace. The U.S. Army has devoted most of its effort, over its 237-year history, conducting those tasks.

ADRP 3-07 remains generally consistent with FM 3-07 on the principles and foundations for stability in operations. ADRP 3-07 contains four chapters:

Chapter 1 expands the discussion of the strategic context and emphasizes military operations. It discusses fragile states framework. ADRP 3-07 remains generally consistent with FM 3-07 on the use of the fragile states framework and the stability framework. The chapter also modifies the elements of the strategic approach for stability and renames the discussion as the stability principles. Finally, the chapter renames the *Strategy for Stability Operations* as *End State Conditions for Stability in Operations*.

Chapter 2 introduces the Army's new operational concept of unified land operations as it applies to stability. It links military and civilian efforts as part of unified action to stabilize the host nation. It updates the discussion of the primary stability tasks to align with ADRP 3-0.

Chapter 3 discusses considerations of stability tasks unique to activities and operations.

Chapter 4 discusses planning for stability in operations and aligns the discussion with ADRP 3-0 and ADRP 5-0. It elaborates on planning considerations, the commander's role in planning, and operational art in stability in operations. Finally, the chapter expands the discussion on assessments and the District Stability Framework.

Based on current doctrinal changes, certain terms for which ADRP 3-07 is proponent have been modified for purposes of this manual. The glossary contains acronyms and defined terms.

Introductory Table -1. Modified Army terms

Term	Remarks
capacity building	Modified usage as <i>building partner capacity</i> in common English usage. No longer formally defined.
comprehensive approach	Retained based on common English usage. No longer formally defined.
conflict transformation	Retained based on common English usage. No longer formally defined.
crisis state	Retained based on common English usage. No longer formally defined.
disarmament	Retained based on common English usage. No longer formally defined.
fragile state	Retained based on common English usage. No longer formally defined.
governance	Adopts the joint definition.
reconstruction	Retained based on common English usage. No longer formally defined.
rule of law	Retained based on common English usage. No longer formally defined.
security force assistance	Adopts the joint definition.
security sector reform	Adopts the joint definition.
stabilization	Retained based on common English usage. No longer formally defined.
vulnerable state	Retained based on common English usage. No longer formally defined.
whole-of-government approach	Retained based on common English usage. No longer formally defined.

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Chapter 1

Introduction to Stability in Operations

GOALS OF STABILITY

1-1. Ultimately, stability aims to create conditions so that the local populace regards the situation as legitimate, acceptable, and predictable. Stability first aims to lessen the level of violence. It aims to enable the functioning of governmental, economic, and societal institutions. Lastly, stability encourages the general adherence to local laws, rules, and norms of behavior. Sources of instability manifest themselves at the local level.

THE AMERICAN EXPERIENCE WITH STABILITY

1-2. During the relatively short history of the United States, military forces have fought only eleven wars considered conventional. From the American Revolution through Operation Enduring Freedom, these wars represented significant or perceived threats to national security interests. Traditionally, the military prepared for these wars since these wars endangered America's way of life. Of the hundreds of other military operations conducted in those intervening years, most have been operations where the majority of effort consisted of stability tasks. Contrary to popular belief, the military history of the United States is one characterized by such operations, interrupted by distinct episodes of major combat.

1-3. In the two decades after the fall of the Berlin Wall, Army forces have led or participated in more than fifteen operations, intervening in places such as Haiti, Liberia, Somalia, the Balkans, Iraq, and Afghanistan. These operations revealed a disturbing trend throughout the world—the collapse of established governments, the rise of international criminal and terrorist networks, a seemingly endless array of humanitarian crises, and grinding poverty. The global implications of such destabilizing issues are staggering. (See FM 3-07 for a more detailed historical introduction of the Army's experience conducting stability tasks as a part of operations.)

1-4. In the complex, dynamic operational environments of the 21st century, significant challenges to sustainable peace and security exist. Sources of instability that push parties toward violence include religious fanaticism, global competition for resources, climate change, residual territorial claims, ideology, ethnic tension, elitism, greed, and the desire for power. These factors create belts of state fragility and instability that threaten U.S. national security. While journeying into this uncertain future, leaders increasingly call on operations to reduce drivers of conflict and instability and to support social and institutional resiliencies. Such resiliencies can counter instability by building local institutional capacity to forge sustainable peace, security, and economic growth. This environment requires the military to conduct missions, tasks, and activities across the range of military operations to establish conditions for long-term stability.

STABILITY PRINCIPLES

1-5. Across the range of military operations, Army units use the principles of stability with the principles of joint operations to carry out stability tasks. Effective commanders better understand the joint principles in the context of stability as part of decisive action and in the context of how to use the principles.

1-6. Stability tasks are based on principles that lay the foundation for long-term stability. *Stability tasks* are tasks conducted as part of operations outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment, and provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief (ADP 3-07). Stability tasks focus on identifying, targeting, and mitigating the root causes of instability to set the conditions for long-term development by building the capacity of local institutions.

1-7. Any integrated approach to operations characterized by stability tasks requires a framework that applies across the range of military operations, from military engagement to major operations. It must frame purposeful intervention at any point along that range, reflecting the execution of a wide range of stability tasks performed under the umbrella of various operational environments—

- To support a partner nation during military engagement in peacetime.
- After a natural or man-made disaster as part of a humanitarian-based limited intervention.
- During peace operations to enforce international peace agreements.
- To support a legitimate host-nation government during irregular warfare.
- During major combat operations to establish conditions that facilitate post-conflict activities.
- In a post-conflict environment following the general cessation of organized hostilities.

1-8. Executing stability tasks in operations is based on the stability principles. For many agencies and organizations, stability tasks are part of broader efforts to set and maintain the conditions for stability in an unstable area or to reestablish enduring peace and stability following the cessation of open hostilities. When involved, military forces execute stability tasks continuously throughout all operations. Executed early enough and in support of broader national policy goals and interests, stability tasks in operations effectively reduce the risk of politically motivated violence. Stability tasks address sources of instability before hostilities begin. Effectively and efficiently mitigating the risk of lengthy post-conflict interventions provides the authority and resources to conduct these stability tasks as part of military engagement in peacetime. The following stability principles lay the foundation for long-term stability:

- Conflict transformation.
- Unity of effort and unity of purpose.
- Legitimacy and host-nation ownership.
- Building partner capacity.

CONFLICT TRANSFORMATION

1-9. Conflict transformation guides a strategy to transform resolution of conflict from violent to peaceful means. It requires reducing sources of instability and strengthening mitigators across political, security, rule of law, economic, and social spheres, while building host-nation capacity to manage political and economic competition through peaceful means. Conflict transformation is the process of reducing the means and motivations for violent conflict while developing viable, peaceful alternatives for the competitive pursuit of political and socioeconomic aspirations.

1-10. Addressing the drivers of violent conflict begins with a thorough assessment. The assessment analyzes the conditions of an operational environment, including how the operation affects the situation on the ground and how locals perceive the conditions. This conflict assessment ensures planning focuses on the root causes of conflict or strife and prescribes integrated approaches to resolution. Sometimes the host nation needs an active and robust presence of external military forces—in partnership and cooperation with a sizable international civilian presence—to help shape the environment and reduce the drivers of violent conflict. Together, civilian and military efforts attempt to impose order, reduce violence, deliver essential services, moderate political conflict, and institute an acceptable political framework pursuant to a peace accord. Peace becomes sustainable when efforts reduce sources of conflict enough that developing host-nation institutions can largely manage them.

1-11. Posturing a stability effort for success necessitates a detailed conflict assessment and assessment of how the local population perceives activities. This assessment provides a measure of those factors as a snapshot in time and helps one to understand the roles and responsibilities of local and international actors and help determine the best method to collaborate with all stakeholders. In each instance, the roles and responsibilities of the various actors—civilian and military—vary according to factors including the threat, stability of the environment, and viability of the host-nation government. This detailed conflict assessment also serves as the basis for planning, which links the broad strategic goals to an attainable end state, supporting objectives, and discreet, executable tasks. The resulting plan nests these goals together into a coherent framework suited to address conditions of an operational environment. (Chapter 4 discusses planning considerations for stability tasks in operations. See ADRP 5-0 on the operations process.)

1-12. Successful transformation begins with understanding the dynamics of the particular conflict. Conflict transformation recognizes that conflict is a normal and continuous social dynamic and seeks to provide an effective peaceful means of resolution. Conflict transformation is based in cultural awareness and a broad understanding of the dynamics of conflict. Success depends on a detailed understanding of underlying relational, social, and cultural patterns.

1-13. Conflict transformation exploits the opportunity to achieve positive change. It aims to reduce the motivations and means for violent conflict by developing more attractive, peaceful alternatives for the competitive pursuit of political and economic goals. This pursuit entails addressing the drivers of instability while fostering the development and support of local institutions and civil society. Conflict transformation addresses the drivers of instability with the legitimacy and the capacity to provide basic services, economic opportunity, public order, and security.

1-14. Successful conflict transformation relies on the ability of intervening actors and local stakeholders to identify and resolve the primary sources of instability. These efforts reflect the constant tension between the time commitment required to achieve sustainable progress and the need to build momentum quickly. National interest and resources are finite; therefore, conflict transformation efforts focus on the underlying sources, not the visible symptoms, of instability. In countries seeking to transition from war to peace, a limited window of opportunity exists to mitigate sources of instability. This may include deterring adversaries and mitigating their effects on local populaces and institutions, as well as developing approaches that include marginalized groups, consensus-building mechanisms, checks and balances on power, and transparency measures.

UNITY OF EFFORT

1-15. Uniting all of the diverse capabilities necessary to achieve success in stability tasks requires collaborative and cooperative paradigms that focus those capabilities toward a common goal. Where military operations typically demand unity of command, the challenge for military and civilian leaders is to forge unity of effort or unity of purpose among the diverse array of actors involved in a stability operation. This is the essence of *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 effort* is the coordination and cooperation toward common objectives, even if the participants are not necessarily part of the same command or organization—the product of successful unified action (JP 1). Unity of effort is fundamental to successfully incorporating all the instruments of national power in a collaborative approach when conducting stability tasks in operations.

1-16. Unity of effort requires integrating the capabilities of all the instruments of national power, as well as those of other nations, nongovernmental organizations, intergovernmental organizations, and the private sector. Many actors, particularly nongovernmental organizations, participate in unified action at their own discretion. They often define their roles by competing interests, and are governed by differences in policy and mandates. Nongovernmental organizations (NGOs) often have activities driven by fundamental humanitarian principles and goals different from the United States Government (USG) or the international community. Most NGOs go to great lengths to ensure that others perceive them as being fair and impartial to all parties, hence their reluctance to collaborate with the USG, especially the military. Effective civilian-military collaboration starts with developing shared objectives, a unity of purpose, and a relationship of shared trust where unity of effort becomes possible. The challenge for commanders is to come to a shared understanding, which fosters unity of purpose between partners. (FM 3-07 has additional details on humanitarian response principles.)

1-17. Unity of effort in such complex endeavors is often the operational goal. Unity of effort leverages the ability of various actors to achieve a cooperative environment that focuses effort toward a common goal, regardless of individual command or organizational structures. Military forces coordinate their efforts through host-nation civilian agencies to mitigate sources of instability and build the host nation's legitimacy and capacity. However, if the state has failed through military action or other socioeconomic factors, then a transitional authority must assume responsibility for governing. This can be a transitional civil authority (typically authorized by the United Nations and under international lead) or a transitional military authority. (FM 3-07 discusses transitional military authority).

A Whole-of-Government Approach

1-18. A whole-of-government approach is an approach that integrates the collaborative efforts of the departments and agencies of the USG to achieve unity of effort toward a shared goal. This approach enables achieving the balance of resources, capabilities, and activities that reinforce progress made by one of the instruments of national power while enabling success among the others. Success in this approach depends upon the ability of civilians and military forces to plan jointly and respond quickly and effectively through an integrated, interagency approach to a fundamentally dynamic situation. Accomplishing this approach requires a willingness and ability to share information and resources among USG agencies and organizations while working toward a common goal. These resources—financial, military, intelligence, law enforcement, diplomatic, developmental, and strategic communication—are often limited in availability and cannot be restricted to use by a single agency, Service, or entity. It relies on interagency coordination among the agencies of the USG, including the Department of Defense, to ensure that agencies leverage, synchronize, and apply capabilities to address the drivers of conflict and reinforce resiliencies of local institutions to facilitate achieving sustainable peace. Leaders actively consider what information they can provide as well as what resources they can share with unified action partners. Ensuring continued sharing and cooperation requires a balance of activities in time and resources. These activities occur as regular meetings, formal agreements, assignment of coordinators or liaison staff, or even developing common communication or information technology platforms, integrated plans, or joint secretariats. Further, leaders maintain strong working relationships enable collaboration and sharing, based upon mutual trust and shared goals.

1-19. All actors involved in unified action integrate with the operation from the onset of planning. Together, they complete detailed analyses of the situation and operational environments, develop integrated courses of action, and continuously assess the situation. These actions ensure that the various capabilities and activities focus on achieving specific conflict transformation goals with host-nation and international partners. A coherent whole-of-government approach requires early and high-level participation of national, civilian, and military participants. This approach necessitates active collaboration and dialogue with nongovernmental and intergovernmental organizations, the host-nation government, and the private sector, when necessary.

1-20. Civilian and military efforts encounter challenges during a whole-of-government approach. Challenges include differing organizational capacities, perspectives, approaches, and decisionmaking processes between civilian agencies and military forces. Each USG agency often arrives in the unstable area with differing unstated assumptions or interpretations of events and solutions. A successful whole-of-government approach requires that all actors—

- Are represented, integrated, and actively involved in the process.
- Develop and maintain a shared understanding of the situation and problem.
- Strive for unity of effort toward achieving a common goal.
- Integrate and synchronize capabilities and activities.
- Collectively determine the resources, capabilities, and activities necessary to achieve their goals.
- Allocate resources to ensure continuation of information sharing, common understanding, and integrated efforts.

A Comprehensive Approach

1-21. A comprehensive approach is an approach that integrates the cooperative efforts of the departments and agencies of the USG, and to the extent possible, intergovernmental and nongovernmental organizations, multinational partners, and private sector entities to achieve unity of effort toward a shared goal. A comprehensive approach builds from the cooperative spirit of unity of effort. Successful operations involve actors participating at their own discretion or present in the operational area but not acting as a member of a multinational coalition. Integration and collaboration often elude the diverse array of actors involved, and may vary significantly given the degree of overlap between each actor's priorities and goals. A comprehensive approach achieves unity of effort through extensive cooperation and coordination to forge a shared understanding of a common goal. A comprehensive approach is difficult to sustain but still critical to achieving success in an operation with a wide representation. See figure 1-1.

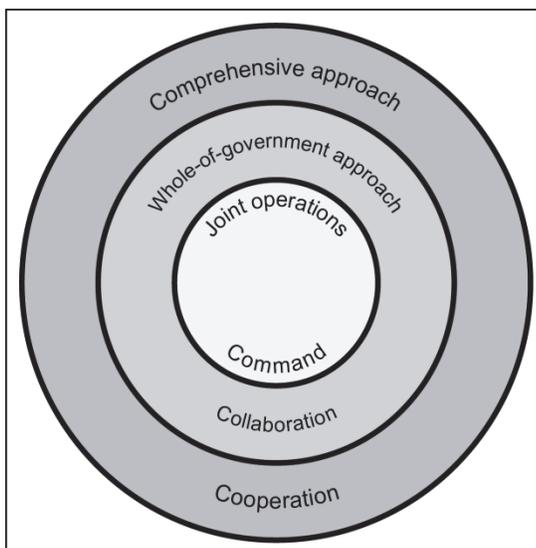


Figure 1-1. Comprehensive approach to stability

1-22. Achieving unity of effort requires leaders to apply a comprehensive approach that includes coordination, consensus building, cooperation, collaboration, compromise, consultation, and deconfliction among all the stakeholders toward an objective. This inclusive approach of working closely with stakeholders often is more appropriate than a focused military approach. Taking an authoritative, military approach often counters effective interorganizational relationships, impedes unified action, and compromises mission accomplishment. Gaining unity of effort is never settled and permanent; it takes constant effort to sustain interorganizational relationships.

1-23. Unlike a whole-of-government approach that aims for true interagency integration toward those ends, a comprehensive approach requires a more nuanced, cooperative effort. Leaders forge a comprehensive approach, leveraging the capabilities of the disparate actors, to achieve broad conflict transformation goals and attain a sustainable peace. Leaders support the activities and goals of other actors by sharing resources. In a comprehensive approach, actors are not compelled to work together toward a common goal. Instead, they participate out of a shared understanding and appreciation for what that goal represents. Achieving the end state is in the best interests of the actors participating; the actors recognize that fact forges the bonds that allow them to achieve unity of effort. Some groups, such as NGOs, must retain independence of action. Reconciling that independence with the mission requirements may pose specific challenges to unity of effort.

1-24. A comprehensive approach has five underlying tenets: accommodation, fostering understanding, unity of purpose, and cooperation. Accommodation means including the concerns and contributions of all participants. It determines appropriate priorities for resourcing and sets support relationships as required to deconflict activities. Fostering understanding requires development of a shared understanding that can be leveraged for cooperation towards common goals. Understanding does not imply conformity; each actor contributes a distinct set of professional, technical, and cultural disciplines, values, and perceptions. Together they provide breadth, depth, and resilience to planning, execution, and assessment. Unity of purpose focuses cooperative effort toward goal. This tenet to the approach links discreet, yet interrelated, tasks and objectives to conditions that compose the desired end state. Often, actors do not all share common objectives. Even if they do, other priorities, such as a need for perceived independence, often precludes cooperation. Lastly, cooperation reinforces institutional familiarity, trust, and transparency by sharing information. Information sharing enables cooperation. Leaders carefully consider the types of information they need to share with partners and other actors, as well as the means to share it. Information involves not just documentation, but informal knowledge or personal experiences. Leaders can share information by developing communities that provide forums and cooperation for concept development. Higher levels of

cooperation could include capacity development, resource sharing, and even decisionmaking. The degree to which any of this may be possible hinges on the degree that goals overlap.

1-25. Using a comprehensive approach to cooperate with nongovernmental humanitarian actors often proves challenging. These actors are guided by the principles of humanity, impartiality, neutrality, and independence. To many nongovernmental humanitarian actors, adhering to these principles means not participating in any political agendas, regardless of their legitimacy. The actors interpret the principles so that they base providing assistance solely on the humanitarian needs and with the single purpose to address these needs. Often, nongovernmental humanitarian actors will not support any political or military agenda, and will not to be perceived as doing so. For many nongovernmental humanitarian actors, maintaining neutrality is purely a means to an end (not a moral or political judgment). It assists humanitarian actors to negotiate access with all parties to the conflict. Like neutrality, independent decisionmaking and assistance programs are tools humanitarian actors use to avoid being aligned to other actors with a stake in the conflict.

1-26. Nongovernmental humanitarian actors refer to maintaining neutrality as “humanitarian space.” Maintaining neutrality is particularly important in armed conflict. The importance of preserving this space depends somewhat on the context. In armed conflict, it is absolutely essential (thus NGOs often do not want military forces to visit them in their offices). In a natural disaster where armies are not belligerents, nongovernmental humanitarian actors often work with military forces. In this context, military forces do not violate the actors’ humanitarian space but—because of their logistics capacities—can significantly contribute to the humanitarian relief effort. Dialogue between military forces and the humanitarian community define humanitarian space in other, less clear-cut situations such as a natural disaster in a context of armed conflict. See *Guidelines for Relations Between U.S. Armed Forces and Non-Governmental Humanitarian Organizations in Hostile or Potentially Hostile Environments* for more information on nongovernmental humanitarian actors.

Terms of Interaction

1-27. Participants often use certain terms of interactions: coordination, consensus, cooperation, collaboration, and compromise. No common interorganizational agreement exists on these terms. Other stakeholders often use these terms interchangeably or with varying definitions.

1-28. Coordination is the process of organizing a complex enterprise in which numerous organizations are involved and bring their contributions together to form a coherent or efficient whole. It implies formal structures, relationships, and processes.

1-29. Consensus is a general or collective agreement, accord, or position reached by a group as a whole. It implies a serious treatment of every group member’s considered position.

1-30. Cooperation is the process of acting together for a common purpose or mutual benefit. It involves working in harmony, side by side and implies an association between organizations. It is the alternative to working separately in competition. Cooperation with other agencies does not mean giving up authority, autonomy, or becoming subordinated to the direction of others.

1-31. Collaboration is a process where organizations work together to attain common goals by sharing knowledge, learning, and building consensus. Some organizations attribute a negative meaning to the term collaboration as if referring to those who betray others by willingly assisting an enemy of one’s country, especially an occupying force.

1-32. Compromise is a settlement of differences by mutual concessions without violation of core values; an agreement reached by adjustment of conflicting or opposing positions, by reciprocal modification of an original position. Compromise should not be regarded in the context of win or lose.

LEGITIMACY AND HOST-NATION OWNERSHIP

1-33. Legitimacy is a condition based upon the perception by specific audiences of the legality, morality, or rightness of a set of actions, and of the propriety of the authority of the individuals or organizations in taking them. Legitimacy enables host-nation ownership by building trust and confidence among the people. The principle of legitimacy impacts every aspect of operations from every conceivable perspective.

Legitimacy of the host-nation government and mission enables successful operations characterized by stability tasks. (JP 3-07 discusses legitimacy in more detail.)

Legitimacy

1-34. Legitimacy comes from the legality of the existence of the government, the credibility that the government will act in accordance with the law and its stated mission, and the capability of the institution to execute its mandate. Legitimacy reflects legality but also the will and perceptions of the population. It reflects not only the supremacy of the law, but also the foundation upon which the law was developed: the collective will of the people through the consent of the governed. It reflects, or is a measure of, the perceptions of several groups—the local populace, individuals serving within the civil institutions of the host nation, neighboring states, the international community, and the American public. In a stability context, legitimacy can have specific local or subnational contexts. The perceived effectiveness or fairness of governance—including distribution of national wealth, economic opportunities, or dispute resolution—can vary from local to local or social group to social group. When negative, it can drive instability; when functioning well, it can become resilient and help foster stability. In addition to the formal characteristics of state legitimacy, the government effectively and fairly providing services builds credibility that fosters stability among communities.

1-35. Local ownership that capitalizes on that support and participation is fundamental to legitimacy. The principles, policies, laws, and structures that form a government are rooted in the host nation's history, culture, legal framework, and institutions. Notably, the needs, priorities, and circumstances driving stability differ substantially from one country to another. Forces deign assistance to support local civil authorities, processes, and priorities to ensure the sustainability of stabilization activities. (FM 3-07 has a more detailed discussion of the principle of ownership.)

Host-Nation Ownership

1-36. Ultimate responsibility for stability rests with host-nation ownership. Commanders must clearly respect the views and interpretations of the host nation regarding what it perceives the stability solution should look like. The host nation takes ownership based on its perception of threats and its broader security needs. Stability activities nest within existing host-nation social, political, and economic institutions and structures. Commitment and constructive engagement by the host nation's leaders ensures that institutions, capabilities, and forces developed in operations characterized by stability tasks will endure, fit the needs of the host nation, and have trust from the host-nation government and its population. However, partner acquiescence and stabilization differ. Partner acquiescence involves merely accepting what is given and accepting from persuasion. Stabilization efforts involve fully supporting the activities.

Factors of Legitimacy and Host-Nation Ownership

1-37. The legitimacy of the mission is sensitive to perceptions. Legitimacy and host-nation ownership depend on local civilians supporting and participating in the processes that compose the mission. Authority of the state, intervening forces, or intervening organizations depend on the successful amalgamation and interplay of four factors: mandate, manner, consent, and expectations.

Mandate

1-38. Mandate is the perceived legitimacy that establishes the intervening authority and the state authority of the host nation, whether through the principles of universal suffrage or a recognized and accepted caste or tribal model. The mandate or authority that establishes the mission often determines the initial perceptions of legitimacy. Multilateral missions with the broad approval of the international community have a higher degree of legitimacy than unilateral missions do. These might include missions conducted by a multinational coalition under a United Nations' mandate.

Manner

1-39. Manner is the perceived legitimacy of the way in which those exercising the mandate conduct themselves, both individually and collectively. The credible manner in which intervening forces conduct

themselves and their operations builds legitimacy as the operation progresses. Highly professional forces are disciplined, trained, and culturally aware. They carry with them an innate perception of legitimacy further strengthened by consistent performance conforming to the standards of national and international law. For military forces, a clearly defined commander's intent and mission statement establish the initial focus that drives the long-term legitimacy of the mission. Military forces also make every effort to minimize civilian harm. When civilian harm does occur, they address it in a culturally appropriate way. (ATTP 3-37.31 has additional information on civilian casualty mitigation.)

Consent

1-40. Consent is the extent to which factions, local populations, and others comply with or resist the authority of those exercising the mandate. Consent, or its absence, ranges from active resistance, through unwilling compliance, to freely given support. Consent is essential to the legitimacy of the mission. No mission is perceived as legitimate without the full consent of the host nation or an internationally recognized mandate. An exception is an intervention to depose a regime that significantly threatens national or international security or willfully creates conditions that foment humanitarian crises. Locals rarely perceive unilateral missions to impose regime change as legitimate however well intentioned. Military leaders consider this exception in the analysis of the local context and in planning operations.

Expectations

1-41. Expectations are the extent to which those exercising the mandate manage or meet the expectations and aspirations of factions, local populations, and others. Expectations are the final arbiter of legitimacy. Realistic, consistent, and achievable expectations—in terms of goals, time, and resources—help ensure legitimacy during a lengthy operation. Progress is a measure of expectations and an indirect determinant of will. Missions that do not achieve a degree of progress consistent with expectations inevitably sap the will of the host nation, host-nation civilians, the international community, and the American people. Without the sustained will of the people, the legitimacy of any mission gradually decreases.

BUILDING PARTNER CAPACITY

1-42. Building partner capacity is the outcome of comprehensive interorganizational activities, programs, and military-to-military engagements that enhance the ability of partners to establish security, governance, economic development, essential services, rule of law, and other critical government functions. Army forces apply a comprehensive approach to sustained engagement with foreign and domestic partners to co-develop mutually beneficial capabilities and capacities to address shared global interests. Unified action is an indispensable feature of building partner capacity. In operations characterized by stability tasks, unified action to enhance the ability of partners for security, governance, economic development, essential services, rule of law, and other critical government functions exemplifies building partner capacity.

1-43. Building institutional capacity in the host nation is fundamental to success in stabilization. Building partner capacity creates an environment that fosters host-nation institutional development, community participation, human resources development, and strengthened managerial systems. Building capacity includes efforts to improve governance capacity, political moderation, and good governance—ethos as well as structure—as part of broader capacity-building activities within a society. Supported by appropriate policy and legal frameworks, building capacity is a long-term, continuing process, in which all actors contribute to enhancing the host nation's human, technological, organizational, institutional, and resource capabilities.

1-44. Activities for building capacity support a partner-nation leadership or build on existing capacities. Often these activities focus on reforming extant capacity or developing a new capability and capacity altogether. To some degree, local capacity always exists; capacity-building activities aim to build, nurture, empower, and mobilize that capacity. Efforts can be broad, long-term, or targeted to specific responsibilities or functions to achieve decisive results sooner. Groups or individuals can facilitate those efforts. Designing building-capacity activities requires an understanding of what processes the host nation had in place before the instability and the sustainability of changes introduced by stabilization activities. Initial response actions reestablish a safe, secure environment and provide for the immediate humanitarian

needs of the local populace. All following efforts aim to build partner capacity across the five stability sectors discussed in chapter 2.

1-45. Activities for building partner capacity develop and strengthen skills, systems, abilities, processes, and resources. Host-nation institutions and individuals adapt these activities to dynamic political and societal conditions within an operational environment. Most activities for building partner capacity focus on long-term technical assistance programs, which may include—

- Human resource development.
- Organizational development.
- Institutional and legal framework development.

1-46. Human resource development equips individuals with the understanding, skills, and access to information, knowledge, and training that enable them to perform effectively. Human resource development is central to capacity building. Education and training lie at the heart of development efforts; most successful interventions require human resource development. Human resource development focuses on a series of actions directed at helping participants in the development process to increase their knowledge, skills, and understanding, and to develop the attitudes needed to bring about the desired developmental change.

1-47. Organizational development is the creation or adaptation of management structures, processes, and procedures to enable capacity building. This development includes managing relationships among different organizations and sectors (public, private, and community).

1-48. Institutional and legal framework development makes the legal and regulatory changes necessary to enable organizations, institutions, and individuals at all levels and in all sectors to perform effectively and to build their capacities.

NATIONAL STRATEGY

1-49. The body of security strategy that shapes the conduct of operations characterized by stability tasks includes the National Security Strategy, the National Defense Strategy, and the National Military Strategy of the United States of America (known as the National Military Strategy). (The Quadrennial Defense Review and the Quadrennial Diplomacy and Development Review provide additional discussions of stability in security strategy.) Related strategies include the National Strategy for Combating Terrorism and the National Military Strategy to Combat Weapons of Mass Destruction. Together with national policy, strategy provides the broad direction necessary to conduct operations to support national interests.

NATIONAL SECURITY STRATEGY

1-50. Fragile states tend to attract destabilizing forces, manifesting the potentially dangerous effects of rapid globalization. This poses a national security challenge unforeseen even a decade ago yet central to today's strategic environments. While the phenomenon of fragile states is not new, the need to provide a stabilizing influence is more critical than ever.

1-51. The National Security Strategy outlines the President's vision for providing enduring security in a volatile, uncertain, and complex strategic environment. At the heart of this strategy rests the nation's approach to operations that help to create a world of legitimate, well-governed states. These states can meet the needs of their citizens and conduct themselves responsibly in the international system.

1-52. The most effective long-term measure for conflict prevention and resolution resides in engagement. Engagement is the active participation of the United States in relationships beyond its borders. The United States engages the world on a comprehensive and sustained basis. Engagement begins with closest friends and allies. Stability tasks executed as part of theater security cooperation plans generally fall in this category. The national strategy identifies three levels of engagement for addressing conflict:

- Conflict prevention and resolution.
- Conflict intervention.
- Post-conflict reconstruction and stabilization.

1-53. While military involvement may be necessary to end a conflict, peace and stability endure when follow-on efforts succeed. Such efforts aim to restore order and rebuild infrastructure, governance, and civil society institutions. Success depends on reconstruction and stabilization efforts. In this category, stability tasks generally characterize the overall mission.

NATIONAL DEFENSE STRATEGY

1-54. Reinforcing the direction of the National Security Strategy, the National Defense Strategy emphasizes the threat to national security posed by the inability of fragile states to police themselves or to work in cooperation with neighbor states to ensure long-term security. These states often undermine regional stability, threatening broader national interests. The National Defense Strategy recognizes the need for building partner capacity in these states.

1-55. Security cooperation, the principal vehicle for building security capacity, supports these fragile states. First, it encourages partner nations to assume lead roles in areas that represent the common interests of the United States and the host nation. Second, it encourages partner nations to increase their capability and willingness to participate in a multinational coalition with U.S. forces. Next, security cooperation facilitates cooperation with partner militaries and ministries of defense. Lastly, it spurs the military transformation of allied partner nations by developing training and education, concept development and experimentation, and security assessment framework.

1-56. The National Defense Strategy facilitates interagency coordination and integration. Such efforts draw a vital link between the Department of Defense and Department of State in the conduct of operations underscored by stability tasks. The National Defense Strategy emphasizes the need to establish conditions of enduring security in military operations, necessary to the success of the other instruments of national power. Unless the security environment supports using civilian agencies and organizations, military forces prepare to perform those nonmilitary tasks normally the responsibility of others.

NATIONAL MILITARY STRATEGY

1-57. The National Military Strategy echoes the National Defense Strategy on the necessity of interagency coordination and integration, emphasizing the role of interagency partners and NGOs in achieving lasting success in operations stressing stability tasks. It establishes the requirement for the joint force to retain the capability to conduct operations, combining offensive, defensive, and stability tasks simultaneously and to seamlessly transition among them. Finally, the National Military Strategy highlights the need to integrate conflict termination measures with the other instruments of national power, ensuring unity of effort toward a common set of national objectives. (See JP 3-08 for a discussion of interagency, intergovernmental, and nongovernmental organizations in operations.)

DEFENSE POLICY

1-58. Consistent with the national strategy, U.S. policy focuses on achieving unity of effort through an integrated approach to intervention. This approach, echoed throughout the defense policy, is fundamental to unified action. Through this approach, the nation synchronizes, coordinates, and integrates activities of governmental and nongovernmental agencies and organizations toward a common goal. As expressed in the National Security Strategy, American foreign policy adopts this approach to help fragile, severely stressed states. By assisting, their governments avoid failure or recover from devastating disasters. This assistance concentrates on reestablishing or strengthening the institutions of governance and society that represent an effective, legitimate state.

1-59. In 2005, the Secretary of Defense signed the now superseded DODD 3000.05, *Stability Operations*, providing the military force with definitive guidance to conduct such operations. It outlined Department of Defense policy and assigned responsibility for planning, preparing for, and executing stability tasks as a component of joint operations. It was part of a broader USG and international effort to establish or maintain order in states and regions while supporting national interests. Most importantly, however, it established stability tasks as a core military capability on par with combat tasks. In 2009, Department of Defense Instruction (DODI) 3000.05 replaced DODD 3000.05.

1-60. DODI 3000.05 emphasizes that many of the stability tasks executed in an operation are best performed by host-nation, foreign, or USG civilian personnel, with military forces providing support as required. However, the directive clearly states that, in the event civilians are not prepared to perform those tasks, the Department of Defense “shall be prepared to lead stability operations activities.” The directive describes three comprehensive purposes supporting these tasks. First, it aims to rebuild host-nation institutions, including various types of security forces, correctional facilities, and judicial systems necessary to secure and stabilize the environment. Second, it aims to revive or build the private sector, including encouraging citizen-driven, bottom-up economic activity and constructing necessary infrastructure. Last, it aims to develop representative government institutions.

1-61. DODI 3000.05 also defines the goals for operations stressing stability tasks. The immediate goal, consistent with initial response efforts, is to provide the local populace with security, restore essential services, and meet humanitarian needs. Long-term goals that reflect transformation and foster sustainability efforts include developing host-nation capacity for securing essential services, a viable market economy, rule of law, legitimate and effective institutions, and a robust civil society.

1-62. DODI 3000.05 stresses the importance of civil-military teaming in operations, especially in stability operations. It lists many actors that assume an active role in an intervention. It also lists others—often referred to as stakeholders—that have an expressed interest in the outcome of that intervention but may not participate in the operation. These civil-military teams are a critical USG tool for accomplishing stability tasks. DODI 3000.05 directs that military forces work closely with other actors and stakeholders to establish the broad conditions that represent mission success.

THE FRAGILE STATES FRAMEWORK

1-63. A fragile state is a country that suffers from institutional weaknesses serious enough to threaten the stability of the central government. These weaknesses arise from several root causes, including ineffective governance, criminalization of the state, economic failure, external aggression, and internal strife due to disenfranchisement of large sections of the population. Fragile states frequently fail to achieve any momentum toward development. They can cause tremendous human suffering, create regional security challenges, and collapse into wide, ungoverned areas that can become safe havens for terrorists and criminal organizations.

1-64. Fragile state refers to the broad spectrum of failed, failing, and recovering states. The distinction among these states is rarely clear, as fragile states do not travel a predictable path to failure or recovery. The difference between a failed and recovering state may be minimal, as the underlying conditions, such as insurgency or famine, may drive a state to collapse in a relatively short period. (See figure 1-2.)

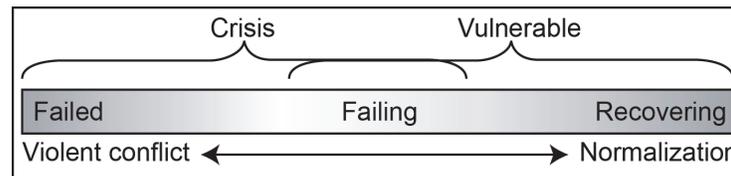


Figure 1-2. The fragile states framework

1-65. The United States has a long history of assisting other nations. This assistance has come as humanitarian aid, development assistance, free trade agreements, or military assistance. Fragile states, however, pose a particularly complicated challenge. The weakness of these states, especially with respect to governance institutions, threatens the success of any development effort. Development activities within weak states require extended time commitments to build partner capacity in key institutions and to improve the lives of their citizens.

1-66. Commanders use the fragile states framework to understand how far and quickly a state is moving from or toward stability. The fragile states framework, developed by the U.S. Agency for International Development, provides a model for applying U.S. development assistance in fragile states. This framework

serves to inform understanding for intervening actors, providing a graphic tool that describes the conditions of an operational environment.

1-67. Fragile states are either vulnerable or in crisis. A vulnerable state is a nation either unable or unwilling to provide adequate security and essential services to significant portions of the population. In vulnerable states, the legitimacy of the central government is in question. This includes states failing or recovering from crisis. A crisis state is a nation in which the central government does not exert effective control over its own territory. It is unable or unwilling to provide security and essential services for significant portions of the population. In crisis states, the central government may be weak, nonexistent, or simply unable or unwilling to provide security or basic services. This includes states that are failing or have failed altogether, where violent conflict is a reality or has an increased the level of risk.

STABILITY FRAMEWORK

1-68. During operations characterized by stability tasks, engagement and intervention activities are better defined in terms of the progress toward stabilizing operational environments. Using the spectrum that describes fragile states, figure 1-2 (on page 1-11) illustrates conditions that characterize an operational environment during such operations. This spectrum also defines the environment according to two quantifiable, complementary scales: decreasing violence and increasing normalization of the state, the fundamental measures of success in conflict transformation. Although fragile states do not recover from conflict or disaster according to a smooth, graduated scale, this spectrum provides a means with which to gauge conditions of an operational environment, formulate an engagement method, and measure progress toward success.

1-69. Military forces can engage at any point along this spectrum. In each case, achieving the end state requires quickly reducing the level of violence while creating conditions that support safely introducing other government agencies and intergovernmental organizations while securing critical humanitarian access for nongovernmental organizations. Military operations focus on stabilizing the environment and transforming conditions of the environment and the state toward normalization. In a failed or failing state, conditions typically require more coercive actions to eliminate threats and reduce violence. As conditions of the environment begin to improve, the constructive capabilities of military forces focus toward building host-nation capacity and encouraging sustained development.

1-70. The fragile states spectrum is also a critical tool for understanding and prioritizing the broad range of activities that embody unity of effort in an operational environment characterized by a fragile state. These activities occur within distinct phases—categorized in the Bureau of Conflict and Stabilization Operations essential stability task matrix as initial response, transformation, and fostering sustainability—that collectively represent the post-conflict actions necessary to achieve security and reestablish stable, lasting peace. Together, the failed states spectrum and the essential stability task matrix phases provide a basic framework for operations characterized by stability tasks. This framework characterizes an operational environment, identifies distinct phases for intervention activities, defines the types and ranges of tasks performed in that environment, and provides a tool with which to measure progress toward the desired end state. (See figure 1-3.)

1-71. This framework is intended to encompass all the tasks performed by military and civilian actors throughout the range of military operations. It guides the understanding of the effort and commitment necessary to shape military engagement activities during peacetime to prevent conflict and to rebuild a nation torn by conflict or disaster. The missions, tasks, and activities that make up these operations fall into three broad categories:

- Initial response phase.
- Transformation phase.
- Fostering sustainability phase.

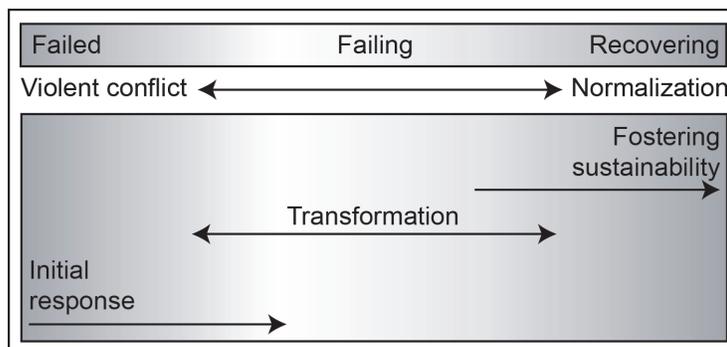


Figure 1-3. The stability framework

1-72. The initial response phase generally reflects tasks executed to stabilize an operational environment in a crisis state. During this phase, military forces perform stability tasks during or directly after a conflict or disaster where the security situation hinders the introduction of civilian personnel. Activities during the initial response phase aim to provide a safe, secure environment; they allow forces to attend to the immediate humanitarian needs of the host-nation population. Forces support efforts to reduce the level of violence and human suffering while creating conditions that enable other actors to participate safely in ongoing efforts.

1-73. The transformation phase represents the broad range of post-conflict reconstruction, stabilization, and capacity-building tasks. Military forces perform these tasks in a relatively secure environment, free from most wide-scale violence, often to support broader civilian efforts. Forces often execute transformation phase tasks in either vulnerable or crisis states. These tasks aim to build host-nation capacity across multiple sectors. While establishing conditions that facilitate broad unified action to rebuild the host nation and its supporting institutions, these tasks facilitate the continued stability of the environment. Transformation in a stability context involves multiple types of transitions, which can occur concurrently.

1-74. The fostering sustainability phase encompasses long-term efforts that capitalize on capacity-building and reconstruction activities to establish conditions that enable sustainable development. Military forces usually perform fostering sustainability phase tasks only when the security environment is stable enough to support efforts. Such efforts implement long-term programs that commit to the viability of the institutions and economy of the host nation. Often military forces conduct these long-term efforts to support broader, civilian-led efforts.

1-75. The stability framework helps to emphasize the training and organization of forces prior to initial deployment and later during force generation. It spurs Army design methodology and planning, serving as an engagement paradigm. This paradigm frames response efforts and scopes the tasks to accomplish the mission. In simplest terms, it is a guide to action in stability tasks conducted in operations.

END STATE CONDITIONS FOR STABILITY IN OPERATIONS

1-76. To achieve conditions that ensure a stable and lasting peace, stability tasks in operations capitalize on coordination, cooperation, integration, and synchronization among military and nonmilitary organizations. These complementary civil-military efforts aim to strengthen legitimate governance, restore or maintain rule of law, support economic and infrastructure development, and foster a sense of national unity. These complementary efforts also seek to reform institutions to achieve sustainable peace and security and create the conditions that enable the host-nation government to assume responsibility for civil administration.

1-77. Successful efforts require an overarching framework that serves as a guide to develop strategy in pursuit of broader national or international policy goals. The following purpose-based framework—derived from work within the USG and led by the United States Institute of Peace with the Army’s Peacekeeping and Stability Operations Institute—is founded on five broad conditions that describe the desired end state of a successful stability operation. In turn, a series of objectives link the execution of tactical tasks to that end state.

1-78. This framework provides the underpinnings for strategic, whole-of-government planning, yet also serves as a focal point for integrating operational- and tactical-level tasks. It is flexible and adaptive enough to support activities across the range of military operations but relies on concrete principles and fundamentals in application. Within the framework, the end state conditions include the following:

- A safe and secure environment.
- Established rule of law.
- Social well-being.
- Stable governance.
- A sustainable economy.

SAFE AND SECURE ENVIRONMENT

1-79. Security is the most immediate concern of the military force, a concern typically shared by the local populace. A safe and secure environment is one in which these civilians can live their day-to-day lives without fear of being drawn into violent conflict and being victimized by criminals or by the forces there to protect them. Achieving security requires extensive collaboration with civil authorities, the trust and confidence of the people, immediate attention to any reported civilian harm as a result of operations, and strength of perseverance.

1-80. In the aftermath of conflict or disaster, conditions often create a significant security vacuum within the state. The government institutions are either unwilling or unable to provide security. In many cases, these institutions do not operate within internationally accepted norms. They are rife with corruption, abusing the power entrusted to them by the state. Sometimes these institutions actually embody the greatest threat to the populace. These conditions only serve to ebb away at the very foundation of the host nation's stability.

1-81. Many challenges threaten a safe and secure environment. Generally, the immediate threat to a safe and secure environment is a return to fighting by former warring parties. However, insurgent forces, criminal elements, and terrorists also significantly threaten the safety and security of the local populace. The following objectives support a safe and secure environment:

- Cessation of large-scale violence enforced.
- Public security established.
- Legitimate monopoly over means of violence established.
- Physical protection established.
- Territorial security established.

However, these end states are not mutually independent and often exist in tensions with one another. Immediate security or humanitarian concerns can create a need for short-term solutions with negative impacts for longer-term objectives, such as in establishing stable governance or a sustainable economy. Commanders consider these trade-offs when making such decisions.

ESTABLISHED RULE OF LAW

1-82. While military forces aim to establish a safe and secure environment, the rule of law requires much more—security of individuals and accountability for crimes committed against them. These basic elements are critical for a broader culture of rule of law to take hold in a society emerging from conflict. A broad effort integrates activities of many actors, focusing civilian and military law and order capabilities to support host-nation civil institutions in establishing and supporting the rule of law. These activities come from a shared sense of confidence among the population that the justice sector focuses on serving the public rather than pursuing narrow interests. Planning, preparing, and executing the transfer of responsibility from military to host-nation control for rule of law—although critical for building public confidence—often proves the most difficult and complex transition conducted in a stability operation. Failure to ensure continuity of rule of law through this transition threatens the safety and security of the local populace, erodes the legitimacy of the host nation, and impedes long-term development and achieving the desired end state.

1-83. Establishing effective rule of law typically requires an international review of the host-nation legal framework, a justice reform agenda, and general justice reform programs. Many societies emerging from conflict also require a new constitution. All efforts to establish and support the rule of law account for the customs, culture, and ethnicity of the local populace. The following objectives support rule of law:

- Just legal frameworks established.
- Law and order enforced.
- Accountability to the law promoted.
- Access to justice ensured.
- Citizen participation promoted.
- Culture of lawfulness promoted.
- Public security established.

SOCIAL WELL-BEING

1-84. The immediate needs of a host-nation population emerging from conflict or disaster generally consist of food, water, shelter, basic sanitation, and health care. International aid typically responds quickly, often due to their presence in, or proximity to, the affected area. If allowed, and once forces stabilize and secure the situation, local and international aid organizations provide for the immediate humanitarian needs of the people, establish sustainable assistance programs, and assist with displaced civilians.

1-85. However, forces also must attend to long-term requirements: developing educational systems, avoiding inadvertent civilian harm, addressing past abuses, and promoting peaceful coexistence among the host-nation people. These requirements most appropriately get supported from civilian actors, including other government agencies, intergovernmental organizations, and NGOs. Resolving issues of truth and justice are paramount to this process, and systems of amends, compensation, and reconciliation are essential. The following objectives support social well-being:

- Access to and delivery of basic needs ensured.
- Right of return ensured.
- Instances of civilian harm investigated and appropriately addressed.
- Transitional justice promoted.
- Peaceful coexistence supported.

STABLE GOVERNANCE

1-86. Since the end of the Cold War, all international interventions have aimed to establish stable governments with legitimate systems of political representation at the national, regional, and local levels. In a stable government, the host-nation populace regularly elects a representative legislature according to established rules and in a manner generally recognized as free and fair. Legislatures must be designed consistently with a legal framework and legitimate constitution. Officials must be trained, processes created, and rules established.

1-87. Typically, early elections in a highly polarized society empower elites, senior military leaders, and organized criminal elements. However, the local populace often seeks early and visible signs of progress. Effective reform processes begin with elections at the provincial or local level to minimize the likelihood of national polarization and reemergence of violent divisions in society. Popular leaders—capable of delivering services and meeting the demands of their constituents—and effective processes can emerge. Since elections can also become flashpoints for violence and instability between groups, U.S. forces consider security measures as part of the election process.

1-88. Successful, stable governments also require effective executive institutions. Such capacity building generally requires a long-term commitment of effort from the international community to reestablish effective ministries and a functional civil service at all levels of government. Stable governments also require free and responsible media, multiple political parties, and a robust civil society. Further, in many countries, formal systems of governance exist alongside informal governance systems, such as tribal elders. Such informal systems can play an important stabilization role, acting as an enduring and effective alternative to formal structures, which may have limited reaches within a country. These informal

governance systems have potential to be more popular than the formal government. However, the host-nation formal government can perceive them as a threat or obstacle. As with informal justice systems—often closely related to informal governance—U.S forces ensure efforts of these systems remain consistent with international humanitarian norms. The following objectives support a stable government:

- Accountability of leadership and institutions promoted.
- Stewardship of state resources promoted.
- Civic participation and empowerment encouraged.
- Provision of government services supported.

SUSTAINABLE ECONOMY

1-89. Following conflict or a major disaster, economies tend toward a precarious state. They often suffer from serious structural problems that need immediate attention. However, they also possess significant growth potential. Commerce—legitimate and illicit—previously inhibited by circumstances emerges quickly to fill market voids and entrepreneurial opportunities. International aid and the requirements of intervening military forces often infuse the economy with abundant resources, stimulating rapid growth across the economic sector. However, much of this growth is temporary. It tends to highlight increasing income inequalities, the host-nation government’s lagging capacity to manage and sustain growth, and expanding opportunities for corruption.

1-90. Rather than focus efforts toward immediately achieving economic growth, intervening elements aim to build on those aspects of the economic sector that enable the economy to become self-sustaining. These aspects include physical infrastructure, a sound fiscal and economic policy, an effective and predictable regulatory and legal environment, a viable workforce, business development and increased access to capital, and effective management of natural resources. The following objectives support a sustainable economy:

- Macroeconomic stabilization supported.
- Control over illicit economy and economic-based threats to peace enforced.
- Market economy sustainability supported.
- Individual economic security supported.
- Employment supported.

1-91. Whether operations are led by an international body, a coalition of nations, or the domestic leaders of the affected nation, dynamic, transformational leadership is central to any successful stability effort. This leadership drives broad success in any operation. Effective leadership inspires and influences others to work together toward a common goal; this is the essence of unity of effort. Through unity of effort, leaders leverage diverse agencies and organizations to pursue complementary actions, focus discreet activities, and shape decisions to support a shared understanding and recognition of the desired end state.

1-92. This framework does not attempt to be all-inclusive; no two situations are the same and the development of strategy must be adapted to the specific conditions of an operational environment. A detailed conflict assessment and thorough analysis provide the foundation upon which to build a strategy for engagement. That assessment and analysis underpin conflict transformation efforts, addressing the root causes of conflict while building host-nation institutional capacity to sustain effective governance, economic development, and rule of law.

Chapter 2

Stability in Unified Land Operations

UNIFIED LAND OPERATIONS

2-1. The central idea of unified land operations is how Army forces seize, retain, and exploit the initiative to gain and maintain a position of relative advantage in sustained land operations through simultaneous combinations of offensive, defensive, and stability tasks. This is the essence of unified land operations, representing the core of Army doctrine. In unified land operations, the emphasis on the individual elements of the combinations changes with echelon, time, and location. (See figure 2-1.)

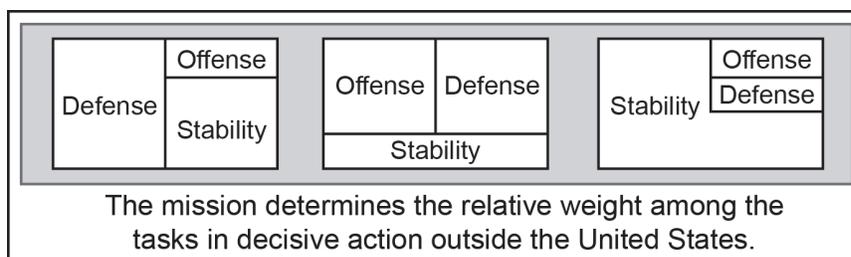


Figure 2-1. Unified land operations

2-2. While offensive and defensive tasks focus on the destructive effects of combat power against enemy forces and stability tasks focus on restoring host-nation capacity and capability, no single element is more important than another. Army forces employ synchronized action—lethal and nonlethal—proportionate to the mission and informed by a thorough understanding of an operational environment. Army forces combine offensive, defensive, and stability tasks simultaneously to achieve decisive results as part of an interdependent joint force, accepting prudent risk to create opportunities. The simultaneous combinations of the elements, constantly adapted to the dynamic conditions of an operational environment, are key to successful operations. (See ADP 3-0 and ADRP 3-0 for doctrine on unified land operations.)

OFFENSIVE AND DEFENSIVE TASKS

2-3. Offensive and defensive tasks emphasize employing the lethal effects of combat power against an enemy force, yet they are also critical to success in some operations emphasizing stability tasks. Speed, surprise, and shock are the hallmarks of combat in operations; the side better able to leverage these effects defeats its opponent quickly and incurs fewer losses. Such victories create opportunities for an exploitation. In some operations, the effects of speed, surprise, and shock suffice to collapse organized resistance. Such a collapse occurred in the offensive phase of Operation Iraqi Freedom in 2003.

2-4. Offensive tasks compel the enemy to react, creating or revealing weaknesses that the attacking force can exploit. A successful offense puts tremendous pressure on defenders, creating a cycle of deterioration that can lead to their disintegration. Against a capable, adaptive enemy, the offense is the most direct and surest means of seizing, retaining, and exploiting the initiative. Seizing, retaining, and exploiting the initiative is the essence of the offense. Offensive tasks seek to throw enemy forces off balance, overwhelm their capabilities, disrupt their defenses, and ensure their defeat or destruction by maneuver and fires.

2-5. Defensive tasks counter the offensive actions of enemy or adversary forces. They defeat attacks, destroying as much of the attacking enemy as possible. They also preserve control over land, resources, and populations. Defensive tasks retain terrain, guard populations, and protect critical capabilities and

resources. Commanders can use these tasks to gain time through economy of force so they can execute offensive and stability tasks elsewhere.

STABILITY ACROSS THE RANGE OF MILITARY OPERATIONS

2-6. Stability tasks leverage the coercive and constructive capabilities of the military force. These tasks enable forces to establish a safe and secure environment; facilitate reconciliation among local or regional adversaries; support the establishment of political, legal, social, and economic institutions; and facilitate the transition of responsibility to a legitimate civil authority. Stability tasks in operations may also support the efforts of a transitional civil or military authority when no legitimate government exists. It also can support the efforts of a legitimate government faced with its inability to maintain security and control due to capacity shortfalls. Generally, the responsibility for providing for the basic needs of the people rests with the host-nation government or designated civil authorities, agencies, and organizations. When this is not possible, military forces provide essential civil services to the local populace until a civil authority or the host nation can provide these services. In this capacity, military forces perform specific functions as part of a broader response effort, supporting the activities of other agencies, organizations, institutions, and the host nation.

2-7. Stability tasks are a key component of unified land operations conducted in a peacetime environment, during conflict, or in a post-conflict situation (see figure 2-2). Usually U.S. forces conduct stability tasks to support a host-nation government. However, stability tasks may also support the efforts of a transitional civil or military authority when no legitimate government exists. In peacetime, engagements with fragile states act as preventative measures, as well as reinforcing alliances and support for more stable nations. U.S. forces conduct such engagements as part of a whole-of-government approach involving other instruments of national power. During conflict, stability tasks help to set the conditions for post-conflict operations. Commanders consider the results of lethal or nonlethal actions on the post-conflict environment. Actions taken during conflict assist the force in seizing the initiative for post-conflict phases. After Army forces terminate or reduce conflict, they conduct decisive action as part of unified land operations with large elements of stability tasks. The decisive action helps to set the conditions that enable the actions of the other instruments of national power to succeed in achieving the broad goals of conflict transformation. Providing security and control stabilizes the area of operations. These efforts then provide a foundation for transitioning to civilian control and, eventually, to the host nation.



Figure 2-2. Stability tasks across the range of military operations

INITIATIVE

2-8. Success in operations weighted with stability tasks depends on taking the initiative after careful examination of the local context that can be quite complex. Initiative in such operations balances lethal and nonlethal actions with decisions to take no action since sometimes taking actions could be destabilizing rather than stabilizing. In fragile states, the sudden appearance of military forces typically produces a combination of shock, relief, and sometimes anger among the local populace. Resistance may be unorganized and potential adversaries are unsure of what course of action to take. This malleable situation following in the wake of conflict, disaster, or internal strife provides the force with the greatest opportunity to shape the situation through this balance of taking action and not taking action.

2-9. By quickly determining the terms of action and contributing to positive change in the environment, military forces can improve the security situation and create opportunities for civilian agencies and organizations to contribute. Forces determine whether to act within the framework of a conflict assessment and actions nested in a broader strategy to transform the conflict. Immediate action to stabilize the situation and provide for the immediate humanitarian needs of the people begins the processes that lead to a lasting peace. Failing to act quickly may create a breeding ground for dissent and possible recruiting opportunities for enemies or adversaries. However, hasty uninformed action can easily prove more destructive and not forgotten. Success military forces examine and evaluate the local context before taking action.

2-10. Stability tasks rely on military forces quickly seizing the initiative to improve the civil situation while preventing conditions from deteriorating further. Through the initiative, friendly forces dictate the terms of action and drive positive change. Initiative creates opportunities to rapidly stabilize the situation and begin the process that leads to a lasting peace. In turn, this improves the security environment, creating earlier opportunities for civilian agencies and organizations to contribute. Understanding is vital to retaining the initiative; commanders must remain responsive to a dynamic environment while anticipating the needs of the local populace. By acting proactively or not acting to positively influence events, Army forces exploit the initiative to ensure steady progress toward conditions that support a stable, lasting peace.

2-11. Operations characterized by stability tasks are conducted among the people and within the lens of the media. Therefore, during these operations, effective inform and influence activities are inseparable from initiative. These activities enhance the success of each primary stability task, reinforcing and complementing actions on the ground with supporting messages. The efficacy of seizing, retaining, and exploiting the initiative often depends on the perceptions of various audiences. Through effective inform and influence activities, Army forces seize, retain, and exploit the initiative, drawing on cultural understanding and media engagement to achieve decisive results. Army forces communicate with the local populace in an honest, consistent fashion while providing fair and open access to media representatives. As much as practical, commanders provide the news media with facts to facilitate prompt, accurate reporting. (Chapter 3 discusses inform and influence activities in stability.)

2-12. Conducted among the people, gaining and maintaining the initiative in stability tasks also requires military forces to necessarily minimize and address civilian harm. Due diligence in exercising discrimination and proportionality is necessary to creating and maintaining a perception of legitimacy although it may not prevent all civilian harm. When troops or civilians report civilian harm, military forces quickly identify the harm, investigate the incident, and offer a culturally appropriate dignifying gesture—such as apologies or compensation—for the harm. Failure to address civilian harm fully potentially creates the perception among the people that the intervening military is not acting in the interest of the host nation or host-nation stability. (See chapter 3 for a discussion of protection of civilians.)

2-13. Taking the initiative does not just translate into taking action. In a complex environment, and particularly in political or economic spheres, taking no action often proves the best course of action. Commanders strive to ensure that their actions or projects do not undermine either existing capabilities or other efforts. Initiative in a complex environment means that actions or nonactions are deliberate activities, made with the best understanding of the likely impacts of each decision.

TENETS OF UNIFIED LAND OPERATIONS AND STABILITY TASKS IN DECISIVE ACTION

2-14. Tenets of unified land operations and the stability tasks in decisive action consist of flexibility, integration, adaptability, depth, synchronization, and lethality.

Flexibility

2-15. Flexibility, both physical and mental, enables deploying and employing forces across the range of operations as the overall operation shifts among combinations of offensive, defensive, and stability tasks. Flexibility empowers subordinates act to achieve the commander's intent and overcome any obstacle to accomplish the mission. Applying the stability principles against an evolving and adapting environment requires flexibility and initiative to be successful. It requires conceptual sophistication and intellectual dexterity and is essential to seizing, retaining, and exploiting the initiative.

Integration

2-16. An operation characterized by stability tasks, more so than any other mission, requires Army forces to operate as part of a larger joint, interagency, and frequently multinational effort. Army leaders are responsible for integrating Army stability and combat tasks within this larger effort. Integration involves efforts to conform Army capabilities and plans to the larger concept as well as efforts to inform and affect actions with joint, interagency, host-nation, and multinational partners. Army leaders seek to use Army capabilities to complement those of their partners. These leaders depend on those partners to provide capabilities that supplement or are not organic to Army forces. Effective integration requires, not just unity of effort, but creating shared understanding and purpose through collaboration and cooperation with all friendly and neutral participants.

Adaptability

2-17. Army leaders adapt their thinking, their formations, and their employment techniques to the environment they face, whether an operation is dominated by combat or stability actions. This adaptation requires a willingness to accept prudent risk in unfamiliar or rapidly changing situations and an ability to adjust based on continuous assessment. Perhaps equally important, Army leaders seek to deprive their adversaries of the ability to adapt and continually force them to react to new operations from unexpected directions. Thus, a commander attempts to deny the adversaries uncontested sanctuary and to influence any neutral actors to support ongoing friendly efforts. For example, Army leaders demonstrate adaptability while adjusting the balance of lethal and nonlethal actions necessary to achieve a relative advantage and set conditions for conflict resolution within their areas of operations.

2-18. Adaptation requires an understanding of an operational environment. While impossible to have a perfect understanding, Army leaders make every effort to gain and maintain as thorough an understanding as possible given the time allowed. First leaders understand cultural awareness during the conduct of stability tasks. They also understand conflict transformation by understanding the root causes and drivers of instability. Leaders at all levels avoid using a cookie-cutter approach to operations instead adapting their actions to the situation as it exists on national, regional, and local levels. Commanders also use the Army's information networks to share their understanding. Understanding a specific situation requires interactive learning—intentionally and repeatedly interacting with an operational environment so to test and refine multiple hypotheses. Army leaders expand their understanding of potential operational environments through broad education, training, personal study, and collaboration with partners. Rapid learning during such operations depends on life-long education, consistent training, and study habits that leaders acquire.

2-19. Operations characterized by stability tasks are inherently transitional in nature—attempting to move from a state of conflict to a state of stability. They often evolve from performed stability tasks. For example providing emergency services evolves into developing the host-nation capacity to deliver services independently. Further, operations involve parallel political evolutions, changing context and role of the relationship between military forces and the host nation. As a result, commanders prepare to adapt how they approach their stability tasks and their relationships with the host nation as the operation evolves.

Depth

2-20. In operations emphasizing stability tasks, depth extends influence in time, space, purpose, and resources to affect the environment and conditions. In these operations, intelligence combined with inform and influence activities help commanders understand factional motives, identify power centers, and shape the environment. As commanders speak to many locals from many different perspectives, they derive effective intelligence from the most accurate understanding of the dynamics on the ground. As in all operations, staying power—depth of action—comes from adequate resources. Depth of resources in quantity, positioning, and mobility is critical to executing operations. Commanders balance depth in resources with flexibility.

2-21. Within the stability framework, Army leaders often look at operations with a significantly longer planning horizon than is normal for operations that emphasize offensive and defensive tasks. Leaders consider tasks against both short-term effects and long-term desired outcomes. Sometimes tasks producing

short-term effects have long-term detrimental effects. Tasks producing such effects must undergo a risk assessment as to modifications or changes producing a more advantageous long-term outcome.

Synchronization

2-22. Synchronization is the ability to execute multiple, related, and mutually supporting tasks in different locations at the same time, producing greater effects than executing each task in isolation. Through synchronization, commanders arrange activities to mass effects at the chosen place and time to overwhelm an adversary or dominate the situation. Synchronization is a means, not an end. Ideally, synchronization requires explicit coordination and rehearsals among participants. However, these operations often involve a multitude of organizations that do not operate under the rubric of unified action. Leaders attempt to accomplish at least a unity of purpose with these participants. Commanders and staffs account for all participants during planning, gaming, and execution to allow for better synchronization of the forces under their control or willing to cooperate in the operation.

Lethality

2-23. In the conduct of unified land operations, an inherent, complementary relationship exists between lethal and nonlethal actions. Every situation requires a different combination of violence and restraint. Lethal actions are critical to accomplishing offensive and defensive tasks. They leverage swift, decisive force to impose friendly will on enemy forces. Nonlethal actions are vital contributors to all operations but are typically decisive only in the execution of stability tasks. Every commander carefully considers the appropriate combination of lethal and nonlethal actions necessary to accomplish the mission. Every situation is unique and requires a careful balance between lethal and nonlethal actions to achieve success.

2-24. Generally, operations characterized by stability tasks require a greater emphasis on nonlethal actions. Nonlethal actions expand the options available to commanders. Conditions may limit the conduct of lethal actions, and forces must be organized appropriately to reflect this change in emphasis. Nonlethal actions range from constructive activities focused on building institutional capacity and social well-being to coercive activities intended to compel certain behaviors. They include a many intelligence-gathering, disruptive, and other activities. They also include aspects of command and control warfare, nonlethal actions, or other technological means that aim to alter the behavior of an adversary or impair, disrupt, or delay hostile forces, functions, and facilities. By using nonlethal actions, forces can shape the broader situation to maintain or reestablish a safe and secure environment.

2-25. Sometimes, just the threat of violent action compels the enemy to yield to friendly will and force a settlement. In operations characterized by stability tasks, military forces combine various lethal and nonlethal actions to accomplish the mission. Within the security sector, for example, commanders need lethal action to overcome violent opposition yet achieve enduring success through nonlethal activities. Stability tasks emphasize nonlethal, constructive actions by military forces operating among the local populace; however, the more coercive aspects of nonlethal actions often prove equally critical to success.

2-26. Leaders focus on managing expectations, informing the people about friendly intentions and actions, and fitting expectations into the objectives of the mission. They manage these expectations using specific nonlethal means: inform and influence activities. Commanders use these activities to inform, influence, and persuade the populace within limits prescribed by international law. In this way, commanders enhance the legitimacy of the operation and the credibility of friendly forces. (See chapter 3 for additional detail concerning inform and influence activities.)

MINIMUM-ESSENTIAL STABILITY TASKS

2-27. Generally, the responsibility for providing for the basic needs of the people rests with the host-nation government or designated civil authorities, agencies, and organizations. When not possible, military forces provide minimum levels of civil security and restoration of essential services to the local populace until a civil authority or the host nation is able.

2-28. All operations morally and legally require forces to conduct minimal-essential stability tasks to provide for the protection and well-being of the civilian populations. Every operation order implies forces

or organizations conduct the stability tasks. These tasks provide for minimum levels of security, food, water, shelter, and medical treatment. Leaders make every effort to ensure that if no civilian or host-nation agency is present, capable, and willing, then the forces or organizations conduct the tasks to their full abilities.

2-29. Commanders resource these minimum-essential stability tasks. When demand for resources exceeds an organization's capability, commanders provide additional resources. Sometimes commanders provide the chain of command with the necessary information to provide additional resources to meet the requirements. Other times they request higher commanders provide follow-on forces to expeditiously conduct the tasks. Commanders at all levels assess resources available against the mission to determine how best to conduct these minimum-essential stability tasks and what risk they can accept.

LINKING MILITARY AND CIVILIAN EFFORTS

2-30. Leaders link military and civilian efforts to achieve true unity of effort. They attain the integrated method necessary in a comprehensive approach to stability tasks through close, continuous coordination and cooperation among the actors involved. With unity of effort, leaders overcome internal discord, inadequate structures and procedures, incompatible or underdeveloped communications infrastructure, cultural differences, and bureaucratic and personnel limitations. Within the United States Government, the National Security Strategy guides the development, integration, and coordination of all the instruments of national power to achieve national objectives. At the national level, the Department of State (DOS) leads the effort to support interagency coordination and integration.

2-31. During operations characterized by stability tasks, leaders achieve unity of effort across the stability sectors by focusing all activities toward a common set of objectives and a shared understanding of the desired end state. The end state focuses on the conditions required to support a secure, lasting peace; a viable market economy; and a legitimate host-nation government capable of providing for its populations' essential needs. Together, the stability sectors, joint stability functions, and the primary Army stability tasks constitute a single, integrated model essential to achieving unity of effort. Leaders foster unity of effort by applying these concepts:

- Agreed to authorities.
- Assigned support relationships.
- Joint planning.
- Structure and mechanisms to execute.

2-32. Linking the basic military and civilian task frameworks creates a single model that forms the basis for developing lines of effort. (See chapter 4 for more detail on using lines of effort in operations characterized by stability tasks.) This model serves as the foundation for an integrated approach based on unity of effort and coordinated engagement. Thus, the conduct of unified land operations to support a broader effort contributes toward the shared end state established by the actors involved. The execution of discreet military tasks links to a coordinated, comprehensive effort. This ensures that the efforts of military forces integrate with broader engagement activities. These efforts work toward a common goal and shared understanding of the desired end state. A clear delineation and understanding of the formal lines of authority enhances unity of effort. Together, with the activities of the other participants, these tasks contribute to unity of effort with actors involved in any collaborative effort.

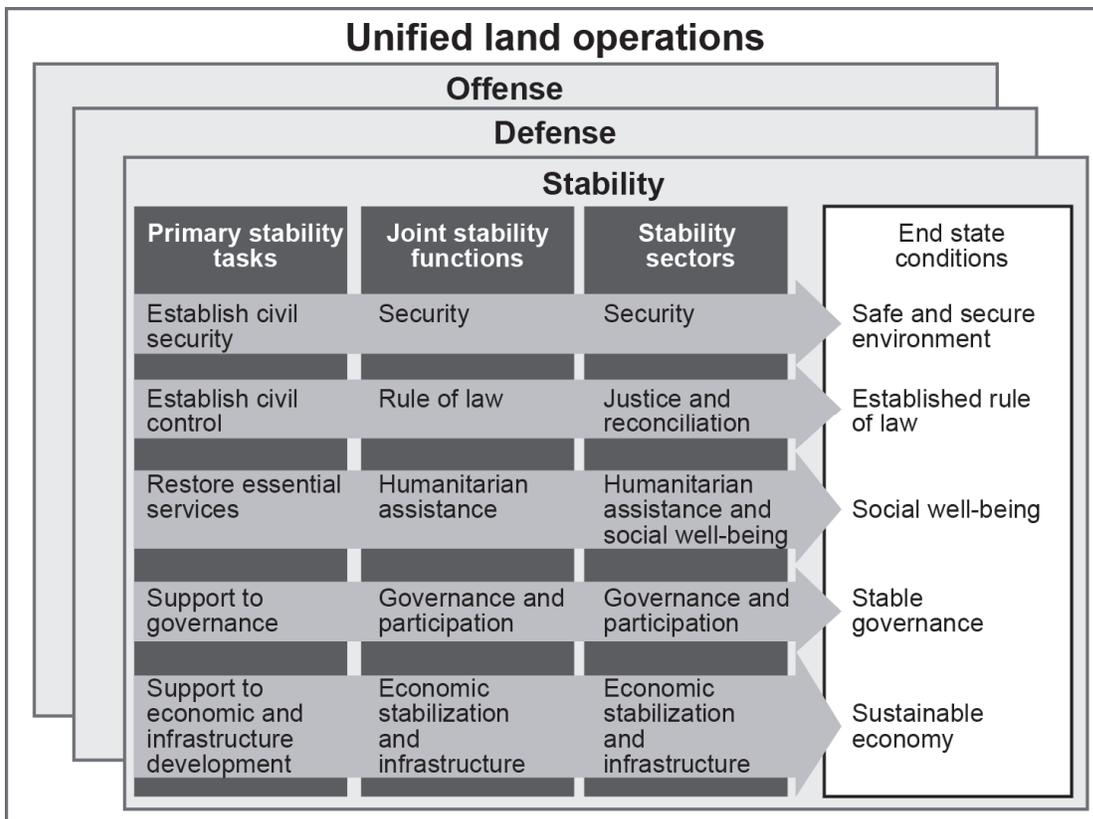
DEPARTMENT OF STATE STABILIZATION AND RECONSTRUCTION ESSENTIAL TASKS MATRIX

2-33. The DOS is designated to coordinate United States Government (USG) efforts in stabilization and reconstruction activities. To that end, DOS developed a detailed list of stability-focused, stabilization and reconstruction essential tasks (hereafter referred to as the essential stability task matrix). As an evolving interagency document, the essential stability task matrix helps planners identify specific requirements to support host nations in transition so host nations can prevent armed conflict, prevent civil strife to sustaining stability, or restore stability in a post-conflict environment. It serves as a detailed planning resource, continuing to develop as forces implement it during operations. Forces can apply this matrix as a resource for both peacetime and conflict situations.

2-34. The matrix is designed as a starting point to help frame analysis of a stabilization and reconstruction activity, not as a checklist or as a comprehensive analysis tool. Effective planning in a stabilization environment begins with robust analysis of the underlying drivers of conflict and resiliencies to mitigate them. Not all the tasks outlined in the matrix work for every situation, and many situations may have key or critical dynamics not captured by the matrix.

2-35. The essential stability task matrix divides the tasks conducted during operations and their relative time frame for execution across five broad technical areas. These areas, often referred to as stability sectors, may be involved in an intervention (see figure 2-3):

- Security.
- Justice and reconciliation.
- Humanitarian assistance and social well-being.
- Governance and participation.
- Economic stabilization and infrastructure.



+ Figure 2-3. An integrated approach to stability tasks

2-36. Stability sectors—similar in purpose and application to lines of effort—help to focus and unify reconstruction and stabilization efforts within specific functional areas of society. (Chapter 4 discusses the use of lines of effort in operations emphasizing stability tasks.) They define and encompass integrated task areas across a broad spectrum of interagency engagement, including the Department of Defense. The essential stability task matrix addresses many requirements necessary to support host nations in transition from armed conflict or civil strife. The matrix serves as a means to leverage functional knowledge and systemic thinking into planning, preparation, execution, and assessment. The essential stability task matrix ensures that—

- The execution of tasks focuses on achieving the desired end state.
- Tasks executed by actors outside the USG are highlighted and responsibility for these tasks within the international community is identified.
- Sector specialists understand the diversity of tasks in other sectors and the interdependence among the sectors.

2-37. The assignment of specific tasks and prioritization among them depends on conditions of an operational environment. The essential stability task matrix facilitates visualizing the conduct of an operation, sequencing necessary activities within an operation, and developing appropriate priorities for those activities and resource allocation. Depending on the scope, scale, and context of the operation, those priorities help to deconflict activities, focus limited resources, and delineate specific responsibilities. Detailed planning enables staffs to integrate and synchronize activities in time and space, identify complementary and reinforcing actions, and prioritize efforts within and across the stability sectors.

2-38. The essential stability task matrix provides a foundation for thinking systemically about stability tasks in operations. Many tasks are cross cutting and create effects across multiple sectors. In this respect, the essential stability task matrix facilitates integration by allowing sector specialists to establish and understand links among the stability sectors. When intervening actors lack the capability or capacity to perform certain functions, the essential stability task matrix facilitates identifying gaps that require building or leveraging specific capabilities within the international community.

2-39. The stability sectors form a framework for executing stability tasks that represent the five key areas in which civil-military efforts focus on building host-nation capacity. Individually, they encompass the distinct yet interrelated tasks that constitute reform activities in a functional sector. Collectively, they are the pillars upon which the government frames the possible reconstruction tasks required for nations torn by conflict or disaster. Although forces execute some tasks sequentially, success necessitates an approach that focuses on simultaneous actions across the operational area. These tasks are inextricably linked; positive results in one sector depend on successfully integrating and synchronizing activities across other sectors.

Security

2-40. Efforts in the security sector focus on establishing a stable security environment and developing legitimate institutions and infrastructure to maintain that environment. Security involves providing individual and collective security and is the foundation for broader success across other sectors. While securing the lives of local civilians from the violence of conflict and restoring the territorial integrity of the state, intervening forces stabilize the security environment. This stability allows for comprehensive reform efforts best accomplished by civilian personnel from other stakeholder agencies and organizations.

2-41. In the most pressing conditions, expeditionary forces assume responsibility for all efforts in the security sector. These efforts typically assemble under the activities reflected in the primary stability task, establish civil security, but also complement and reinforce parallel efforts in other sectors. For results of these efforts to last, host-nation forces—acting on behalf of the host nation and its people—provide security.

Justice and Reconciliation

2-42. The justice and reconciliation sector encompasses far more than policing, civil law and order, and the court systems of a state. Within the sector, efforts provide for a fair, impartial, and accountable justice system while ensuring an equitable means to reconcile past crimes and abuse arising from conflict or disaster. Tasks most closely associated with justice focus on reestablishing a fair and impartial judiciary and effective justice system. This system ensures public safety, helps to resolve disputes, and helps enforce established contracts. Those tasks relating to reconciliation address grievances and crimes, past and present, in hopes of forging a peaceful future for an integrated society.

2-43. An integrated approach to justice and reconciliation is central to broader reform efforts across the other sectors. The justice and reconciliation sector is supported by eight key elements:

- An impartial, transparent, and accountable judiciary and justice system.
- A fair, representative, and equitable body of law.

- Effective and scrupulous law enforcement institutions responsive to civil authority and respectful of human rights and dignity.
- Mechanisms for monitoring and upholding human rights.
- A humane, reform-based corrections system.
- Reconciliation and accountability mechanisms for resolving past abuses and grievances arising from conflict.
- An effective and ethical legal profession.
- Public knowledge and understanding of rights and responsibilities under the law.

2-44. Successful interventions address the most critical gaps in capability and capacity as soon as possible. Initial response forces that immediately account for vital issues of justice and reconciliation typically maintain the initiative against subversive and criminal elements seeking to fill those gaps. Host-nation involvement in planning, oversight, and monitoring of justice and reconciliation sector reforms is essential. Generally, intervention in the justice and reconciliation sector encompasses three categories:

- Restored initial response activities to institute essential interim justice measures that resolve the most urgent issues of law and order until host-nation processes and institutions can.
- An established system of reconciliation to address grievances and past atrocities.
- Long-term actions to establish a legitimate, accountable host-nation justice system and supporting infrastructure.

2-45. The justice and reconciliation sector closely relates to the security and governance sectors; activities in one sector often complement or reinforce efforts in another. These relationships are further reinforced by the inseparable nature of the tasks subordinate to each sector, which reflects the dynamic interaction between security and justice. Due to the close relationships among the activities and functions that compose the security, governance, and justice and reconciliation sectors, failure to act quickly in one sector can lead to the loss of momentum and gains in the other sectors.

Humanitarian Assistance and Social Well-Being

2-46. Conflict and disaster significantly stress how well the state can provide for the essential, immediate humanitarian needs of its people. The institutions of security and governance that enable the effective functioning of public services often fail first, leading to widespread internal strife and humanitarian crisis. In some areas, the intense competition for limited resources explodes into full-blown conflict, possibly leaving pervasive starvation, disease, and death as obvious outward indications of a fragile state in crisis.

2-47. Any intervention effort is incomplete if it fails to alleviate immediate suffering. Generally, this suffering includes the immediate need for water, food, shelter, emergency health care, and sanitation. Intervening militaries also address civilian harm when it has occurred. (See paragraph 2-12 for civilian harm.)

2-48. In addition, solutions that focus on ensuring sustainable access to these basic needs also prevent the recurrence of systemic failures while ensuring the social well-being of the people. These sustainable solutions establish the foundation for long-term development. They address the root or underlying causes of a conflict that result in issues such as famine, displaced civilians, refugee flows, and human trafficking. They also ensure the lasting effects of the intervention effort by institutionalizing positive change in society.

Governance and Participation

2-49. Tasks in the governance and participation sector address the need to establish effective, legitimate political and administrative institutions and infrastructure. Governance is the state's ability to serve the citizens through rules, processes, and behavior. The state serves the citizens by articulating interests, managing resources, and exercising power in a society, including the representative participatory decisionmaking processes typically guaranteed under inclusive, constitutional authority. Effective governance involves establishing rules and procedures for political decisionmaking; strengthening public sector management, administrative institutions, and practices; providing public services in an effective and transparent manner; and providing civil administration that supports lawful private activity and enterprise.

Participation includes procedures that actively, openly involve the local populace in forming their government structures and policies that, in turn, encourage public debate and the generation and exchange of new ideas.

2-50. Efforts to strengthen civil participation foster achieving a positive, lasting change in society. Achieving this change enables the people to influence government decisionmaking and hold public leaders accountable for their actions. Activities that develop social capital help local communities influence policies and institutions at national, regional, and local levels. With this assistance, communities establish processes to identify problems, develop proposals to address critical issues, build capabilities and capacities, mobilize the community mobilization, rebuild social networks, and develop advocacy. These social capital development activities are founded on three pillars:

- Human rights by promoting and protecting social, economic, cultural, political, civil, and other basic human rights.
- Equity and equality by advancing equity and equality of opportunity among citizens in terms of gender, social and economic resources, political representation, ethnicity, and race.
- Democracy and self-determination by supporting participation and involvement in public forums and self-determination in human development.

2-51. Response efforts that seek to build local governance and participation capacity ensure host-nation responsibility for these processes. Even when civilians are deprived of authority or the right to vote, they must be encouraged to take the lead in rebuilding their own government. Establishing successful, enduring host-nation government institutions requires this lead. Even when external actors perform certain governance functions temporarily, this process to build host-nation capacity—complemented by a comprehensive technical assistance program—is vital to long-term success.

2-52. Military forces may assume the powers of a sovereign governing authority under two conditions: when military forces intervene in the absence of a functioning government or when military operations prevent a government from administering to the public sector and providing public services. Transitional military authority is an interim solution. It continues only until the host-nation institutions and infrastructure can resume their functions and responsibilities. (FM 3-07 discusses transitional military authority.)

Economic Stabilization and Infrastructure

2-53. Much of the broader success achieved in operations stressing stability tasks begins at the local level as intervening actors engage the populace with modest economic and governance programs. These programs set the building blocks for comprehensive national reform efforts. These efforts aim to build the institutions and processes to ensure the sustained viability of the state. To support the progress of the state from disarray to development, external actors and the host nation—

- Establish the policies and regulatory framework that supports basic economic activity and development.
- Secure and protect the natural resources, energy production, and distribution infrastructure of the host nation.
- Engage and involve the private sector in reconstruction.
- Implement programs that encourage trade and investment with initial emphasis on host-nation and regional investors, followed at a later stage by foreign investors.
- Rebuild or reform essential economic governance institutions.
- Reconstruct or build essential economic infrastructure.

2-54. Although conflict and disaster cause significant economic losses and disrupt economic activity, they also create opportunities for economic reform and restructuring. In fragile states, elites who benefit from the existing state of the economic situation can discourage the growth of trade and investment, stifle private sector development, limit opportunities for employment and workforce growth, and weaken or destroy emerging economic institutions. Intervening actors work to legitimize the host nation's economic activities and institutions. Such legitimate institutions provide an opportunity to stimulate reconstruction and stabilization by facilitating assistance from the international community. This community helps develop comprehensive, integrated humanitarian and economic development programs required to achieve

sustained success. Ultimately, such success can reduce the likelihood of a return to violent conflict while restoring valuable economic and social capital to the host nation.

2-55. The economic recovery of the host nation ties directly to effective governance. Sound economic policy supported by legitimate, effective governance fosters recovery, growth, and investment. Recovery begins at the local level as markets and enterprises are reestablished, the workforce is engaged, and public and private investment is restored. These events help to stabilize the host-nation currency and reduce unemployment, thus providing the tax base necessary to support the recovery of the host nation's treasury. In turn, this enables the host-nation government to fund the public institutions and services that provide for the social and economic well-being of the people.

JOINT STABILITY FUNCTIONS

2-56. The assignment of specific tasks and prioritization among them depends on the mission and conditions of an operational environment. The joint stability functions, as a framework, are a tool to help visualize the conduct of an operation, sequence necessary activities within an operation, and develop and resource appropriate priorities for those activities. Individually, the functions encompass the distinct yet interrelated tasks that constitute stability activities in a functional sector.

2-57. The joint functions are based upon the sectors developed in the essential stability task matrix by the DOS. Figure 2-3 (on page 2-7) depicts how the primary stability tasks—establish civil security, establish civil control, restore essential services, support to governance, and support to economic and infrastructure development—are nested within this framework:

- Security.
- Humanitarian assistance.
- Economic stabilization and infrastructure.
- Rule of law.
- Governance and participation.

PRIMARY ARMY STABILITY TASKS

2-58. Five primary Army stability tasks correspond to the five stability sectors adopted by the DOS. Together, they provide a mechanism for interagency tactical integration, linking the execution of discreet tasks among the instruments of national power. The subordinate tasks performed by military forces under the primary stability tasks directly support broader efforts within the stability sectors executed as part of unified action.

Primary Army Stability Tasks

- Establish civil security
- Establish civil control
- Restore essential services
- Support to governance
- Support to economic and infrastructure development

2-59. None of these primary tasks is performed in isolation. When integrated within their complementary stability sectors, they represent a cohesive effort to reestablish the institutions that provide for the civil participation, livelihood, and well-being of the citizens and state. At the operational level, the primary stability tasks serve as lines of effort or simply as a guide to action, ensuring broader unity of effort across the stability sectors. (See chapter 4 for a discussion on the use of lines of effort.) Each primary task and stability sector contains a number of related subordinate tasks. In any operation, the primary stability tasks, and the subordinate tasks included within each area, are integrated with offensive and defensive tasks. (See ADP 3-0 and ADRP 3-0 for more information on unified land operations.)

2-60. The primary stability tasks are fundamental to unified land operations and conducted across the range of military operations, from stable peace to general war. Forces execute the tasks before, during, or after conflict to support a legitimate host-nation government, to assist a fragile state, or in the absence of a functioning civil authority. Each situation is unique. Assessment and analysis support planning and execution to determine the ends, ways, and means appropriate to the conditions of an operational environment.

2-61. Each primary stability task applies to the stability framework. Each discussion illustrates the application of the stability framework. Paragraphs 1-68 through 1-75 discuss the stability framework.

IDENTIFYING STABILITY TASKS

2-62. Operations characterized by stability tasks aim to stabilize the environment enough so the host nation can begin to resolve the root causes of conflict and state failure. These operations establish a safe, secure environment that facilitates reconciliation among local or regional adversaries. Operations characterized by stability tasks aim to establish conditions that support the transition to legitimate host-nation governance, a functioning civil society, and a viable market economy.

2-63. The size of the force and combination of tasks necessary to stabilize conditions depend on the situation in the operational area. When a functional, effective host-nation government exists, military forces work through and with local civil authorities. Together they restore stability and order and sometimes reform the security institutions that foster long-term development. In this situation, the size of the force and the scope of the mission are more limited. However, in a worst-case engagement scenario, the security environment is in chaos, and the state is in crisis or has failed altogether. In these situations, international law requires the military force to focus on essential tasks that establish a safe, secure environment and address the immediate humanitarian needs of the local populace. These situations require a force capable of securing borders, protecting the population, holding individuals accountable for criminal activities, regulating the behavior of individuals or groups that pose a security risk, reestablishing essential civil services, and setting conditions in the operational area that enable the success of other actors.

2-64. Military forces are organized, trained, and equipped to be modular, versatile, and rapidly deployable. They are tailored for expeditionary operations, easily task-organized, and continuously self-sufficient. These unique expeditionary capabilities allow for prompt movement into any operational environment, even the most austere regions. Expeditionary military forces can conduct operations without delay; they can deliver decisive combat power with little advance warning.

2-65. In an operational environment with unstable security conditions in which the host-nation government either has failed or cannot function effectively, a military force may be the only substantial stabilizing presence. In these situations, the force prepares to perform all the tasks essential to establishing and maintaining security and order while providing for the essential needs of the populace. Often, local and international aid organizations have bases in the operational area but limited access to the population. Military forces can significantly contribute to increasing the access of these aid organizations, allowing them to provide essential humanitarian assistance to the civilian population. In turn, this reduces a substantial logistic burden on military forces, allowing them to focus on providing a safe, secure environment.

2-66. Success in the stability component of an operation often depends on the commander's ability to identify, prioritize, and sequence the tasks essential to mission success. Commanders prioritize and sequence the execution of those tasks with available combat power, the diverse array of actors participating, and the ability of the host nation to accept change. Even more so than in the offense and defense, operations emphasizing stability tasks require commanders to demonstrate cultural awareness and a clear understanding of stability tasks to determine those truly essential to mission success.

2-67. The commander and staff identify essential stability tasks based on due consideration of the relevant mission variables. (See ADRP 5-0 for a discussion of mission variables.) The force must successfully execute essential stability tasks to accomplish the specific mission. These essential tasks may include specified and implied tasks required to establish the end state conditions that define success. They include stability tasks and supporting inform and influence activities that inform and influence a wide array of audiences. In addition, they include any essential offensive and defensive tasks associated with the defeat of an enemy force. Typically, military forces use these initial response tasks to retain primary responsibility. Forces sometimes include other tasks not their primary responsibility. Some tasks are executed simultaneously and some sequentially.

2-68. For the commander and staff, operations emphasizing stability tasks requires a unique combination of knowledge and understanding, the ability to achieve unity of effort, and a thorough depth of cultural awareness. Forces have a finite amount of combat power to apply to the essential tasks associated with a given operation. Essential stability tasks lay the foundation for success of the other instruments of national power. This foundation must sustain the burdens of governance, rule of law, and economic development that represent the future viability of a state. Establishing this foundation depends on applying combat power to the essential stability tasks identified during the initial assessment of the situation and the framing of the

basic problem. Decisions about using combat power are more than a factor of the size of the force deployed, its relative composition, and the anticipated nature and duration of the mission. Ensuring a state's long-term stability depends on applying combat power to those tasks that are, in fact, essential.

USING THE STABILITY FRAMEWORK

2-69. Military forces provide support to facilitate the execution of tasks for which the host nation is normally responsible. Typically, these tasks have a security component ideally performed by military forces or a private security company. However, military forces sometimes provide logistic, medical, or administrative support to enable the success of civilian agencies and organizations. These tasks generally fall into one of three categories, representing the collective effort associated with a stability operation:

- Tasks for which military forces retain primary responsibility.
- Tasks for which civilian agencies or organizations likely retain responsibility, but military forces are prepared to execute.
- Tasks for which civilian agencies or organizations retain primary responsibility.

2-70. This section only addresses some examples of those tasks for which military forces retain primary responsibility or must be prepared to execute. (FM 3-07 and ATP 3-07.5 discuss additional essential tasks.) Within each stability sector, the primary stability tasks focus effort toward the desired end state conditions for a specific execution time frame. For example, initial response tasks executed in the security sector typically focus on establishing a safe, secure environment. The five primary stability tasks divide into major subcategories that facilitate integration and synchronization of related activities.

2-71. The primary stability tasks reflect a myriad of interrelated activities conducted across the five stability sectors. Tasks executed in one sector inevitably affect another sector; planned and executed appropriately, carefully sequenced activities complement and reinforce these effects. Achieving a specific objective or establishing certain conditions often requires performing a number of related tasks among different stability sectors. An example of this is the effort required to provide a safe, secure environment for the local populace. Rather than the outcome of a single task focused solely on the local populace, safety and security are broad effects. Military forces achieve these effects by ending hostilities, isolating belligerents and criminal elements, demobilizing armed groups, eliminating explosives and other hazards, and providing public order and safety. Sustaining security over time requires the execution of even more tasks across all the stability sectors.

ESTABLISH CIVIL SECURITY

2-72. Establishing civil security involves providing for the safety of the host nation and its population, including protection from internal and external threats; it is essential to providing a safe and secure environment. Civil security includes a diverse set of activities. These range from enforcing peace agreements to conducting disarmament, demobilization, and reintegration. If a legitimate civil government cannot assume responsibility for the security sector, military forces perform the tasks associated with civil security. At the same time, they help develop host-nation security and police forces. Normally, the responsibility for establishing and maintaining civil security belongs to military forces from the onset of operations through transition, when host-nation security and police forces assume this role. (Chapter 3 includes additional detail on the role of transitions in operations stressing stability tasks.)

2-73. Civil security is resource intensive. As a primary stability task, establish civil security requires more manpower, materiel, and monetary support than any other task. However, civil security is a necessary precursor to success in the other primary stability tasks. Civil security provides the foundation for unified action across the other stability sectors. Well-established and maintained civil security enables efforts in other areas to achieve lasting results.

2-74. Establishing a safe, secure, and stable environment for the local populace fosters long-term stability. Such an environment facilitates introducing civilian agencies and organizations whose efforts ensure long-term success by fostering development. For political and economic reform efforts to be successful, people, goods, and livestock need a safe and secure environment to travel within the region.

2-75. Establishing or reestablishing competent host-nation security forces is fundamental to providing lasting safety and security of the host nation and its population. These forces primarily counter external threats. However, they also assist in other key missions including disaster relief, humanitarian assistance, and some other internal military threats. Developing host-nation security forces is integral to successful operations characterized by stability tasks and includes organizing, training, equipping, rebuilding, and advising various components of host-nation security forces. (See chapter 3 for a detailed discussion of security force assistance.)

2-76. Within the security sector, initial response tasks have three goals. First, they aim to establish a safe and secure environment. Second, transformation tasks focus on developing legitimate and stable security institutions. Lastly, fostering sustainability tasks consolidate host-nation capacity-building activities. These conditions define success within the sector but also reflect the end state that ensures the foundation for enduring stability and peace. Figure 2-4 is an example.

Determine Disposition and Constitution of National Armed and Intelligence Services

The tasks within this subcategory establish the conditions for successful security sector reform. These tasks focus on the security and intelligence institutions that form the underpinnings of an effective security sector based in a clearly defined legal framework. They provide the broad guidance and direction for the training and advising effort central to security sector reform. The list of essential tasks may include an initial response and transformation.

In an initial response, military forces—

- Implement a plan for disposition of host-nation forces, intelligence services, and other national security institutions.
- Identify future roles, missions, and structure.
- Vet senior officers and other individuals for past abuses and criminal activity.

In transformation, military forces—

- Conduct security force assistance.
- Build host-nation capacity to protect military infrastructure.
- Establish defense institutions.

In fostering sustainability, military forces establish military-to-military programs with host-nation forces and services.

Figure 2-4. Sample task to establish civil security

ESTABLISH CIVIL CONTROL

2-77. Establishing civil control is a preliminary step toward instituting rule of law and stable, effective governance. Although establishing civil security is the first responsibility of military forces in a stability operation, they can only accomplish it by also restoring civil control. Internal threats often manifest themselves as an insurgency, subversive elements within the population, organized crime, or general lawlessness. Each significantly threatens law and order and therefore the overall effort to establish a secure, stable peace. Civil control centers on justice reform and the rule of law, supported by efforts to rebuild the host-nation judiciary, police, and corrections systems. It encompasses the key institutions necessary for a functioning justice system, including police, investigative services, prosecutorial arm, and public defense. Civil control includes helping the state select an appropriate body of laws to enforce; usually this is the host nation's most recent criminal code, purged of blatantly abusive statutes.

2-78. In a fragile state, the justice system often ceases to function altogether with absent judges and legal professionals, looted or destroyed courts and prisons, damaged or destroyed records, and any surviving vestiges of the justice system stripped of essentials. With a transitional military authority, intervening forces may perform both judicial and correctional functions. Promoting the rule of law in these cases requires that military forces abide by the law and are held accountable for any crimes committed.

2-79. To provide for the safety and security of the populace successfully, an effective judiciary branch and a functioning corrections system must complement the state's security institutions. Together with governance and civil security, civil control is a core element of security sector reform. This reform sets the foundation for broader government and economic reform and successful humanitarian relief and social

development. Establishing civil control protects the integrity of the security sector reform program. Civil control tasks prevent corruption that threatens security institutions when institutions lack the support of judges to apply the law and prisons to incarcerate the convicted.

2-80. Building host-nation capacity for civil control is paramount to establishing the foundation for lasting civil order. Community-oriented police services under civilian control that clearly separate the roles of the police and military are essential to success. As with host-nation security forces, the development of police forces proves integral to providing a safe, secure environment for the local populace. Military forces first need to restore and then maintain civil order until formed police units trained in stability policing skills can perform these functions and begin training host-nation police forces. In some cases, military forces also train, or oversee the training of, host-nation police forces.

2-81. Host-nation justice system actors who participated with a corrupt or authoritarian regime and continued their service in such capacities are inconsistent with institutional reform programs. As with other elements of the civil security and governance sectors, an appropriate authority vets the judiciary, police, and corrections staffs and oversees their activities as part of the security sector reform program. Conducted in parallel with other reform processes, near-term efforts focus on building host-nation capacity by restoring the components of the justice system. Long-term development aims to institutionalize a rule of law culture within the government and society. Establishing this culture often relies on the delicate balance between retribution and reconciliation in a state recovering from the effects of collapse. Successful development depends on the ability of the host nation to reconcile with its past—determining whom to punish, whom to forgive, whom to exclude, and whom to accept within the new order of the state.

2-82. Civil control regulates selected behavior and activities of individuals and groups. It reduces risk to individuals or groups and promotes security. Within the justice and reconciliation stability sector, initial response tasks aim to develop interim mechanisms for establishing rule of law. Transformation tasks focus on restoring the justice system and processes for reconciliation. Fostering sustainability tasks serve to establish a legitimate, functioning justice system founded on international norms. These conditions define success within the sector while reflecting the end state necessary to ensure the foundation for enduring stability and peace. Figure 2-5 is an example.

Establish Public Order and Safety

The tasks within this subcategory provide a broad range of activities to protect the civilian populace, provide interim policing and crowd control, and secure critical infrastructure. These essential tasks represent actions that must occur during and after direct, armed conflict to ensure the long-term sustainability of any reform efforts. The speed and effectiveness in performing these tasks directly correlates with the length of time required to return the host nation to a normal state. Executing these tasks as soon as practical after intervening reduces the time required for related efforts and allows force to accomplish the mission far sooner. Additionally, forces take precautionary measures to not endanger the civilian population and infrastructure. However, the military's legal authorities for all activities in the justice sector, particularly involving enforcement and adjudication of the law, must be clear. The list of essential tasks may include an initial response and transformation.

In an initial response, military forces—

- Ensure humanitarian aid and security forces have access to endangered populations including refugee and internally displaced person camps and spontaneous sites.
- Perform civilian police functions, including investigating crimes and making arrests.
- Locate and safeguard key witnesses, documents, and other evidence related to key ongoing or potential investigations and prosecutions.
- Control crowds, prevent looting, and manage civil disturbances.
- Secure facilities, records, storage equipment, and funds related to criminal justice and security institutions.

In transformation, military forces—

- Build host-nation capacity to protect military infrastructure.
- Build host-nation capacity to protect infrastructure and public institutions.
- Build host-nation capacity for emergency response.

In fostering sustainability, military forces identify modernization needs and the means to achieve them.

Figure 2-5. Sample task to establish civil control

RESTORE ESSENTIAL SERVICES

2-83. Efforts to restore essential services ultimately contribute to achieving a stable democracy, a sustainable economy, and the social well-being of the population. In the aftermath of armed conflict and major disasters, military forces support efforts to establish or restore the most basic civil services: the essential food, water, shelter, and medical support necessary to sustain the population until local civil services are restored. Military forces also protect them until transferring responsibility to a transitional civil authority or the host nation. In addition, these efforts typically include providing or supporting humanitarian assistance, providing shelter and relief for displaced civilians, and preventing the spread of epidemic disease. The immediate humanitarian needs of the local populace are always a foremost priority.

2-84. However, activities associated with this primary stability task extend beyond simply restoring local civil services and addressing the effects of humanitarian crises. While military forces generally center their efforts on the initial response tasks that provide for the immediate needs of the populace, other civilian agencies and organizations focus on broader humanitarian issues and social well-being. Typically, local and international aid organizations already provide assistance, although the security situation or obstacles to free movement may limit their access to all populations. By providing a secure environment, military forces enable these organizations to expand their access to the entire populace and ease the overall burden on the force to provide this assistance in isolation.

2-85. Commanders consider the potential that the host-nation populace perceives these tasks as political or as favoring one group over another. In patronage-based societies, tasks often favor an ethnic group or a group where the political power of an actor correlates with how many favors or dollars they can deliver to their populace. In these circumstances, the host-nation populace's perceptions of even simple assistance tasks as favoritism potentially fuels conflict. Further, commanders carefully avoid crowding out local economic and service networks.

2-86. Transformation tasks establish the foundation for long-term development, resolving the root causes of conflict that lead to events such as famine, displaced civilians, refugee flows, and human trafficking. Fostering sustainability tasks ensures the permanence of those efforts by institutionalizing positive change in society.

2-87. Military forces often may support host-nation and civilian relief agencies with efforts to restore essential services. However, when the host nation cannot perform its roles, military forces often execute these tasks directly or to support other civilian agencies and organizations. Effective forces properly scale these activities to local capacity for sustainment. Proper scaling also creates the best opportunity for the local populace to create small-scale enterprises to provide as many of these essential services as possible through the private economy. Effective military forces delay initiating large-scale projects requiring complicated host-nation efforts until the necessary infrastructure exists to support such effort. Figure 2-6 is an example.

Provide Essential Civil Services

Although closely related to establishing and supporting effective local governance, efforts to provide essential civil services to the host-nation people involve developing the capacity to operate, maintain, and improve those services. This broader focus involves a societal component that encompasses long-range education and training, employment programs, and economic investment and development.

At the tactical level, military forces qualify activities to provide essential civil services in terms of the immediate humanitarian needs of the people: providing the food, water, shelter, and medical support necessary to sustain the population until local civil services are restored. Once their immediate needs are satisfied, efforts to restore basic services and transition control to civil authorities typically progress using lines of effort. These lines of effort are vital to integrating efforts to reestablish local civil services with similar, related actions to establish a safe, secure environment. Military forces, specifically functional units or functional specialists, may support the effort to provide essential civil services by conducting detailed infrastructure reconnaissance. The list of essential tasks include an initial response in which military forces—

- Provide for immediate humanitarian needs of the population (food, water, shelter, and medical support) when and where independent humanitarian organizations are not able.
- Ensure proper sanitation, purification, and distribution of drinking water.
- Provide interim sanitation, wastewater, and waste disposal services.

In transformation, military forces build host-nation capacity to operate and maintain essential civil services.

In fostering sustainability, military forces identify modernization needs and the means to achieve them.

Figure 2-6. Sample task to restore essential services

SUPPORT TO GOVERNANCE

2-88. Military efforts to support governance help to build progress toward achieving effective, legitimate governance. Military support to governance focuses on restoring public administration and resuming public services while fostering long-term efforts to establish a functional, effective system of political governance. The support provided by military forces helps to shape the environment for extended unified action by other partners. Their efforts eventually enable the host nation to develop an open political process, a free press, a functioning civil society, and legitimate legal and constitutional frameworks.

2-89. Ultimately, an operation characterized by stability aims to leave a society at peace with itself and its regional neighbors, sustainable by the host nation without the support of external actors. Governance is the process, systems, institutions, and actors that enable a state to function; effective, legitimate governance ensures that these are transparent, accountable, and involve public participation. Democratization, while often an end state condition in planning, does not ensure these outcomes. In societies already divided along ethnic, tribal, or religious lines, elections may further polarize factions. Generally, representative institutions based on universal suffrage offer the best means of reconstituting a government acceptable to the majority of the citizens. This is the broad intent of developing host-nation governance.

2-90. Although the United States has a secular, representative government that clearly separates church and state, other states have varying degrees of religious participation in their governments. Countries such as Iran and Saudi Arabia have codified versions of Shari'a (Islamic legislation). Shari'a uses the Quran as the foundation for the national constitution. Religion is often a central defining characteristic in some forms of government and cannot be discounted by external actors. Informal governance, such as local elders or sheiks, may also play an important role. Ultimately, the form of government adopted must reflect the host-nation customs and culture rather than those of the intervening actors.

2-91. When a legitimate and functional host-nation government exists, military forces operating to support the state have a limited role. However, if the host-nation government cannot adequately perform its basic civil functions—whatever the reason—some degree of military support to governance may be necessary. A state's legitimacy among its people ties in part to its perceived ability to provide these essential services. In extreme cases, where civil government is completely dysfunctional or absent altogether, international law requires the military force to provide the basic civil administration functions of the host-nation government under the auspices of a transitional military authority. (See FM 3-07 for a detailed discussion of transitional military authority.) Figure 2-7 is an example.

Support Anticorruption Initiatives

Providing legal guidance and assistance to the transitional government mitigates the near-term effects of corruption. Long-term measures ensure lasting success. Corruption and graft can hinder efforts to establish governance, restore rule of law, or institute economic recovery. While some level of corruption is common to many cultures, its existence can unhinge reform efforts and put the entire mission at risk. The list of essential tasks may include an initial response in which military forces create mechanisms to curtail corruption across government institutions. The list of essential tasks may include an initial response in which military forces—

- Implement or reaffirm government employee oaths of office.
- Develop and disseminate ethical standards for civil servants.
- Ensure transparency in dispersing government resources.
- Implement reporting procedures for corruption and intimidation.
- Support witness protection programs.
- Incorporate anticorruption efforts into their procurement systems and do not act in ways that may unwittingly support local corruption.

Figure 2-7. Sample task to support to governance

SUPPORT TO ECONOMIC AND INFRASTRUCTURE DEVELOPMENT

2-92. Military tasks executed to support the economic sector are critical to sustainable economic development. The economic viability of a state is among the first elements of society to exhibit stress and ultimately fracture as conflict, disaster, and internal strife overwhelm the government. Signs of economic stress include rapid increases in inflation, uncontrolled escalation of public debt, and a general decline in the state's ability to provide for the well-being of the people. Economic problems inextricably tie to governance and security concerns. As one institution begins to fail, others likely follow.

2-93. Infrastructure development complements and reinforces efforts to stabilize the economy. It focuses on the society's physical aspects that enable the state's economic viability. These physical aspects of infrastructure include construction services, engineering, and physical infrastructure in the following sectors:

- Transportation, such as roads, railways, airports, ports, and waterways.
- Telecommunications.
- Energy (such as natural resources, the electrical power sector, and energy production) and distribution.
- Municipal and other public services.

2-94. Accurate, detailed assessment is a key to formulating long-term plans for infrastructure development. Military forces often possess the capability to conduct detailed reconnaissance of the state's physical infrastructure and can effectively inform planning efforts. Infrastructure reconnaissance gathers technical information on the status of large-scale public systems, services, and facilities necessary for economic activity. This reconnaissance facilitates restoring essential services as well as spurring economic and infrastructure development. Infrastructure reconnaissance is accomplished in two stages: infrastructure assessment—associated with the restoration of essential services—and infrastructure survey—that supports economic and infrastructure development. Infrastructure reconnaissance supports the operations process by providing vital information on the quality of the local infrastructure or problems within it. It also supports how those infrastructure issues impact military operations and the population. (See Chapter 4 and ADRP 5-0 for more detailed discussions of assessments. See FM 3-34.170 for more information on infrastructure assessment.)

2-95. Commanders, when pursuing local economic development projects, consider the host-nation population and government's ability to sustain the effort. Sustainability involves the local ability to maintain the project and the capacity to utilize it after the operation. Developing new local capacities can be substantially more complex than simply restoring capabilities that existed before the conflict. Existing capabilities, though perhaps not as effective as new capabilities, may be more supportable by local means.

2-96. Sound economic policies promote equitable, sustainable growth. Economic policies are the key to remedying underlying tensions in society. These policies allow the state to progress toward recovery and eventually long-term economic development. Therefore, any effort to establish economic stabilization closely links to similar efforts in other stability sectors. Linking these efforts expands the possibilities for changing the underlying social, economic, and political conditions that led to the collapse of the state. Synchronizing reform efforts among the economic, governance, and security sectors decreases the chance of continued or renewed conflict.

2-97. Building capacity within the economic sector requires an integrated approach to achieve sustainable growth. Appropriate civilian or host-nation organizations can accomplish much of this effort at the macro level through development mechanisms but may look to the military for security or other types of assistance. Despite this, military forces must maintain an understanding of the economic sector, the impact of their activities on the economy, and the proper method to lay a stabilizing foundation that will support future sustainability and development.

2-98. At the local level, military forces significantly support economic stabilization and infrastructure development. The building blocks for broad national recovery and development are set at the local level. At this level, recovery and development focus on generating employment opportunities, infusing monetary resources into the local economy, stimulating market activity, fostering recovery through micro economics, and supporting the restoration of physical infrastructure. However, military forces must avoid causing unintended disruptions to the local markets by suddenly stimulating the economy, particularly by agreeing to pay prices significantly above the market rate. This demand on local markets may cause prices to spike, thus making products cost prohibitive for the people. A price spike may cause resentment and undermine broader efforts, particularly if the military force is only in the area for a short time and a collapse in market activity occurs after its departure. Thus, members of the force understand the economic fundamentals of the area—key markets, revenue producers, and price trends—to gauge the impact of military activities.

2-99. At the national or regional level, efforts focus on comprehensive infrastructure improvements or on supporting the efforts of other agencies to strengthen the economy or foster development. Intergovernmental organizations—such as the World Bank, the International Monetary Fund, and the Organisation for Economic Co-operation and Development—help set sound economic policies and establish conditions for long-term development and investment. (See *[Organisation for Economic Co-operation and Development Assistance Committee] Handbook on Security System Reform: Supporting Security and Justice* for more information.) Figure 2-8 (on page 2-20) is an example.

Support Economic Generation and Enterprise Creation

Economic recovery begins with an actively engaged labor force. When a military force occupies an operational area, the demand for local goods, services, and labor creates employment opportunities for the local populace. Local projects, such as restoring public services, rebuilding schools, or clearing roads, offer additional opportunities for the local labor pool. Drawing on local goods, services, and labor presents the force with the first opportunity to infuse cash into the local economy, which in turn stimulates market activity. However, this initial economic infusion translates into consistent capital availability and sustainable jobs programs. Thus, short-term actions enable financial self-reliance and the creation of a durable enterprise and job market.

The local economy requires this stimulus to sustain economic generation and enterprise creation. It includes efforts to execute contracting duties; identify, prioritize, and manage local projects; and implement employment programs. Often, such programs reinforce efforts to establish security and civil order by providing meaningful employment and compensation for the local populace. The assessment of the economic sector must include developing knowledge and understanding of local pay scales—essential to establishing jobs programs with appropriate wages. Inflated pay scales may divert critical professionals from their chosen field in pursuit of short-term financial gains from new jobs created by the force. Establishing appropriate pay scales is also significant when illicit actors willing to pay for actions or services directly counter the aims of the force. Adversaries can easily exploit relatively low pay scales and quickly undermine efforts to build positive perceptions among the people. Also, military forces can help to create long-term employment through short-term projects by incorporating on-the-job training and apprenticeships for people to learn new skills.

Host-nation enterprise creation is an essential activity whereby the local people organize themselves to provide valuable goods and services. In doing so, they create jobs for themselves, their families, and neighbors that they can sustain after other actors depart. Host-nation enterprises may provide various goods and services, including essential services such as small-scale sewerage, water, electricity, transportation, health care, and communications. The availability of financing through banking or micro finance institutions is essential to enterprise creation.

Local jobs programs require a complementary vetting program to ensure the reliability of the workforce, especially if the labor pool draws from a population that includes former combatants. Linking vetting tasks with efforts to support economic generation mitigates risk to the force and the local populace. The list of essential tasks may include an initial response and transformation.

In an initial response, military forces—

- Implement initiatives to provide immediate employment.
- Create employment opportunities for all ages and genders.
- Assess the labor force for critical skills requirements and shortfalls.
- Assess market sector for manpower requirements and pay norms.

In transformation, military forces—

- Implement public works projects.
- Support establishment of a business registry to register lawful business activity at the local or provincial level.
- Provide start-up capital for small businesses through small-scale enterprise grants.
- Encourage the creation of small lending institutions.
- Enable the development of financial institutions.

Figure 2-8. Sample task to support to economic and infrastructure development

Chapter 3

Unique Considerations

CONSIDERATIONS TO OPERATIONS

3-1. Operations characterized by stability tasks and all stability tasks—whether conducted before, during, or after conflict—require a unique application of some considerations common to operations. Some operations feature a large component of stability tasks relative to offensive and defensive tasks. However, these operations, as with most decisive action, have elements of offense and defense as well. (FM 3-07 further discusses these operations and considerations.)

3-2. Military support to stability efforts during peacetime generally takes the form of presence, peace operations (specifically conflict prevention), and nation assistance (often as security cooperation). During military engagement, security cooperation, and deterrence activities, stability tasks support the objectives of operations conducted with the geographic combatant commanders' theater campaign plan and the country team's integrated country strategy (formerly mission strategic resource plan). (JP 3-07.3 discusses conflict prevention. FM 3-05.2 discusses security cooperation.)

3-3. During crisis response and limited contingency operations, the balance of stability and combat tasks varies widely. Some crisis response and limited contingency operations, such as foreign humanitarian assistance, may not require combat. Others, such as strikes and raids, may not require any stability tasks. Still others, such as other types of peace operations, require a delicate balance of offensive, defensive, and stability tasks throughout the operation. (JP 3-07.3 discusses peace operations.)

3-4. Major operation and campaign plans appropriately balance offensive, defensive, and stability tasks in all phases. An exclusive focus on offensive and defensive tasks in earlier phases may limit appropriate development of basic and supporting plans for follow-on phases and ultimately strategic success. Even while sustained combat operations continue, units need to establish or restore minimal levels of civil security and provide humanitarian relief. Such relief entails minimum levels of shelter, food, water, and medical care as succeeding areas are occupied, bypassed, or returned to a transitional authority or host-nation control. (Chapter 2 discusses essential stability tasks.)

3-5. During major operations and campaigns, military forces particularly emphasize stability tasks after achieving major combat objectives. In a transition to a post-conflict situation, initial response activities dominate stability tasks. The force first focuses on establishing the minimum-essential levels of civil security to protect both military and civilian populations and simultaneously ensure for providing water, shelter, food, and medical treatment. Forces begin stability tasks purposed for transformation and fostering sustainability as resources allow.

MILITARY ROLE IN PREVENTION ACTIVITIES

3-6. Stability is at the foundation of prevention efforts. Military preventative activities often support United States Government (USG) diplomatic efforts before, during, or after a crisis. Taken before a potential crisis, these activities prevent or limit violence and interfere with U.S. interests. Prevention activities during a conflict prevent the spread or escalation of conflict. Taken after a conflict, they stop a return to violence. Prevention activities include military engagement and security cooperation (paragraphs 3-9 through 3-18) efforts designed to reform a country's security sector and deployment of forces designed to prevent a dispute or contain it from escalating to hostilities (see paragraph 3-26). Other potential prevention activities include—

- Military fact-finding missions.
- Military-to-military consultations and warnings.
- Inspections.

- Observation missions.
- Monitoring.

3-7. Army forces performing prevention activities focus on support to political and developmental efforts to lessen the causes of tension and unrest. Military forces tailor these activities to meet political and development demands. In stability tasks, including those where lethal actions are not likely, commanders consider that any accidental harm to civilians—traffic accidents, collateral damage, and so on—will severely impact their mission success. Commanders proactively plan for civilian casualty mitigation. (See ATTP 3-37.31.)

3-8. Military engagement encourages regional stability. Engagement activities are key peacetime military preventative actions that enhance bonds between potential multinational partners, increase understanding of the region, help ensure access when required, strengthen future multinational operations, and prevent crises from developing. Military engagement in peacetime comprises all military activities that involve other nations and are intended to shape the security environment in peacetime. It includes programs and exercises that the United States military conducts with other nations to shape the international environment, improve mutual understanding, and improve interoperability with treaty partners or potential coalition partners. Military engagement activities support a combatant commander's objectives within the theater security cooperation plan. These activities may be long term, such as training teams and advisors assisting land forces, or short term, such as multinational exercises. Combat is not envisioned, although terrorist attacks against deployed forces are always possible. Policy, regulations, and security cooperation plans, rather than doctrine, typically govern military engagement activities in peacetime. Units usually conduct bilaterally but can involve multiple nations. Examples of joint operations and activities that fall under military engagement in peacetime include the following:

- Multinational training events and exercises.
- Security assistance.
- Joint combined exchange training.
- Recovery operations.
- Arms control.
- Counterdrug activities.

SECURITY COOPERATION

3-9. *Security cooperation* is all Department of Defense interactions with foreign defense establishments to build defense relationships that promote specific United States security interests, develop allied and friendly military capabilities for self-defense and multinational operations, and provide United States forces with peacetime and contingency access to a host nation (JP 3-22). Security cooperation—usually coordinated by the U.S. military's security cooperation organization in a country—includes all Department of Defense (DOD) interactions with foreign defense and security establishments. These interactions include all DOD-administered security assistance programs that build defense and security relationships promoting specific U.S. security interests. Such interests include all international armaments cooperation activities and security assistance activities to—

- Develop friendly, partner, and allied military capabilities for self-defense and multinational operations.
- Build partnership capacity and enhance or establish relationships with regional national militaries that promote bilateral and coalition interoperability, strategic access, and regional stability.

3-10. Security cooperation aims to promote stability, develop alliances, and gain and maintain access through security relationships that build both partner capacities and capabilities. The capacities and capabilities of partners directly correlate to the type of activities undertaken. Goals range from creating a positive relationship that allows freedom of movement to creating global security interoperability with core partners to addressing regional security organizations and alliance organizations. A broad range of interconnected and integrated security cooperation activities accomplishes security cooperation. (JP 3-22 discusses security cooperation.)

3-11. Security cooperation primarily focuses on interoperability programs with both core partners and the fledging security forces of a failed or failing host nation. Military forces use security cooperation efforts to achieve mid- to long-term objectives with partners. Although forces may require short-term activities, they take extreme care not to put long-term objectives, nationally and regionally, at risk. The size of security cooperation offices vary from country to country based on the size and complexity of the security cooperation program to achieve the joint force commander and country team objectives.

3-12. Each security cooperation activity is distinct based on context and changes over time. Security cooperation activities and their purposes adapt as conditions change and as resource availability changes. The nature of the many security cooperation activities, which often span multiple objectives and outcomes, contribute to the geographic combatant commands' theater campaign plans.

3-13. The Army supports security cooperation through security assistance, security force assistance, foreign internal defense, and security sector reform. The Army often uses Title 10 authorities—which directs training, manning, and equipping of U.S. forces—to support security cooperation. As such, security cooperation is sustained activities and authorities executed discreetly or in concert with each other across the range of military operations consolidating many requirements, authorities, and force structures.

SECURITY ASSISTANCE

3-14. Security assistance is a group of programs authorized by the Foreign Assistance Act of 1961, the Arms Export Control Act of 1976, or other related statutes. These programs permit the United States to provide defense articles, military training, and other defense-related services by grant, loan, credit, or cash sales in furtherance of national policies and objectives. (JP 3-22 discusses security assistance.)

SECURITY FORCE ASSISTANCE

3-15. *Security force assistance* is Department of Defense activities that contribute to unified action by the United States Government to support the development of the capacity and capability of foreign security forces and their supporting institutions (JP 3-22). Military forces conduct these activities facilitating host nations to deter and defend against transnational internal threats to stability. The DOD also conducts security force assistance to assist host nations to defend against external threats; contribute to coalition operations; or organize, train, equip, and advise another country's security forces or supporting institutions. The only security force assistance activity conducted under combat conditions is combat advising. (FM 3-07.1 provides additional details on security force assistance.)

FOREIGN INTERNAL DEFENSE

3-16. Foreign internal defense involves civilian and military agencies of a government participating in action programs taken by another government or other designated organization. This program aims to free and protect its society from subversion, lawlessness, insurgency, terrorism, and other threats to its security. U.S. foreign internal defense efforts involve all instruments of national power to support host-nation internal defense and development (IDAD) programs. (ADP 3-05, ADRP 3-05, and paragraph 3-99 and paragraph 3-100 discuss foreign internal defense in more detail.)

3-17. *Internal defense and development* is 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). IDAD involves a cyclic interaction of execution, assessment, and adaptation. U.S. forces use IDAD to focus on building viable institutions (political, economic, social, and military) that respond to the needs of society. Not all countries use IDAD. Ideally, it is a preemptive strategy. However, if an insurgency or other threat develops, it becomes an active strategy to combat that threat. As directed, the Army provides support to other USG departments and agencies focused on IDAD of those foreign security forces assigned to other ministries (or their equivalents) such as interior, justice, or intelligence services. IDAD blends four interdependent functions to prevent or counter internal threats: balanced development, security, neutralization, and mobilization. (JP 3-07 discusses IDAD and its functions in detail.)

SECURITY SECTOR REFORM

3-18. Security sector reform (SSR) is an umbrella term that discusses reforming the security of an area. SSR includes integrated activities in support of defense and armed forces reform; civilian management and oversight; justice, police, corrections, and intelligence reform; national security planning and strategy support; border management; disarmament, demobilization, and reintegration; or reduction of armed violence. In SSR, the Army primarily supports reforming, restructuring, or reestablishing the armed forces and the defense sector across the range of military of operations. Paragraphs 3-34 through 3-81 further discuss security sector reform.

PEACE OPERATIONS

3-19. *Peace operations* is a broad term that encompasses multiagency and multinational crisis response and limited contingency operations involving all instruments of national power with military missions to contain conflict, redress the peace, and shape the environment to support reconciliation and rebuilding and facilitate the transition to legitimate governance. Peace operations include peacekeeping, peace enforcement, peacemaking, peace building, and conflict prevention efforts (JP 3-07.3). Peace operations often have a high level of stability tasks compared to offense and defense tasks.

TYPES OF PEACE OPERATIONS

3-20. Peace operations aim to keep violence from spreading, contain violence that has occurred, and reduce tension among factions. Accomplishing these objectives creates an environment in which forces use other instruments of national power to reduce the level of violence to stable peace. Peace operations are usually interagency efforts. They require a balance of military and diplomatic resources. (JP 3-07.3 and FM 3-07 contain doctrine for peace operations.)

3-21. Army forces conduct the following types of peace operations:

- Peacekeeping.
- Peace enforcement.
- Peacemaking.
- Peace building.
- Conflict prevention.

3-22. *Peacekeeping* consists of military operations undertaken with the consent of all major parties to a dispute, designed to monitor and facilitate implementation of an agreement (cease fire, truce, or other such agreement) and support diplomatic efforts to reach a long-term political settlement (JP 3-07.3). Peacekeeping follows a truce or cease fire. It seeks to interpose a peaceful third party between belligerents, allowing diplomacy an opportunity to resolve the conflict. Units only use force for self-defense in peacekeeping.

3-23. *Peace enforcement* involves the application of military force, or the threat of its use, normally pursuant to international authorization, to compel compliance with resolutions or sanctions designed to maintain or restore peace and order (JP 3-07.3). Peace enforcement may include enforcing sanctions and restoring order. These operations try not to destroy or defeat an adversary, but to use force or threat of force to establish a safe and secure environment so that peace building can succeed.

3-24. *Peacemaking* is the process of diplomacy, mediation, negotiation, or other forms of peaceful settlements that arranges an end to a dispute and resolves issues that led to it (JP 3-07.3). The military does not have the lead, but military leaders normally provide military expertise in negotiating the military aspects of a peace agreement.

3-25. *Peace building* consists of stability actions, predominately diplomatic and economic, that strengthen and rebuild governmental infrastructure and institutions in order to avoid a relapse into conflict (JP 3-07.3). Peace building provides the reconstruction and societal rehabilitation after a conflict thereby offering hope to the host-nation populace. Operations characterized by stability tasks promote reconciliation, strengthen and rebuild civil infrastructures and institutions, build confidence, and support economic reconstruction to prevent a return to conflict. The ultimate measure of success in peace building is political, not military.

3-26. Conflict prevention consists of actions taken before a predictable crisis to prevent or limit violence, deter parties, and reach an agreement before armed hostilities begin. Conflict prevention often involves diplomatic initiatives. It also includes efforts designed to reform a country's security area of operations and make it more accountable to civilian control. Conflict prevention often requires deploying forces to contain a dispute or prevent it from escalating into hostilities. (JP 3-07.3 contains doctrine on conflict prevention.)

CONSIDERATIONS FOR PEACE OPERATIONS

3-27. Units often conduct peace operations in complex, ambiguous, and uncertain environments with other forces. In a war-torn nation or region, peace operations ease the transition to a stable peace by supporting reconciliation and rebuilding. Units often conduct peace operations under international supervision. U.S. forces may conduct peace operations under the sponsorship of the United Nations, another intergovernmental organization, as part of a multinational coalition, or unilaterally. Army forces provide specialized support to other government agencies as necessary.

3-28. An operational environment for a peace operation may include any or all of the following characteristics:

- Hybrid threats.
- Failing or failed states.
- Absence of the rule of law.
- Terrorism and terrorist organizations.
- Gross violations of human rights.
- Collapse of civil infrastructure.
- Presence of displaced civilians.

3-29. Army forces in peace operations strive to create a safe and secure environment, primarily through stability tasks. Army forces use their offensive and defensive capabilities to deter external and internal adversaries from overt actions against each other. Establishing security and control enables civilian agencies to address the underlying causes of the conflict and create a self-sustaining peace.

3-30. Peace operations require opposing parties to cooperate with the international community. In most peace operations, this comes voluntarily. However, peace enforcement involves the threat or use of military force to compel cooperation. Successful peace operations also require support from the local populace and host-nation leaders. The likelihood of combat declines, and, when it occurs, it is usually at the small-unit level. Units involved in peace operations prepare for sudden engagements, even while executing operations to prevent them. Commanders emphasize the use of information activities, particularly information used to inform and influence various opposing audiences in the area of operations. Peace operations require perseverance to achieve the desired end state.

TRANSITIONS

3-31. Transitions mark a change of focus between phases or between the ongoing operation and execution of a branch or sequel. The shift in relative priority between the elements of decisive action—such as from an offense to stability—also involves a transition. Transitions require planning and preparation well before their execution. The staff identifies potential transitions during planning and accounts for them throughout execution; assessment ensures that the staff measures progress toward such transitions and takes appropriate actions to prepare for and execute them. In a stability context, operations can involve multiple types of transitions and often occur concurrently. Stability tasks include transitions of authority and control among military forces, civilian agencies and organizations, and the host nation.

3-32. An unexpected change in conditions often requires commanders to direct an abrupt transition between phases. In such cases, the overall composition of the force remains unchanged despite sudden changes in mission, task organization, and rules of engagement. Typically, task organization evolves to meet changing conditions; however, transition planning also accounts for changes in the mission. Commanders attuned to sudden changes can better adapt their forces to dynamic conditions. They continuously assess the situation and task-organize and cycle their forces to retain the initiative. They strive to achieve changes in emphasis without incurring an operational pause.

3-33. Transitions create unexpected opportunities; they especially make forces vulnerable to enemy threats or unanticipated changes to the situation. Because the force is vulnerable during transitions, commanders establish clear conditions for execution. Each transition involves inherent risk. That risk is amplified when the force manages multiple transitions simultaneously or conducts a series of transitions quickly. Planning anticipates these transitions, and careful preparation and diligent execution ensures they occur without incident. Transitions are identified as decisive points on lines of effort. They typically mark a significant shift in effort and signify the gradual return to civilian oversight and control of the host nation. (See figure 3-1.)

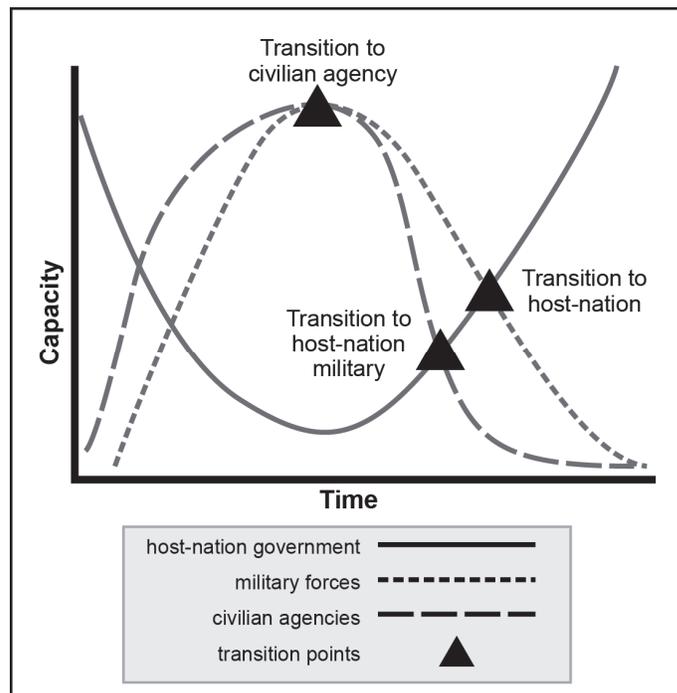


Figure 3-1. Notional transitions of authority in operations

SECURITY SECTOR REFORM

3-34. Security sector reform (SSR) is the set of policies, plans, programs, and activities that a government undertakes to improve the way it provides safety, security, and justice. This reform aims to provide an effective and legitimate public service that is transparent, accountable to civil authority, and responsive to the needs of the public. It often includes integrated activities such as—

- Defense and armed forces reform.
- Civilian management and oversight.
- Justice, police, corrections, and intelligence reform.
- National security planning and strategy support.
- Border management.
- Disarmament, demobilization, and reintegration (DDR).
- Concurrent reduction of armed violence.

It recognizes the inherently interdependent aspects of the security sector and integrated operational support with institutional reform and governance. (FM 3-07 discusses security sector reform.)

3-35. National defense and internal security are the traditional cornerstones of state sovereignty. The National Security Strategy of the United States seeks to contribute to a world of legitimate, effectively governed states that provide for the needs of their citizens and conduct activities responsibly within the

international system. SSR reinforces diplomacy and defense while reducing long-term security threats by helping to build stable, prosperous, and peaceful societies. SSR facilitates security cooperation, capacity-building activities, stability tasks, and engagement. Ultimately, SSR builds on the tradition of working in partnership with foreign governments and organizations to support peace, security, and effective governance. Additionally, other national policy documents commit the USG to promoting effective security and governance as a central national security objective. Historically, the U.S. has bypassed the task of reforming defense and interior ministries in favor of conducting train-and-equip programs for security forces. This approach proved shortsighted as newly trained military and police failed to receive sufficient policy guidance and administrative support.

3-36. SSR captures the full range of security activities under the broad umbrella of a single, coherent framework. SSR spans from military and police training to weapons destruction and from community security to DDR of former combatants to security sector oversight and budgeting. Security is essential to legitimate governance and participation, effective rule of law, and sustained economic development. For a state recovering from the effects of armed conflict, natural disaster, or other events that threaten the integrity of the central government, an effective security sector fosters development, encourages foreign investment, and helps reduce poverty.

3-37. Establishing security in a country or region affected by persistent conflict requires a comprehensive assessment of the drivers of conflict in the host nation. It also requires applying all available capabilities to reduce or eliminate the drivers of conflict and create an environment of security and rule of law. In nonpermissive areas, security is the first priority and forces must therefore establish it before other external actors can enter the operational area. Such areas typically require the initial use of military forces to achieve security and set the conditions that enable the success of those external actors.

3-38. SSR includes reform efforts targeting individuals and institutions that provide a nation's security as well as promote and strengthen the rule of law. Generally, this includes the military and any state-sponsored paramilitary forces; national and local police; the justice and corrections systems; coastal and border security forces; oversight bodies; militia; and private military and security companies employed by the state. The security sector represents the foundation of effective, legitimate governance and the potential of the state for enduring viability.

3-39. SSR involves reestablishing or reforming institutions and key ministerial positions that maintain and provide oversight for the safety and security of the host nation and its people. Through unified action, these institutions and individuals assume an effective, legitimate, and accountable role. They provide external and internal security for their citizens under the civilian control of a legitimate state authority. Effective SSR enables a state to build its capacity to provide security and justice. SSR promotes stability, fosters reform processes, and enables economic development. The desired outcome of SSR programs is an effective and legitimate security sector firmly rooted within the rule of law.

INTEGRATED SECURITY SECTOR REFORM

3-40. The departments and agencies of the USG, including the DOD, pursue an integrated SSR based on a whole-of-government approach. With the support of the host nation, military forces collaborate with interagency representatives and other civilian organizations to design and implement SSR strategies, plans, programs, and activities. To implement SSR programs, the U.S. country team designs SSR strategies, plans, programs, and activities. They coordinate with appropriate USG departments and agencies as well as the chief of mission's authority in the host nation. The Department of State (DOS) leads and provides oversight for these efforts through its bureaus, offices, and overseas missions. The DOD provides coercive and constructive capability to support the establishment, to restructure or reform the armed forces and defense sector, and to assist and support activities of other USG agencies involved in SSR. Army forces participate in and support SSR activities as directed by the joint force commander.

Elements of the Security Sector

3-41. The security sector consists of both uniformed forces—police and military—and civilian agencies and organizations operating at various levels within an operational environment. Elements of the security

sector are interdependent; the activities of one element significantly affect other elements. (See figure 3-2.) The four core elements of the security sector consist of—

- State security providers.
- Government security management and oversight bodies.
- Civil society and other nonstate actors.
- Nonstate security sector providers.

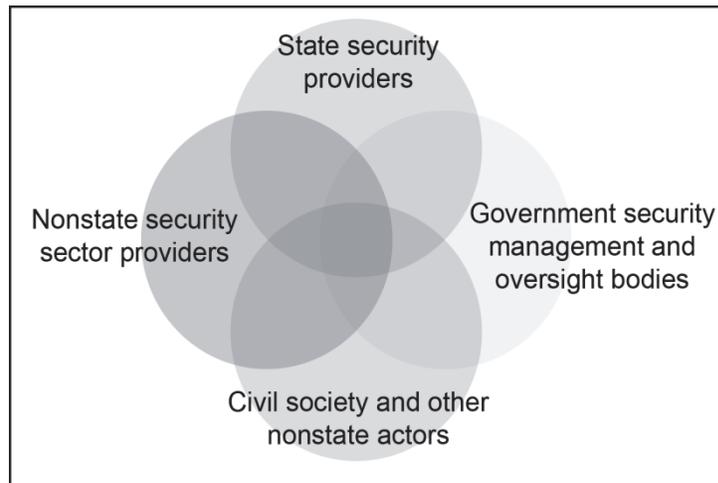


Figure 3-2. Elements of the security sector

3-42. State security providers consist of those bodies authorized by the state to use or support the use of force. They include the active armed forces, civilian agencies, executive protection services, formed police units, military and civilian intelligence services, coast guards, border guards, customs services, reserves or local security units (civil defense units), national guards, government militias, and other paramilitary organizations.

3-43. Government security management and oversight bodies begin with the institutions of government responsible for the management and oversight of the country's security forces. SSR programs improve efficiency and transparency to focus on the relevant parts of executive, defense, and interior ministries responsible for managing the military and police forces. This effort aims to ensure that these entities exercise appropriate governance over the nation's security forces and provides the necessary policy guidance, supervision, funding, management, and logistics support. This strategy advocates a top-down approach that emphasizes the need to strengthen the administrative and oversight capacity of security sector institutions. Beginning with the ministries and working down provides a greater chance for success.

3-44. The third core element of the security sector consists of the civil society and other nonstate actors. The society consists of professional organizations, policy analysis organizations (think tanks and universities), advocacy organizations, human rights commissions and ombudsmen, informal and traditional justice systems, nongovernmental organizations, media, and other nonstate actors. In addition to monitoring security actor performance, civil society articulates the public demand for safety and security.

3-45. Nonstate security sector providers are nonstate providers of justice and security. These providers encompass a broad range of actors with widely varying degrees of legal status and legitimacy. Sometimes, they facilitate inappropriate links between the private and public security sector. Conversely, local actors, such as informal or traditional justice systems, may provide a stabilizing influence during and after conflict.

Types of Security Forces

3-46. The initial SSR assessment identifies the nature and type of forces needed and their respective capabilities. While these capabilities reflect host-nation aspirations, they also represent a detailed capability requirements analysis. This assessment ensures a qualitative, as well as quantitative, foundation for the

development program that accounts for future contributions by the host nation. All efforts to build capable forces are balanced with support to the institutional systems, processes, and managers who support them.

Military Forces

3-47. The initial SSR assessment develops military forces primarily to counter external threats. The assessment guides the choice of forces to defeat and the specific capabilities required to counter the threats. Other key military missions include providing humanitarian assistance, and in special cases, countering certain types of internal military threats. External organizations executing SSR and the individuals assigned to them are selected for their specific abilities to train and advise the developing force. For example, military police should help develop military police forces. This provides for appropriate development of expertise while facilitating the advising process.

Justice and Law Enforcement Forces

3-48. An effective and accountable justice system and supporting law enforcement (especially police) forces are central to a legitimate security framework. Although military forces initially get involved in developing the justice and law enforcement forces, other agencies assume this task as soon as possible. Qualified, professional justice sector and police trainers support an improved advising process and ensure sustainable development with appropriate civilian oversight. Their expertise ensures an appropriate delineation of roles and responsibilities between military forces and law enforcement sectors. In policing, development of organizational substructure—supervision, process, policy, internal governance, planning, and budgeting—are vital to the long-term sustainability of reform efforts.

Other Security Forces

3-49. Requirements sometimes arise for developing other forces within the security sector. These requirements include specialized security forces; presidential guards; a coast guard, border control, and customs services; or intelligence services. The host nation provides the specific requirements on which to develop these forces. Until the host nation develops and trains such forces, other security forces assume responsibilities outside their intended domains. In such cases, due caution ensures forces conduct operations in compliance with relevant host-nation constitutional and statutory provisions and consistent with international law and humanitarian guidelines. Such caution extends to the perceptions civilians have about operations and the legitimacy of the forces supporting the operation. Continuous assessment ensures commanders consider the impacts of operations on the local populace and the broader SSR program.

Development of Security Forces

3-50. Security force assistance is integral to successful operations characterized by stability tasks and extends to all security forces: military, police, and border forces, and other paramilitary organizations. This applies to all levels of government within the host nation as well as other local and regional forces. Forces operate across the range of military of operations—combating internal threats such as insurgency, subversion, and lawlessness; defending against external threats; or serving as coalition partners in other areas. Security force assistance involves developing, organizing, training, equipping, and advising new host-nation forces.

3-51. Sustainable gains in security force assistance require developed institutional infrastructure. Host-nation security forces need the capability to perform required functions across the stability sectors. They must exist in sufficient numbers to have the capacity to perform these functions wherever and whenever required. Finally, they must have the sustainability to perform functions well into the future, long after external forces are no longer engaged. Successful security force assistance involves thorough and continuous assessment.

3-52. Some security force assistance operations require organizing new institutions and units from the ministerial level to the smallest maneuver unit. Building infrastructure-related capability and capacity—such as personnel, logistics, and intelligence—is necessary for sustaining the new host-nation capacity. Developing host-nation tactical capabilities without the sustainment structure is inadequate. Host-nation

organizations reflect their own unique requirements, interests, and capabilities; they should not simply mirror existing external institutions.

3-53. Some security force assistance includes training for institutions, units, and individuals. Institutional training occurs in training centers and academies. Training covers a broad range of subject matters including those issues that make security forces responsive to civilian oversight and control.

3-54. Security force assistance equips the host nation through several mechanisms including traditional security assistance, foreign military support, and donations. Effective security force assistance provides appropriate and sustainable equipment and property accountability procedures. Appropriate equipment is appropriate to the physical environment of the region and within reasonable appropriations for operations and maintenance. Equipping police forces can be a dangerous and complex process, occurring at numerous, geographically disparate locations across an operational area.

3-55. In many cases, particularly after major combat operations, infrastructure to support security forces needs to be built or rebuilt. This typically includes facilities and materiel but may also include physical plants, information systems, communications infrastructure, transportation, personnel management processes, and other necessary infrastructure. Rebuilding police facilities often differs from rebuilding military compounds. Police stations must be approachable and accessible to the community they support to be legitimate and effective.

The Military Role in Security Sector Reform

3-56. SSR can occur at any point across the range of military of operations, in conditions ranging from general peace to the aftermath of major combat operations. No matter the conditions, SSR activities focus on the stability of the host nation to ensure conditions do not provoke crisis and conflict. Within operations, SSR is an aspect of the stability component. SSR includes tasks, functions, and activities from each of the primary task areas. It concentrates on generating the necessary capacity of the state and societal institutions to support responsible governance and the rule of law.

3-57. In general, military forces play a primary role in SSR activities affecting host-nation defense institutions and armed forces. Within the other elements of the security sector, military forces are typically limited to a role supporting the efforts of other SSR actors. However, military forces often assume a more active role in SSR activities affecting the nonmilitary elements of the security sector. Ultimately, conditions of an operational environment determine the role of military forces.

3-58. When an operational environment is characterized as nonpermissive, military forces expect to lead reform efforts. When conditions permit, other SSR actors assume primary responsibility for their roles, allowing military forces to relinquish the lead. Initially, the presence of nonmilitary SSR partners may be limited, requiring military forces to undertake tasks normally performed by other interagency and civilian partners. Even when nonmilitary SSR actors are present, the nature of the environment may require military forces to support those actors extensively as they undertake their respective aspects of SSR. Many civilian agencies and law enforcement forces require a permissive or semipermissive environment before assuming responsibility for their respective elements. Sometimes, the military establishes security and control over an area so other elements of the security sector can become active. In these situations, the military role is essential to establishing conditions that enable subsequent SSR efforts by civilian partners.

3-59. When an operational environment is more permissive and suitable to introduce nonmilitary SSR partners, reform efforts can focus on all SSR activities. These activities include the transition from external to host-nation responsibility for security and public safety. Under these conditions, SSR activities may also transition to new host-nation institutions, groups, and governance frameworks as part of the peace process. As the transition proceeds, military primacy recedes. Other civilian agencies and organizations come to the forefront. They apply their expertise to their respective areas of the security sector and leave the military to focus on the host-nation defense sector and forces. Often the situation requires disarming, demobilizing, and reintegrating personnel associated with armed forces or belligerent groups before and as part of SSR. Military forces can expect to assume a primary role in disarmament. As the situation and conditions of an operational environment allow, military forces begin establishing and training host-nation forces within a comprehensive reform program. As the host-nation forces train and validate their capabilities, they begin to conduct operations and to assume responsibility for security. Finally, the supporting, external military

forces reduce their level of operations and supervision, and civil authorities assume full responsibility for security sector functions.

3-60. During military engagement in peacetime, military forces may conduct SSR activities as part of the theater security cooperation plan. The military element of SSR during military engagement helps reform established host-nation defense institutions and processes as well as security force assistance activities aimed at promoting SSR objectives in host-nation forces. During military engagement, the chief of mission carries out SSR. Normally in SSR, the military just facilitates helping reform host-nation defense activities and security force assistance to the host-nation armed forces. These efforts may impact other, nonmilitary aspects of SSR. The military element of the security sector closely coordinates with the other elements, consistent with a collaborative, comprehensive approach.

Principles of Security Sector Reform

3-61. Effective SSR requires unity of effort and a shared vision among the partners contributing to the reform process—a comprehensive approach. SSR is a cooperative activity, conducted with the other agencies of the USG, intergovernmental organizations, nongovernmental organizations, multinational partners, and the host nation. Integrated programs that consider relationships among organizations, sectors, and actors increase the likelihood of success, minimize unforeseen developments, and ensure the most effective use of resources. Six principles guide SSR:

- Support host-nation ownership.
- Incorporate principles of good governance and respect for human rights.
- Balance operational support with institutional reform.
- Link security and justice.
- Foster transparency.
- Do no harm.

Support Host-Nation Ownership

3-62. The policies, laws, and structures that form an SSR program stem from the host nation's history, culture, legal framework, and institutions. Notably, the needs, priorities, and circumstances driving SSR differ substantially from one country to another. SSR supports host-nation ownership by providing assistance that supports local civil authorities, processes, and priorities. By supporting local authorities, SSR ensures it is sustainable. SSR programs generally should be conceived as lengthy in nature.

3-63. Ultimate responsibility for SSR rests with the host nation. Commanders clearly must respect the views and interpretations of the host nation regarding what it perceives the security architecture should look like. The host nation bases its perception on threats and its broader security needs. SSR programs nest within existing host-nation social, political, and economic institutions and structures. Commitment and constructive engagement by the host nation's leaders ensures that institutions, capabilities, and forces developed under SSR will be enduring, appropriate to the needs of the host nation, and trusted by the host-nation government and its population.

Incorporate Principles of Good Governance and Respect for Human Rights

3-64. SSR incorporates principles of good governance and respect for human rights by integrating accountability, transparency, public participation, and legitimacy into security force development. Technical assistance not only aims to build operational capability but also to strengthen adherence to democratic principles and build respect for human rights. Security forces—whether military, police, or intelligence services—carry out their core functions in accordance with these principles. This is especially important in rebuilding countries where the legacy of abuse by the military may have eroded public confidence.

Balance Operational Support with Institutional Reform

3-65. SSR balances operational support with institutional reform. Forces place incentives, processes, resources, and structures so that the host nation can sustain externally supported reforms, resources, and

capacities after the assistance effort ends. Forces build training platforms and provide material assistance with parallel efforts. These efforts help develop the infrastructure, personnel, and administrative support systems without undermining the ability of host-nation forces to perform their security functions. SSR emphasizes equally how it manages, monitors, deploys, sustains, and supports recipients of security force assistance efforts. Success and sustainability depend on developing the institutions and governance processes that support SSR as well as the human capacity to lead and manage the elements of that sector.

Link Security and Justice

3-66. Host-nation security policies and practices nest in the rule of law. Rule of law cannot flourish in crime-ridden environments or where public order breaks down and citizens fear for their safety. Assistance efforts consider the diverse array of actors and institutions that compose the justice system. Police assistance undertaken without accompanying efforts to reform other parts of the justice system might result in increased arrests without the means to adjudicate individual cases, support the incarceration, or rehabilitate convicted offenders. Similarly, assistance consists of more than reforming and rebuilding. This assistance may also include police services and justice system institutions. Improperly linking security with justice can lead to the militarization of civil security. It also might encourage using military forces in roles inconsistent with existing frameworks for host-nation justice and rule of law.

Foster Transparency

3-67. Effective SSR programs are conducted as transparent and open as possible. Program design includes robust communications to foster awareness of reform efforts among host-nation officials and the population, neighboring countries, the donor community, and other actors.

Do No Harm

3-68. In complex environments, donor assistance can become a part of the conflict dynamic serving to either increase or reduce tension. As with any policy or program activity that involves changes to the status quo, actors ensure their efforts do no harm. Actors avoid adversely affecting the security sector or the wider political climate in unanticipated or unaddressed ways. Developing a thorough understanding of the system for which they seek change is a prerequisite for the success of any SSR-related activity. Actors complete a risk assessment prior to implementation and make adjustments as required during the conduct of SSR.

FOUNDATIONS OF SECURITY SECTOR REFORM

3-69. During SSR, participating military forces understand that the ultimate responsibility for reform rests with the host nation. SSR planning is based on the recognition that successful efforts require an extended commitment of time and resources. The military judiciously selects and uses forces to create a secure environment for an SSR program to progress unimpeded. The military provides a temporary capability and expertise, but long-term success in reform depends on how quickly and effectively it transitions to appropriate civilian agencies and the host nation.

3-70. The foundations of SSR are—

- A concept of security.
- An encompassing framework.
- Cooperation with and among civil authorities.
- Human rights.
- Clear policies, accountability, and professionalism.

3-71. The host nation develops a concept of security and ingrains the concept in its culture. The core values of a SSR program reflect the needs of the people and inculcate the principle of ownership.

3-72. The host nation uses a framework that encompasses all security sector participants and challenges. A SSR program provides a framework to structure thinking concerning the diverse security challenges facing the host nation and its population. This inclusive framework facilitates better integrating SSR policies and greater civilian involvement and oversight. The framework is founded on understanding the security sector from the host nation's perspective.

3-73. Successful host nations cooperate with and among civil authorities. Host nations develop SSR approaches in cooperation with civil authorities. SSR approaches have many sectors. Each sector evolves from a broad assessment of the security and justice needs of the people and the state. Strategies reflect a comprehensive plan that encompasses all participants in the security sector.

3-74. The host nation embraces human rights. A successful SSR program uses democratic norms underpinned by international human rights principles. SSR measurably reduces armed violence and crime creating an environment free from fear. A SSR program enhances the institutional and human capacity for security policy to function effectively and for justice to be delivered equitably.

3-75. SSR programs follow clear policies, accountability, and professionalism. SSR programs include well-defined policies that strengthen the governance of security institutions. Programs build professional host-nation security forces accountable to civil authorities and capable of executing their responsibilities. The security sector and supporting SSR activities adhere to basic principles of governance and broader public sector reform programs, including transparency and accountability.

TRANSITION OF AUTHORITY DURING SECURITY SECTOR REFORM

3-76. As host-nation security forces gradually progress toward the transition of authority, close relationships forged between host-nation forces and their partners prove essential to sustainable development and successful transition. Genuine relationships engender trust and confidence, enabling increased responsibility and a well-executed transition. These relationships also foster a clear understanding of command responsibilities and authorities. Such an understanding ensures host-nation forces approach transition prepared to assume the full weight of their future role in the security sector. Success in developing host-nation forces often depends more on relationships and personalities at the unit level than any other factor. (FM 3-24 includes additional detail on developing host-nation security forces.)

3-77. Trainers and advisors play a significant role in transition. They offer a guiding influence for host-nation security forces before, during, and after the transition of authority. Practical experience with development activities in SSR indicate that—

- Trainers and advisors provide a crucial link between host-nation forces and the forces, agencies, organizations, and institutions supporting the broader stability effort.
- Trainers and advisors competently address challenges inherent in working with poorly trained and equipped forces. Trainers focus predeployment training on the stresses and ambiguity associated with developing host-nation security forces.
- Continuity of personnel maintains relationships on which the success of force development depends. Advisors remain long enough to develop these relationships. Military forces stagger advisors' tours to maintain continuity and expertise with the developing host-nation force. Continuity fosters understanding, which is essential to development.
- Trainers and advisors address the nuances of language and dialect through formal training or dedicated interpreters. If using interpreters, they have the ability to perform all the activities conducted by embedded trainers and advisors.
- Military forces tailor the organization, training, and equipping of trainers and advisors to support the planned role for the host-nation force under development.
- Trainers and advisors at all levels link with a collaborative network that facilitates information sharing across the security sector. This link enables them to monitor the actions, challenges, and decisions among the host-nation forces under development while providing a means to alert one another should issues arise.

3-78. Transferring security responsibility from intervening to host-nation forces is done according to the tactical, operational, and strategic conditions identified during SSR planning. As forces establish suitable conditions, responsibility for security gradually transitions to the local, provincial, and national governments. During transition, the presence of advisors is reduced, although some advisors may be retained to ensure the long-term sustainability of SSR. Effective transition planning begins early and focuses on timeline adherence.

Risks During Transitions

3-79. Any transition involves risks. Often, security gains must be risked for political objectives with a transition of authority. During the transition of authority, a formal network of committees or consulting agencies validates the readiness and accountability of host-nation security forces. The military gauges progress toward transition through a process that confirms the performance and capabilities of host-nation security forces. Typically, forces gauge capabilities through test exercises similar to those used to validate the readiness of forces for contingency operations. These exercises prevent a premature transition of authority, which can cause the populace to lose confidence and seek alternative means of security.

3-80. When the host nation emerges from an extended period of violent conflict characterized by widespread human rights violations, risks emerge with building legitimacy. A rigorous vetting process can reestablish the legitimacy of reconstituted or rebuilt security forces. Such a process must demonstrate neutrality and freedom from political manipulation and may require external control or administration. When public records have been destroyed or lost, effective vetting may require trained interviewers completing detailed background investigations. Such investigations identify past human rights violators and screen out unsuitable recruits from reconstituting security forces.

The Role of Intergovernmental Organizations in Security Sector Reform

3-81. Since the end of the Cold War, intergovernmental organizations have emerged as prominent actors in SSR efforts worldwide. The most prominently recognized among these is the United Nations. Its broad membership, international reach, and inherent legitimacy ensure generally unfettered access to any corner of the world. However, intergovernmental organizations often focus on regional or other specific interests. These organizations can include the North Atlantic Treaty Organization (known as NATO), the African Union, and subregional organizations such as the Economic Community of West African States. Intergovernmental organizations exhibit significant qualitative differences; however, their ability to engage meaningfully in operations must be weighed against their expertise, personnel, and equipment. Intergovernmental organizations take active roles in SSR and represent partners that can provide legitimacy to the SSR effort while helping to marshal support for that effort from key subregional, regional, and international states. Regional and subregional intergovernmental organizations have emerged as important players in SSR efforts in recent years, providing vital support worldwide. Such organizations effectively mobilize multinational partners to support SSR and may provide an important source of legitimacy for the SSR effort.

DISARMAMENT, DEMOBILIZATION, AND REINTEGRATION

3-82. DDR efforts aim to increase the stability of the security environment by disarming and demobilizing armed forces and by helping return former combatants to civilian life. The complex DDR process has dimensions that include culture, politics, security, humanity, and socioeconomics. DDR potentially provides incentives for commanders and combatants to enter negotiations, facilitate political reconciliation, dissolve belligerent force structures, and present opportunities for former combatants and other DDR beneficiaries to return to their communities. A successful DDR program helps establish sustainable peace. A failed DDR effort can stall SSR, disrupt peace processes, and destabilize communities socially and economically. Such failure potentially leads to a renewal of conflict.

3-83. DDR aims to dismantle opposing armed groups appropriately and begin the process to shape the host nation's future security force. Typically, a DDR program transitions from disarmament and demobilization to reintegration, and as a result should be looked upon as a system. Disarmament and demobilization refers to releasing or disbanding an armed unit as well as collecting and controlling weapons and weapons systems. Reintegration refers to helping former combatants return to civilian life through benefit packages and strategies that help them socially and economically rejoin their communities. As such, both disarmament and demobilization are supporting activities to the reintegration. Effective commanders recognize that the ultimate success of DDR activities relies up successful reintegration.

DISARMAMENT

3-84. In the context of DDR, disarmament is the collection, documentation, control, and disposal of small arms, ammunition, explosives, and light and heavy weapons of former combatants, belligerents, and the local populace. Disarmament includes developing responsible arms management programs. Ideally, disarmament is a voluntary process carried out as part of a broader peace process to which all parties accede. Disarmament functions best with high levels of trust between those being disarmed and the forces overseeing disarmament. Some groups may hesitate to offer trust and cooperation or even refuse to participate in disarmament efforts. In such cases, disarmament may occur in two stages: a voluntary disarmament process followed by measures that are more coercive. The latter addresses individuals or small groups refusing to participate voluntarily. In this second stage, disarmament of combatant factions can become a contentious and potentially destabilizing step of DDR. Military forces manage DDR carefully to avoid disarmament stimulating renewed violence.

DEMOBILIZATION

3-85. *Demobilization* is the process of transitioning a conflict or wartime military establishment and defense-based civilian economy to a peacetime configuration while maintaining national security and economic vitality (JP 4-05). Within the context of DDR, demobilization involves the formal and controlled discharge of active combatants from armed forces or other armed groups. As the second stage of DDR, demobilization includes identifying and gathering former combatants for processing and pre-discharge orientation. This orientation extends from the processing of individual combatants in temporary centers to the massing of troops in camps designated for this purpose (cantonment sites, encampments, assembly areas, or barracks). In many societies, women and children actively participate in violent conflict. During demobilization, adults and children require separate facilities. Additionally, child soldiers require specific services including health, education, food, assistance with livelihood development, and reintegration.

3-86. Effective SSR programs adequately address demobilization to avoid reemerging violence from combatant groups or organized criminals. Demobilization involves deliberately dismantling combatant chains of command and belligerent group loyalties, replacing those with more appropriate group affiliations, and restoring their identity as part of the national population. Demilitarizing combatant groups and individuals enables the eventual development of value systems, attitudes, and social practices that help them reintegrate into civil society. Often former combatants and belligerents traumatized by violent conflict require extended counseling prior to reintegrating into the local populace. This is especially important when dealing with child soldiers.

REINTEGRATION

3-87. **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 populace.** It encompasses the reinsertion of individual former fighters and displaced civilians 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 job training, employment services, and economic recovery. It includes programs to impart marketable skills to demobilized armed forces and groups, belligerents, and displaced civilians; relocation assistance to support their resettlement in civilian communities; basic and vocational education; and assistance in finding employment in local economies. It accounts for specific needs of women and children associated with armed forces and groups, as well as those of civilians forced to flee their homes after violent conflict or disaster. Reintegration also addresses the willingness of civilian communities to accept former fighters into their midst; amnesty and reconciliation are key components to successful reintegration. In this context, reintegration cannot be divorced from justice and reconciliation programs that are part of the broader transition process. Successful reintegration programs tend to be lengthy and costly, requiring the participation of multiple external and host-nation SSR actors.

3-88. Reintegration is part of the general development of a country. It leads to restoration of a national identity and a sense of citizenship and civil responsibility. Programs that genuinely reintegrate former combatants and belligerents make significant contributions economically, socially, and politically to the

reconstruction of fragile states. Only through successful reintegration can a nation avoid renewed violence and instability. Reintegration inherently includes reinsertion.

3-89. The repatriation and resettlement of personnel associated with armed forces and belligerent groups involve broader political and diplomatic issues. These issues extend beyond the role of military forces but may also be integral to the reintegration process. First, reinsertion includes assistance offered to former combatants, belligerents, and displaced civilians before reintegrating. As transitional assistance, it provides basic needs of reintegrating individuals and their families. This assistance includes transitional safety allowances, food, clothes, shelter, medical services, short-term education, training, employment, and tools. While reintegration represents enduring social and economic development, reinsertion comprises short-term material and financial assistance programs intended to meet immediate needs. Second, repatriation is the return of individuals to their country of citizenship. The last issue is that resettlement relocates dislocated civilians to a third country—neither the country of citizenship nor the country into which the refugee has fled. Resettlement to a third country is granted by accord of the country of resettlement and based on a number of criteria, including legal and physical protection needs, lack of local integration opportunities, medical needs, family reunification needs, and threat of violence and torture.

Note: The word “resettlement” is used in a context different from that defined in FM 3-39.40.

3-90. Military forces may establish and operate internment facilities or reintegration centers to ensure the continuity of detainee programs. Such centers established in detention centers and reintegration efforts conclude at the points of release back into society. The local populace must widely recognize, understand, and accept these and other programs that facilitate reintegration. Military forces achieve acceptance through effective inform and influence activities, utilizing Soldier and leader engagement to leverage the interaction between military forces and the local populace. Former combatants often participate in reintegration when their behavior shows some level of due process involvement links to their corrective behavior modification.

IMPORTANCE TO STABILITY

3-91. The DDR program is a critical component of peace and restoration processes and is accounted for in initial planning. Often, military forces negotiate the terms of this program in a cease fire or peace accords. DDR focus on the immediate management of people previously associated with armed forces and belligerent groups. DDR set the foundation for safeguarding and sustaining the communities in which these individuals live as contributing, law-abiding citizens. The DDR program is a central contributor to long-term peace, security, and development.

3-92. DDR dictate, and are dictated by, a variety of priority areas in planning for unified land operations and SSR. The promise of DDR to formerly competing fighting forces often enables achieving a peace agreement. DDR planning directly ties to SSR, determining the potential size and scope of military, police, and other security structures. In addition, reintegration of former combatants into their communities sets the foundation for—and determines the success of—long-term peace building and development programs.

3-93. The success of DDR depends on integrating strategies and planning across all the sectors. For example, the employment opportunities extended to disarm and demobilize former combatants result from an effectively governed, viable economy with an active market sector. If the DDR program expires without providing alternative economic opportunities to the former combatants, the likelihood of a return to violence substantially increases. DDR closely coordinate with reform efforts in all sectors to ensure an integrated approach that synchronizes activities toward a common end state. (For more information on DDR go to the United Nations Disarmament, Demobilization, and Reintegration Resource Centre Web site that discusses DDR in detail.)

3-94. DDR, encompassing the processes that safely transition combatants back to civilian life, and SSR, involving the reconstitution and professionalization of security institutions and actors, are interdependent and mutually reinforcing. Working in tandem, they can enable countries emerging from conflict to provide for their own security and uphold the rule of law, an essential precondition of sustainable development and part of the exit strategy for costly peacekeeping missions. As such, politically, they rise or fall together.

3-95. Without a monopoly on the use of force, a state has few ways to uphold the rule of law and protect citizens from threats. By definition, conflict-affected states have lost this monopoly, and the joint purpose of DDR and SSR programs is to restore or establish it by disbanding nonstate, armed actors and reconstituting statutory forces.

3-96. Beyond their shared political objectives, DDR and SSR are linked, as failure of one risks failure of the other. Ex-combatants not properly reintegrated into civil society through DDR often complicate and potentially compromise SSR. Ex-combatants who do not successfully transition to civilian life may take up arms again or form criminal gangs, challenging newly created security institutions and forces that may lack sufficient capacity to control such threats. As the population thus becomes vulnerable to violence, the state's inability to protect its citizens undermines its legitimacy.

FOREIGN HUMANITARIAN ASSISTANCE

3-97. Instability may result from man-made or natural disasters. Such disasters often quickly overwhelm a host-nation's and other organizations' abilities to provide essential services and security to its citizens. This instability may bring the legitimacy of the host-nation government into question and potentially lead to larger issues, conflict, and regional instability. When such disasters threaten to be of sufficient severity and magnitude, United States foreign disaster relief to a foreign country, foreign persons, or intergovernmental organizations may be required.

3-98. Foreign humanitarian assistance is the DOD's contribution to USG efforts to relieve or reduce human suffering, disease, hunger, or privation. This military contribution normally supports the United States Agency for International Development or DOS. Foreign humanitarian assistance provided by Army forces is limited in scope and duration. It supplements or complements the efforts of the host-nation civil authorities or agencies that may have the primary responsibility for providing such assistance. This short-term aid assists the host nation or other agencies and organizations to provide a more stable environment and may transition to longer-term stability activities, when directed. (See JP 3-29 for more detail.)

FOREIGN INTERNAL DEFENSE

3-99. *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). Foreign internal defense involves all instruments of national power. Primarily a series of programs, it supports friendly nations operating against or threatened by hostile elements. Foreign internal defense promotes regional stability by helping a host nation respond to its population's needs while maintaining security. Participating Army forces normally advise and assist host-nation forces while refraining from combat operations.

3-100. Foreign internal defense requires an evolving combination of offensive, defensive, and stability tasks. The military role in foreign internal defense often includes indirect support, direct support (not involving U.S. combat operations), and combat operations. Foreign internal defense is often a part of irregular warfare or military engagement in peacetime. Security force assistance can support the special operations forces mission of foreign internal defense. Security force assistance activities support foreign internal defense activities where DOD organizes, trains, equips, rebuilds, builds, and advises a partner nation's security forces. (JP 3-22 discusses foreign internal defense in detail.)

COUNTERINSURGENCY

3-101. *Counterinsurgency* consists of comprehensive civilian and military efforts taken to defeat an insurgency and to address any core grievances (JP 3-24). In counterinsurgency, host-nation forces and their partners operate to defeat armed resistance, reduce passive opposition, and establish or reestablish the host-nation government's legitimacy. Counterinsurgency was the dominant joint operation in Operations Iraqi Freedom and Enduring Freedom. (FM 3-24 discusses counterinsurgency.)

3-102. Insurgents try to persuade the populace to accept the insurgents' goals or force political change. When persuasion does not work, insurgents use other methods to achieve their goals. These methods may

include intimidation, sabotage and subversion, propaganda, terror, and military pressure. Sometimes insurgents attempt to organize the populace into a mass movement. At a minimum, they aim to make effective host-nation governance impossible. Some insurgencies are transnational. Other situations involve multiple insurgencies in one area at the same time. Counterinsurgency becomes more complex in these situations. Paramount to successful counterinsurgency operations are stability activities aimed at increasing host-nation government legitimacy by providing services and security to the local populace. Counterinsurgency operations use whole-of-government and comprehensive approaches to ensure civil and military efforts synchronize with one another to provide unity of effort and purpose where appropriate.

3-103. While each insurgency is distinct, similarities among them exist. Insurgencies occur more often in states with a lack of national cohesion or with weak, inefficient, unstable, or unpopular governments. Internal conflicts may be racial, cultural, religious, or ideological. Additional factors, such as corruption and external agitation, may also fuel an insurgency. Successful insurgencies develop a unifying leadership and organization and an attractive vision of the future. Usually only insurgencies able to attract widespread, popular support pose a real threat to state authority.

3-104. Most operations in counterinsurgencies are conducted at the small-unit level—squad, platoon, or company. However, larger operations also occur. Commanders prepare with a consistent, long-range plan to defeat an insurgency. They carefully assess the negative effects of violence on the populace and strictly adhere to the rules of engagement. Operations reflect and promote the host-nation government's authority and legitimacy, thus undermining insurgent attempts to establish an alternative authority. Larger units, such as brigades and divisions, provide direction and consistency to operations and mass resources and forces to make operations more effective. They also respond to any threat large enough to imperil the smaller units distributed throughout the areas of operations.

INFORM AND INFLUENCE ACTIVITIES IN STABILITY

3-105. Successfully executing essential stability tasks depends on informing the local populace and influencing attitudes. Although more tangible objectives mark the success of a stability operation, the final measure of success or failure often rests with the perceptions of the people. Military forces must go beyond defeating the enemy. They must secure the trust and confidence of the population. This requires a mastery of *inform and influence activities*—the integration of designated information-related capabilities in order to synchronize themes, messages, and actions with operations to inform United States and global audiences, influence foreign audiences, and affect adversary and enemy decisionmaking (ADRP 3-0). Since forces conduct operations within a broader global and regional context, success often depends on the integration of inform and influence activities efforts among military forces and the various agencies and organizations participating in the operation. Inform and influence activities efforts must support and complement those of higher headquarters, national interests, and broader USG policy. (See FM 3-13 for details.)

3-106. In operations stressing stability tasks, Soldier and leader engagement often proves the most critical component of inform and influence activities. This sustained engagement of the host-nation population most directly influences the attitudes and shapes the perceptions of the people. Soldier and leader engagement amplifies positive actions, counters enemy propaganda, and increases support among the host-nation population. It begins with the direct interaction between Soldiers and the local populace, where the consistency between words and deeds is most important. It includes meetings conducted with key communicators, civilian leaders, or others whose perceptions, decisions, and actions affect mission accomplishment. Conducted with detailed preparation and planning, both activities often prove crucial in building local support for military operations, providing an opportunity for persuasion, and reducing friction and mistrust. Such actions are essential to gaining the trust and confidence of the local populace.

3-107. Military information support operations exert significant influence on foreign target audiences and are often the primary capability for affecting behaviors among these audiences. During operations characterized by stability tasks, military information support forces advise the commander and staff on the psychological effects of their operations, provide public information to the target audience to support humanitarian assistance, and assess adversary propaganda. Effective military information support operations support communications with the local populace, reduce civil interference with military operations, support efforts to establish and maintain rule of law, and influence the host-nation attitude toward external actors. The approved objectives and themes of military information support operations are

integrated through the operations process to ensure forces effectively and efficiently apply limited resources.

3-108. Military forces conduct operations among the people, in the spotlight of international news media, and under the umbrella of international law. The actions of Soldiers communicate American values and beliefs more effectively than words alone. Therefore, military forces ensure consistency in their actions and messages. They provide the media with prompt, factual information to quell rumors and misinformation. They grant media representatives access to information within the limits of operations security. Finally, they understand the culture of each audience and tailor the message appropriately.

3-109. No other military activity has as significant a human component as operations that occur among the people. With urbanization, forces increasingly conduct these operations among concentrations of people and thus significantly affect their psyche. Human beings capture information and form perceptions based on inputs received through all the senses. They see actions and hear words. They compare gestures and expressions with the spoken word. They weigh the messages presented to them with the conditions that surround them. When the local and national news media are unavailable or unreliable, people often rely on other sources. They use “word of mouth” to gain information or turn to the Internet, where unverified information flows freely at unimaginable speeds. To the people, perception equals reality. To create favorable perceptions, commanders understand the psychological motivations of the populace and shape messages according to how people absorb and interpret information to ensure broad appeal and acceptance.

3-110. Although not considered stability tasks, inform and influence activities are fundamental to each stability sector. Inform and influence activities are deliberately integrated with tasks in each stability sector and primary stability task to complement and reinforce the success of operations. This integration enables success; forces carefully sequence inform and influence activities with other tasks and support them with thorough risk assessments. Commanders exploit or cede the initiative within the information domain with precise timing and coordination. Combined with broad efforts to reduce the drivers of conflict and build host-nation capacity, inform and influence activities facilitate achieving decisive results: the recovery of the host-nation government and the attainment of a lasting, stable peace.

3-111. In executing stability tasks, military forces focus on people. They aim to gain the cooperation and support of the populace. Stability tasks that improve their safety, security, and livelihood help to shape perceptions that supporting the objectives of the operation are in the people’s best interest. Shaping perceptions that the operation is legitimate using inform and influence activities increases support for the operation. Executing the following tasks can further the populace’s and the international community’s understanding of the commander’s objectives:

- Identify or establish outlets for international, national, and local news media.
- Provide factual, accurate information to the media to control rumors and misinformation.
- Issue effective press releases and prompt information in local languages.
- Assist transitional civil or military authorities with public information programs.
- Synchronize messages with operations; ensure messages are consistent with actions.
- Assess media capability and capacity of the host nation; tailor the strategy of inform and influence activities to its ability to receive messages.
- Integrate cultural understanding with the strategy of inform and influence activities.
- Create and ready for execution a civilian casualty mitigation plan (including tracking, investigating, and responding mechanisms). Ensure that forces promptly and appropriately address any allegations or actual civilian casualties and that civilians harmed receive the help they need to get back on their feet.

PROTECTION OF CIVILIANS

3-112. Protection of civilians has become an important military consideration in land operations that commanders must account for in planning and execution. Conflicts often take a far greater toll on civilians than they do on combatants. Whether they become casualties through incidental harm from military operations, are directly targeted by combatants, or suffer from deprivations resulting from conflict, civilians comprise the vast majority of casualties from recent wars. Civilians are also at risk in unstable

environments that exist when forces conduct other military operations, even if these operations do not primarily involve combat. Examples include peace operations, humanitarian assistance and disaster relief, and post-conflict operations characterized by stability tasks. The primary stability tasks of establish civil security and establish civil control directly relate to the protection of civilians, whether conducted during conflict or in a post-conflict situation.

3-113. During operations with a large stability component, military forces are to varying degrees involved in the primary tasks of establishing civil security, establishing civil control, restoring essential services, supporting governance, and supporting economic and infrastructure development. An underlying objective for many of the supporting tasks is to protect civilians from threats not necessarily related to conflict. Sometimes other human security threats may be paramount. The population is often the center of gravity in unified land operations dominated by stability activities, and the population's support in part relates to the host nation's or multinational forces' abilities to provide protection from adversaries. Civilian casualties can undermine military efforts and divide multinational partners. Even if a military stability or peacekeeping force is itself not directly responsible for civilian casualties that occur, expectations likely exist that the force should prevent widespread civilian harm, regardless of the cause.

3-114. The international community interprets "protection of civilians" in the operational context differently. They also disagree on the circumstances under which it is appropriate to intervene with military force or threat of force (for example, during armed conflict, in the context of peace operations, or in response to security threats in times of relative peace). This difficulty arises when the host nation in question perpetrates the violence and partners consider intervention without the consent of the host nation. Relevant protection threats encompass—

- Genocides and mass atrocities.
- War crimes and crimes against humanity.
- Deliberately being targeted during conflict.
- Civilian casualty incidents caused by accident, negligence, or disproportionate means.
- Terrorism.

3-115. Additionally, protection of civilians often addresses other threats and situations that threaten life, well-being, human rights, or property. These situations involve looking from viewpoints considering the effects on both adults and children. Some potential circumstances could include—

- Effects of natural and man-made disasters.
- Civil disorder.
- Health threats.
- Poverty and starvation.
- Sexual and gender-based violence.
- Human rights violations.
- Crime and human trafficking.
- Environmental threats.

3-116. Protection of civilians has three related but distinct conceptual lines. The first is the United Nations' (UN's) thematic agenda of Protection of Civilians in Armed Conflict that United Nations security council resolutions (UNSCRs) 1674 and 1894 address, among other documents. This concept consists of a framework directed at the protection of populations during armed conflict. It especially focuses on the duties of states and the role of the Security Council in addressing the needs of vulnerable populations including refugees, internally displaced persons, women, and children. The second protection of conceptual line relates to the Protection of Civilians in the Context of UN Peacekeeping Operations. Beginning in 1999 with UNSCR 1270 regarding the peacekeeping mission in Sierra Leone, protection of civilians mandates have routinely been included in UN resolutions. These mandates typically authorize peacekeeping forces to protect civilians from imminent violence within the force's area and capabilities and "without prejudice to the responsibilities" of the host-nation government. However, the UN has not clarified the expressions such as "imminent violence," "all necessary means," or "prejudice to the responsibilities." The third conceptual line, the Protection of Civilians from Human Security Threats, is less tied to UN origins and subsumes the expanded list issues identified above. Many of these matters related to protection of civilians are important

to various civilian organizations, but they can also be vital considerations in military operations beyond armed conflict and peacekeeping missions.

3-117. Army units may be required to participate in a mass atrocity response operation that includes military activities conducted to prevent or halt hostile activities, such as genocide, crimes against humanity, and war crimes. A mass atrocity response operation may be directed for the specific purpose of mitigating such activities, or it may occur within the context of other complex situations such as civil wars or insurgencies. Mass atrocity response operation efforts include offensive, defensive, and stability tasks to protect vulnerable populations or neutralize perpetrators. (See JP 3-07.3 for additional information on mass atrocity response operations.)

LETHAL AND NONLETHAL ACTIONS

3-118. An inherent, complementary relationship exists between using lethal force and applying military capabilities for nonlethal purposes. Though each situation requires a different mix of violence and constraint, lethal and nonlethal actions used together complement each other and create dilemmas for opponents. Lethal actions enable accomplishing offensive and defensive tasks. However, nonlethal actions also contribute to operations, regardless of which element dominates. Finding ways to accomplish the mission with an appropriate mix of lethal and nonlethal force remains an important consideration for every commander. Commanders analyze the situation carefully to balance lethal and nonlethal actions.

3-119. Often, the presence of military forces alone influences human behavior; demonstrating the potential for lethal action helps to maintain order. Maintaining order is vital to establishing a safe, secure environment. Even though operations characterized by stability tasks emphasize nonlethal actions, the ability to engage potential enemies with decisive lethal force remains a sound deterrent and a key to success. The successful application of lethal capabilities in operations characterized by stability tasks requires a thorough understanding of when the escalation of force is necessary and when it might be counterproductive. It requires sound judgment supported by a constant assessment of the security situation and an intuitive sense of timing with respect to the actions of enemies and adversaries. Adversaries may curtail their activities to avoid engaging military forces that they perceive as capable and willing to use lethal force. This allows military forces to extend the scope and tempo of nonlethal actions.

3-120. Perception is also a major factor for military forces. The actions of Soldiers, both positive and negative, influence how the local populace perceives the military and, by association, the host-nation government and governance institutions allied with U.S. forces. In this way, the actions of commanders can directly impact the legitimacy of the host-nation institutions. Determining a prudent balance between lethal and nonlethal actions ensures the local populace perceives the military as legitimate. An over-reliance on lethal actions often leads to an increase in civilian harm, leading the civilian populace to believe the military is not acting in the best interest of the host nation or host-nation stability.

LETHAL ACTIONS

3-121. Offensive and defensive tasks place a premium on employing the lethal effects of combat power against the enemy. In such a case, operations must quickly adapt to the changing situation. Commanders plan for anticipate transitions from decisive action dominated by offensive and defensive tasks to decisive action emphasizing more stability activities. Hence, commanders quickly replace dependence on lethal actions by activities requiring increased nonlethal actions for success.

NONLETHAL ACTIONS

3-122. Army forces employ a variety of nonlethal means in operations involving stability tasks. These operations often involve using military capabilities to perform stability tasks such as restoring essential services. Some tasks provide constructive support to host-nation civil authorities. However, demonstrating the potential for lethal action (by actions such as increased military presence in an area) often contributes to maintaining order. Other examples include pre-assault warnings and payments for collateral damage.

3-123. Operations characterized by stability tasks emphasize nonlethal, constructive actions by Soldiers working among noncombatants. Civil affairs personnel have a major role. In these operations, they work

with and through host-nation agencies and other civilian organizations to enhance the host-nation government's legitimacy. Commanders use inform and influence activities shaped by intelligence to inform, influence, and persuade the local populace within limits prescribed by U.S. law. Commanders also integrate inform and influence activities with stability tasks to counter false and distorted information and propaganda. Nonlethal, constructive actions can persuade the local populace to withhold support from the enemy and provide information to friendly forces. Loss of popular support presents the enemy with two bad choices: stay and risk capture or depart and risk exposure to lethal actions in less populated areas.

3-124. Commanders use nonlethal means to manage the local populace's expectations and counter rumors. However, they recognize that their Soldiers' actions, positive and negative, most strongly sway the populace's perception of Army forces. The moral advantage provided by the presence of well-trained, well-equipped, and well-led forces can be a potent nonlethal capability. It creates fear and doubt in the minds of the enemy and may deter adversaries. This effect is important in many stability-dominated operations. Even though stability tasks emphasize nonlethal actions, the ability to engage potential enemies with decisive lethal force remains a sound deterrent. Enemy commanders may curtail activities and avoid combat if they perceive Army forces as highly capable and willing to use precise, lethal force. This permits Army forces to extend the scope and tempo of nonlethal actions.

INTELLIGENCE

3-125. Intelligence is a key component of successful stability tasks and missions. However, if forces conduct the tasks in a sovereign nation, then commanders have important considerations such as bilateral agreements, host-nation coordination, potential limitations and restrictions on the exchange of information and intelligence, restrictions on the ability of intelligence to operate within the host nation, and the other complexities inherent in operations characterized by stability tasks. (ADRP 2-0 has more details.)

Chapter 4

Planning for Stability in Operations

PLANNING

4-1. *Planning* is the art and science of understanding a situation, envisioning a desired future, and laying out effective ways of bringing that future about (ADP 5-0). Planning helps commanders understand and develop solutions to problems resulting in a plan and orders that synchronize the action of forces in time, space, and purpose to achieve objectives and accomplish missions.

4-2. Planning is both a continuous and a cyclical activity of the operations process. While planning may start an iteration of the operations process, planning does not stop with the production of an order. During preparation and execution, the plan is continuously refined as the situation changes. Through assessment, subordinates and others provide feedback as to what is working, what is not working, and how the force can do things better. Sometimes, commanders may determine that the current order (to include associated branches and sequels) is no longer relevant to the situation. In these instances, instead of modifying the current plan, commanders reframe the problem and develop an entirely new plan.

4-3. Army leaders employ three methodologies for planning, determining the appropriate mix based on the scope of the problem, their familiarity with it, the time available, and the availability of a staff. Methodologies that assist commanders and staffs with planning include—

- Army design methodology.
- The military decisionmaking process.
- Troop leading procedures (TLP).

(See ADRP 5-0 for a detailed discussion of the Army's planning methodologies.)

STABILITY PLANNING CONSIDERATIONS

4-4. Operations focused on maintaining or reestablishing stability are often protracted and involve numerous military and civilian organizations. The multifaceted drivers of instability are difficult to identify. In addition to the fundamentals of planning described in ADP 5-0, when planning for stability commanders and staffs—

- Recognize complexity.
- Balance resources, capabilities, and activities.
- Recognize planning horizons.
- Avoid planning pitfalls.

RECOGNIZE COMPLEXITY

4-5. Military operations are conducted in operational environments that are both complex and ever changing. Complexity describes situations with many parts and subparts (structural complexity) as well as the behaviors and resulting relationships among those parts and subparts (interactive complexity). How the many entities behave and interact with each other within an operational environment is difficult to discern and always results in differing circumstances. No two operational environments are the same. While aspects of an operational environment may be less complex than other aspects, an operational environment as a whole is both structurally and interactively complex.

4-6. In addition, an operational environment is not static but continually evolves. This evolution results in part, from humans interacting in an operational environment as well as from their ability to learn and adapt. As people take action within an operational environment, it changes. Some of these changes are anticipated while others are not. Some changes are immediate and apparent while other changes are delayed or hidden.

The complex and dynamic nature of an operational environment makes determining the relationship between cause and effect difficult and contributes to the uncertainty of military operations.

4-7. Given the inherently complex and uncertain nature of operations, particularly those operations dominated by stability, commanders and staffs use the Army design methodology to help them understand the root cause of instability and approaches to solve problems. The *Army design methodology* is a methodology for applying critical and creative thinking to understand, visualize, and describe unfamiliar problems and approaches to solving them (ADP 5-0). The Army design methodology is an iterative process of understanding and problem framing that uses elements of operational art to conceive and construct an operational approach to solve identified problems. (Paragraphs 4-30 through 4-46 discuss selected elements of operational art used in stability planning.)

4-8. The Army design methodology entails framing an operational environment, framing the problem, and developing an operational approach to solve the problem. The Army design methodology results in an improved understanding of an operational environment. Based on their improved understanding, commanders issue planning guidance, to include an operational approach, to guide more detailed planning using the military decisionmaking process.

4-9. The understanding developed through Army design methodology continues through preparation and execution in the form of continuous assessment. Assessment, to include updated running estimates, helps commanders measure the overall effectiveness of employing forces and capabilities. Commanders can then ensure the operational approach remains feasible and acceptable within the context of the higher commander's intent and concept of operations. If the current operational approach fails to meet these criteria, or if aspects of an operational environment or problem change significantly, commanders may decide to reframe. Reframing involves revisiting earlier hypotheses, conclusions, and decisions that underpin the current operational approach. Reframing can lead to a new problem statement and operational approach, resulting in an entirely new plan. (ADRP 5-0 has a more detailed discussion of the Army design methodology.)

BALANCE RESOURCES, CAPABILITIES, AND ACTIVITIES

4-10. Planning ensures that forces weight limited resources and capabilities according to priority of effort. Often requirements for operations dominated by stability outpace available resources and capabilities necessary to reestablish conditions of peace and stability. Planning involves focusing efforts toward accomplishing the mission while carefully balancing resources, capabilities, and activities across multiple lines of effort. While commanders typically focus resources on the decisive operation, they also provide sufficient resources to capitalize on unforeseen opportunities and to provide impetus for other efforts. The numerous stability tasks involved in an operation require specific capabilities that are often just as limited in availability. An effective plan judiciously applies these capabilities where and when most needed. Commanders synchronize the activities in time and space to create the greatest effect, one that achieves broad success in one line of effort while reinforcing progress in the others.

4-11. Operations dominated by stability increasingly involve multilateral and diverse actors and stakeholders. Outside actors bring a diverse resources and capabilities to the effort. Effective planning accounts for these capabilities and activities. In some cases, these actors achieve cooperation towards common goals or even share resources. In other cases, such cooperation is not practical given divergent goals and objectives. Effective commanders understand the multiple actors and their potential (or inability) for cooperation and mutual support. This understanding helps focus resources or even identify areas in which to apply resources to augment other activities that support stabilization objectives.

RECOGNIZE PLANNING HORIZONS

4-12. All planning is based on imperfect knowledge and involves assumptions about the future that are fundamentally uncertain in nature. Regardless of the quality of the information available or the depth of understanding, operational limits affect the commander's ability to plan. The more certain the future, the easier it is to plan.

4-13. A *planning horizon* is a point in time commanders use to focus the organization's planning efforts to shape future events (ADRP 5-0). Uncertainty increases with the length of the planning horizon and the rate

of change in the environment. Planning attempts to anticipate and influence the future; the farther into the future that plans reach, the more time commanders have for preparation. However, the farther into the future that plans reach, the wider the range of possibilities, and the more uncertain the forecast. A fundamental tension thus exists between the desire to plan in detail and the lack of certainty in future events. The farther the plans reach into the future to facilitate preparation and coordination, the less certain events may be, and the less relevant detailed preparations become.

4-14. Another fundamental tension in planning for operations emphasizing stability tasks is the tension between short-term needs and long-term objectives. Immediate security or humanitarian concerns can create a need for short-term solutions with negative impacts for longer-term objectives, such as in establishing stable governance or a sustainable economy. Effective planning addresses these tensions.

AVOID PLANNING PITFALLS

4-15. Successful commanders avoid planning pitfalls. Planning often proves a time-consuming and frustrating endeavor. The challenges of various systems, cultures, and personalities involved can quickly derail effective planning. These challenges may create significant pitfalls to developing a coherent, integrated plan. Familiarity with the requisite processes and steps typically speeds the planning effort, and repetition only serves to imbue it with an inherent efficiency. Collaborative planning for stability in an operation, especially among the many diverse participants, presents unique challenges and opportunities.

4-16. The first pitfall consists of attempting to forecast and dictate events too far into the future. This may result from the natural desire to believe a plan can control the future. People naturally tend to develop plans based on the assumption that events will progress on a logical, linear path to the future. Their plans often underestimate the scope of changes in direction that may occur, especially in operations that occur among populations, where predictability is elusive at best. Even the most effective plans cannot anticipate the unexpected. Often, events overcome plans much sooner than anticipated; effective plans include sufficient branches and sequels to account for the nonlinear nature of events.

4-17. The second pitfall consists of trying to plan in too much detail. While sound plans must include detail, planning in more detail than needed only consumes limited time and resources. This pitfall often stems from the natural desire to leave as little as possible to chance. In general, the less certain the situation, the less detail included in the plan. However, people naturally respond to uncertainty by planning in greater detail to try to account for every possibility. This attempt to plan in greater detail under conditions of uncertainty can cause even more anxiety, which in turn leads to even more detailed planning. The result may become an extremely detailed plan that does not survive the friction of the situation and that constricts effective action.

4-18. The third pitfall consists of using planning as a scripting process that tries to prescribe the course of events with precision. When planners fail to recognize the limits of foresight and control, the plan tends to become a coercive and overly regulatory mechanism that restricts initiative and flexibility. The focus for subordinates becomes meeting the requirements of the plan rather than deciding and acting effectively.

4-19. The fourth pitfall is the danger of institutionalizing rigid planning methods that lead to inflexible or overly structured thinking. This tends to make planning rigidly process-focused and produce plans that overly emphasize detailed procedures. Planning provides a disciplined framework for approaching and solving complex problems. The danger is in taking that discipline to the extreme. This especially proves dangerous in the collaborative environments typical of operations with a dominant stability component, where the mix of different planning cultures and processes can stymie progress. Stakeholders may want to follow a rigid, institutionalized planning methodology or, in some situations, not use any planning methodology whatsoever. In a collaborative environment, commanders streamline the planning effort, providing economy of effort and coordination among several people working on the same problem.

THE COMMANDER'S ROLE IN PLANNING

4-20. Commanders are the most important participants in effective planning. They focus the planning effort by providing their commander's intent, issuing planning guidance, and making decisions throughout the planning process. Commanders apply discipline to the planning process to meet the requirements of time, planning horizons, simplicity, level of detail, and desired outcomes. Commanders ensure that all

operation plans and orders comply with domestic and international laws. They also confirm that the plan or order is relevant and suitable for subordinates. Generally, the more involved commanders are in planning, the faster staffs can plan. Through personal involvement, commanders ensure the plan reflects their commander's intent. Commanders focus their activities on understanding, visualizing, and describing during planning.

UNDERSTANDING

4-21. Understanding is fundamental to the commander's ability to establish a situation's context. It is essential to effective decisionmaking and the development of plans. Analysis of the operational and mission variables (see ADRP 5-0) provides the information used to develop understanding and frame the problem. In addition, active collaboration with military and civilian partners assists commanders in developing their initial understanding of an operational environment and problem.

4-22. In operations conducted among the people, understanding is informed by sustained engagement of the host-nation population. This is the essence of Soldier and leader engagement, the face-to-face interaction of military personnel with the local populace of the host nation. Such interaction not only informs understanding, it shapes the perceptions of the people among whom military forces operate. Engagement increases understanding of sociocultural factors that characterize the host-nation population.

4-23. Commanders consult widely with various stakeholders and actors, including the local populace, other U.S. Government agencies, nongovernmental organizations, and international organizations. They work with others to gain knowledge and, when appropriate, include outside participants in their planning process. They recognize differences and separate operational spheres. Consultation and planning involve many different agencies, sometimes separately from operational programming.

4-24. Understanding involves partners and other actors operating in the area. As these actors bring diverse capabilities and resources, they also bring broadly differing views on the situation, priorities, and objectives. Commanders need to understand the capabilities, views, and priorities (and how they converge or diverge with the U.S. effort).

4-25. Actors, sometimes partners in stability efforts, do not always share the same understanding of the environment. Commanders often have to develop and foster a common understanding, which in turn leads to common objectives and approaches, to the extent possible. They use information sharing while understanding the assumptions of partners. Building a common understanding for planning purposes involves partners in the planning process as early as possible, so that commanders and partners can develop a common assumption and situational understanding. Once they achieve a common, or more common understanding, they need to maintain it. They foster common understanding by regular information sharing, communication, coordination, and involvement in follow-on planning process.

VISUALIZING

4-26. As commanders begin to understand their operational environment and problem, they start visualizing a desired end state and potential solutions to solve the problem. Collectively, this is known as *commander's visualization*—the mental process of developing situational understanding, determining a desired end state, and envisioning an operational approach by which the force will achieve that end state (ADP 5-0). Assignment of a mission provides the focus for developing the commander's visualization that, in turn, provides the basis for developing plans and orders.

4-27. In building their visualization, commanders first seek to understand those conditions that represent the current situation. Next, commanders envision a set of desired future conditions that represents the operation's end state. Commanders complete their visualization by conceptualizing an *operational approach*—a description of the broad actions the force must take to transform current conditions into those desired at end state (JP 5-0). (See figure 4-1.)

4-28. Commanders apply the Army design methodology and use the elements of operational art when developing and describing their commander's visualization. They also actively collaborate with the staff, unified action partners, and higher, subordinate, and adjacent commanders to assist building their

visualization. Because of the dynamic nature of military operations, commanders must continuously validate their visualization throughout the operations process.

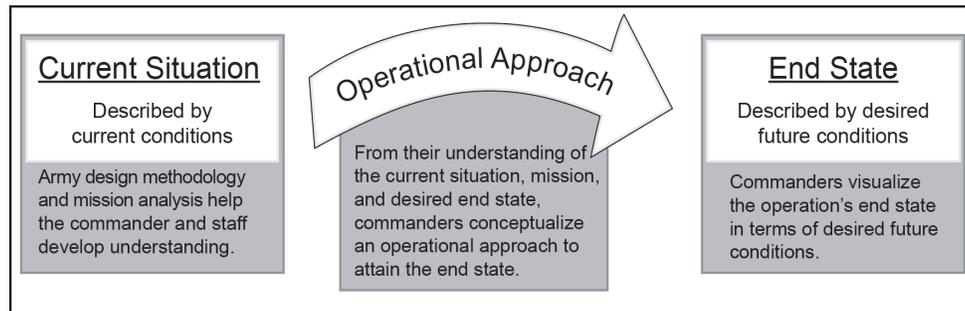


Figure 4-1. Completed commander's visualization

DESCRIBING

4-29. After commanders visualize an operation, they describe it to their staffs and subordinates to facilitate a shared understanding and purpose. During planning, commanders ensure subordinates understand their visualization well enough to begin course of action development. During execution, commanders describe modifications to their visualization in updated planning guidance and directives resulting in fragmentary orders that adjust the original order. Commanders describe their visualization in doctrinal terms, refining and clarifying it, as circumstances require. Commanders express their visualization in terms of—

- Commander's intent.
- Planning guidance, including an operational approach.
- Commander's critical information requirements.
- Essential elements of friendly information.

OPERATIONAL ART AND STABILITY IN OPERATIONS

4-30. In applying operational art during stability, commanders and their staffs use intellectual tools to help them understand an operational environment as well as visualize and describe their operational approach. The elements of operational art are essential to identifying tasks and objectives that tie stability missions to achieving the desired end state. They help refine and focus the concept of operations forming the basis for developing a detailed plan or order. During execution, commanders and staffs consider the elements as they assess the situation. They adjust current and future operations and plans as the operation unfolds.

4-31. Commanders perform all stability tasks within the framework of conflict transformation, intended either to address a source of instability or to promote a mitigator of violence. However, even planned stability tasks sometimes result in unintended consequences. During planning, commanders make all efforts to view stability tasks through a culturally focused lens and exam them beyond the first order of effects. Sometimes it is not about action, but the perception of an action. This can strike directly at the legitimacy of the operation, especially with the host-nation populace. Unintended consequences increase the less outsiders understand the local context. Instead of reducing complexity, aim for understanding and having humility about how little is known about the local context.

4-32. Planning for stability in operations draws on all elements of operational art. However, certain elements are more relevant than others are, and some in particular are essential to successful operations characterized by stability tasks. (See ADRP 3-0 for a detailed discussion of the operational art.) Paragraphs 4-33 through 4-46 discuss those elements applicable to stability in operations.

END STATE AND CONDITIONS

4-33. Generally, the end state is a set of desired future conditions the commander wants to exist when an operation ends. The end state is thus an image of an operational environment consistent with the

commander's visualization of the operation. In operations dominated by stability tasks, commanders achieve the end state through integrated, collective activities of all the instruments of national power, not by any single instrument applied in isolation. Clearly describing the end state requires appreciating the nature of an operational environment and assessing its friendly, enemy, adversary, and neutral aspects. Ultimately, the end state shapes the operation's character. Commanders include it in their planning guidance and commander's intent. A clearly defined end state promotes unity of effort and unity of purpose, facilitates integration and synchronization, and helps mitigate risk.

4-34. In operations characterized by stability tasks, integrating military and nonmilitary capabilities enables success. Achieving the desired end state in a stability operation requires deliberately coordinating and synchronizing military and civilian efforts. These efforts focus on a shared understanding of the conditions that support a stable, lasting peace. Due to the interrelated nature of the primary stability tasks, these efforts are fundamentally complementary and contribute toward shaping an enduring end state.

4-35. In operations emphasizing stability tasks, forces integrate and synchronize military and nonmilitary tasks through collaborative planning. Therefore, every operation focuses on a clearly defined, decisive, and attainable end state. However, that end state may evolve over the course of an operation, as strategic and operational guidance is refined, conditions of operational environment change, and understanding increases. Hence, all commanders continuously monitor operations and assess their progress against measures of effectiveness and the end state conditions. These conditions form the basis for decisions that ensure operations emphasizing stability tasks progress consistently toward the desired end state.

4-36. Effective stability tasks relate back to how they either mitigate drivers of conflict or support resiliencies in their end states. Commanders articulate their expectations of the logic of how to achieve these effects as part of the plan.

4-37. To achieve the desired end state, stability tasks capitalize on coordination, cooperation, integration, and synchronization among military and nonmilitary organizations. These civil-military efforts aim to strengthen legitimate governance, restore rule of law, support economic and infrastructure development, reform institutions to achieve sustainable peace and security, foster a sense of national unity, and create the conditions that enable the host-nation government to reassume civic responsibilities.

4-38. Many longer-term stability objectives last long beyond the scope of any U.S. stability effort or may be truly ongoing. Governance and economic development objectives are often particularly longer term. While commanders require clear objectives for planning, they also recognize that the end states of a stabilization operation ultimately support much longer-term objectives.

DECISIVE POINTS

4-39. During operations emphasizing stability tasks, decisive points may be less tangible and more closely associated with important events and conditions, and typically relate to the human dimension of the problem. A *decisive point* is a geographic place, specific key event, critical factor, or function that, when acted upon, allows commanders to gain a marked advantage over an adversary or contribute materially to achieving success (JP 3-0). Examples include—

- Securing national borders.
- Repairing a vital water treatment facility.
- Obtaining the political support from key tribal leaders for a transitional authority.
- Establishing a training academy for national security forces.
- Securing a major election site.
- Quantifiably reducing crime.

4-40. In operations emphasizing stability, commanders identify the decisive points that most directly influence the end state conditions. Effective decisive points enable commanders to seize, retain, or exploit the initiative. Controlling them is essential to mission accomplishment. Ceding control of a decisive point may exhaust friendly momentum, force early culmination, or expose the force to undue risk. Decisive points shape the design of operations. They help commanders select clearly decisive, attainable objectives that directly contribute to establishing the end state.

4-41. Essential stability tasks can offer an efficient means for commanders to identify those tasks most closely associated with decisive points. Success in operations dominated by stability tasks depends on the commander’s ability to identify the tasks essential to mission success and to prioritize and sequence the performance of those tasks with available combat power. These tasks include the essential tasks required to establish the end state conditions that define success. These tasks are linked to the end state through decisive points. Therefore, identifying essential tasks and tying them directly to decisive points and objectives most effectively identifies conditions that define the desired end state. (See chapter 3 for a discussion of the essential stability tasks.) However, commanders should not be limited to the tasks outlined in an essential stability operation framework. These tools, while a starting point, may not fully address the complexities of a given stability operation. As a result, commanders should be aware that key tasks may not necessarily be discerned from the stability task matrix and may have to be identified through analysis and understanding of the local situation.

LINES OF EFFORT

4-42. The third element of operational art applicable to stability in operations is line of effort. A line of effort links multiple tasks to focus efforts toward establishing the conditions that define the desired end state. Lines of effort are essential in operations characterized by stability tasks, where physical, positional references to an enemy or adversary are less relevant. In these operations, where the human dimension typically becomes the focus of the force, lines of effort often work best to link tasks, effects, conditions, and the end state. Lines of effort are essential to helping commanders visualize how military capabilities can support the other instruments of national power. They prove particularly valuable where unity of command is elusive, if not impractical, and when used to achieve unity of effort in operations involving multinational forces and civilian agencies and organizations.

4-43. Lines of effort combine the complementary, long-term effects of stability tasks with the cyclic, short-term events typical of offensive or defensive tasks. Commanders at all levels use lines of effort to develop tasks, identify complementary and reinforcing actions, and allocate resources appropriately. Commanders may designate actions on one line of effort as the decisive operation and others as shaping operations. They synchronize and sequence-related actions across multiple lines of effort. Lines of effort are interdependent and often a specific line cannot begin until forces meet certain intermediate objectives. Similarly, lines of effort do not necessarily progress nor reach their desired end states simultaneously. Figure 4-2 depicts a generic process to design lines of effort.

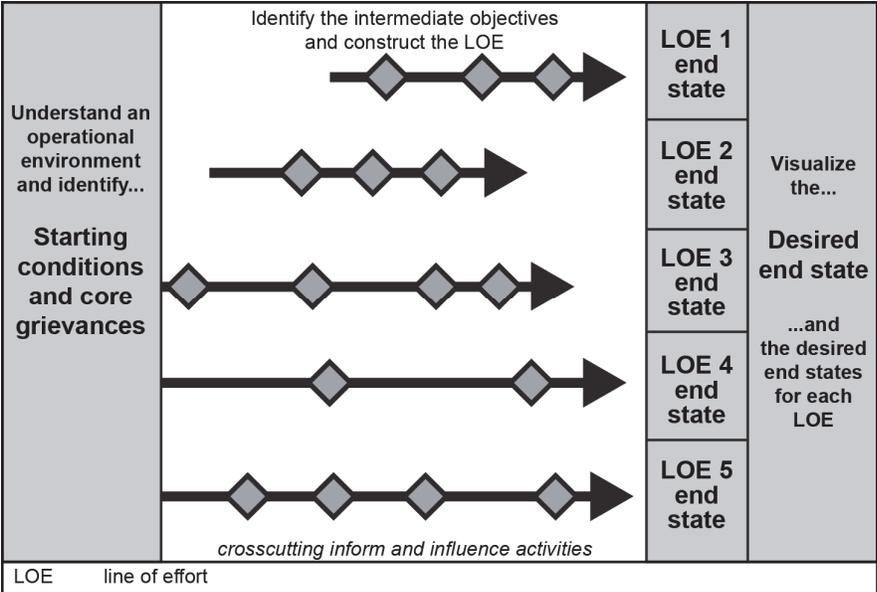


Figure 4-2. Developing lines of effort

4-44. Commanders typically visualize operations along lines of effort. At the corps and division levels, commanders may consider linking primary stability tasks to the corresponding Department of State post-conflict stability sectors. These stability tasks link military actions with the broader interagency effort across the levels of war. (Chapter 2 discusses the stability sectors in more detail.) A full complement of lines of effort may also include lines focused on offensive and defensive activities, as well as a line that addresses the information element of combat power. Tasks along an information line of effort typically produce effects across multiple lines of effort.

4-45. Together, the stability sectors and the five primary stability tasks can provide a framework for identifying the individual tasks that exert the greatest influence on an operational environment in which stability tasks are the major focus. They help to identify the breadth and depth of relevant civil-military tasks and emphasize the relationships among them. The stability sectors form the basis for the collaborative interagency planning that leads to developing lines of effort that synchronize the actions of all instruments of national power.

4-46. At the brigade level and below, the primary stability tasks and corresponding stability sectors are often too broad to focus effort appropriately. At lower tactical echelons, lines of effort may be best designed using mission-essential task lists, based upon thorough analysis of the drivers of conflict and resiliencies. Lines of effort may focus on specific aspects of the local situation, such as the activities of host-nation security forces, local development projects, and essential services restoration. For example, efforts to restore those services are often shaped using lines of effort based on sewage, water, electricity, academics, trash, medical, safety, and other considerations (known as SWEAT-MSO) while addressing the need to provide emergency food aid and shelter. When designing activities, commanders consider the processes the host nation had in place before the instability and the sustainability of changes introduced by stabilization activities. As operations progress, commanders often modify lines of effort after assessing conditions and collaborating with partners. Lines of effort typically remain focused on integrating the effects of military operations while other instruments of national power support a broader, comprehensive approach to operations. Each operation, however, differs. Commanders develop and modify lines of effort to keep operations focused on achieving the end state, even as the situation evolves.

OPERATIONAL APPROACH

4-47. Applying operational art requires a shared understanding of an operational environment with the problem analyzed through the Army design methodology. This understanding enables commanders to develop an operational approach to guide the force in establishing those conditions for lasting success. Commanders use common doctrinal terms to visualize and describe their operational approach. The operational approach provides a framework that relates tactical tasks to the desired end state. It provides a unifying purpose and focus to all operations.

4-48. The operational approach conceptualizes the commander's visualization for establishing the conditions that define the desired end state. Operations conducted among the people accept military interaction with the local populace as part of the mission. In those operations, the most effective operational approach achieves decisive results through combinations of stability and defeat mechanisms. While the stability mechanisms leverage the constructive capabilities inherent to combat power, the defeat mechanisms allow the commander to focus the coercive capabilities of the force to provide security, public order, and safety for the local populace.

4-49. The conditions of an operational environment ultimately determine the operational approach. During planning as commanders and staffs frame the problem, they determine the appropriate combination of stability and defeat mechanisms necessary to resolve the situation. This begins the process that ends with an integrated, synchronized plan for an operation that achieves the desired end state. At times, military forces intervene in an unstable situation with an actively violent security environment. In these cases, military forces may initially use defeat mechanisms to alter conditions sufficiently to protect the civil populace. In a relatively benign environment where military forces primarily assist or facilitate civil efforts, stability mechanisms dominate.

STABILITY AND DEFEAT MECHANISMS

4-50. Commanders use stability and defeat mechanisms to develop an operational approach.

STABILITY MECHANISMS

4-51. Commanders use stability mechanisms to visualize how to employ the force to conduct stability tasks in unified land operations. A *stability mechanism* is the primary method through which friendly forces affect civilians in order to attain conditions that support establishing a lasting, stable peace (ADRP 3-0). Some of these mechanisms recover quickly from change in terms of conflict transformation, as they can act as mitigators for drivers of conflict. Combinations of stability mechanisms produce complementary and reinforcing effects that help shape the human dimension of operational environments more effectively and efficiently than a single mechanism applied in isolation. The four stability mechanisms are compel, control, influence, and support.

4-52. Compel involves maintaining the threat—or actual use—of lethal force to establish control and dominance, effect behavioral change, or enforce cessation of hostilities, peace agreements, or other arrangements. Compliance and legitimacy interrelate. While legitimacy is vital to achieving host-nation compliance, compliance itself depends on how local populace perceives the force's ability to exercise force to accomplish the mission. The appropriate and discriminate use of force often forms a central component to success in operations otherwise underscored by stability tasks; it closely ties to legitimacy. Depending on the circumstances, the threat or use of force can reinforce or complement efforts to stabilize a situation, gain consent, and ensure compliance with mandates and agreements. The misuse of force—or even the perceived threat of the misuse of force—can adversely affect the legitimacy of the mission or the military instrument of national power. The effect of civilian casualties—even from unintended incidents such as traffic accidents and collateral damage—can have a lasting and negative impact on the mission. Commanders should have plans in place to mitigate these events including response mechanisms for incidents that do occur. Good will is much harder to rebuild once lost than to build in the first place. Even one ignored civilian casualty incident can put the mission and troops at risk.

4-53. Control involves establishing public order and safety; securing borders, routes, sensitive sites, population centers, and individuals; and physically occupying key terrain and facilities. As a stability mechanism, control closely relates to the primary stability task—establish civil control. However, control is also fundamental to effective, enduring security. When combined with the stability mechanism compel, it is inherent to the activities that compose disarmament, demobilization, and reintegration, as well as broader security sector reform programs. Without effective control, efforts to establish civil order—including efforts to establish both civil security and control over an area and its population—will not succeed. Establishing control requires time, patience, and coordinated, cooperative efforts.

4-54. Influence involves altering the opinions and attitudes of the host-nation population through inform and influence activities, presence, and conduct. It applies nonlethal capabilities to complement and reinforce the compelling and controlling effects of stability mechanisms. Influence aims to affect behavioral change through nonlethal means. It is more a result of public perception than a measure of operational success. It reflects the ability of forces to operate successfully among the people of the host nation, interacting with them consistently and positively while accomplishing the mission. Here, consistency of actions and messages is vital. Influence requires legitimacy. Military forces earn the trust and confidence of the people through the constructive capabilities inherent to combat power, not through lethal or coercive means. Positive influence is absolutely necessary to achieve lasting control and compliance. It contributes to success across the lines of effort and engenders support among the people. Once attained, forces best maintain influence by consistently exhibiting respect for, and operating within, the cultural and societal norms of the local populace.

4-55. Support involves establishing, reinforcing, or setting the conditions necessary for the other instruments of national power to function effectively; coordinating and cooperating closely with host-nation civilian agencies; and assisting aid organizations as necessary to secure humanitarian access to vulnerable populations. Support is vital to a comprehensive approach to stability tasks. The military instrument of national power brings unique expeditionary and campaign capabilities to operations emphasizing stability tasks. These capabilities enable the force to address the immediate needs of the host

nation and local populace quickly. In extreme circumstances, support may require committing considerable resources for a protracted period. However, easing the burden of support on military forces requires enabling civilian agencies and organizations to fulfill their respective roles. Typically commanders ease the burden by combining the effects of the stability mechanisms compel, control, and influence to reestablish security and control; restoring essential civil services to the local populace; and helping to secure humanitarian access necessary for aid organizations to function effectively.

DEFEAT MECHANISMS

4-56. Defeat mechanisms primarily apply in combat operations against an active enemy force. A *defeat mechanism* is a method through which friendly forces accomplish their mission against enemy opposition (ADRP 3-0). They are defined in terms of the broad operational and tactical effects they produce—physical or psychological. Commanders translate these effects into tactical tasks, formulating the most effective method to defeat enemy aims. Physical defeat deprives enemy forces of the ability to achieve those aims; psychological defeat deprives them of the will to do so. Military forces prove most successful when applying deliberate combinations of defeat mechanisms. As with stability mechanisms, this produces complementary and reinforcing effects not attainable with a single mechanism.

4-57. The four defeat mechanisms are destroy, dislocate, disintegrate, and isolate. Destroy involves identifying the most effective way to eliminate enemy capabilities. It may be attained by sequentially applying combat power over time or with a single, decisive attack. Dislocate involves compelling the enemy to expose forces by reacting to a specific action. It requires enemy commanders to either accept neutralization of part of their force or risk its destruction while repositioning. Disintegrate involves exploiting the effects of dislocation and destruction to shatter the enemy's coherence. It typically follows destruction and dislocation, coupled with the loss of capabilities that enemy commanders use to develop and maintain situational understanding. Isolate involves limiting the enemy's ability to conduct operations effectively by marginalizing critical capabilities or limiting the enemy's ability to influence events. It exposes the enemy to continued degradation through the massed effects of other defeat mechanisms.

COMBINING STABILITY AND DEFEAT MECHANISMS

4-58. Stability and defeat mechanisms complement planning and the Army design methodology by providing focus in framing complex problems; they offer the conceptual means to solve them. By combining the mechanisms, commanders can effectively address the human dimension of the problem while acting to reduce the security threat. Therefore, one element of the force can focus on reestablishing security and control while another element can address the immediate humanitarian needs of the populace. These focuses are essential in operations conducted among the people where success is often gauged by the effectiveness of long-term reconstruction and development efforts. Thus, early and deliberate combinations of the stability and defeat mechanisms are vital to success, especially in environments where actors may face active opposition. Combinations of the mechanisms serve to inhibit threats to stability, create an environment that people can live in some sort of normalcy, and set conditions for military forces to appropriately transition stability tasks to other partners, the host nation, and other actors.

FORCE ORGANIZATION

4-59. For stability in operations, commanders organize forces using force tailoring and task-organizing.

FORCE TAILORING

4-60. *Force tailoring* is the process of determining the right mix of forces and the sequence of their deployment in support of a joint force commander (ADRP 3-0). During operations featuring a dominant level of stability tasks, force tailoring involves selecting the right force structure from available units. Commanders then sequence the selected forces into the operational area as part of force projection. Commanders request and receive forces for each phase of an operation, both for combat and stability tasks, adjusting the quantity and capabilities of forces to match the weight of effort required.

4-61. Force tailoring is continuous: as new forces rotate into the operational area, forces with excess capabilities return to the supporting combatant and Army Service component commands. Tailoring the

force to perform stability tasks may require commanders to assign subordinate units tasks not considered as a function of the primary role.

TASK-ORGANIZING

4-62. *Task-organizing* is the act of designing an operating force, support staff, or logistic package of specific size and composition to meet a unique task or mission (ADRP 3-0). Characteristics to examine when task-organizing the force include, but are not limited to, training, experience, equipment, sustainability, operational environment, enemy threat, and mobility. For Army forces, it includes allocating available assets to subordinate commanders and establishing their command and support relationships. Task-organizing occurs within a previously tailored force package as commanders organize groups of units for specific stability tasks. It continues as commanders reorganize units for subsequent missions. The ability of Army forces to task-organize gives them extraordinary agility. It lets operational and tactical commanders configure their units to best use available resources. It also allows Army forces to match unit capabilities rapidly to the priority assigned.

4-63. As an operation changes from emphasizing combat tasks to one characterized by stability tasks, commanders only have the forces immediately available to perform the tasks. Commanders sometimes assign their forces to perform stability tasks within their capabilities that often differ from their exact function. Commanders and their staff try to visualize when unexpected opportunities might arise and adapt their forces to exploit such opportunities.

ASSESSMENTS

4-64. *Assessment* is the determination of the progress toward accomplishing a task, creating an effect, or achieving an objective (JP 3-0). Assessment precedes and guides planning and other activities of the operations process. Assessment involves deliberately comparing forecasted outcomes with actual events to determine the overall effectiveness of force employment. More specifically, assessment helps the commander determine progress toward attaining the desired end state, achieving objectives, and performing tasks. It also involves continuously monitoring and evaluating an operational environment to determine what changes might affect the conduct of operations. Assessment is vital to successful operations characterized by stability tasks.

4-65. The commander and staff continuously assess the current situation, gauging progress against the desired end state for the operation. Based on that assessment, the commander directs adjustments as required, ensuring that the operation and its included stability tasks remain focused toward establishing the conditions that represent the end state. Assessment is a critical activity intended to inform situational understanding. It informs by determining if the current operation and its included stability tasks are proceeding according to the commander's intent. Broadly, assessment is a continuous activity that encompasses the following activities:

- Monitoring the current situation to collect relevant information.
- Evaluating progress toward attaining end state conditions, achieving objectives, and completing tasks.
- Recommending or directing action for improvement.

4-66. Three measurement tools assist the commander and staff with assessments: measures of performance, measures of effectiveness, and indicators. Measures of performance assess proper completion of assigned tasks. Measures of effectiveness assess progress toward changing the state of the operational environment envisioned in the commander's intent. Indicators are subordinate measures that provide insight into measures of effectiveness and measures of performance. (ADRP 5-0 and JP 3-0 discuss these three tools.)

4-67. In operations characterized by stability tasks, commanders use measures of performance. A *measure of performance* is a criterion used to assess friendly actions that is tied to measuring task accomplishment (JP 3-0). At the most basic level, every Soldier assigned a task maintains a formal or informal checklist to track task completion. The items on that checklist are measures of performance. At battalion level and above, command posts monitor measures of performance for assigned tasks. Examples of measures of

performance include the construction of a training facility for host-nation security forces or an increased border presence by friendly forces.

4-68. Measures of performance in stability track implementation of an activity. They answer the question, “Is the stability activity progressing?” and in the long run, “Is the activity complete?” Examples of output indicators might be the number of miles of road paved or number of police trained. Forces monitor output indicators during the implementation of an activity until they complete the activity.

4-69. Forces performing stability tasks can easily measure performance. Forces use measures of performance to identify accomplished tasks; these measures fail to tell achieved tasks, such as whether stability is increasing or decreasing. For example, counting the number of police trained measures performance, but the police may not be accepted or respected by the local population.

4-70. 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). These measures focus on the results or consequences of task execution and provide information that guides decisions to take additional or alternate actions. Examples of measures of effectiveness include reduced insurgent activity, reduced inflation rates, and improvements in agricultural production.

4-71. In operations characterized by stability tasks, commanders use measures of effectiveness. Measures of effectiveness measure the effect an activity achieved. Focusing on performance, not effect can lead to faulty conclusions. They answer the question, “Did the activity have the intended effect?” Examples might be decreased travel time (for a road project) or decreased criminal activity (for a police training activity). Generally, forces evaluate measures of effectiveness only after completing an activity.

4-72. In the context of assessment, an *indicator* is an item of information that provides insight into a measure of effectiveness or measure of performance (ADRP 5-0). Indicators use available information to inform a specific measure of performance or measure of effectiveness. In operations characterized by stability tasks, a single indicator can inform multiple measures of performance and measures of effectiveness. Valid indicators are measurable, collectable, and relevant to a specific time. Examples of indicators include bushels of apples sold in a specific market in the past month, number of escalation of force incidents along a given route in the past 90 days, and number of bridges repaired in a province. Commanders may use their commander’s critical information requirements to focus information collection on the relevant indicators they need to make critical decisions throughout the conduct of operations.

4-73. In many cases, indicators that directly assess a given stability task are not available. In these cases, proxy indicators may be necessary. Proxy indicators are indicators that measure second-order effects related to the activity that forces need to measure. An example of this may be the change in staple food prices as a proxy indicator for long-term perceptions of stability—rises in food prices may indicate hoarding in expectation of instability. However, forces need to take care with proxy indicators to ensure that the cause of the change is understood and related to the activity that needs to be measured. In the staple food example, poor harvests may result from the rise in prices rather than expected instability—the cause of this being key to understanding the meaning of a proxy indicator.

4-74. Operations characterized by stability tasks, especially in post-conflict situations, often take a long time with forces gauging progress over the course of months or years. Effective forces consider responsiveness for selecting measurement tools in stability. In stability, responsiveness is the speed with which a desired change can be detected by a measurement tool. In practice, responsiveness varies greatly among potential measures of effectiveness. It is critical to select measures of effectiveness and supporting indicators as responsive as possible during the conduct of these operations.

4-75. Effective assessment in operations characterized by stability tasks incorporates both quantitative (observation-based) and qualitative (opinion-based) indicators. Human judgment is integral to assessment, especially in operations where the civil population plays such a prominent role. A key aspect of any assessment is the degree to which it relies upon human judgment and the degree to which it relies upon direct observation and mathematical rigor. Rigor offsets the inevitable bias, while human judgment focuses rigor and processes on intangibles that are often key to success. The appropriate balance depends on the situation—particularly the nature of the operation, its included stability tasks, and available resources for assessment.

DISTRICT STABILITY FRAMEWORK

4-76. Because of the uniqueness of the stability environment, the interagency District Stability Framework was designed to identify and mitigate sources of instability. This framework works as a planning assessment tool and nests into the military decisionmaking process. The District Stability Framework encourages unity of effort by providing a common framework to—

- Understand the environment from a stability-focused perspective.
- Include the local population and its perceptions.
- Identify the local sources of instability.
- Design activities that address the identified sources of instability.
- Monitor and evaluate activity measures of performance and measures of effectiveness, as well as changes in overall stability.

4-77. Ideally, all unified partner actors operating in the area are included in the process. The framework has four basic steps: situational awareness, analysis, design, and monitoring and assessment.

4-78. The District Stability Framework requires population-centric and stability-oriented situational awareness. Commanders gain situational awareness in this framework by examining the area of operations from four perspectives: an operational environment, the cultural environment, stability and instability dynamics, and local perceptions. Commanders need each perspective since each provides a unique perspective. Combined, the perspectives provide a population-centric understanding of an operational environment.

4-79. The next step of the District Stability Framework is analysis. The information gathered in the first step is incorporated into an analytical process that identifies and prioritizes sources of instability. Identifying and prioritizing sources of instability in a stability operation must be the focal point for the analysis.

4-80. The design step develops activities to diminish the sources of instability identified in the analysis step. The process begins by brainstorming potential stabilization activities. It then filters and refines the proposed activities against a series of stabilization fundamentals, design principles, and prioritization criteria.

4-81. The final step is evaluation. It occurs during and after the implementation of stabilization activities. This evaluation is conducted on three levels: measures of performance examining implementation of an activity, measures of effectiveness examining the effect of an activity, and the level of overall stability accounting for the impact of the activities a unit conducted over a set time.

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Glossary

The glossary lists acronyms and terms with Army or joint definitions. Where Army and joint definitions differ, (Army) precedes the definition. Terms for which ADRP 3-07 is the proponent (authority) manual are marked with an asterisk (*). The proponent manual for other terms is listed in parentheses after the definition.

SECTION I – ACRONYMS AND ABBREVIATIONS

ADP	Army doctrine publication
ADRP	Army doctrine reference publication
DA	Department of the Army
DDR	disarmament, demobilization, and reintegration
DOD	Department of Defense
DODI	Department of Defense instruction
DOS	Department of State
FM	field manual
IDAD	internal defense and development
NGO	nongovernmental organization
SSR	security sector reform
UN	United Nations
UNSCR	United Nations security council resolution
U.S.	United States
USG	United States Government

SECTION II – TERMS

Army design methodology

A methodology for applying critical and creative thinking to understand, visualize, and describe unfamiliar problems and approaches to solving them. (ADP 5-0)

assessment

The determination of the progress toward accomplishing a task, creating an effect, or achieving an objective. (JP 3-0)

commander's visualization

The mental process of developing situational understanding, determining a desired end state, and envisioning an operational approach by which the force will achieve that end state. (ADP 5-0)

counterinsurgency

Comprehensive civilian and military efforts taken to defeat an insurgency and to address any core grievances. (JP 3-24)

decisive point

A geographic place, specific key event, critical factor, or function that, when acted upon, allows commanders to gain a marked advantage over an adversary or contribute materially to achieving success. (JP 3-0)

defeat mechanism

A method through which friendly forces accomplish their mission against enemy opposition. (ADRP 3-0)

demobilization

The process of transitioning a conflict or wartime military establishment and defense-based civilian economy to a peacetime configuration while maintaining national security and economic vitality. (JP 4-05)

force tailoring

The process of determining the right mix of forces and the sequence of their deployment in support of a joint force commander. (ADRP 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)

indicator

(Army) In the context of assessment, an item of information that provides insight into a measure of effectiveness or measure of performance. (ADRP 5-0)

inform and influence activities

The integration of designated information-related capabilities in order to synchronize themes, messages, and actions with operations to inform United States and global audiences, influence foreign audiences, and affect adversary and enemy decisionmaking. (ADRP 3-0)

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)

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)

operational approach

A description of the broad actions the force must take to transform current conditions into those desired at end state. (JP 5-0)

peace building

Stability actions, predominately diplomatic and economic, that strengthen and rebuild governmental infrastructure and institutions in order to avoid a relapse into conflict. (JP 3-07.3)

peace enforcement

The application of military force, or the threat of its use, normally pursuant to international authorization, to compel compliance with resolutions or sanctions designed to maintain or restore peace and order. (JP 3-07.3)

peacekeeping

Military operations undertaken with the consent of all major parties to a dispute, designed to monitor and facilitate implementation of an agreement (cease fire, truce, or other such agreement) and support diplomatic efforts to reach a long-term political settlement. (JP 3-07.3)

peacemaking

The process of diplomacy, mediation, negotiation, or other forms of peaceful settlements that arranges an end to a dispute and resolves issues that led to it. (JP 3-07.3)

peace operations

A broad term that encompasses multiagency and multinational crisis response and limited contingency operations involving all instruments of national power with military missions to contain conflict, redress the peace, and shape the environment to support reconciliation and rebuilding and facilitate the transition to legitimate governance. Peace operations include peacekeeping, peace enforcement, peacemaking, peace building, and conflict prevention efforts. (JP 3-07.3)

planning

The art and science of understanding a situation, envisioning a desired future, and laying out effective ways of bringing that future about. (ADP 5-0)

planning horizon

A point in time commanders use to focus the organization's planning efforts to shape future events. (ADRP 5-0)

***reintegration**

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 populace.

security cooperation

All Department of Defense interactions with foreign defense establishments to build defense relationships that promote specific United States security interests, develop allied and friendly military capabilities for self-defense and multinational operations, and provide United States 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 United States Government to support the development of the capacity and capability of foreign security forces and their supporting institutions. (JP 3-22)

stability mechanism

The primary method through which friendly forces affect civilians in order to attain conditions that support establishing a lasting, stable peace. (ADRP 3-0)

stability tasks

Tasks conducted as part of operations outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment and provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief. (ADP 3-07)

task-organizing

The act of designing an operating force, support staff, or logistic package of specific size and composition to meet a unique task or mission. (ADRP 3-0)

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 effort

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

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