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REPLY TO
ATTENTION OF:

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MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Review of ATTP 3-57.20, *Foreign Humanitarian Assistance* (Initial Draft)

1. Reference Army Regulation 25-30, 27 March 2006, The Army Publishing Program.
2. Request your review, comments, and concurrence with the Initial Draft of ATTP 3-57.20, *Foreign Humanitarian Assistance*, no later than 4 April 2011.
3. This Army tactics, techniques, and procedures (ATTP)/Marine Corps reference publication (MCRP) is intended to assist Civil Affairs (CA) forces and civil affairs operations (CAO) staffs as they plan and conduct foreign humanitarian assistance (FHA) in support of the military commander, interagency and multinational forces throughout the scope of operations.
4. The Initial Draft of ATTP 3-57.20 may be downloaded from Army Knowledge Online (AKO) (<https://www.us.army.mil>) and is posted under AKO files/U.S. Army Organizations/ USASOC/ARSOF Literature/. A direct link is provided in the staffing e-mail.
5. Request concurrence or nonconcurrence and comments from all addressees. Complete review should include a determination of technical correctness and adequate coverage of the subject matter, as well as assurance that the appropriate references are included.
6. Comments must be submitted using the accompanying standardized comment matrix. Use of this matrix facilitates sorting, prioritizing, and adjudicating comments. Include detailed rationale for each recommendation. Comments without detailed rationale cannot be considered for adjudication. Critical and major comments represent your proponent's position. Administrative comments will be addressed separately by the editor, and should not be the focus of this review. Include your command's complete name, directorate, office, and point of contact so we can contact your action officer when questions

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arise. Characterize comments using the following format from TRADOC Reg 25-36:

a. Critical Comments. Critical comments are urgent or vital concerns that require action affecting a major area of the publication. Critical comments will cause non-concurrence with the manual from your command if the concern is not resolved. If the issue does not warrant concern at the general officer level, do not designate it critical.

b. Major Comments: Major comments are significant concerns of considerable importance that may result in non-concurrence with the entire manual. This category may be used with a general statement of concern with a subject area, thrust of the document, or others, followed by detailed comments on specific entries in documents that, taken together, constitute concern.

c. Substantive Comments. Substantive comments are provided because sections in the document appear to be, or are potentially incorrect, incomplete, misleading, or confusing.

d. Administrative Comments: Administrative comments correct inconsistencies between different sections, typographical errors, or grammatical errors. While we will accept administrative comments, we ask that you focus them on inconsistencies rather than typographical or grammatical errors. Our editorial efforts will continue during the staffing process to ensure a professional final product.

7. Request that all critical and major comments meet the criteria in paragraph 6 and that an authority at the O-6 or equivalent level approve them prior to submission.

8. Please provide your comments on the attached matrix via e-mail to: AOJK-DT-CA@soc.mil by 4 April 2011. Comments must reference the location (page number, paragraph number and line number or figure) within the initial draft and include recommended changes with supporting justification. **No comments submitted in any format other than the provided matrix will be accepted for adjudication.**

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9. Point of contact for this action is SFC John Helget, commercial: (910) 432-8253; DSN: 239-8253; or email: john.helget@soc.mil



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Director of Training & Doctrine

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**Civil Affairs
Foreign Humanitarian Assistance**

INITIAL DRAFT

December 2010

The material in this draft is under development. It is NOT DA-approved and CANNOT be used for reference or citation.

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Headquarters, Department of the Army

1
Army Tactics, Techniques, and
Procedures 3-57.20

Headquarters
Department of the Army
Washington, DC, (Initial Draft)

2
3
Civil Affairs
Foreign Humanitarian Assistance

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6
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Preface

This Army tactics, techniques, and procedures (ATTP)/Marine Corps reference publication (MCRP) is intended to assist Civil Affairs (CA) forces and civil-military operations (CMO) staffs as they plan and conduct foreign humanitarian assistance (FHA) in support of the military commander, and interagency and multinational forces throughout the scope of operations. It should be used in conjunction with Joint Publication (JP) 3-29, *Foreign Humanitarian Assistance*; Field Manual (FM) 3-05.40, *Civil Affairs Operations*; FM 3-05.401, *Civil Affairs Tactics, Techniques, and Procedure*; Graphic Training Aid (GTA) 41-01-006, *Working with the Office of U.S. Foreign Disaster Assistance*; and applicable operation plans (OPLANs).

PURPOSE

ATTP 3-57.20 clarifies the role of CA forces in support of FHA with regard to missions, employment, support requirements, capabilities, and limitations. CA forces support missions in every theater—in peace and war—throughout full spectrum operations. CA forces are a combat multiplier for every commander. Appendixes A, B, and C provide the users of this manual with additional information.

CA forces are only one of many resources a commander has to assist with the complex and ever-changing civil component of the operational environment. CA forces are an essential element in the support of the joint force commander's (JFC's) CMO concept by virtue of their area and linguistic orientation, cultural awareness, training in military-to-host-nation (HN) advisory activities, and civilian professional skills that parallel common government functions.

SCOPE

Although written primarily to assist CA forces with FHA operations, this ATTP can also provide guidance to modular Army Corps, modular Army divisions, brigade combat teams (BCTs), and maneuver enhancement brigades (MEBs) in conducting (planning, preparing for, executing, and assessing) FHA operation. This ATTP is also applicable for joint forces operations. Commanders must always consider the civil component within his area of operations (AO).

APPLICABILITY

The principal audience for ATTP 3-57.20 is the Army Service component command (ASCC); however, the manual can also provide guidance to the leadership of the Army, officers and senior noncommissioned officers who command Army forces or serve on the staffs that support those commanders. It is also an applicable reference for the civilian leadership of the United States (U.S.) interagency. This publication applies to the Active Army, Army National Guard/Army National Guard of the United States, United States Army Reserve (USAR), Marine Corps, and Marine Corps Reserve unless otherwise stated.

Note for Marines: Some differences apply in clothing, equipment, vehicles, and aircraft (items the Marine Corps has that the Army does not and vice versa).

ADMINISTRATIVE INFORMATION

The proponent of this ATTP is the United States Army John F. Kennedy Special Warfare Center and School (USAJFKSWCS). Reviewers and users of this ATTP should submit comments and recommended changes on Department of the Army (DA) Form 2028 (Recommended Changes to Publications and Blank Forms) to Commander, United States Army John F. Kennedy Special Warfare Center and School, ATTN: AOJK-DTD-CA, 2175 Reilly Road, Stop A, Fort Bragg, NC 28310-5000.

Unless this publication states otherwise, masculine nouns and pronouns do not refer exclusively to men.

Introduction

JP 3-29 defines FHA as *Department of Defense activities, normally in support of the United States Agency for International Development or Department of State, conducted outside the United States, its territories, and possessions to relieve or reduce human suffering disease, hunger, or privation.* FHA provided by U.S. forces is limited in scope and duration. The foreign assistance provided is designed to supplement or complement the efforts of the HN civil authorities or agencies that may have the primary responsibility for providing FHA.

Although U.S. military forces are primarily designed and structured to defend and protect U.S. national interests, they may be readily adapted to FHA requirements. Military organization, structure, and readiness enable commanders to rapidly and effectively respond when time is of the essence. In addition to, or sometimes in lieu of, HN humanitarian assistance (HA) efforts, literally hundreds of nongovernmental organizations (NGOs) from around the world respond to disasters to provide HA in various forms and for varied durations. However, U.S. military forces are not the primary United States Government (USG) means of providing FHA. They normally supplement the activities of U.S. and foreign government authorities, NGOs, and intergovernmental organizations (IGOs). The United States Agency for International Development (USAID) is the principal agency for U.S. bilateral development and HA to foreign countries. The National Security Council (NSC) coordinates foreign assistance policies and programs among all USG agencies.

Often, FHA operations are conducted simultaneously with other types of operations, such as peace operations, nation assistance (NA), or noncombatant evacuation operations (NEOs). Funding and legal authority for FHA will, in most cases, be a major concern for CA personnel, along with the conditions and standards of the end state, and transition and termination of the operations. Caution in avoiding over commitment to programs of a long duration, such as NA, with these shorter-term FHA efforts is necessary. The environment of operations may be permissive, uncertain, or hostile, thus requiring attention to the principles of war, as well as stability operations and support operations. Regardless of the environment, Service members at all levels will institute protection measures that ensure the safety and security of all personnel.

A good example of the problems facing the planner in FHA is summarized below:

The joint task force (JTF) faced many significant challenges from the very beginning. The total joint operations area (JOA) spanned 100,357 square miles. The destruction in the region included 2,860 dead, over a thousand missing, and 1.04 million displaced people, as well as 172 damaged bridges. Since the United States had almost no military presence in any of the three countries in the JOA, the new JTF had to overcome problems in medical, logistical, engineering, aviation, and humanitarian assistance operations that the preexisting JTF did not face. The JTF also planned and coordinated for each of the ports, medical, base operations, airfield, and other support facilities that it occupied. Additionally, most of the personnel and units assigned to assist in the JOA came from the continental United States (CONUS) and had little expertise or knowledge in the region. The JTF staff was organized around a CONUS Corps Support Group headquarters, which had to quickly deploy, establish its base of operations, and begin support of arriving units. In addition to the many challenges the JTF faced, it also had some unique opportunities, such as improving U.S.-Nicaraguan relations through humanitarian assistance operations in Nicaragua, where no American troops have operated in decades.

Hurricane Mitch, 1998
Center for Army Lessons Learned

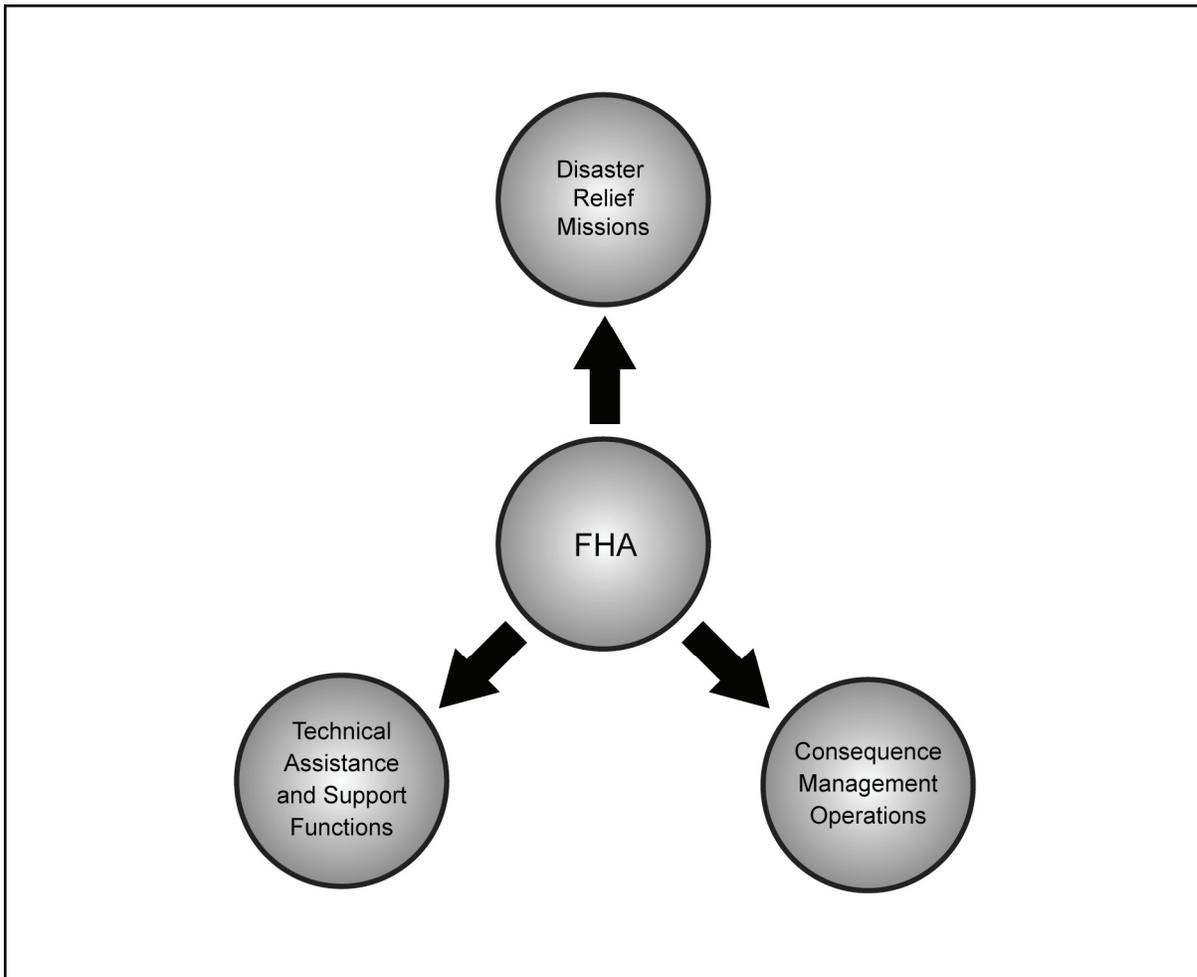
FHA operations are inherently complex operations that require a significant amount of interagency coordination. FHA is directed from the strategic level, coordinated and managed at the operational level, and conducted at the tactical level. FHA operations require centralized coordination and control.

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Chapter 1

Types of Foreign Humanitarian Assistance

FHA missions conducted by U.S. military forces span the entire range of military operations but are most often crisis response and limited contingency operations. The following missions (Figure 1-1) are common in FHA operations, as discussed in JP 3-29 (a single FHA operation may contain more than one of these missions).



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Figure 1-1. Types of foreign humanitarian assistance operations

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DISASTER RELIEF MISSIONS

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1-1. Disaster relief missions are provided for under Department of Defense Directive (DODD) 5100.46, *Foreign Disaster Relief*. These missions include prompt aid that can be used to alleviate the suffering of disaster victims. Distribution of relief supplies has traditionally been the domain of NGOs and IGOs because of their charters, expertise, and experience. However, if the relief community is overwhelmed, or

Chapter 1

1 the security situation precludes it, U.S. military forces may be tasked to distribute these supplies. Potential
2 relief roles for U.S. forces include immediate response to prevent loss of life and destruction of property,
3 construction of basic sanitation facilities and shelters, and provision of food and medical care. The
4 Department of Defense (DOD) is a supporting agency to the USAID, the Office of Foreign Disaster
5 Assistance (OFDA), and IGOs.

6 **TECHNICAL ASSISTANCE AND SUPPORT FUNCTIONS**

7 1-2. Technical assistance and support functions are short-term tasks that generally include
8 communication restoration, relief supply management, provision of emergency medical care, humanitarian
9 demining, and high-priority relief supply delivery. Based upon the geographic combatant commander's
10 (GCC's) guidance, the FHA force commander should establish policy regarding technical advice and
11 assistance to the affected country, United Nations (UN), NGOs, and IGOs as soon as possible. FM 3-05.40
12 defines this as *technical assistance operations*. CA functional specialists may have the ability to provide
13 technical assistance. The CA generalist should solicit the information from an expert rather than attempt to
14 provide technical advice.

15 **CONSEQUENCE MANAGEMENT (FOREIGN/DOMESTIC)**
16 **OPERATIONS**

17 1-3. Consequence management (CM) operations mitigate the effects of a deliberate or inadvertent
18 chemical, biological, radiological, and nuclear (CBRN) attack or event and restore essential government
19 services. These operations involve those essential services and activities required to manage and mitigate
20 problems resulting from disasters and catastrophes. Primary responsibility rests with the HN, if not
21 otherwise stipulated under relevant international agreements or arrangements. The response may include a
22 number of agencies with specialized capabilities, in addition to forces provided by DOD.

23 1-4. There are varying degrees in which the term CM is used in doctrinal concepts and real-world
24 operations. JP 1-02, *Department of Defense Dictionary of Military and Associated Terms*, and JP 3-57,
25 *Civil-Military Operations*, define CM as *actions taken to maintain or restore essential services and*
26 *manage and mitigate problems resulting from disasters and catastrophes, including natural, man-made, or*
27 *terrorist incidents*. It is usually associated with CBRN (FM 3-11.21, *Multiservice Tactics, Techniques, and*
28 *Procedures for Chemical, Biological, Radiological, and Nuclear Consequence Management Operations*).
29 JP 3-29 adds *foreign* to the term and makes a distinction for the planning and collaboration of FHA that
30 relate to disasters in a CBRN environment.

31 1-5. CA and other units can conduct CM in support of local, state, and federal government agencies
32 within the borders of the United States. This is known as civil-support operations. In a major disaster or
33 emergency as defined in the Stafford Act, the President may direct any federal agency, with or without
34 reimbursement, to use its authorities and the resources granted to it under federal law (including personnel,
35 equipment, supplies, facilities, and managerial, technical, and advisory services) in support of state and
36 local assistance efforts. The Department of Homeland Security (DHS) primarily coordinates federal
37 emergency preparedness, planning, management, and disaster assistance functions. In 2005, in response to
38 hurricanes Katrina and Rita, disaster relief included significant DOD resources, including manpower,
39 equipment, and supplies.

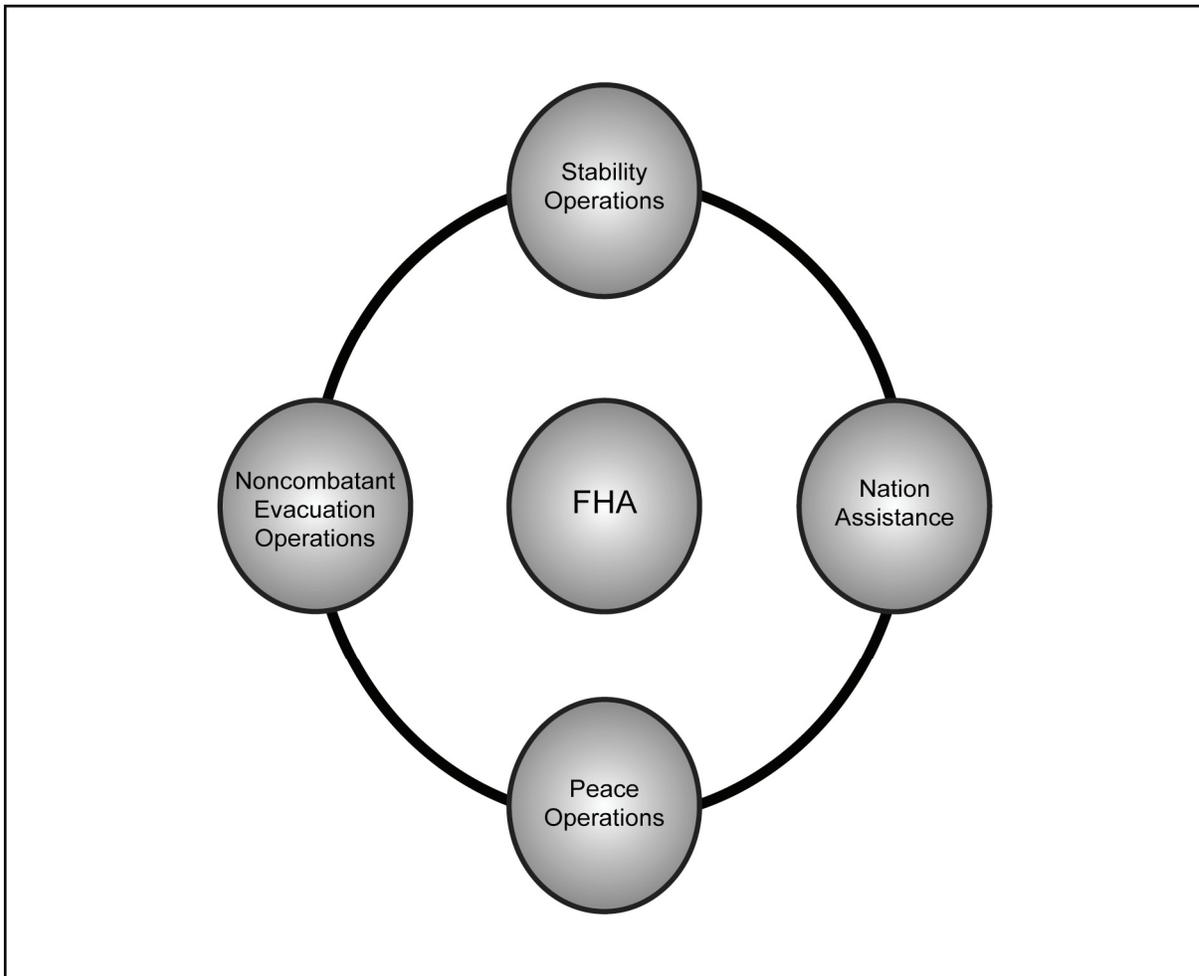
40 1-6. CA and other units conduct CM nested in CAO/CMO in support of military operations. FM 3-05.40
41 and FM 3-05.401 provide doctrinal and tactics, techniques, and procedures in support of CM. It is
42 important to note that the CA Soldier who will conduct either CM or foreign consequence management
43 (FCM) is providing the same fundamental mission “to mitigate the effects and restore essential services.”

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Chapter 2 Related Operations

Although FHA operations may be executed simultaneously with other types of operations (Figure 2-1), each type has unique characteristics. For example, FHA operations may be simultaneously conducted with peace operations, but each has its own strategic end state. Military commanders must be cautious not to commit their forces to projects and tasks that go beyond the FHA mission. Military commanders conducting FHA simultaneously with other operations must develop end state, transition, and termination objectives, as well as measures of effectiveness (MOEs) complementary to simultaneous military operations.



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Figure 2-1. Foreign humanitarian assistance conducted with other operations

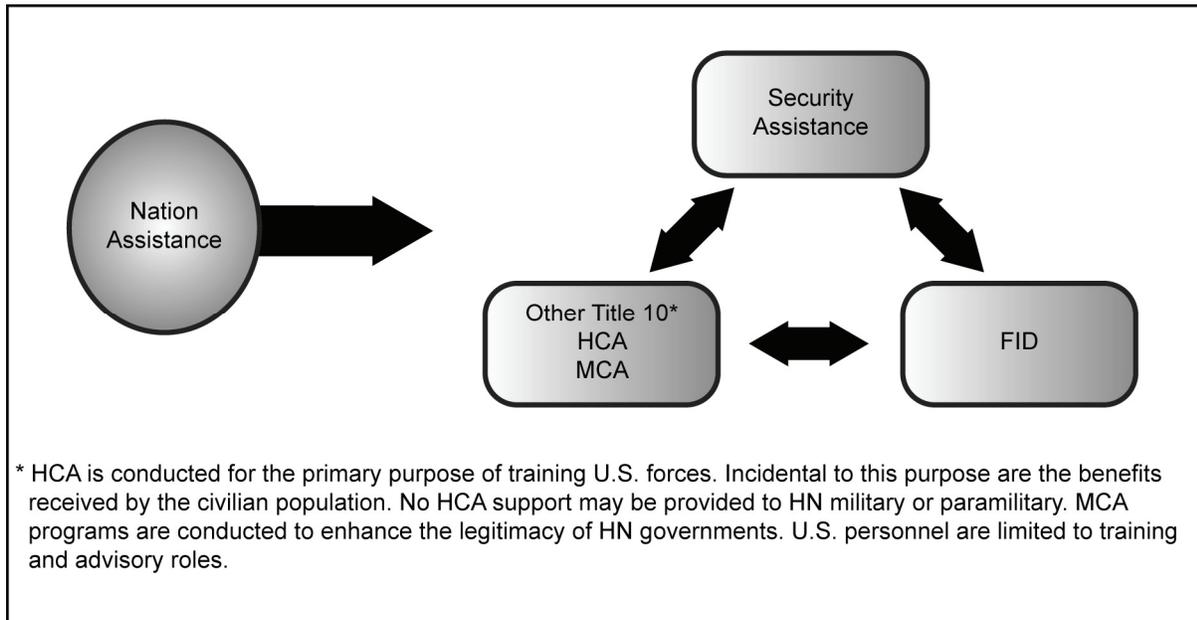
Chapter 2

1 **STABILITY OPERATIONS**

2 2-1. Some military operations normally will continue after the conclusion of combat operations. An
3 extended U.S. presence will be required to conduct stability operations to enable legitimate civil authority
4 and attain the national strategic end state. These missions, tasks, and activities seek to maintain or
5 reestablish a safe and secure environment and provide essential governmental services, emergency
6 infrastructure reconstruction, or humanitarian relief. To reach the national strategic end state and conclude
7 the operation or campaign successfully, JFCs must integrate and synchronize stability operations with other
8 operations (offense and defense) within each major operation or campaign phase. Stability operations that
9 support USG plans for stability, security, transition, and reconstruction operations primarily support HN
10 authorities, other government agencies (OGAs), NGOs, and IGOs. Stability operations may be required
11 during FHA operations to help rebuild HN capacity.

12 **NATION ASSISTANCE OPERATIONS**

13 2-2. Nation assistance operations are often connected with FHA operations, but there are very distinct
14 differences. NA refers to civil and/or military assistance rendered to a nation by foreign forces within that
15 nation’s territory during peacetime, crises or emergencies, or war based on agreements mutually concluded
16 between nations. NA programs (Figure 2-2) include, but are not limited to, security assistance; foreign
17 internal defense (FID); other Title 10, United States Code (USC) programs, to include humanitarian and
18 civic assistance (HCA) and military civic action (MCA); and activities performed on a reimbursable basis
19 by Federal agencies or IGOs. NA generally refers to a long-term commitment to promote sustainable
20 development and growth of responsive institutions. Most often, NA will be an important part of rebuilding
21 after the completion of a disaster relief FHA mission.



22 **Figure 2-2. Nation assistance programs**

23 **SECURITY ASSISTANCE**

24 2-3. Security assistance refers to a group of programs by which the United States provides defense
25 articles, military training, and other defense-related services to foreign nations by grant, loan, credit, or
26 cash sales in furtherance of U.S. national policies and objectives (for example, foreign military sales).
27 Security assistance is a broad program aimed at enhancing regional security in areas of the world facing

1 internal or external threats. Security assistance is under the supervision and general direction of the
 2 Department of State (DOS). The DOD administers military portions of the program under the direction of
 3 the Assistance Secretary of Defense (International Security Affairs). GCCs have the responsibility of
 4 planning FID operations for their area of responsibility (AOR); however, they interface directly with the
 5 security assistance process through the security assistance organization, which is located in the HN. This
 6 action is coordinated with the U.S. chief of mission (COM) or Ambassador. GCCs are active in the security
 7 assistance process by advising the security assistance officer and by coordinating and monitoring ongoing
 8 security assistance efforts in their AORs. Security assistance can include training foreign military forces in
 9 CMO and civil-military relations.

10 FOREIGN INTERNAL DEFENSE

11 2-4. FID involves participation by civilian and military agencies of a government in any of the action
 12 programs taken by another government or other designated organization to free and protect its society from
 13 subversion, lawlessness, and insurgency. FID is an umbrella concept that covers a broad range of activities.
 14 Its primary intent is always to help the legitimate host government address internal threats and their
 15 underlying causes. Commensurate with U.S. policy goals, the focus of all U.S. FID efforts is to support the
 16 HN program of internal defense and development. FID is not restricted to times of conflict. It also can take
 17 place in the form of training exercises and other activities that show U.S. resolve to and for the region.

18 2-5. CA units conduct various CAO that support the internal development of a foreign nation or HN. CA
 19 may support other military forces and nonmilitary agencies through direct or indirect support of FID, but
 20 they must coordinate with the HN and the theater special operations command (TSOC) (GCC). These
 21 operations focus on the indigenous infrastructures and population in the operational areas.

22 2-6. CA forces supporting FID operations are normally assigned to the highest-level military elements
 23 supervising FID operations or to U.S. military advisory elements that train and aid foreign nation or HN
 24 military units. CA support to FID operations may include—

- 25 • Reviewing U.S. security assistance program goals and HN internal defense and development goals,
 26 and planning CMO to support the HN plan.
- 27 • Training HN military to plan, train for and conduct NA, populace and resources control, and other
 28 CAO appropriate to the internal defense and development of its country.
- 29 • Training on tactics, techniques, and procedures required to protect the HN from subversion,
 30 lawlessness, and insurgency; develop indigenous individual, leader, and organizational skills;
 31 isolate insurgents from the civil population; and protect the civil population.
- 32 • Establishing and maintaining contact with nonmilitary agencies and local authorities.
- 33 • Identifying specific CMO missions the HN military can and should conduct.

34 HUMANITARIAN AND CIVIC ASSISTANCE

35 2-7. HCA is assistance to the local populace provided in conjunction with authorized military operations.
 36 This assistance is specifically authorized by Section 401, Title 10, United States Code (10 USC 401),
 37 *Humanitarian and Civic Assistance Provided in Conjunction with Military Operations*, and funded under
 38 separate authorities. Assistance provided under these provisions must promote the security interests of both
 39 the United States and the host country and the specific operational readiness skills of the members of the
 40 Armed Forces who participate in the activities. Assistance is limited to—

- 41 • Medical, surgical, dental, and veterinary care provided in areas of a country that are rural or are
 42 underserved by medical, surgical, dental, and veterinary professionals, respectively, including
 43 education, training, and technical assistance related to the care provided.
- 44 • Construction of rudimentary surface transportation systems.
- 45 • Well drilling and construction of basic sanitation facilities.

Chapter 2

- 1 • Rudimentary construction and repair of public facilities.
- 2 • Detection and clearance of land mines and other explosive remnants of war, including activities
- 3 relating to the furnishing of education, training, and technical assistance with respect to the
- 4 detection and clearance of land mines and other explosive remnants of war.

5 **MILITARY CIVIC ACTION**

6 2-8. MCA programs offer the JFC an opportunity to improve the HN infrastructure and the living
7 conditions of the local populace, while enhancing the legitimacy of the HN government. These programs
8 use predominantly indigenous military forces at all levels in such fields as education, training, public
9 works, agriculture, transportation, communications, health, sanitation, and other areas that contribute to the
10 economic and social development of the nation. These programs can have excellent long-term benefits for
11 the HN by enhancing the effectiveness of the host government, developing needed skills, and enhancing
12 the legitimacy of the host government by showing the people that their government is capable of meeting
13 the population’s basic needs. MCA may involve U.S. military supervision and advice, but the visible effort
14 should be conducted by the HN or foreign nation military.

15 2-9. It is important to understand the differences among HCA, MCA, and FHA. FHA focuses on the use
16 of DOD support as necessary to alleviate urgent needs in an HN caused by some type of disaster or
17 catastrophe. By contrast, HCA and MCA programs are typically preplanned military exercises designed to
18 assist the HN.

19 2-10. To avoid possible overlap or duplication and ensure sustainability, HCA and MCA projects must be
20 coordinated with the Country Team (especially USAID) and the HN. For example, school construction
21 should not be undertaken if there is not a sustainable plan by partners to provide teachers and
22 administration, salaries, equipment, and books.

23 **PEACE OPERATIONS**

24 2-11. Peace operations encompass multiagency and multinational crisis response and limited contingency
25 operations involving all instruments of national power with military missions to contain conflict, redress
26 the peace, and shape the environment to support reconciliation and rebuilding and facilitate the transition to
27 legitimate governance. Peace operations include peacekeeping, peace enforcement, peacemaking, peace
28 building, and conflict prevention efforts.

29 **NONCOMBATANT EVACUATION OPERATIONS**

30 2-12. NEOs are conducted to assist the DOS in evacuating U.S. citizens, DOD civilian personnel, and
31 designated HN and third-country nationals whose lives are in danger from locations in a foreign nation to
32 an appropriate safe haven. Although normally considered in connection with hostile action, evacuation
33 may also be conducted in anticipation of, or in response to, any natural or man-made disaster.

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Chapter 3

2

Civil Affairs Role in Foreign Humanitarian Assistance

3

The CA role in FHA is one of support to the commander’s operational function and to the administration of certain aspects of the FHA operation. FHA operations are inherently complex and require a significant amount of interagency coordination. FHA is normally directed from the strategic level, coordinated and managed at the operational level, and conducted at the tactical level. On all levels, CA forces perform the tasks discussed in Figure 3-1. JP 3-29 contains additional details for the civil-military operations center (CMOC).

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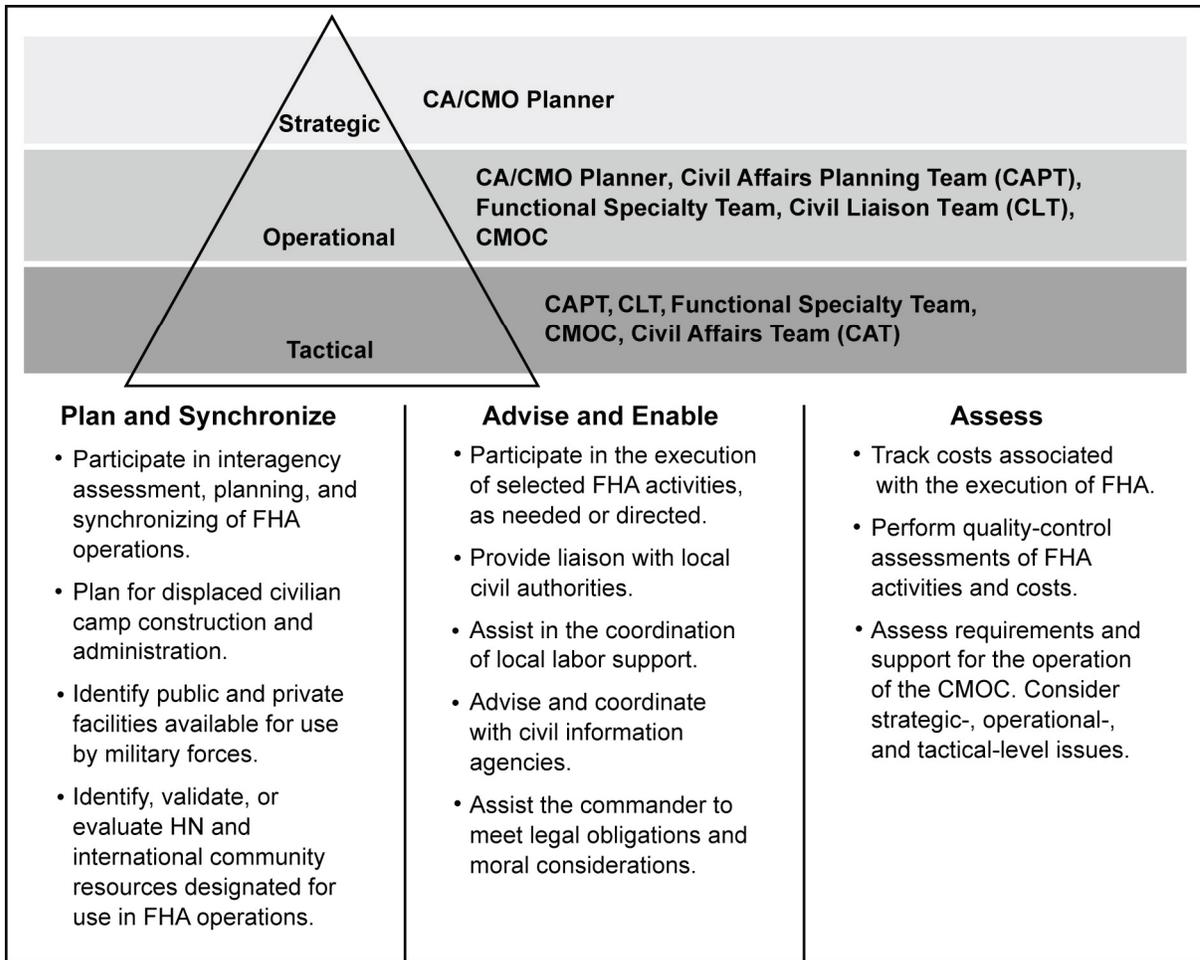
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Figure 3-1. Civil Affairs tasks

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STRATEGIC LEVEL

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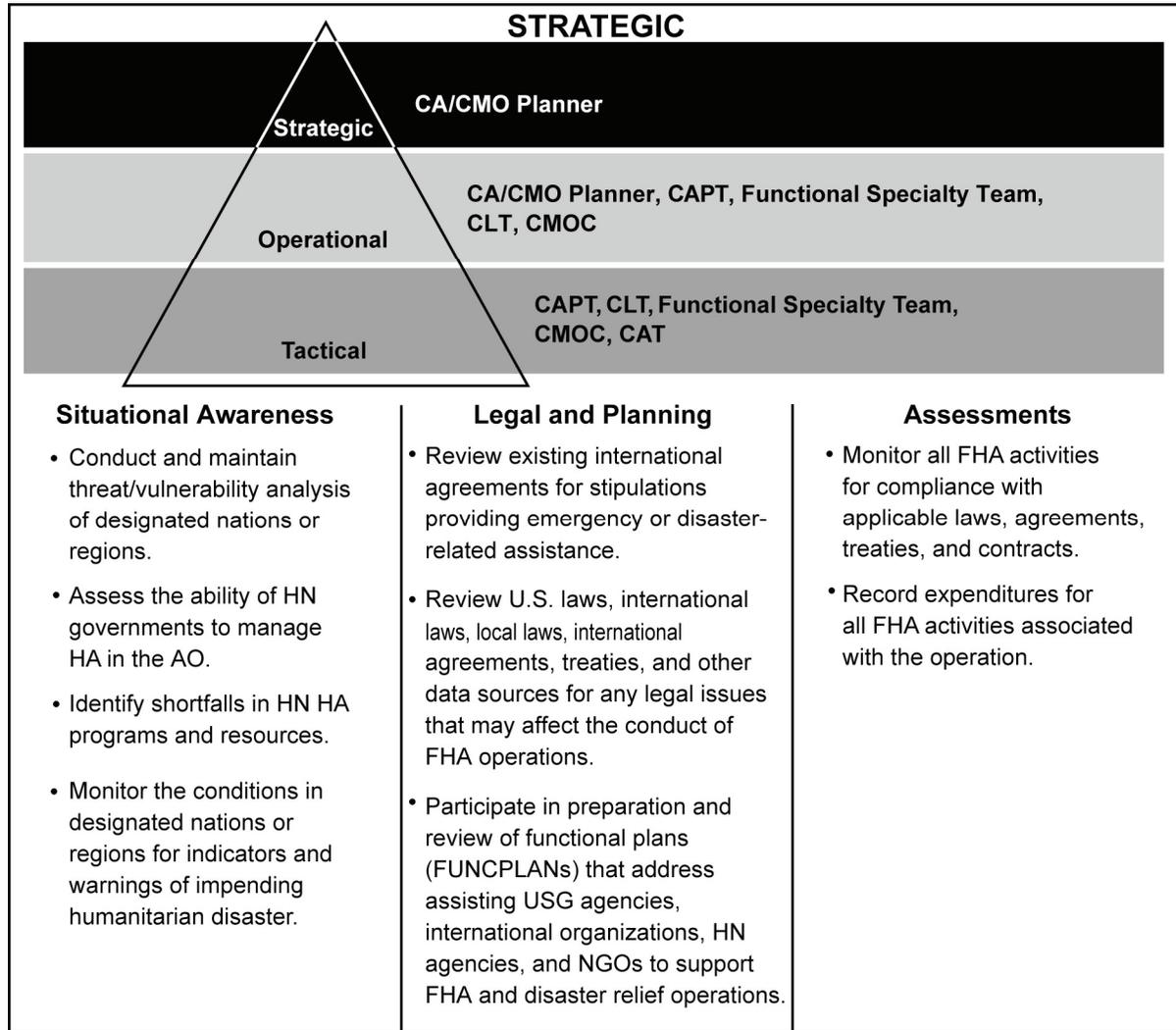
3-1. At the strategic level (Figure 3-2), the CA force must understand the following:

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- DOS is the lead federal agency for FHA.

Chapter 3

- 1 • Approval authority for commitment of DOD component resources or services for foreign disaster
- 2 relief operations rests with the Assistant Secretary of Defense for Peacekeeping and Humanitarian
- 3 Assistance.
- 4 • DOD supplies and services are provided for disaster and humanitarian purposes only after approval
- 5 by the Assistant Secretary of Defense (International Security Affairs). DOD provides supplies and
- 6 services from the most expedient source, which is normally the GCC from whose theater the FHA
- 7 requests emanate.

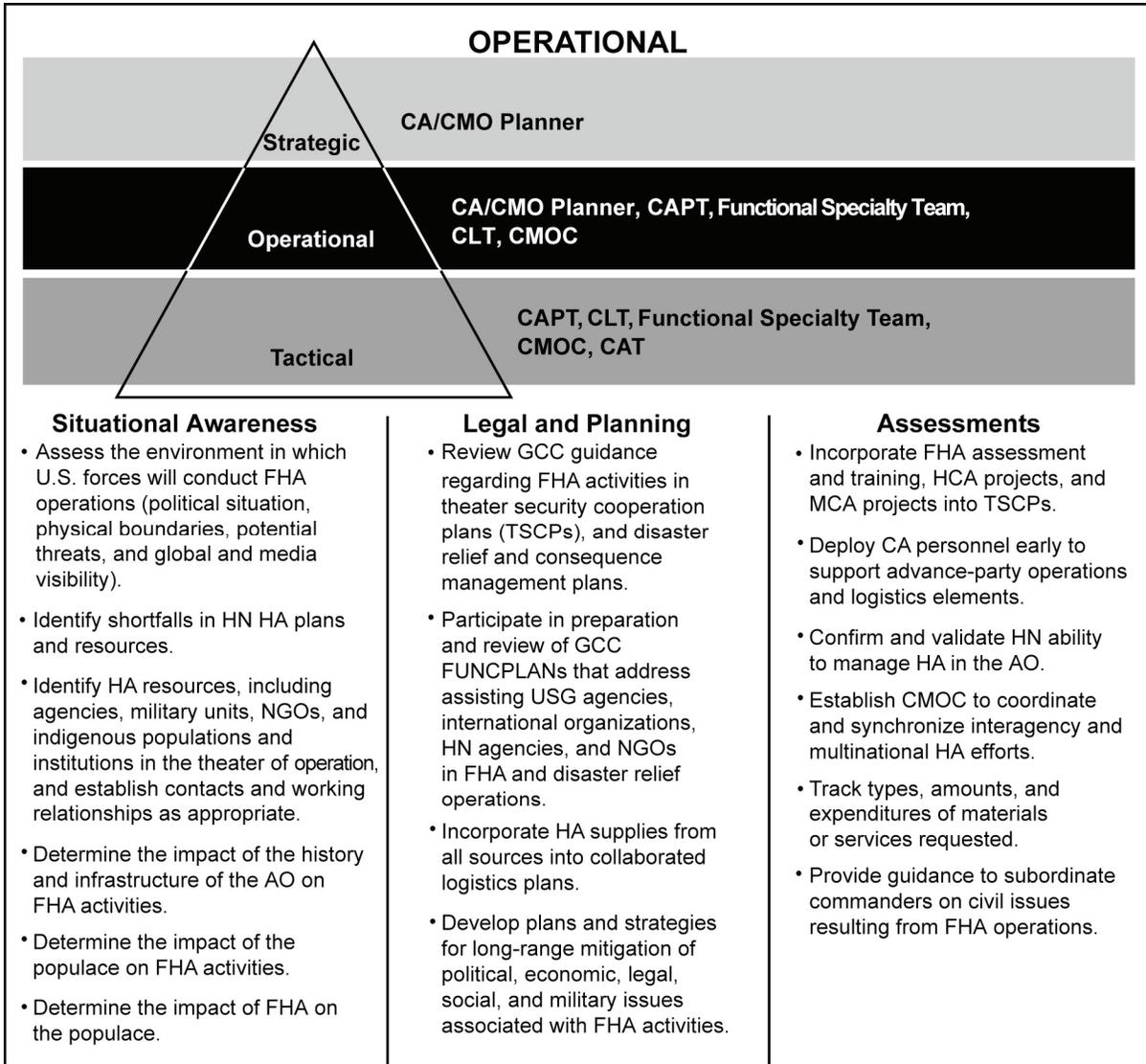


8 **Figure 3-2. Strategic-level Civil Affairs tasks**

1 OPERATIONAL LEVEL

2 3-2. At the operational level (Figure 3-3), the CA force must understand the following:

- 3 • DODD 5100.46 establishes the relationship between DOD, USAID, and OFDA. The Deputy
- 4 Assistant Secretary of Defense (Humanitarian and Refugee Affairs) (DASD[H&RA]) is the
- 5 primary point of contact (POC).
- 6 • OFDA and USAID often have existing operational links and grants relationships with many NGOs
- 7 and international organizations that have relief programs outside the United States.



8 **Figure 3-3. Operational-level Civil Affairs tasks**

9 **TACTICAL LEVEL**

10 3-3. At the tactical level (Figure 3-4, page 3-4), CA force must understand the following:

- 11 • Even in permissive environments, nonthreatening means—such as demonstrations—may be used
- 12 to impair credibility or reduce the effectiveness of U.S. military activities.

Chapter 3

- 1 • HN authorities or combatants may use FHA and disaster relief as a tool for political gain.
- 2 • Military commanders at the immediate scene of a foreign disaster are authorized to conduct prompt
- 3 relief operations when time is of the essence.
- 4 • Measures to ensure continuity of operations, troop survival, and the rehabilitation of essential
- 5 military bases take precedence over military support of local communities.

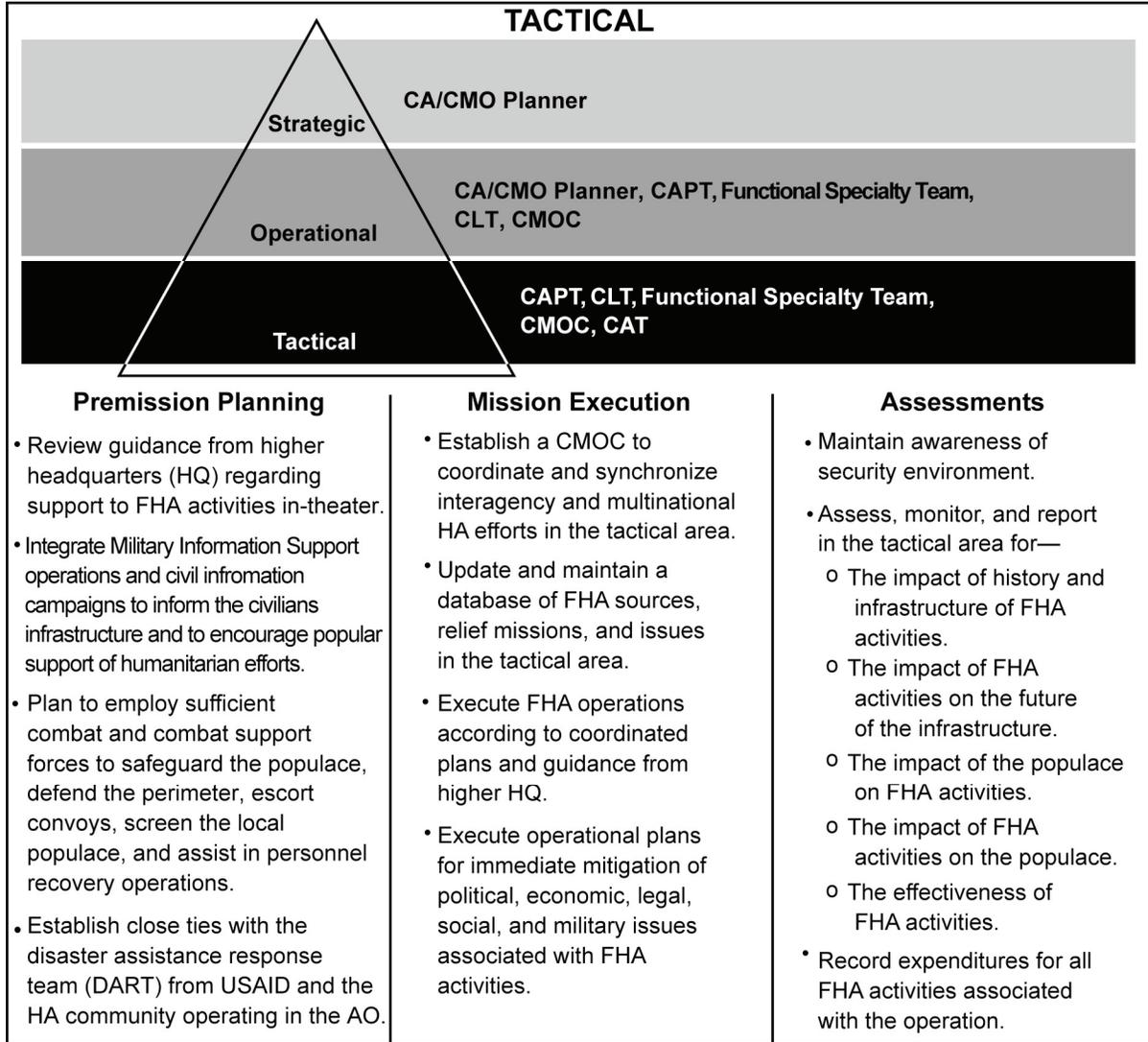


Figure 3-4. Tactical-level Civil Affairs tasks

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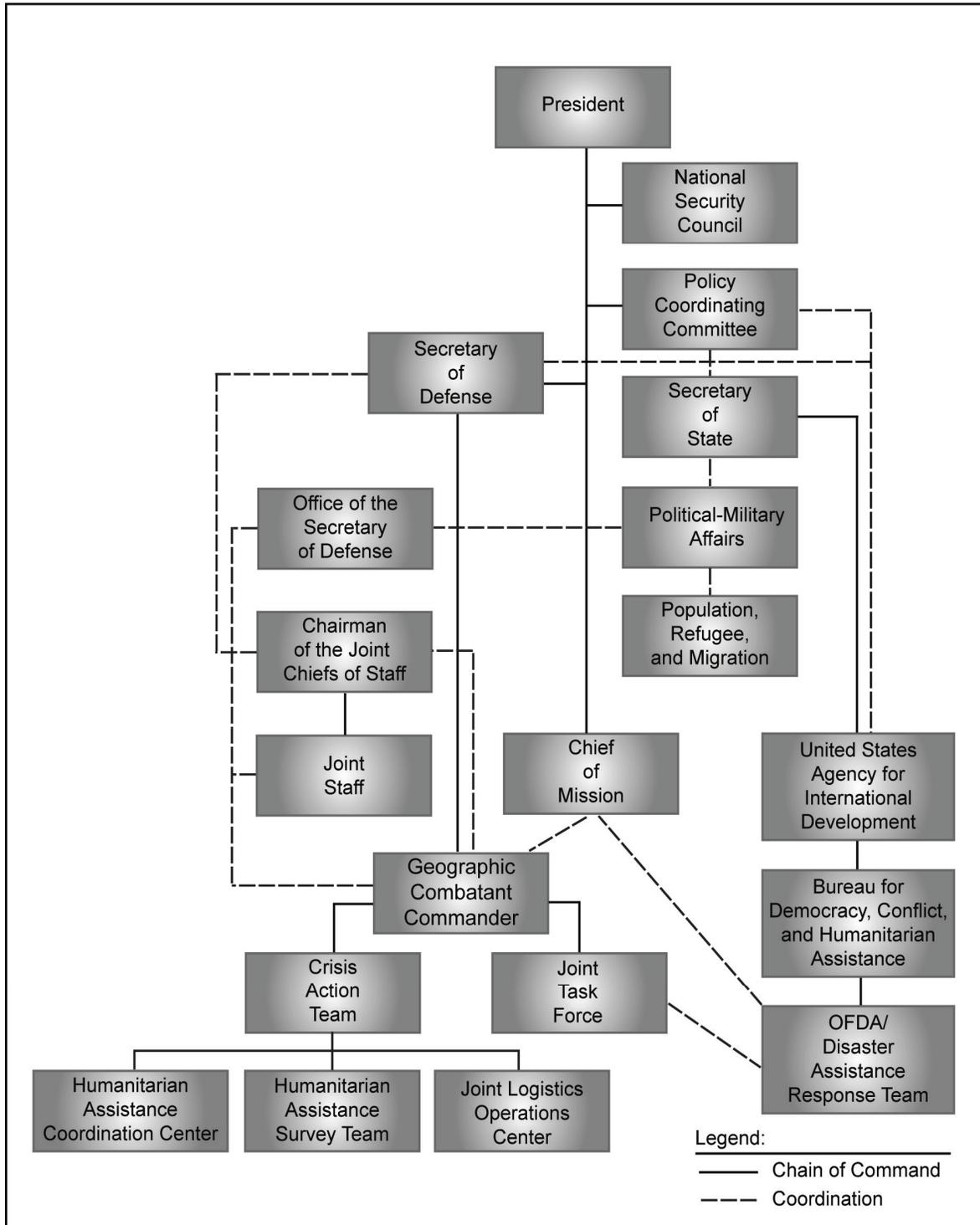
Chapter 4

Planning Factors for Foreign Humanitarian Assistance Operations

This chapter is designed to assist the CA force assigned to support FHA missions across the strategic, operational, and tactical levels. When participating in an FHA operation, it is very likely that CA forces will deploy as part of a JTF. Therefore, it is essential for successful mission implementation to understand the structure of USG interagency coordination and collaboration. The chapter describes many of these agencies (Figure 4-1, page 4-2).

As stated earlier, U.S. military forces are not the primary USG means of providing FHA. They normally supplement the activities of U.S. and foreign government authorities, NGOs, and IGOs. USAID is the principal agency for U.S. bilateral development and HA to foreign countries. Within USAID, the Office of Military Affairs provides the focal point for USAID interaction with U.S. and foreign militaries, and OFDA is the primary office within USAID that facilitates and coordinates all non-food emergency assistance overseas. FHA missions conducted by U.S. military forces span the entire range of military operations but are most often crisis response and limited contingency operations that are unilaterally or multinational coordinated. Multinational responses may or may not involve the UN. GTA 41-01-006 provides additional information.

A crisis response or limited contingency operation can be a single small-scale, limited duration operation or a significant part of a major operation of extended duration involving combat. A limited contingency operation in response to a crisis includes all of those operations for which the joint operation planning process (JOPP) is required and a contingency or crisis action plan is developed. The level of complexity, duration, and resources is situational dependent. Included are operations to maintain and improve U.S. ability to operate with multinational partners to deter the hostile ambitions of potential aggressors (for example, JTF Shining Hope in the spring of 1999 to support refugee humanitarian relief for hundreds of thousands of Albanians fleeing their homes in Kosovo). Many such operations involve a combination of military forces and capabilities in close cooperation with OGAs, IGOs, and NGOs. The ability of the United States to respond rapidly with appropriate options to potential or actual crises contributes to regional stability. Thus, joint operations may often be planned and executed as a crisis response or limited contingency. Crisis response and limited contingency operations are typically limited in scope and scale and conducted to achieve a very specific objective in an AO. They may be conducted as stand-alone operations in response to a crisis or executed as an element of a larger, more complex joint campaign or operation.



1

Figure 4-1. Interagency coordination for foreign humanitarian assistance

1 **KEY MILITARY ELEMENTS**

2 4-1. The GCCs direct military operations, including FHA, within their AORs. Ideally, this should be done
3 with the concurrence of the COM, also known as the ambassador. GCCs develop and maintain
4 commander's estimates, base plans, concept plans (CONPLANS), or OPLANs for FHA, disaster relief, and
5 FCM. In response to a disaster, the supported GCC structures the force necessary to conduct and sustain
6 the FHA operation, typically forming a JTF. Advisors on the GCC's staff will be in close communications
7 with various advisors and counterparts on the JTF staff. Additionally, supporting combatant commanders
8 (CCDRs) may provide necessary support, including transportation, forces, SOF, and communications
9 capabilities, as required.

10 **CRISIS ACTION TEAM**

11 4-2. Each CCDR has an organization designed to respond to immediate requirements, often called a crisis
12 action or rapid deployment team. The initially deployed team serves as the immediate responder/assessor
13 for the CCDR. The exact composition of this team and the subsequent follow-on assets will vary
14 depending on the type and severity of the incident and, in some cases, restrictions placed on the COM by
15 the HN (through a status-of-forces agreement [SOFA], treaties, or informal agreements) in limiting the
16 number of foreign military permitted in-country. When an FHA operation has been or will likely be
17 directed, the crisis action team can recommend to the CCDR priority issues (water, food, equipment, and so
18 on) as well as how to organize for the most effective response. The crisis action team may form the nucleus
19 of the FHA force headquarters (HQ) or the JTF command element.

20 **HUMANITARIAN ASSISTANCE SURVEY TEAM**

21 4-3. The supported CCDR may also organize and deploy a humanitarian assistance survey team (HAST)
22 to acquire information required for planning. This information may include an assessment of existing
23 conditions and requirements for FHA force structure. Before deploying, the HAST should be provided the
24 current threat assessment; current relevant intelligence; geospatial information and services support; and
25 embassy, DOS, and USAID points of contact. Due to the possibly dangerous nature of the environment at
26 the site of a disaster, the HAST should include medical personnel who can conduct both a predeployment
27 vulnerability assessment and an occupational and environmental health site assessment, documenting
28 conditions in the AO. The DART and USAID mission can provide a great deal of this information to the
29 HAST. Once deployed, the HAST can assess the relationship with and authority of the government of the
30 affected country, identify primary points of contact for coordination and collaboration, determine the threat
31 environment and survey facilities that may be used for protection purposes, and coordinate specific support
32 arrangements for the delivery of food and medical supplies. The HAST works closely with the DART to
33 prevent duplication of effort.

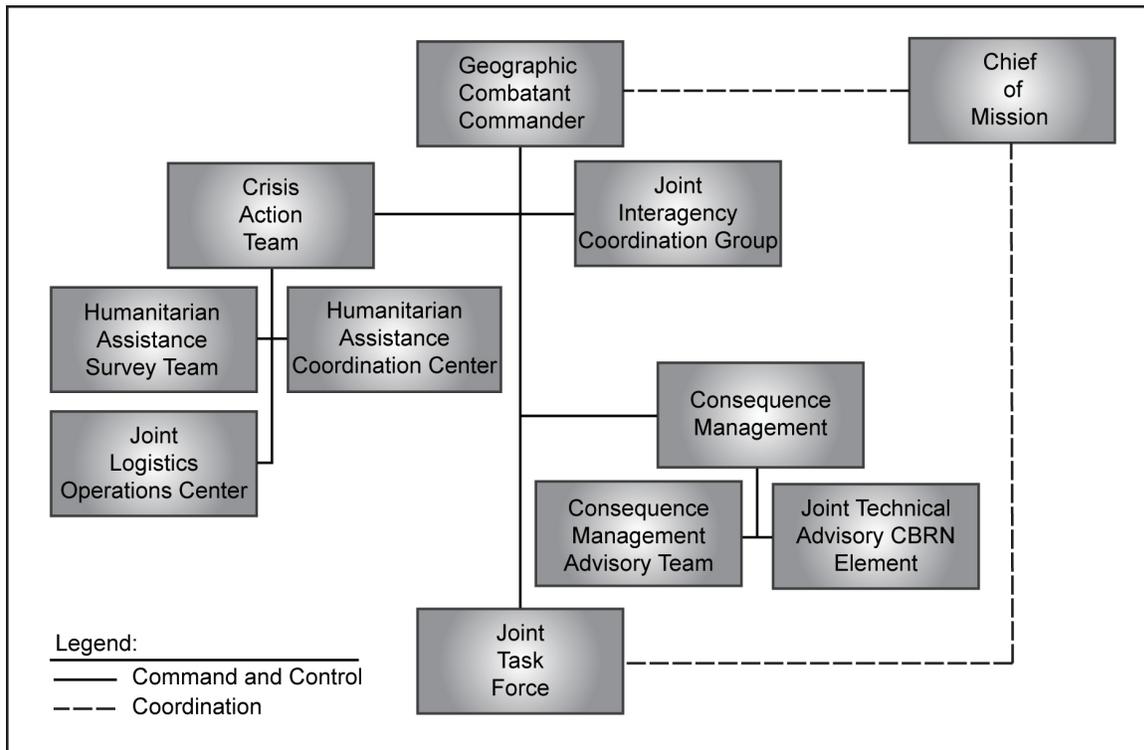
34 **HUMANITARIAN ASSISTANCE COORDINATION CENTER**

35 4-4. The supported CCDR may establish a humanitarian assistance coordination center (HACC) to assist
36 with coordination and planning. The HACC provides the critical link between the CCDR and OGAs,
37 IGOs, and NGOs that may participate in the FHA operation at the theater strategic level. Normally, the
38 HACC is a temporary organization that operates during the early planning and coordination stages of the
39 operation. Once a CMOC or humanitarian operations center has been established, the role of the HACC
40 diminishes, and its functions are accomplished through the normal organization of the CCDR's staff and
41 crisis action organization. Staffing for the HACC should include a director appointed by the supported
42 GCC, a CMO planner, an OFDA advisor or liaison if available, a public affairs officer (PAO), an NGO
43 advisor, and other augmentation (for example, a political advisor [POLAD] or a preventive medicine
44 physician) when required. Liaisons from OGAs, U.S. Army Corps of Engineers, key NGOs, IGOs, and HN
45 agencies also may be members of the HACC in large-scale FHA operations.

Chapter 4

1 **JOINT INTERAGENCY COORDINATION GROUP**

2 4-5. The joint interagency coordination group (JIACG) is an interagency staff group that establishes
 3 regular, timely, and collaborative working relationships between civilian and military operational planners.
 4 Composed of USG civilian and military experts accredited to the CCDR and tailored to meet the
 5 requirements of a supported CCDR, the JIACG provides the CCDR with the capability to collaborate at the
 6 operational level with other USG civilian agencies and departments (Figure 4-2). The primary role of the
 7 JIACG is to enhance interagency coordination. The JIACG complements the interagency coordination that
 8 takes place at the national level through DOD and the NSC. JIACG members participate in contingency,
 9 crisis action, security cooperation, and other operational planning. They provide a conduit back to their
 10 parent organizations to help synchronize joint operations with the efforts of OGAs. The JIACG may play
 11 an important role in contingency planning for FHA and in initial interagency coordination prior to
 12 establishment of a HACC or other coordination body.



13 **Figure 4-2. Joint interagency coordination group working relationship**

14 *Note:* More information on the JIACG is contained in JP 3-08, *Interagency, Intergovernmental*
 15 *Organization, and Nongovernmental Organization Coordination During Joint Operations,*
 16 *Volume I,* and the *Commander's Handbook for the Joint Interagency Coordination Group.*

17 **CONSEQUENCE MANAGEMENT ADVISORY TEAM AND A JOINT TECHNICAL ADVISORY**
 18 **CHEMICAL, BIOLOGICAL, RADIOLOGICAL, NUCLEAR ELEMENT**

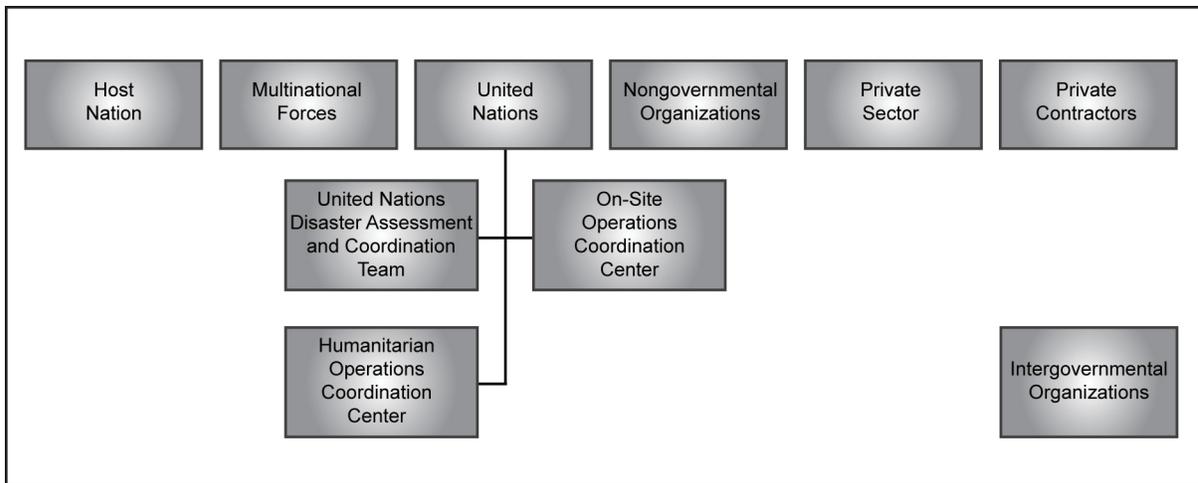
19 4-6. During a crisis involving CBRN materials, the Director of the Defense Threat Reduction Agency
 20 (DTRA), at the request of a CCDR, and in coordination with the joint staff, may direct the immediate
 21 deployment of a supporting consequence management advisory team (CMAT). The CMAT provides task-
 22 organized, deployable, doctrinal, and technical consequence management expertise; support; advice; and

1 hazard prediction modeling assistance for the DOD and other federal agencies during all phases of CBRN
2 accidents or incidents.

3 4-7. When requested by combatant commands and directed by the Secretary of Defense (SecDef), the
4 United States Strategic Command can deploy a CBRN CM technical advice and assistance element (known
5 as a joint technical advisory CBRN element [JTACE]) to augment a CMAT with specialists in public
6 affairs, legal counsel, radiobiology, and other fields pertinent to the mission. The JTACE will leverage
7 DTRA’s reachback capability across DOD, the federal government, and academia to provide mission
8 critical information to the supported organization.

9 **KEY NON-UNITED STATES GOVERNMENT PARTICIPANTS**
10 **AND ORGANIZATIONS**

11 4-8. The following paragraphs discuss non-U.S. organizations (Figure 4-3) that can play key roles in
12 FHA missions.



13 **Figure 4-3. Non-United States organizations**

14 **HOST NATION**

15 4-9. The HN is a nation that receives the forces and/or supplies of allied nations, coalition partners,
16 and/or an IGO, such as the North Atlantic Treaty Organization (NATO) to be located on, to operate in, or
17 to transit through its territory. The HN will coordinate all relief efforts within its territory. U.S. forces
18 conducting FHA do so with the permission of the HN under the guidance of formal and informal
19 agreements. JFCs should become knowledgeable of all bilateral agreements for mutual support, and
20 exercise these agreements to the maximum extent possible. If the necessary agreements are not in place,
21 commanders must obtain authority to negotiate (through the joint staff) and then actively seek bilateral
22 agreements to support the joint reception, staging, and onward movement of forces, equipment, and
23 supplies. The Country Team will be critical to this effort. The embassy is the primary liaison with the HN
24 government.

25 **MULTINATIONAL FORCES**

26 4-10. Other nations may deploy military forces to support the FHA effort. These forces may provide
27 liaison officers to the combatant command, the JTF, and the CMOC.

Chapter 4

1 **UNITED NATIONS**

2 4-11. The purposes of the UN, as set forth in the charter, are to maintain international peace and security;
3 to develop friendly relations among nations; to cooperate in solving international economic, social,
4 cultural, and humanitarian problems and in promoting respect for human rights and fundamental freedoms;
5 and to be a center for harmonizing the actions of nations in attaining these ends.

6 4-12. The UN coordinates its response to humanitarian crises through a committee of all the key
7 humanitarian bodies, chaired by the UN Emergency Relief Coordinator. The UN has been relied on by the
8 international community to respond to natural and man-made disasters that are beyond the capacity of
9 national authorities alone. Today, the UN is a major provider of emergency relief and longer-term
10 assistance, a catalyst for action by governments and relief agencies, and an advocate on behalf of people
11 struck by emergencies.

12 4-13. During HA operations in which the UN is involved, the UN will form a United Nations disaster
13 assessment and coordination (UNDAC) team, an on-site operations coordination center (OSOCC), or a
14 humanitarian operations coordination center (HOCC). These operations centers assist the local emergency
15 management authority of the HN to coordinate international relief efforts. The UN humanitarian
16 coordinator is responsible for establishing and maintaining comprehensive coordination mechanisms based
17 on facilitation and consensus building among actors involved at the country level in the provision of HA
18 and protection, including cluster leads.

19 **NONGOVERNMENTAL ORGANIZATIONS**

20 4-14. An NGO is a private, self-governing, not-for-profit organization dedicated to alleviating human
21 suffering; and/or promoting education, health care, economic development, environmental protection,
22 human rights, and conflict resolution; and/or encouraging the establishment of democratic institutions and
23 civil society. Where long-term problems precede a deepening crisis, NGOs are frequently on scene before
24 the U.S. military and are willing to operate in high-risk areas. They may have a long-term established
25 presence in the crisis area. They will most likely remain long after military forces have departed. Because
26 of their capability to respond quickly and effectively to crises, they can lessen the civil-military resources
27 that a commander would otherwise have to devote to an operation. Working alone, alongside the U.S.
28 military, or with other U.S. agencies, NGOs assist in all the world's trouble spots where humanitarian or
29 other assistance is needed. NGOs may range in size and experience from those with multimillion dollar
30 budgets and decades of global experience in developmental and humanitarian relief to newly created small
31 organizations dedicated to a particular emergency or disaster. Whereas the military's initial objective is
32 stabilization and security for its own forces, NGOs seek to address humanitarian needs first and are often
33 unwilling to subordinate their objectives to achievement of an end state, which they had no part in
34 determining. The extent to which specific NGOs are willing to cooperate with the military can thus vary
35 considerably.

36 **Private Sector**

37 4-15. Increasingly, the resources of the international business community are being used to mitigate human
38 suffering associated with disasters. Businesses donate talent or in-kind goods and services to disaster relief
39 and recovery operations in developing countries and try to ensure that their help is delivered in a
40 coordinated and effective manner.

41 **Private Contractors**

42 4-16. Although U.S. military contractors are addressed in other Sections, commanders should be aware
43 that private contractors are employed by a wide range of actors, inside and out of the USG. They are often
44 employed to provide security, training, technical expertise, and logistical support. Commanders should be
45 cognizant that the local population often views contractors as USG representatives and any negative
46 behavior or interaction with the local population on the part of contractors can have an adverse impact on
47 U.S. efforts. Commanders should consider developing guidance for the contractors in the humanitarian

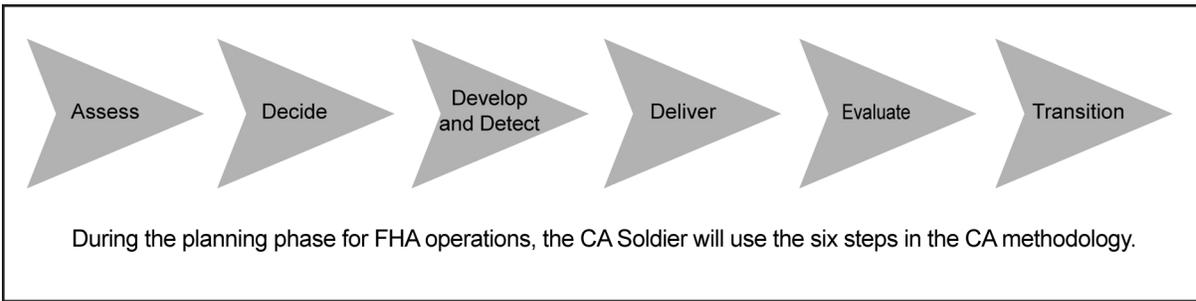
1 zone, and should consider the need to develop public affairs guidance that takes into account potential
2 issues with private contractors, should they arise.

3 **INTERGOVERNMENTAL ORGANIZATIONS**

4 4-17. An IGO is an organization created by a formal agreement (for example, a treaty) between two or
5 more governments. It may be established on a global, regional, or functional basis for wide-ranging or
6 narrowly defined purposes. It is formed to protect and promote national interests shared by member states.
7 Examples include the UN, NATO, and the African Union. NATO and the Organization for Security and
8 Cooperation in Europe (OSCE) are regional security organizations, while the African Union and the
9 Organization of American States are general regional organizations. A new trend toward subregional
10 organizations is also evident, particularly in Africa where, for example, the Economic Community of West
11 African States has taken on some security functions. These organizations have defined structures, roles,
12 and responsibilities, and may be equipped with the resources and expertise to participate in complex
13 interagency, IGO, and NGO coordination and collaboration. The United States maintains formal or
14 informal ties with some of the largest of these IGOs.

15 **SIX STEPS IN THE CIVIL AFFAIRS METHODOLOGY**

16 4-18. FHA is a core task for all CA Soldiers. Therefore, it is important for each CA Soldier to know and
17 understand operations at each level. In most FHA operations, a predeployment site survey (PDSS) would
18 be hasty at best, but, knowing the important roles for CA Soldiers at each level are keys to success in
19 mission planning, execution, and transition. This section of the ATTP will attempt to highlight the roles of
20 a CA Soldier at each level of operation using the six steps in the CA methodology as a guide (Figure 4-4).
21 CA Soldiers apply the CA methodology at the strategic, operational, and tactical levels of war. At each
22 level, it supports the commander’s ability to visualize, describe, direct, and lead operations in his AO.
23 Elements of the common problem-solving and decision-making processes used at various levels of
24 command are embedded within the steps of the CA methodology. GTA 41-01-004, *Joint Civil Affairs
25 Operations and Joint Civil-Military Operations Planning Guide*, provides a more detailed understanding of
26 joint planning.



27 **Figure 4-4. Civil Affairs methodology**

28 4-19. During an FHA operation, joint planners may use the crisis action planning (CAP) process of the
29 Joint Operation Planning and Execution System (JOPES) because of the time-sensitive nature of
30 deployment, employment, and sustainment of assigned and allocated forces and resources.

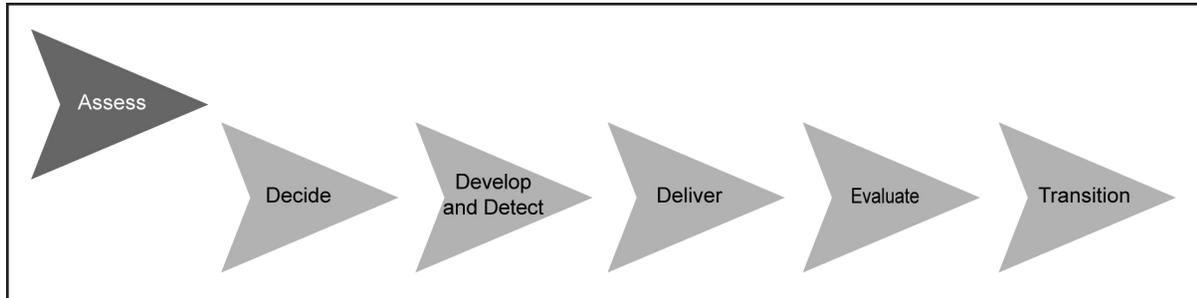
31 4-20. In addition, research from lessons learned, after-action reviews (AARs), and trip reports during
32 previous FHA operations can provide valuable insight for commanders and staffs preparing for a similar
33 operation.

34 **PLANNING FACTORS: ASSESS**

35 4-21. The assessment begins at receipt of mission and continues through the mission analysis process
36 focusing on defining the civil components of the supported commander’s AO. This step looks at the

Chapter 4

1 nonmilitary factors that shape the operational environment. (ASCOPE is the one tool used by CA to
2 describe the nonmilitary factors in an AO. It stands for areas, structures, capabilities, organizations, people,
3 and events.) This step (Figure 4-5) is conducted for each of the 14 CA functional specialties as well as the
4 general aspect of the AO. In many cases, this information has already been consolidated. The product of
5 this step is an initial estimate and restated mission statement.



6 **Figure 4-5. Assess**

7 **Planning Factors: Assess at the Strategic Level**

8 4-22. Planning at the GCC and higher levels (DOD and Joint Chiefs of Staff) is based on national policy
9 directives and strategies. The Joint Strategic Capabilities Plan (JSCP) and the Contingency Planning
10 Guidance, prepared by the Chairman of the Joint Chiefs of Staff (CJCS), task the GCCs to develop plans
11 for potential operational contingencies and deterrence. The JSCP tasks the development of GCC-prepared
12 OPLANs, selected CONPLANs (with or without time-phased force deployment data [TPFDD]), and
13 FUNCPLANs. The JOPES formalizes the planning process and provides for orderly and coordinated
14 problem solving and decision making in two related but distinct categories—contingency planning and
15 CAP—which differ primarily in the amount of available planning time.

16 4-23. The CAPT of the regionally aligned Civil Affairs commands (CACOMs) support the strategic CMO
17 planning at the theater level. These teams develop complete CA plans, policies, and programs that support
18 the GCC’s strategic plan. Individual CA functional specialists from the CACOM’s organic functional
19 specialty cells support the CAPTs. To transition to CAP, CMO planners must examine contingency
20 planning assumptions and the plans adjusted accordingly to account for any differences between
21 assumptions and the actual circumstances at the time of the crisis. Additionally, if there is a CMO planner
22 working with the Country Team, they can provide more specific details to the overall plan.

23 **Planning Factors: Assess at the Operational Level**

24 4-24. Operational-level planning concentrates on developing plans for campaigns, subordinate campaigns,
25 and major operations that accomplish multinational, national, and theater strategic objectives. The CA
26 brigade CAPT supports CAO and CMO G-9 planning staff at the corps or the division HQ (acting as a
27 JTF). In crisis situations requiring rapidly deployable CA forces, the Active Army CA brigade CAPT
28 normally provides this support. Transition may occur with follow-on United States Army Reserve (USAR)
29 CA forces, NGOs or the HN. CAO and CMO operational planning concentrates on the civil components of
30 the supported commander’s AO at the regional and provincial level. National-level CAO and CMO
31 analysis data developed at the theater level is refined and validated as it pertains to the assigned corps and
32 JTF AO.

33 4-25. The G-9 (designated as the J-9 or CJ-9 during joint and coalition operations) staff directorate has the
34 primary responsibility for the planning and integration of CAO and CMO at the operational level. During
35 the operational-level military decision-making process (MDMP), the G-9 staff is proactive. The staff
36 integrates CAO and CMO planning considerations with the other staff elements according to the
37 development of the CMO estimate.

1 **Planning Factors: Assess at the Tactical Level**

2 4-26. At the tactical level, CAO and CMO planners concentrate their analysis and planning efforts on the
3 unit AO described in the higher HQ OPLAN and the supported commander's areas of interest. Tactical
4 planning will encompass guidance and information developed during systems analysis at corps and JTF
5 levels, and operational-level CMO objectives described in the OPLAN received from higher HQ. In
6 addition, they will receive prioritized CA tasks, measures of performance (MOPs), and MOEs.

7 *Note:* Additional MOPs and MOEs can be developed at this time to better support the specific
8 mission guidance.

9 4-27. Tactical-level CAO and CMO planning requires the application of the mission, enemy, terrain and
10 weather, troops and support available, time available and civil considerations (METT-TC) factors,
11 concentrating on the civil considerations aspect of the AO during the conduct of MDMP. Using the
12 ASCOPE model will assist in the analysis of civil considerations. At this phase, an initial estimate and a
13 restated mission statement is completed.

14 4-28. During FHA operations, CA forces at the tactical level should become aware of other organizations
15 operating in their AO. During the beginning of a crisis situation where the international response is high, a
16 coordinated response may not be fully developed. CA forces should always make contact with these
17 organizations throughout the initial phases and locate the civilian coordination center. In many cases, this
18 may be the UN HOCC (or Humanitarian Information Center [HIC]). The World Health Organization
19 (WHO) may be operating in tandem with the UN but based elsewhere. Valuable information can be
20 exchanged through coordination and collaboration.

21 4-29. In addition to the planning of operations, each tactical-level unit (CAT, CMOC, CLT, or individual)
22 must prepare to operate independently. Factors, such as survivability, sustainability, communication (with
23 supported units, interpreters, and cultural knowledge), monetary information, and mobility can critically
24 affect the CA mission. Preparing for missions at the tactical level requires a detailed understanding of these
25 factors.

26 **PLANNING FACTORS: DECIDE**

27 4-30. Decide who, what, when, where, why, and how to focus CA assets and actions that support the
28 commander's intent, planning guidance, and concept of operations (CONOPS). This step (Figure 4-6, page
29 4-10) encompasses integrating CAO into unit COAs, and analyzing and providing recommendations to the
30 commander for a COA decision from a CA perspective. Updating the CMO estimate is a continuous
31 process. Upon the commander's COA decision, CA leaders refine the CAO/CMO CONOPS and the
32 CAO/CMO plan. The plan directs task-organized CA elements and non-CA forces to create or observe
33 those conditions or events that would either mitigate or trigger a specific CAO/CMO response. It also
34 addresses all CAO/CMO from initial response through transition to other authorities, whether they are
35 military or civilian. The products of this step include the commander's concept for CMO, CAO priorities,
36 and the CMO annex. In addition, MOPs and MOEs for the various related objectives and tasks are
37 identified.

38 **Planning Factors: Decide at the Strategic Level**

39 4-31. The CMO planning staff at the strategic level provides the operational-level staffs the proper
40 guidance in accordance with (IAW) the GCC-prepared OPLANs, CONOPS, CONPLANs, and the
41 commander's intent.

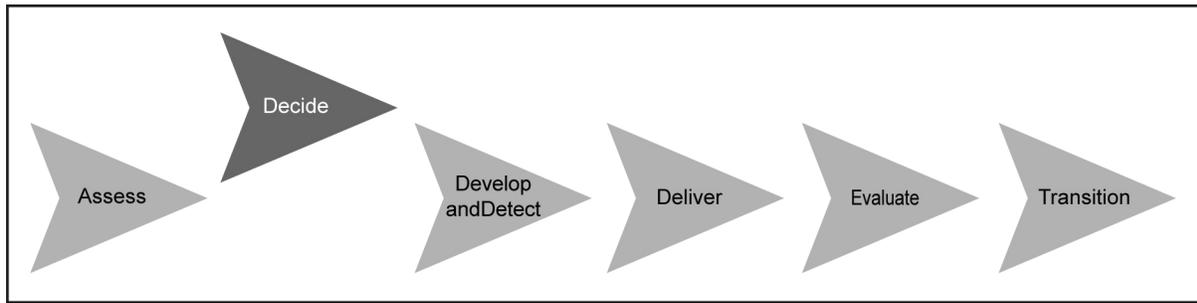


Figure 4-6. Decide

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2 **Planning Factors: Decide at the Operational Level**

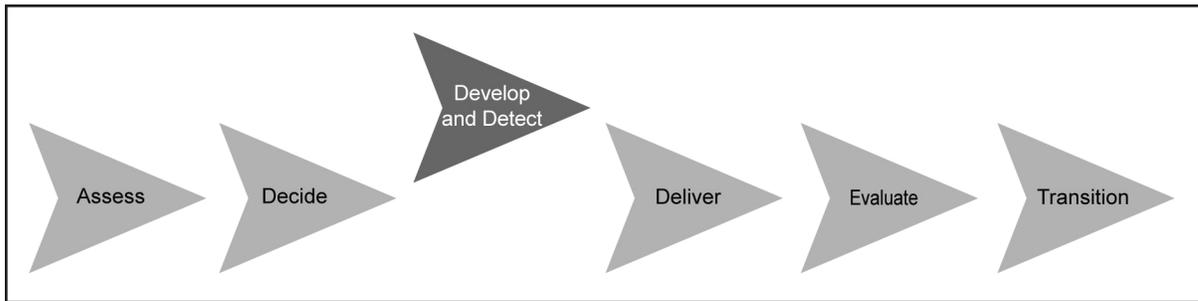
3 4-32. As the G-9 staff integrates CAO and CMO planning considerations with the other staff elements,
 4 COAs are evaluated and recommended to the JFC. This will result in formulating the commander’s CMO
 5 objectives supporting the attainment of strategic goals, prioritized CA tasks required to meet CMO
 6 objectives, MOPs that are focused on task accomplishment, and MOEs focused on effects attainment.
 7 Approval authority for validating and approving effects must be decided during this phase. Approval
 8 authority may be a commander, HN authorities, organized representatives of the international community,
 9 or some other entity.

10 **Planning Factors: Decide at the Tactical Level**

11 4-33. In conjunction with the supported commander’s guidance, tactical planning will analyze and validate
 12 a COA as it applies to specific named areas of interest (NAIs), identify and recommend other CAO/CMO
 13 responses, and facilitate the integration of CAO/CMO into the unit COA. During this phase, planning at
 14 the higher levels can be a lengthy process that may hinder the deployment of tactical CA forces. It is
 15 important for planners to know that CA integration with the supported units at the earliest possible moment
 16 is essential for conducting successful CAO/CMO. The amount of integration with the supported units will
 17 vary based on threat levels and time constraints. Some CATs will be allowed to operate independently,
 18 while others may require security escort. However, CA forces must convey a high level of patience and
 19 flexibility during the integration period.

20 **PLANNING FACTORS: DEVELOP AND DETECT**

21 4-34. Develop rapport and relationships with the nonmilitary participants of the operation (including
 22 indigenous populations and institutions [IPI]) and detect those conditions or events that would call for a
 23 specific CAO/CMO response. CA accomplishes this step (Figure 4-7, page 4-11) through numerous
 24 actions and operations, such as facilitating the interagency process in the CMOC, host meetings,
 25 participating in selected dislocated civilian (DC) operations, conducting civil reconnaissance in support of
 26 civil information management (CIM), and monitoring public information programs and CAO/CMO-related
 27 reports from the field. The products of this step include continuous assessments, revised or updated plans,
 28 formalized CMOC terms of reference, and fragmentary orders (FRAGORDs).



1 **Figure 4-7. Develop and Detect**

2 **Planning Factors: Develop and Detect at the Geographic Combatant Commander**
3 **Strategic Level**

4 4-35. The CMO staff at the GCC strategic level (usually the J-9 or J-3/5) can assist in the mission planning
5 at the operational level by facilitating higher-level coordination and collaboration efforts. In times of
6 disaster, once the ambassador requests federal assistance from DOD and a federal disaster is declared by
7 the President, support goes immediately from planning to execution in the way of a running assessment
8 (situational dependent). Ambassadors will refer to their staff to identify force and equipment requirements
9 and apply HN restrictions. A CA planner working for the Country Team may be at an advantage during
10 this decision-making process. CA planners working for the Country Team should prioritize their time to
11 (1) provide planning support to the COM and (2) collaborate with USAID DARTs that may have already
12 gone to the affected areas to build situational awareness. CA planners should utilize available resources
13 before taking it upon themselves to conduct the on-the-ground CAO. Follow-on forces will depend on their
14 guidance upon entry into country. At this point, most of the directed task-organized CA forces are
15 beginning to move into the Deliver phase of the crisis (for example, food, water, transportation assets, and
16 medical assistance support). The CMO staff or element must prepare to deploy if directed and it will task a
17 CACOM element to provide CMO tracking. Incoming reports and progress from the operators in-country
18 continue to provide visibility of the civil considerations to a rapidly changing operational environment in
19 support of the GCC's JOPP and execution thereof. Depending on the magnitude of the crisis, this action
20 may require the establishment of an in-country CMOC and/or a joint civil-military operations task force
21 (JCMOTF). (*Note:* DOS is in the lead when the ambassador [COM] is the decision maker in-country.)

22 **Planning Factors: Develop and Detect at the Operational Level**

23 4-36. CA units at the operational level must form CMOCs to support the G-9. The CMOC (CLTs) will
24 develop rapport with the various nonmilitary participants of the operation to facilitate coordination and
25 collaboration. Additional CMOCs should be established if the AO is more than one country. CMOCs will
26 also provide a clearinghouse for tactical CA units. CMO staffs will designate the criteria to measure
27 CAO/CMO effectiveness and performances (who, when, where, what, and how). Using this information,
28 the G-9 staff and the CMOC (CIM cell) can confirm or deny the conditions, standards of care, and
29 attitudes, which serve to either cancel or trigger planned and on-call CAO and CMO branches and sequels
30 to the operation plan.

31 **Planning Factors: Develop and Detect at the Tactical Level**

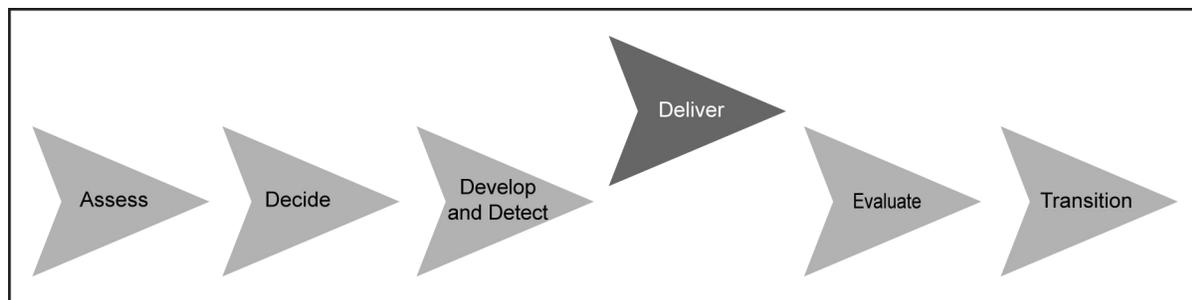
32 4-37. Rapport-building skills at the tactical level can ensure smooth transition with the NGOs, IPI, HN, or
33 OGAs operating within the AO. In addition, these organizations will be a large resource in providing
34 accurate and current information to update the common operational picture (COP) and assist in detecting
35 any key events that may trigger a specific CAO/CMO response.

Chapter 4

1 4-38. Developing rapport does not end with the civilian populace and organizations, but continues with the
 2 supported unit. In many FHA cases, CA forces deploy to support U.S. forces from a different Service.
 3 Understanding the needs and requirements to interact with different services may increase the level of
 4 success obtained in accomplishing the directed missions.

5 **PLANNING FACTORS: DELIVER**

6 4-39. Engage the civil component with planned or on-call CAO as appropriate. This step (Figure 4-8) is
 7 executed according to synchronized plans by CA forces, non-CA forces, IGOs, NGOs, and HN assets. The
 8 product of this step is an executed mission.



9 **Figure 4-8. Deliver**

10 **Planning Factors: Deliver at the Strategic Level**

11 4-40. Mission execution at the strategic level involves the facilitation and synchronization of plans with
 12 the higher-level counterparts of the IGOs, NGOs, and HN involved in the FHA mission in order to assist
 13 operational-level CA/CMO staffs. During this time, the strategic-level CMO staff is consolidating reports
 14 from the operational level through a possible CMOC structure.

15 **Planning Factors: Deliver at the Operational Level**

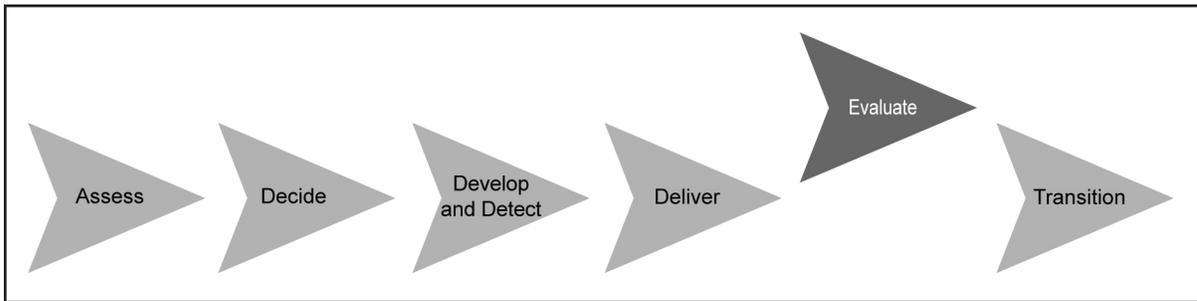
16 4-41. The ability of the CMO staff/CMOC to accurately track MOEs and MOPs is essential during the
 17 deliver phase. As tactical CAO produce relationships and civil reconnaissance products, the CIM cell must
 18 keep a detailed record and conduct a 360-degree information exchange (strategic levels, the JTF, NGOs,
 19 IGOs, HN, other CMOCs, and subordinate CA units). The JTF may require current input to the COP;
 20 CLTs may need to share information to assist NGOs, IGOs, and the HN; and the CMO staff will rely on
 21 the data to perform evaluations to the MOPs and MOEs.

22 **Planning Factors: Deliver at the Tactical Level**

23 4-42. The tactical-level CA force will execute CAO IAW guidance from higher HQ. During this phase, all
 24 raw data and observations should be consolidated accurately and then sent to the CMOCs supporting the
 25 tactical operations. Information pulled from the raw data and observations is essential for the CMO staff to
 26 evaluate the MOEs and MOPs. It is at this point that CAO at the tactical level becomes indispensable. The
 27 CAT or CMOC is the executor of CAO and will provide the first indicators of the effectiveness of the
 28 planned mission.

29 **PLANNING FACTORS: EVALUATE**

30 4-43. Evaluate the results of the executed mission. This step (Figure 4-9, page 4-13) validates the
 31 CAO/CMO CONOPS and supports the management of MOPs and MOEs to assess task accomplishment
 32 and attainment of objectives. As the evaluation phase progresses and satisfaction of MOEs indicates an
 33 operation is nearing completion, CAO and CMO planners on all levels will finalize transition plans and
 34 begin executing termination or transition timelines.



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Figure 4-9. Evaluate

2 **Planning Factors: Evaluate at the Strategic Level**

3 4-44. As the reports begin flowing in from the operational levels, the CMO staff (augmented as necessary
4 with a CMOC) can begin evaluating mission execution and validating the CAO/CMO CONOPS.

5 4-45. Evaluators analyze the effects of the operation (both desirable and undesirable) based on each of the
6 14 CA functional specialties, determine the sustainability of any projects or programs initiated during the
7 execution phase, and recommend follow-on action. At this point, the CMO staff should also reinforce the
8 working relationships with their high-level counterparts in select organizations in preparation for transition.

9 **Planning Factors: Evaluate at the Operational Level**

10 4-46. Measuring effects will enhance the unity of effort between joint, multinational, and interagency
11 organizations via the CIM process. Utilizing the data collected through the CIM cell from the CATs or
12 CLTs, CMO staffs and CMOCs will be able to determine how well or poorly an operation is proceeding in
13 achieving CMO objectives according to the commander's mission statement and intent. During this phase,
14 CMO staffs and CMOCs will also evaluate the capacities of the HN, NGOs, IGOs, and IPI to sustain any
15 projects or programs initiated, and recommend follow-on action.

16 **Planning Factors: Evaluate at the Tactical Level**

17 4-47. Input from the tactical level in the evaluation phase is crucial as it will be the priority intelligence
18 requirement at its rawest form. During this phase, tactical CA forces will continue to conduct CAO and
19 support CMO. They will also have the advantage of seeing firsthand the effects of each COA and make
20 educated recommendations to mitigate undesirable effects. CA forces will have the visibility to evaluate
21 the capacities of the HN, NGOs, IGOs, and IPI to sustain any projects or programs initiated.

22 **PLANNING FACTORS: TRANSITION**

23 4-48. Transition CAO or CMO to follow-on agencies (CA units, other military units, HN assets, UN
24 organizations, IGOs, NGOs, and other civilian agencies). This step (Figure 4-10, page 4-14) is CA forces'
25 direct contribution to a sustainable solution, and the commander's ability to secure the victory. This step is
26 executed according to synchronized transition plans. The outcome of this step includes successful
27 transition of authority or relief-in-place, and programs that are durable and sustainable by the follow on
28 forces or organizations.

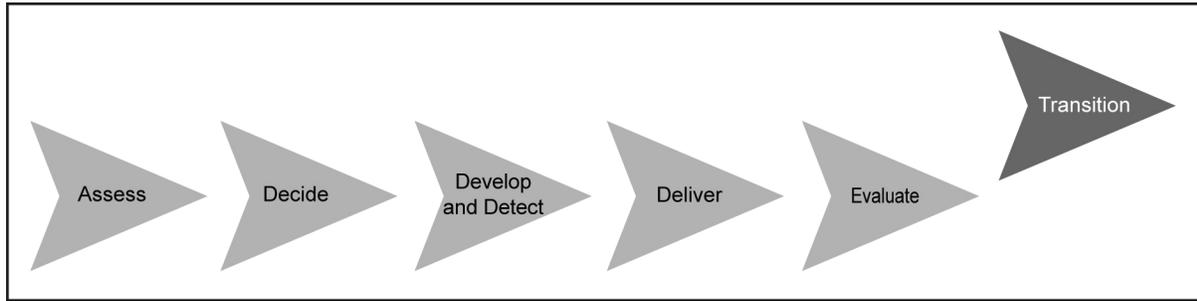


Figure 4-10. Transition

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4-49. Based on the supported GCC’s intent, the JFC determines the best arrangement of simultaneous and sequential actions and activities to create desired effects and accomplish the assigned mission. This arrangement is broken into phases. The need to move into another phase is normally identified by assessing that a set of objectives are achieved or that the situation has evolved in a manner that requires a major change in focus for the joint force and is therefore usually event driven, not time driven. Changing the focus of the operation takes time and may require changing priorities, command relationships, force allocation, or even the design of the AO. This challenge demands an agile shift in joint force skill sets, actions, organizational behaviors, and mental outlooks, and coordination and collaboration with a wider range of other organizations. OGAs, multinational partners, IGOs, and NGOs provide those capabilities necessary to address the mission-specific factors.

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4-50. Termination of operations must be considered from the outset of planning and should be a coordinated OGA, IGO, NGO, and multinational effort. Properly conceived termination criteria are key to ensuring that achieved military objectives endure. Further, development of a military end state is complementary to and supports attaining the specified termination criteria and national strategic end state. Commanders are cautioned that the end state conditions could change during the operations and that the end state envisioned by other participating organizations may differ.

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4-51. Because FHA is largely a civilian endeavor, with the military in a supporting role, the termination of U.S. or multinational military FHA operations will not necessarily coincide with the termination of international efforts. Normally, military forces operate in the initial stages of disaster relief to fill immediate gaps in assistance; military objectives will be to enable civilian control of disaster relief efforts (HN, international, or USG agency).

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4-52. The transition of humanitarian efforts to HN authorities will not occur by default. Planning of FHA must involve extensive international and interagency coordination from the very beginning in order to ensure a successful transition. FHA efforts by the joint force should focus on the capacity of the HN, as well as OGAs and IGOs; the goal is to transition all efforts to HN, OGA, IGO, or NGO ownership to allow rapid redeployment of the joint force. MOEs, end state, transition, and termination planning should all reflect this goal.

29 Planning Factors: Transition at the Strategic Level

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4-53. As stated above, termination of operations must be considered from the outset of planning and should be a coordinated OGA, IGO, NGO, and multinational effort. Having analyzed and validated various COAs throughout the FHA mission, the strategic-level CMO staff can assist in providing consolidated information that is critical to successful transition of authority or relief-in-place, and programs that are durable and sustainable by the follow-on forces or organizations. Information flow should be well established between subordinate units and high-level leaders in each organization involved in the transition.

1 **Planning Factors: Transition at the Operational Level**

2 4-54. As stated above, FHA efforts by the joint force should focus on the capacity of the HN, as well as
3 OGAs and IGOs. At the operational level, the goal of transitioning all efforts to HN, OGA, IGO, or NGO
4 ownership to allow rapid redeployment of the joint force is most tangible and therefore planners should be
5 closely involved. Based on information gathered through evaluation, the CMO staff and the CMOC can
6 provide accurate advice to the transition organization in order to assist them in conducting sustainable
7 projects or programs.

8 **Planning Factors: Transition at the Tactical Level**

9 4-55. Building on the Assess, Develop and Detect, and Deliver phases, the tactical-level transition should
10 become the most time intensive, yet the most tangible. CATs, CMOCs, and individual CA Service
11 members at the tactical level will ensure that transition operations are seamless with the designated
12 organizations.

13 **CIVIL AFFAIRS COORDINATION IN THE HOST NATION**

14 4-56. This section is designed to assist the CA forces when deployed and working in foreign countries for
15 missions, such as FHA, or related missions—HMA, CM, counter-narcoterrorism (CNT), and emerging
16 operations. It addresses activities that may take place during predeployment, mission execution, or
17 redeployment.

18 4-57. Some missions conducted by CA are done in conjunction with other SOF elements. In some cases,
19 another element is in command of the mission and will provide interface between the unit and the U.S.
20 Embassy. However, it is wise to be prepared to coordinate with both the Embassy and the HN personnel.

21 **PREDEPLOYMENT SITE SURVEY**

22 4-58. Before any deployment, a PDSS should be conducted. This PDSS is the opportunity for the mission
23 commander or his designated representative to interface with U.S. Embassy personnel, the TSOC, and the
24 HN personnel. The PDSS checklist is a tool the mission commander uses to answer all mission-related
25 questions.

26 **U.S. EMBASSY COORDINATION**

27 4-59. The CA team element should coordinate with the U.S. Embassy as soon as appropriate guidance has
28 been given. The element should not wait until arrival in-country to begin coordination. Some members in
29 the Embassy to coordinate with include the following:

- 30 • *Defense attaché (DATT) officer*. At a minimum, brief the team composition and mission to the
31 DATT officer and, if required, the deputy chief of mission or even the ambassador. Confirm the
32 SOFA and any memorandums of agreement (MOAs), and/or memorandums of understanding
33 (MOUs). Explain or confirm the training plans, schedules, and locations, all of which will require
34 approval prior to implementation.
- 35 • *Regional security officer (RSO)*. Receive threat brief from the RSO. Confirm the emergency action
36 plan (EAP). This plan details the evacuation of U.S. personnel out-of-country if the situation so
37 dictates. Personnel should know assembly locations closest to their lodging and work areas,
38 especially if the locations are different. Ensure good contact information is provided to the RSO for
39 protection updates.
- 40 • *Financial management officer (FMO)*. Meet the FMO. Confirm what specific requirements the
41 FMO has directed for the team's intended purchases or contracts. Establishing a good working
42 relationship with the FMO is the key for mission success.
- 43 • *Political officer (PO)*. Meet with the PO. Ask for an informal briefing of the latest developments
44 in-country.

Chapter 4

- 1 ● *Governmental supply officer (GSO)*. Meet with the GSO. Ask him to assist in purchases, vehicle
- 2 rentals, and other contracts.
- 3 ● *Team members and all other collocated personnel*. Brief all the team members and all other
- 4 collocated personnel. Confirm the internal communications notification plan, friendly assembly
- 5 areas, and actions upon the notification of the EAP. Ensure all members are aware of the potential
- 6 threats and emergency procedures advised by the RSO or PO. Advise members of the addresses
- 7 and contact numbers of key personnel and medical facilities.

8 **HOST NATION COORDINATION**

9 4-60. CAT personnel should coordinate with the following:

- 10 ● Key HN leaders involved in the mission (military and nonmilitary).
- 11 ● Local contractors.
- 12 ● Pertinent local and international NGOs.
- 13 ● Authorized private organizations.

14 *Note:* This list is not all-inclusive.

15 4-61. Redeployment. At the completion of each mission, CAT personnel should—

- 16 ● Outbrief HN senior leaders.
- 17 ● Outbrief DATT/ambassador.
- 18 ● Meet with FMO.
- 19 ● Coordinate with USAID. (They may assist in funding.)

20 *Note:* This list is not all-inclusive.

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Chapter 5

Conducting Assessments

CA forces conduct assessments as part of any mission. During FHA operations, assessments from the ground level will serve to confirm or deny any assumptions early on in the planning stage. The unique requirements of an FHA operation may entail a level of flexibility and understanding of reporting formats as published by different agencies collaborating in the AO. The U.S. military will usually play a supporting role to the DOS during an FHA operation, in addition to or in lieu of the HN, NGOs, and/or world response to relieve or reduce the results of natural or man-made disasters or other endemic conditions. Although the CA unit's primary reporting responsibility is to the supported commander, an effort should be made to assist follow-on forces or agencies that will become the transition element by providing accurate data in formats ideal for them and appropriately packaged to meet necessary military restrictions.

ASSESSMENT RECOMMENDATION AND IMPACT ON RECOVERY

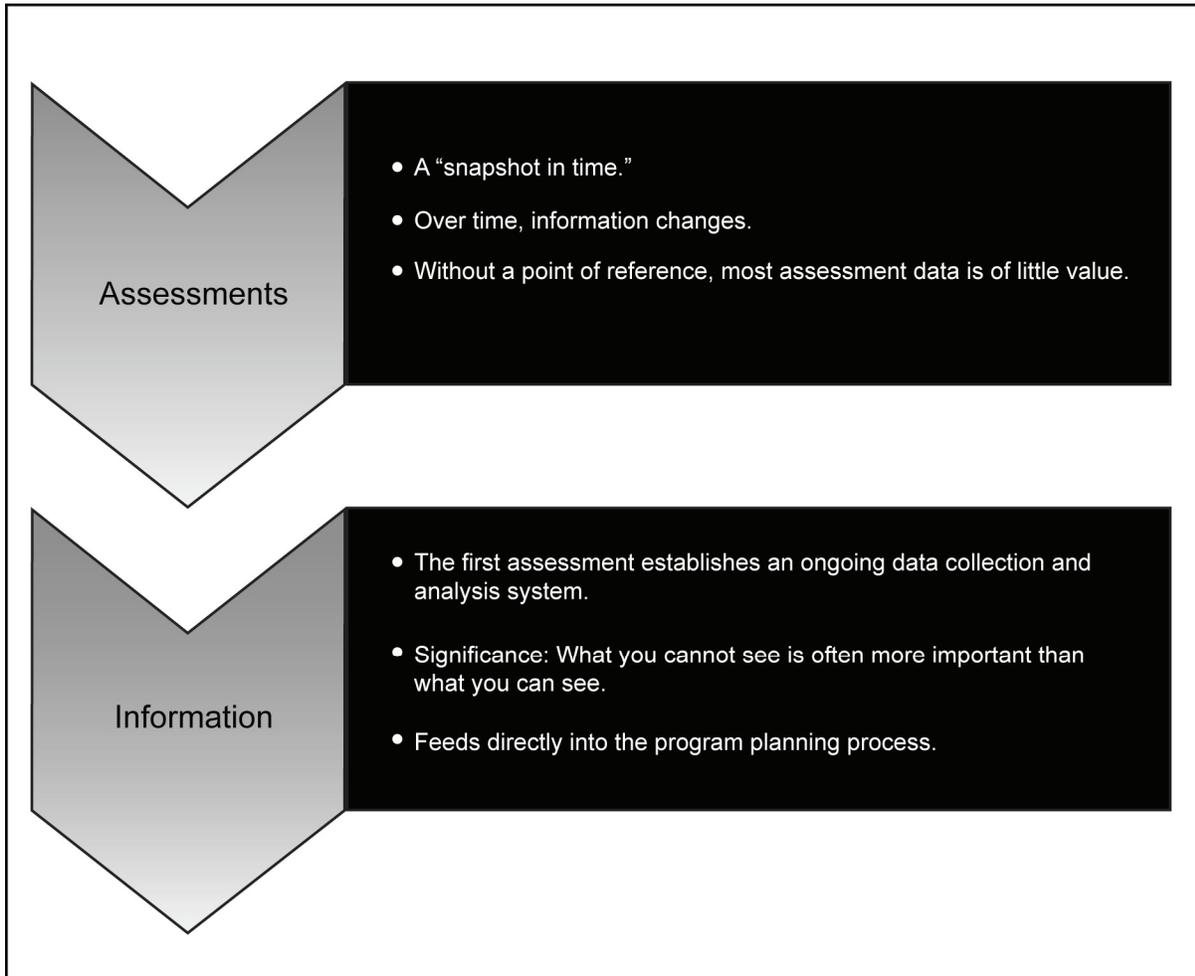
5-1. The recommendations made by the assessment team should not have a detrimental effect on the long-term recovery efforts of an affected country. Relief programs can set the stage for rapid recovery or prolong the length of the recovery period. Every action in an emergency response will have a direct effect on the manner and cost of reconstruction.

5-2. Many common relief programs can create dependencies and severely reduce the survivors' ability to cope with the next disaster. For example, food commodities brought into a disaster area without consideration for the local agricultural system can be detrimental to the local market system and cause future food shortages where self-sufficiency had been the norm.

5-3. Sustainable recovery depends on restoring the affected populations' own capacity to meet their basic food, shelter, water, and sanitation requirements. Understanding the priorities and providing assistance that supports the affected population's efforts to restore viable socioeconomic systems is critical to achieving a long-lasting, sustainable recovery.

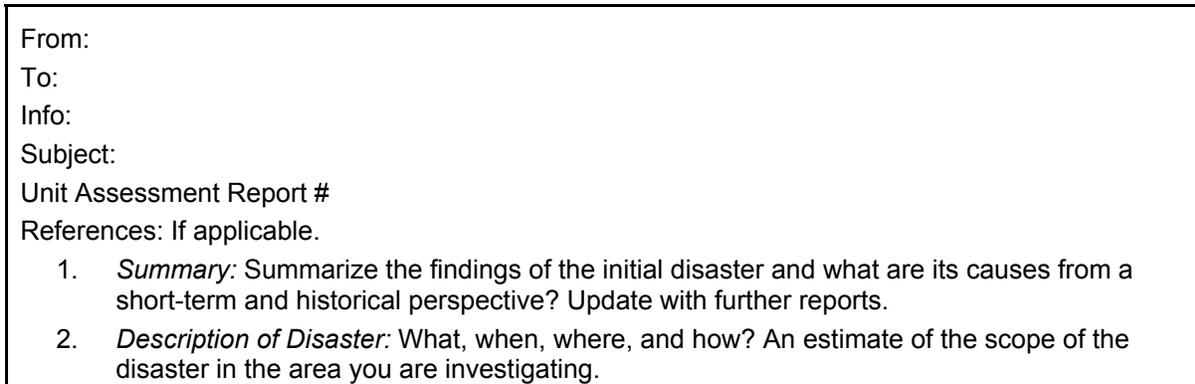
5-4. Recommendations should be simple and support the use of local materials, food and water sources, distribution systems, and locations of health or medical priority. The recommender should always be considerate of the affected country and its way of life. He should not discount alternative interventions that may be against "conventional wisdom," or collide with bureaucratic obstacles. Some recommendations may require an increased relief agency capacity. In the end, this may be more cost effective and sustainable.

5-5. When ordered to do an assessment, there are some main points that a CA Service member must understand, as shown in Figure 5-1, page 5-2. Once critical factors have been assessed, a matrix of needs can be created that generates an assessment of the proposed military contribution in each area. The following recommended formats may assist in the assessment process. Format requirements may vary with each operation and no two operations will be the same. The important matter is that the CA assessment provides accurate and timely civil data that assists the supported commander in successfully identifying the immediate needs of the affected populace.



1 **Figure 5-1. Main points of an assessment**

2 5-6. The format (Figure 5-2, pages 5-2 through 5-4) on the following pages is compatible with the OFDA
3 Disaster Assessment Handbook, which makes it compatible with the majority of the relief community.



4 **Figure 5-2. Reporting format**

- a. What type of disaster or conflict? How did it occur?
- b. When did the disaster occur? Is it ongoing?
- 3. *General Situation:*
 - a. Describe the assessment effort (military).
 - b. Identify any other agencies, private or governmental, involved in the assessment.
- 4. *Health/Nutrition Situation:*
 - a. How many were killed, and where?
 - b. How many human remains need to be disposed of? Cultural perspective: What types of assistance do the people need to be able to bury deceased relatives properly?
 - c. How many people are in need of assistance from the government and/or other agencies?
 - d. What type of health care system exists to meet health care needs?
 - e. What is being done in the health area, and by what agencies?
 - f. How many people are in need of health care?
 - g. What are the immediate health risks?
 - h. What are the problems that are preventing those health care needs from being met?
 - i. If there is a food shortage, describe what it is, where it is, and in what volume.
 - j. What are the nutrition needs of the population? (Culturally appropriate?)
 - k. Are there signs of malnutrition among the population?
 - l. Is the total amount of food being delivered equal to total needs in terms of calories per day?
 - m. What is obstructing the delivery of food?
 - n. Are the most vulnerable people (infants, elderly, and infirmed) obtaining adequate food?
 - o. Do people have the appropriate utensils, cooking fuels, and so on, to prepare foods?
 - p. What actions are being taken to ensure that people have sufficient food? By whom?
 - q. Is there any assistance that only the U.S. military can provide? If so, how long will it be required?
- 5. *Shelter:*
 - a. Describe the damage to buildings.
 - b. Describe estimated number of people and estimated family units needing shelter.
 - c. Are shelters sufficient in quantity and quality?
 - d. What is being done to provide shelter? By whom?
 - e. How urgent is the need for shelter given the environment?
 - f. Is there any assistance that only the U.S. military can provide? If so, for how long will it be required?
- 6. *Water/Sanitation:*
 - a. Describe water problems. Note the color and smell of the water.
 - b. What is being done and who is doing it.
 - c. Describe sanitation problems.
 - d. How many people lack a sufficient quantity of appropriately potable water?
 - e. How is sanitation being handled? Who is doing it?

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- f. Are sanitation facilities (toilets and defecation fields) being handled? Who is doing it?
 - g. Is there anything that only the U.S. military can do? If so, for how long will it be required?
7. *Infrastructure/Logistics:*
- a. What problems with infrastructure and facilities are impeding relief efforts?
 - b. Are ports and airfields damaged? Is equipment damaged?
 - c. What is the availability of electricity?
 - d. Are there problems in management? How much of the infrastructure workforce is available or has reported in?
 - e. Where are the bottlenecks that prevent delivery of relief supplies?
 - f. Are there sufficient transportation assets for delivery of relief aid?
 - g. Do transportation assets for delivery require security?
 - h. Where is additional aid needed most critically and how much is needed?
 - i. What actions are being taken to ensure that facilities and infrastructure are in sufficient working order to facilities the relief efforts?
 - j. Are there things only the U.S. military can restore (especially transportation)? If so, in what volume and for how long?
 - k. What are the population's communication needs that must be met?
 - l. What communication media is currently available, functioning, or in need of repair?
 - 1) Television?
 - 2) Radio amplitude modulation (AM)/frequency modulation (FM)?
 - 3) Telephone lines?
 - 4) Print?
 - m. What communication assts and actions can the military provide to stabilize the infrastructure, commerce, and the population?
8. *Coordination:*
- a. How is the relief effort being coordinated? (Is the U.S. military response integrated?)
 - b. Is the HN government (or local U.S. government in domestic disasters) in charge?
 - c. What private and/or nongovernmental agencies are involved?
 - d. What key coordination issues are not being addressed, either due to lack of personnel or lack of subject-matter expertise?
 - e. What actions are being taken to improve coordination efforts?
 - f. Is the assessment team attending meetings?
 - g. Do you need augmentation to get the assessment completed?
9. *Capability:*
- a. Recap those things that only the U.S. military is capable of doing, noting those things that the other services can bring.
 - b. Estimate how long services will be provided, and who will replace the military capability (if applicable).
 - c. Use the rapid assessment format provided on page 5-8 of this ATP.
10. *Recommendations:* List the recommended priority of U.S. relief assets arrival in your area according to the immediacy of need.

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Figure 5-2. Reporting format (continued)

1 PREPARATION FOR EXIT (TRANSITION OPERATIONS)

2 5-7. Following are some specific questions linked to essential tasks that will help identify exit criteria:

- 3 ● Who will take over the function, and how long will it take to do so?
- 4 ● How will the transfer of responsibility and authority occur between the outgoing and incoming
- 5 parties?
- 6 ● Have efforts been coordinated in such a way as to ensure that everyone involved has a clear
- 7 understanding of who is in charge at all times?
- 8 ● When will temporary functions no longer be necessary, and how will we measure it?
- 9 ● What is the agreed-upon MOE that indicates when the desired end state is achieved?
- 10 ● What are the activities that should not be conducted by U.S. forces?

11 DOS AND DO NOTS OF ASSESSMENTS

12 5-8. The CA Service member conducting the assessment should consider the following items:

- 13 ● Do try to quickly plug into existing disaster relief mechanisms.
- 14 ● Do attempt to learn predisaster norms in AO.
- 15 ● Do attempt to coordinate some relief.
- 16 ● Do be an effective listener.
- 17 ● Do not sign up to any binding missions before your assessment has been approved by higher.
- 18 ● Do not monopolize meetings with your views.

19 FOCUSED QUESTIONS

20 5-9. The questions below will assist the commander when conducting an assessment:

- 21 ● What is the security situation? Is anyone threatening you?
- 22 ● How many people died per day before the disaster? How many per day are dying now?
- 23 ● What is your source of water? Has it been polluted by the disaster?
- 24 ● How many people are without food?
- 25 ● How many families are without shelter?
- 26 ● What relief agencies are in place?
- 27 ● Who are they?
- 28 ● How can we contact them?
- 29 ● Who is in charge of local relief efforts?
- 30 ● Have any unusual diseases been noted, particularly among children?
- 31 ● How many health care professionals do you have? Are they adequate?
- 32 ● What is our normal source of power? Has it been disrupted?
- 33 ● What was the crude mortality rate before the disaster? What is it now?
- 34 ● What is the situation in terms of—
 - 35 ■ Water?
 - 36 ■ Food?
 - 37 ■ Shelter?
 - 38 ■ Medical support?
 - 39 ■ Power and/or lines of communication?

40 *Note:* The United Nations Office for the High Commissioner for Refugees (UNHCR)

41 assessment format is provided in Figure 5-3, pages 5-6 and 5-7.

Chapter 5

Municipality				Village				MGRS Grid Ref					
Agency				Name of assessor				Date					
Source of information (give as much detail as possible – give a telephone of someone in the village if possible)													
ROAD ACCESS IN SUMMER		Car Y / N	4WD Y / N	Light Truck Y / N	Heavy Truck Y / N	ROAD ACCESS IN WINTER		Car Y / N	4WD Y / N	Light Truck Y / N	Heavy Truck Y / N		
CURRENT POPULATION		Persons	Albanian	Serb	Other	BREAKDOWN		Locals	Returnees	IDPs	Refugees		
INTERNALLY DISPLACED PERSONS (IDPs) – one record per village of former residence													
Number of IDPs	from MUNICIPALITY (NAME)	from VILLAGE (NAME)			WHAT'S PREVENTING THEIR RETURN HOME? (See constraints to return box below for possible issues)								
CONSTRAINTS TO RETURN: Transport / house damaged / house occupied / village empty / insecurity / fear of other ethnic groups / access to food and basic needs / healthcare / education / water / electricity / etc.													
COMMUNITY LEADERS PRESENT		MTS ACTIVIST		TEACHER		HEALTH WORKER		IMAM/PRIEST		OTHER			
Name:													
Tel:													
ASSISTANCE DISTRIBUTION		Who is responsible for distribution? (circle or specify)						Local warehouse / storage facilities?					
		MTS	UCK	Mayors Office	Mosque/ Church	NGO (specify)	Other (specify)	Y / N	Type	Size (m2)			
SECONDARY DISTRIBUTION		Is this village used for secondary distribution? Y / N			If so, which villages receive assistance from this village?								
DAMAGE TO HOUSES		Total Houses in village	Category 1 (Undamaged / unfinished)	Category 2	Category 3	Category 4	Category 5						
(see category guide below)		Was there any new war damage to buildings since JANUARY 1999? Y / N											
		Was there any new war damage to buildings since NATO arrived? Y / N											
DAMAGE TO COMMUNITY BUILDINGS		MTS WAREHOUSE		SCHOOL		MOSQUE/CHURCH		SHOPS		BAKERY		HEALTH FAC.	
		None / Category		None / Category		None / Category		None / Category		None / Category		Category	
 <p>CAT (2)</p> <ul style="list-style-type: none"> Broken windows, door locks and hinges, roof tiles Cut-off from electricity, water Can be repaired 		 <p>CAT (3)</p> <ul style="list-style-type: none"> Up to 30% roof damage Light shelling or bullet impact on walls Partial fire damage Can be repaired 		 <p>CAT (4)</p> <ul style="list-style-type: none"> Over 30% roof damage Severe fire damage Need for replacement of floors Doors and windows destroyed All piping, wiring destroyed Can be repaired 		 <p>CAT (5)</p> <ul style="list-style-type: none"> Destroyed Needs reconstruction Cannot be repaired 							
Items need to be adjusted for missions in different regions.													

Figure 5-3. Sample United Nations Office for the High Commissioner for Refugees assessment format

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ELECTRICITY		Working?	Yes / No / Intermittent	If intermittent, approx. hours working per day			
EDUCATION		School functioning?	Yes / No	Number of classrooms			
WATER & SANITATION	% of Households using		CURRENT STATUS*	PERCEIVED WATER...		REMARKS	
	Pre-Conflict	Current		QUALITY	QUANTITY		
Wells				Good / Bad	Adequate / Inadequate		
Springs				Good / Bad	Adequate / Inadequate		
Piped distribution				Good / Bad	Adequate / Inadequate		
Electric Pumps				Good / Bad	Adequate / Inadequate		
*STATUS (more than one if necessary): (W)orking / (D)amaged / (C)ontaminated / d(E)stroyed							
HEALTH (for TYPE, if Ambulanta circle one: MTS = Mother Theresa; S = State; P = Private; for Personnel: (D)octor, (N)nurse, (M)ed. Tech for Drugs and Equipment: (A)dequate; (I)nadequate.)							
TYPE and NUMBER	Daily Consult's	Working	Personnel (number)	Drugs	Equipment	Water	Sanitation
___ Hospital(s)	Number:	Y / N	___D ___N ___M	A / I	A / I	Y / N	Y / N
___ Shtepia e Shendetit (DZ)	Number:	Y / N	___D ___N ___M	A / I	A / I	Y / N	Y / N
___ Ambulanta: MTS / S / P	Number:	Y / N	___D ___N ___M	A / I	A / I	Y / N	Y / N
FOOD AND COOKING							
% of dairy cattle remaining		% of farms expecting to harvest this summer					
% of families with cooking facilities:		Is there a bakery?		Y / N	Is it operational?	Y / N	
SOURCES OF FOOD AVAILABLE IN VILLAGE		Food Item	AVAILABLE	PRICE			
Humanitarian distribution	Y / N	Wheat flour	Y / N	DM / Din	Kg		
Household garden / farm	Y / N	Oil	Y / N	DM / Din	Litre		
Household stores	Y / N	Sugar	Y / N	DM / Din	Kg		
Shops or market	Y / N	Meat	Y / N	DM / Din	Kg		
Nearest village with market		Fruit & vegetables	Y / N	DM / Din	Kg		
		Coffee	Y / N	DM / Din	Kg		
ACTION TAKEN							
REMARKS							
<p>Please return to UNHCR Pristina, attn: Inter Agency Coordination Unit RVA03.DOC – UNHCR - 24 June 199</p> <p>†Items need to be adjusted for missions in different regions.</p>							

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Figure 5-3. Sample United Nations Office for the High commissioner for Refugees assessment format (continued)

Chapter 5

1 5-10. The rapid assessment (Figure 5-4, page 5-8 and 5-9) and the key emergency indicators chart
2 (Figure 5-5, pages 5-9 and 5-10) are good structured baseline tools that should be taken into consideration.
3 They provide factors that may affect the U.S. military relief effort. These factors should influence how
4 much cultural research a CA Service member must do to successfully engage the population.

<p>RAPID ASSESSMENT Current as of (MM/DD/YY)</p> <p>1. GENERAL. a. Village Name: b. Grid: c. Sector: d. Language:</p> <p>2. POPULATON. a. Total Population: b. Families: c. Male: d. Female: e. Children: f. Refugees: g. Refugee Origin: h. Abroad:</p> <p>3. STANDARD OF LIVING (General Description or Percentage). a. Food: b. Water: c. Shelter: d. Power: e. TV: f. Radio: g. Transportation:</p> <p>4. ETHNIC COMPOSITION BY PERCENT.</p> <p>5. POLITICS. a. Parties: b. Representatives:</p> <p>6. EMERGENCY SERVICES. a. Police: b. Fire: c. Rescue: d. Militia:</p> <p>7. KEY PESONS. a. Mayor: b. Police Chief: c. Military Commander: d. Representative:</p>
--

5 **Figure 5-4. Rapid assessment**

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<p>8. ECONOMICS.</p> <ul style="list-style-type: none"> a. Unemployed: b. Self-Employed: c. Nature of Self-Employment: d. Employed: e. Nature of Employment: f. Agriculture: g. Industry: <p>9. LINES OF COMMUNICATION/UTILITIES.</p> <ul style="list-style-type: none"> a. Communications: b. Water Supply: c. Electronic Supply: d. Road System: e. Rail System: f. Medical Facilities: g. Education Facilities: <p>10. OBSERVATIONS.</p>
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Figure 5-4. Rapid assessment (continued)

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5-11. The comparison of sphere and United Nations Office for the High Commissioner for Refugees (UNHCR) standards and indicators (Figure 5-6, pages 5-10 through 5-13) highlight an important matter when attempting to accurately report an assessment. It is important for a CA Service member to identify and verify the appropriate standards and indicators. Although reporting requirements from higher may require a specific standard or indicator, it is up to the CA force on the ground to be able to verify and recommend the appropriate standard.

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5-12. For example: UNHCR standard for water: system/delivery equals at least one tap per 80 to 100 DCs and no more than 200 DCs per hand pump or well with one rope and bucket.

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5-13. This standard is appropriate for urban areas with pipe systems or areas where the water table is sufficient to drill a well. However, in rural areas at sea level where the local population draws water from streams or freshwater springs, it would be inappropriate.

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Crude Mortality Rate (CMR)	Normal rate among a settle population	0.3 to 0.5/10,000/day
	Emergency program under control	<1/10,000/day
	Emergency program in serious trouble	>1/10,000/day
	Emergency out of control	>2/10,000/day
Mortality Rate Among Children Under 5 Years Old	Normal rate among a settled population	1/10,000/day
	Emergency program under control	<2/10,000/day
	Emergency program in serious trouble	>2/10,000/day
	Emergency program in serious trouble	>4/10,000/day

14

Figure 5-5. Key emergency indicators

Chapter 5

Clean Water	Minimum survival allocation	7 liters/person/day
Nutrition	Emergency level	>15 percent of the population under 5 years old below 80 percent weight for height Or >10 percent of the population under 5 years old below 80 percent weight for height together with aggravating factors for example, epidemic of measles, crude mortality rate >1/10,000/day
Measles	Any reported cases 10 percent of more not immunized among ages 6 months to 5 years	
Respiratory infections	Any pattern of severe cases	
Diarrhea	Protection from wind, rain, freezing temperatures, and direct sunlight are minimum requirements	
Appropriate Shelter	Minimum shelter area	3.5 square meters/person
	Minimum total site area	30.0 square meters/person
Sanitation	Lack of organized excreta and waste disposal. Less than 1 latrine cubicle per 100 persons	
<p>Calculating the Mortality Rate</p> <p>The chief indicator of an actual emergency is an accelerated mortality. In all cases, deaths should be reported as total number and as a rate since population sizes will vary considerably depending on the nature of the emergency. The presentation of the number of deaths as rate will make comparison to existing norms possible regardless of the number of people considered in the group. An example of how to calculate the death rate follows:</p> $\frac{\text{Number of Deaths} \times 10,000}{\text{Days Counted} \times \text{Total Population}} = \text{Deaths}/10,000$ <p>For example, if 21 people have died in one week in a total population of 5,000, then the death rate for that situation would be:</p> $\frac{21 (\text{Deaths}) \times 10,000}{7 \text{ Days} \times 5,000 (\text{Total Population})} = 6/10,000/\text{Day}$		

1 **Figure 5-5. Key emergency indicators (continued)**

TOPIC AREA ISSUE	SPHERE	UNHCR
WATER		
Quantity	15 liters per person per day collected	15 liters per person per day; absolute minimum for short-term survival is 7 liters per person per day
System/Delivery	Taps provide flow rate of at least 0.125 liters per second	
	At least one water point per 250 people	At least one tap per 80-100 refugees and no more than 200 refugees per hand pump or per well with one rope and bucket

2 **Figure 5-6. Comparison of sphere and UNHCR standards and indicators**

TOPIC AREA ISSUE	SPHERE	UNHCR
WATER (continued):		
Quality	No more than 10 faecal coliforms per 100 milliliters at point of delivery	1 to 10 faecal coliforms per 100 milliliters
	For piped systems, residual-free chlorine at tap is 0.2-0.5 milligrams per liter and turbidity is less than 5 nephelometric turbidity units (NTUs)	Residual-free chlorine at tap is 0.2-0.5 milligrams per liter at distribution point
	Dissolved solids no more than 1,000 milligrams per liter	
HYGIENE-SANITATION		
Soap	250 grams of soap per person per month	
Laundry	1 washing basin per 100 people	
Toilets/Latrines	Maximum 20 people per toilet	1 latrine per family; second option, 1 per 20 persons; or third options, 1 per 100 persons or defecation field
Refuse Bins	100 containers at 1 per 10 families	100 containers at 1 per 50 families
Refuse Pits	No shelter farther than 15 meters from container or 100 meters from communal refuse pits	1 pit 2 meters x 5 meters x 2 meters deep per 500 persons
CAMP SITE PLANNING		
Gross Area	45 square meters per person (inclusive of all uses except agriculture or garden)	30 square meters per person (inclusive of all uses except agriculture or garden space)
Dimensions/Distances	Maximum distance between shelter and toilets is 50 meters	Maximum distance between shelter and toilets is 50 meters
Firebreaks	2 meters between shelters, 6 meters between clusters of shelters, 15 meters between blocks of clusters	30 meters per every 300 meters of built-up area
Distance Between Wells/Springs and Latrines	Latrines farther than 30 meters from ground water sources and 1.5 meters above water table	Latrines farther than 30 meters of built-up area
	Maximum distance from shelter to water supply is 500 meters	No dwelling should be farther than 100 meters or a few minutes' walk from distribution points
Elevation/Drainage	3 meters above high water table	
	2 to 4 per gradient (ideal) and not more than 7 percent without extensive site engineering	
SHELTER		
Shelter Area	3.5 to 4.5 square meters covered area per person	3.5 square meters covered area per person in tropical climates 4.5 to 5.5 square meters covered area per person in cold or urban situations

1

Figure 5-6. Comparison of sphere and UNHCR standards and indicators

DRAFT — NOT FOR IMPLEMENTATION

Chapter 5

TOPIC AREA ISSUE	SPHERE	UNHCR	
FOOD/NUTRITION			
Plastic Sheeting for Temporary Shelter	4 meters x 6 meters sheet per household of 5 people (to meet UNHCR material specifications)	4 meters x 5 meters reinforced plastic tarpaulins in sheets with aluminum eyelets all four sides	
Calories	2,100 kilocalories per day initial planning figure to be modified based on through demographic analysis of population	2,100 kilocalories per day (initial planning figure)	
Makeup	10 to 12 percent total energy from protein 17 percent total energy from fat	10 to 12 percent total energy from protein 17 percent total energy from fat	
HEALTH			
Excessive Mortality	1 per 10,000 per day CMR	Normal rate among a settled population	0.3/10,000 to 0.5/10,000/day 0.5/10,000 to 1/10,000/day
CMR	1 per 10,000 per day CMR	Emergency program in serious trouble Emergency out of control Major catastrophe	>1/10,000/day >2/10,000/day >5/10,000/day
U5MR	2 per 10,000 per day under 5 CMR	Normal rate among a settled population Emergency program under control Emergency program in serious trouble Emergency out of control	1/10,000/day <2/10,000/day >2/10,000/day >4/10,000/day
Measles Vaccination Coverage	95 percent of all children 6 months to 12 years Measles vaccine need equal 140 percent of target group (15 percent waste, 25 percent stockpile)	UNHCR advocates the immunization of all children from 6 months up to 12 or even 15 years (rather than the more usual 5 years) because of the increased risk from the living conditions in refugee emergencies. As an emergency indicator, any reported cases of 10 percent or more unimmunized among ages 6 months to 5 years	

Figure 5-6. Comparison of sphere and UNHCR standards and indicators (continued)

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TOPIC AREA ISSUE	SPHERE	UNHCR
HEALTH (continued)		
Medical Staff	1 home visitor for each 500 to 1,000 population 1 traditional birth attendant for each 2,000 1 supervisor for each 10 home visitors 1 senior supervisor 1 peripheral health facility for each 10,000 population 1 central health facility for each 10,000 population	Approximate staffing levels for refugee health and sanitation services for a population of 10 to 20,000: <ul style="list-style-type: none"> • Community health workers 10 to 20 • Traditional birth attendant: 6 to 10 • Public health nurse: 1 • Clinic nurse midwives: 3 to 4 • Doctor/medical assistants: 1 to 3 • Pharmacy attendant: 1 • Laboratory technician: 1 • Dressers/assistants: 10 • Sanitarians: 2 to 4 • Sanitation assistants: 20
NONFOOD ITEMS (Domestic needs)		
Water Containers	2 vessels 10 to 20 liters for collecting, plus 1 20-liter vessel for water storage, narrow necks and covers	Ability to transport 10 liters and ability to store 20 liters per 5-person household.
Eating Utensils	1 cooking pot with lid 1 basin 1 kitchen knife 2 wooden spoons 1 plate per person 1 spoon per person 1 mug per person	
PROTECTION AND SECURITY		
Location	50 kilometers from threat (border?)	A reasonable distance

1 **Figure 5-6. Comparison of sphere and UNHCR standards and indicators (continued)**

2 **SUMMARY**

3 5-14. Assessments play a major role in all CAO. During FHA operations, ground-level assessments should
 4 be accurate and timely as they will serve to confirm or deny any assumptions early on in the planning
 5 stage. The assessment team should be mindful that its recommendations should not have a detrimental
 6 effect on the long-term recovery efforts of an affected country. In FHA, the U.S. military’s role will
 7 usually be of support to the DOS in addition to or in lieu of the HN, NGOs, and/or world response. The CA
 8 units should be prepared to provide 360-degree reporting. The civil information available from the CA unit
 9 should be made available not only to the commander of whom that unit supports, but also to agencies
 10 above, below, and adjacent. This information can assist follow-on forces or agencies that will become the
 11 transition element. The CA unit should be mindful to provide accurate data in formats ideal for other
 12 agencies, appropriately packaged, and complies with necessary military information restrictions.

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Chapter 6

Funding Sources for Foreign Humanitarian Assistance Operations

Every FHA operation is unique. The goal of this section is to familiarize the CA forces with the funding options that are available to them for an FHA or related operation. Because FHA can be conducted inside the full spectrum of operations, either as a part of a larger operation or as the sole mission, CA forces need to know how to utilize or apply these sources to support the commander's CMO objectives. For a detailed explanation of funding sources for all types of CMO, refer to FM 3-05.401, Appendix G; and JP 3-29, Appendix B.

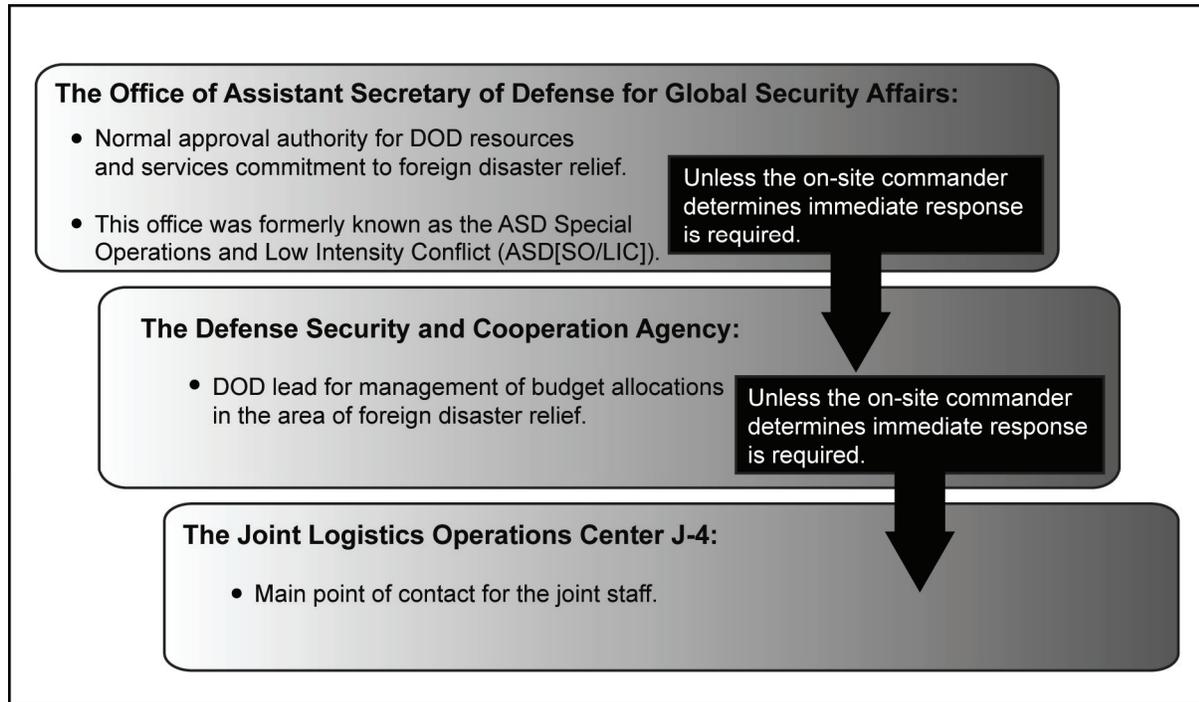
Funding for HA may originate from within the DOD, DOS, or OGAs as appropriated by Congress through the enactment of public law. The DOD must satisfy criteria as laid out in the USC Appropriations. Although Title 10 of the USC is the common source of funding for many DOD operations in support of FHA and related operations, Title 22 is the primary source of funds. The DOD has limited authority to engage disaster assistance. The President may direct DOD through the SecDef to respond to man-made or natural disasters with concurrence from DOS. (Executive Order 12966, *Foreign Disaster Assistance*, 60 Federal Regulation 36949, has more information.)

A military commander at the immediate scene of a foreign disaster may undertake prompt relief operations when time is of the essence and when humanitarian considerations make it advisable to do so. The commander should report at once the action taken and request guidance. Reimbursement of funds expended under these circumstances is not assured. Responding elements must track costs incurred by maintaining detailed records of expenditures and provide detailed billing information to support their reimbursement efforts. DODD 5100.46 contains guidelines for DOD elements to bill for cost reimbursement for supplies and/or services provided in support of foreign disaster relief.

Figure 6-1, page 6-2, illustrates the approval authority for DOD funding for foreign disaster relief (except in cases of emergencies where the on-site commander determines immediate response is required). DOD components will participate in foreign disaster relief operations only after the affected country requests assistance and DOS or USAID determines that assistance will be provided. The Office of Assistant Secretary of Defense (ASD) for Global Security Affairs is the normal approval authority for DOD resource and services commitment to foreign disaster relief. The DOD lead for management of budget allocations in this area is the Defense Security Cooperation Agency (DSCA). The main point of contact for the joint staff is the J-4 (JP 3-29, Appendix B). The J-4 provides coordination among combatant command, Service, and defense agency response cells or teams, as appropriate.

Chapter 6

1 The following paragraphs discuss the sections of the USC that are appropriate for
2 FHA and related operations.



3 **Figure 6-1. Approval authority to fund foreign humanitarian assistance operations**

4 **TITLE 10, UNITED STATES CODE**

5 6-1. 10 USC 401 establishes the HCA program. As stated in the first chapter of this ATTP, HCA
6 programs are related to FHA. HCA is generally a long-term commitment to promote sustainable
7 development and growth of responsive institutions. Most often, HCA will be an important part of
8 rebuilding after the completion of a disaster relief FHA mission or part of the HN's internal defense and
9 development program (Figure 6-2, page 6-3).

10 6-2. The HCA program is administered by the GCC directly, with coordination and approval authority
11 vested in the Office of the ASD for Global Security Affairs and DSCA. The goal of this program is to
12 promote regional security objectives by providing basic HCA. Army operation and maintenance (O&M)
13 accounts fund the building materials and other incremental costs incurred for projects performed under
14 10 USC 401 authority. In contrast to other HA programs discussed, HCA activities are authorized by
15 10 USC 401 in conjunction with authorized military operations of the Armed Forces if they promote the—

- 16 • Security interests of both the United States and the country in which the activities are to be carried
17 out.
- 18 • Specific operational readiness skills of the members of the armed forces who participate in the
19 activities.

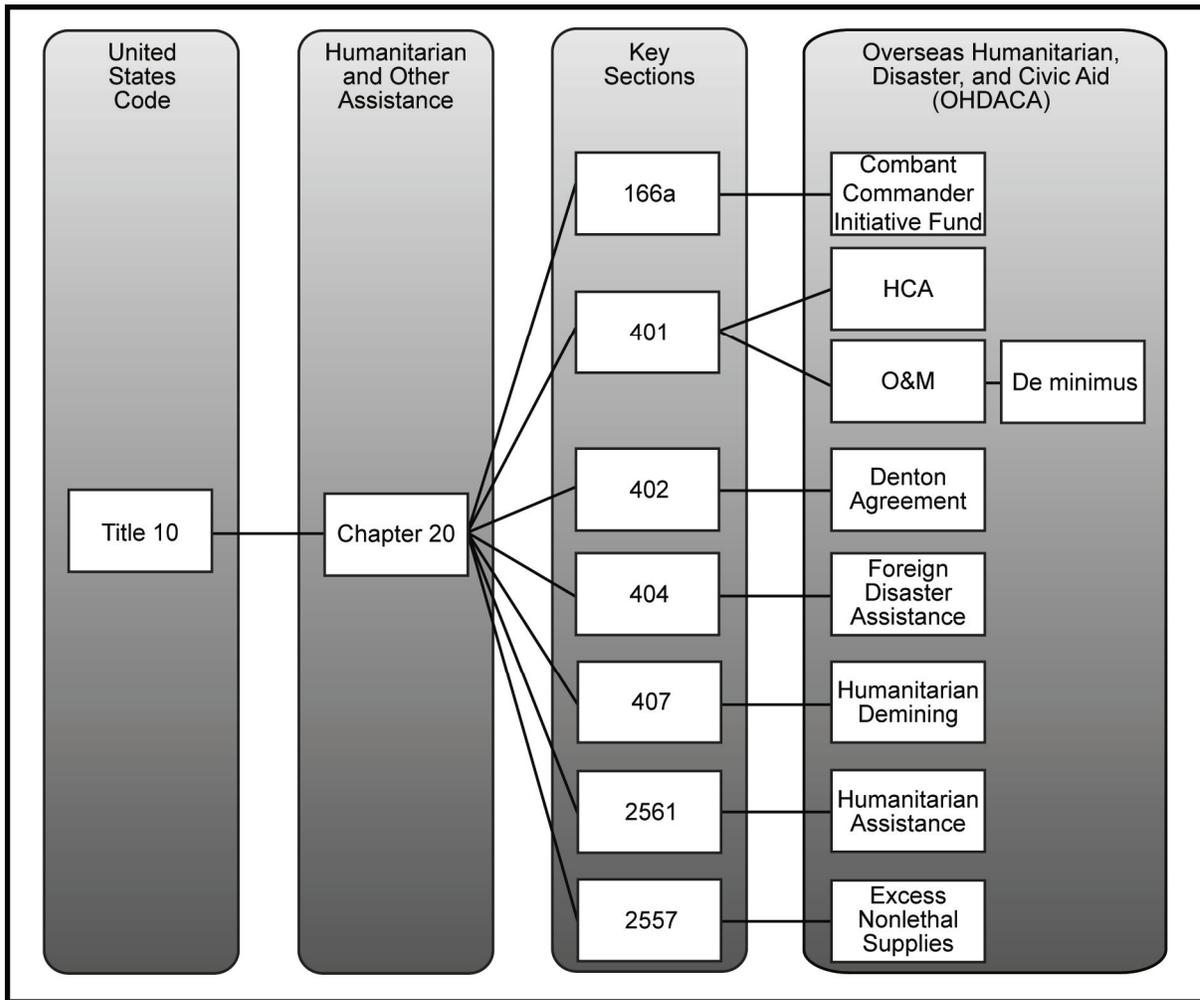


Figure 6-2. Title 10 breakdown

6-3. Deploying units normally use *generic* O&M funds to support their operations. Although the term is not restricted to mission funding under 10 USC 401, it has explicit authorized uses. O&M appropriations pay for the day-to-day expenses of training, exercises, contingency missions, and other deployments. 10 USC 401(c)(4) describes funds appropriated to the DOD for O&M that may be obligated for HCA under this section only for incidental costs of carrying out, such assistance. Also known as de minimis HCA, O&M funds can be used when unplanned HCA activities or projects occur. The DOD has an inherent authority to undertake HCA activities that, by chance, create HN benefits and are carried out to fulfill the training requirements of the unit involved. De minimis HCA can apply to the following examples:

- A unit doctor's or medic's examination of villagers for a few hours or giving inoculations and issuing some medicines. However, de minimis HCA would not include the dispatch of a medical team for mass inoculations.
- The opening of an access road through trees and underbrush for several hundred yards, but not the asphaltting of a roadway.

Chapter 6

1 6-4. HCA is defined in 10 USC 401(e) as—

- 2 ● Medical, surgical, dental, and veterinary care provided in areas of a country that are rural or are
- 3 underserved by medical, surgical, dental, and veterinary professionals, respectively, including
- 4 education, training, and technical assistance related to the care provided.
- 5 ● Construction of rudimentary surface transportation systems.
- 6 ● Well drilling and construction of basic sanitation facilities.
- 7 ● Rudimentary construction and repair of public facilities.
- 8 ● Detection and clearance of land mines, including activities relating to the furnishing of education,
- 9 training, and technical assistance with respect to the detection and clearance of land mines.

10 6-5. Any assistance provided under this program should first undergo legal review. CA forces should

11 consult with the Staff Judge Advocate's Fund Proponent DOD/DA Annual Budget for Legal Authority.

12 6-6. Section 166a Title 10 United States Code (10 USC 166a), *Commandant Commands: Funding*

13 *Through the Joint Chiefs of Staff*, is the Combatant Commander's Initiative Fund. The CJCS may provide

14 funds to the commander of a combatant command, upon the request of the commander, or with respect to a

15 geographic area or areas not within the AOR of a commander of a combatant command. This section

16 provides the CCDRs with a great deal of legal flexibility to conduct activities that include—

- 17 ● Force training.
- 18 ● Contingencies.
- 19 ● Selected operations.
- 20 ● Command and control.
- 21 ● Joint exercises.
- 22 ● HCA, to include urgent and unanticipated humanitarian relief and reconstruction assistance.
- 23 ● Military education and training to military and related civilian personnel of foreign countries
- 24 (including transportation, translation, and administrative expenses).
- 25 ● Personnel expenses of defense personnel for bilateral or regional cooperation programs.
- 26 ● Protection.
- 27 ● Joint warfighting capabilities.

28 6-7. 10 USC 166a is significant to FHA and related operations. In relationship to other funding (such as

29 10 USC 401 which restricts duplicate funding for an operation), any amount provided by the CJCS during

30 any fiscal year out of the Combatant Commander Initiative Fund for an activity shall be in addition to

31 amounts otherwise available for that activity for that fiscal year.

32 6-8. Section 402 Title 10 United States Code (10 USC 402), *Transportation of Humanitarian Relief*

33 *Supplies to Foreign Countries* (commonly known as the Denton Amendment). 10 USC 402 authorizes the

34 transportation of nongovernmental, privately donated relief supplies. The DOS and DSCA administer this.

35 The relief supplies are transported on a space-available basis under certain conditions:

- 36 ● The transportation of such supplies is consistent with the foreign policy of the United States.
- 37 ● The supplies to be transported are suitable for humanitarian purposes and are in usable condition.
- 38 ● There is a legitimate humanitarian need for such supplies by the people or entity for whom they are
- 39 intended.
- 40 ● The supplies will in fact be used for humanitarian purposes.
- 41 ● Adequate arrangements have been made for the distribution or use of such supplies in the
- 42 destination country.

43 **PRIORITY FOR DISASTER RELIEF ASSISTANCE**

44 6-9. In processing applications for the transportation of HA abroad under 10 USC 402, the USAID

45 administrator shall afford a priority to applications for the transportation of disaster relief assistance. In

46 reality, this is sometimes a slow process from the start to materials on the ground.

1 **MODIFICATION OF APPLICATIONS**

2 6-10. The USAID administrator shall take all possible actions to assist applicants for the transportation of
3 HA abroad under 10 USC 402 in modifying or completing applications submitted under such section to
4 meet applicable requirements under such section . The actions shall include efforts to contact applicants for
5 purposes of the modification or completion of these applications.

6 6-11. Section 404 Title 10 United States Code (10 USC 404), *Foreign Disaster Assistance*, addresses
7 Foreign Disaster Assistance. In consultation with the Secretary of State, USAID is the lead agency for
8 foreign disaster relief. The President may direct the SecDef to provide disaster assistance outside the
9 United States to respond to man-made or natural disasters when necessary to prevent loss of lives or
10 serious harm to the environment. Assistance may be provided in the form of transportation, supplies,
11 services, and equipment. Assistance should take the form of support to the overall civilian effort. Amounts
12 appropriated to the DOD for any fiscal year for OHDACA programs shall be available for organizing
13 general policies and programs for disaster relief programs.

14 6-12. 10 USC 404 is rarely used because there is no implementing guidance. As a result, the DOD relies
15 on the broad authority of Section 2561 Title 10 United States Code (10 USC 2561), *Humanitarian*
16 *Assistance*, to conduct the foreign disaster assistance contemplated under 10 USC 404.

17 6-13. Section 407 Title 10 United States Code (10 USC 407), *Humanitarian Demining Assistance:*
18 *Authority; Limitations*, outlines the specific use of funds for humanitarian demining assistance. Regardless
19 of how it is defined in relation to FHA, 10 USC 407 is the authority and outlines limitations for members
20 of the Armed Forces. The assistance must promote either—

- 21 ● The security interests of both the United States and the country in which the activities are to be
22 carried out, or
- 23 ● The specific operational readiness skills of the members of the armed forces who participate in the
24 activities.

25 6-14. Although humanitarian demining assistance can be supported as an FHA operation under technical
26 assistance and support functions, it can also be conducted under NA operations (related to FHA but not
27 FHA) as an HCA project. It is important to distinguish that under the FHA umbrella, it must be a short-
28 term project and under NA/HCA, it is designed to increase the long-term capacity of the HN to provide for
29 the health and well-being of its populace. The definition of humanitarian demining assistance in
30 accordance with 10 USC 407 as it relates to training and support, means detection and clearance of land
31 mines and other explosive remnants of war, including activities related to the furnishing of education,
32 training, and technical assistance with respect to the detection and clearance of land mines and other
33 explosive remnants of war.

34 6-15. Section 2557 Title 10 United States Code (10 USC 2257, *Excess Nonlethal Supplies: Availability for*
35 *Homeless Veteran Initiatives and Humanitarian Relief*, provides the authority to make available for
36 humanitarian relief purposes, through the State Department, any nonlethal excess supplies of the DOD.
37 The identified excess property inventory normally transfers to USAID, as agent for the DOS, for
38 distribution to the target nation.

39 6-16. 10 USC 2561 authorizes use of funds for transportation of humanitarian relief and for other
40 humanitarian purposes worldwide. The statute does not define “other” humanitarian purposes worldwide.
41 This allows the DOD to carry out broader, more extensive HA projects. Projects that use contractors, to
42 include the purchase of end items other than those used in connection with 10 USC 401 HCA activities, or
43 involve the provision of training or technical assistance for humanitarian purposes, are carried out under
44 this authority. It also allows more flexibility in emergencies, to include natural or man-made disasters. CA
45 units may provide and coordinate FHA. 10 USC 2561 does not require the promotion of operational
46 readiness skills of the U.S. military participants and allows contracting for goods and services if necessary
47 for mission execution. In addition, unlike HCA, which must be conducted in conjunction with an exercise
48 or ongoing military operation, FHA can be conducted as a stand-alone project. The transport of
49 USG-donated goods to a country in need often falls under this authority. 10 USC 402 applies when relief
50 supplies are supplied by NGOs. 10 USC 2561 has been amended to allow the SecDef to use this authority

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1 to transport supplies intended for use to respond to or mitigate the effects of an event or condition that
2 seriously threatens the environment, such as an oil spill, if other sources of transportation are not readily
3 available.

4 6-17. OHDACA is a DOD account to which Congress appropriates funds. OHDACA funds are generally
5 used to pay for operations and activities that are authorized by 10 USC 2561, HA, and demining under
6 10 USC 401. Even though the law specifically lists HCA and disaster relief as appropriate uses for the
7 fund, the actual practice is that OHDACA funds are used to pay for activities authorized by 10 USC 2561.

8 **TITLE 22, UNITED STATES CODE**

9 6-18. Section 2292 through 2292k Title 22 (22 USC 2292 through 2292k, *Foreign Assistance: Subchapter*
10 *I-International Development: Part IX-International Disaster Assistance*, is the International Disaster
11 Assistance Fund. The President may direct the DOD through the SecDef to respond to man-made or
12 natural disasters. The President delegated disaster relief authority to the SecDef with concurrence of the
13 DOS (except in emergencies). The DOD has limited authority to engage in disaster assistance. Through
14 10 USC 2292, Congress and the President provide the authorization for the United States to provide
15 assistance to certain countries. Generally, each Section after 10 USC 2292(b) will indicate particular
16 countries that will be the intended recipient of this aid and additional countries will undoubtedly be added
17 to the list as time goes on. In addition to funds mentioned in Title 10, the bulk of FHA operations may be
18 funded in accordance with 22 USC 2292.

19 6-19. Section 2151 Title 22 United States Code (22 USC 2151), *Foreign Assistance: Subchapter I*
20 *Subchapter I-International Development; Part-Declaration of Policy; Development Assistance*
21 *Authorizations*, is the Foreign Assistance Act (FAA). The FAA is designed to focus on developing
22 countries and provides economic, agricultural, medical, disaster relief, and other forms of assistance. The
23 FAA also assists foreign countries in fighting internal and external aggression by providing various forms
24 of military assistance upon request (and subject to Congressional approval). Despite a large DOD role in
25 providing defense-related articles and services, the DOS controls the FAA. The FAA mandates close
26 coordination and cooperation between the DOD and U.S. civilian agencies at all levels of the security
27 assistance process.

28 6-20. **Fiscal Law.** A central legal consideration for commanders conducting FID operations is using the
29 proper funding authorizations for the type of mission. The two major types of funding are FAA funds (see
30 Title 22 discussion above) and O&M funds (see Title 10 discussion above). In most instances, commanders
31 encounter problems in this area when they use O&M funds for projects that require FAA funding. The
32 following fiscal principles should be observed when conducting FID operations to ensure that all activities
33 are conducted within the limits of U.S. law:

- 34 ● Commanders must be aware of fiscal law principles to avoid possible violation of Anti-Deficiency
35 Act (Section 1341, Title 31, United States Code [31 USC 1341], *Limitations on Expending and*
36 *Obligating Amounts*). The Anti-Deficiency Act violations are reportable to Congress and carry
37 both civil and criminal penalties. Commanders cannot make expenditures in advance or in excess
38 of available appropriations.
- 39 ● Commanders must ensure expenditures reasonably relate to the purpose of the appropriation.
- 40 ● Commanders must not allow expenditures prohibited by law.
- 41 ● Commanders must make sure the expenditure does not fall specifically within the scope of some
42 other category of appropriation.
- 43 ● Commanders must know that if two appropriations permit the expenditure, either may be used, but
44 not in combination or interchangeably.

45 6-21. CA personnel assigned at all levels in an FHA operation will support the commander's CMO
46 objectives by becoming familiar with the intricacies of these funding sources.
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Appendix A

Funding Considerations

As stated previously every FHA operation is unique. The goal of this appendix is to familiarize the CA forces with some of the funding options that are available to them for an FHA or related operation. Because FHA can be conducted inside the full spectrum of operations, either as a part of a larger operation or as the sole mission, CA forces need to know how to utilize or apply these sources to support the commander's CMO objectives.

DEFINITION AND PURPOSE

A-1. FHA is a USG activity designed to relieve or reduce human suffering, disease, hunger, or privation by the population of a foreign country. FHA is normally conducted in support of the USAID or DOS.

A-2. Generally, all FHA activities are funded by DOS appropriations under Title 22, USC (for example, the Foreign Assistance Act). The DOD has permanent authority within Title 10, USC, to conduct HA activities and is a primary contributor to many FHA missions. DOD annual appropriations normally provide only limited and very narrow in scope funding levels for FHA.

LEGAL AUTHORITY

A-3. There are two types of legal authority for the conduct of FHA activities by the USG, permanent and temporary. Congress provides permanent statutory authority to conduct FHA in Title 22 the Foreign Relations Section and the Title 10 the Armed Forces Section of the USC. Congress will provide a temporary authority in an appropriations act to conduct FHA. An example would be an express provision to conduct FHA in the National Defense Authorization Act.

A-4. Statutory authority for USG agencies to provide FHA is contained in the FAA of 1961, as amended, in Title 22, USC. This legislation provides a blueprint for USG engagement with friendly nations. The FAA designated DOS to provide policy guidance and supervision of programs created within the FAA. Various Sections of Title 10, USC and Title 22, USC give specific authorizations for various types of military assistance. In addition, the annual DOD appropriations acts provide funding levels for various authorizations. Taken together these provisions are very narrow in scope and generally still require prior coordination with DOS.

DEPARTMENT OF DEFENSE FUNDING OF FOREIGN HUMANITARIAN ASSISTANCE

A-5. There are two primary sources for funds that DOD can use to fund FHA missions, O&M and OHDACA funds.

OPERATIONS AND MAINTENANCE FUNDS

A-6. O&M funds are the primary funds used to pay for day-to-day military operations. However, DOD use of O&M funds for FHA is significantly restricted by law and policy. O&M funds may be used in limited circumstances, and only by exception. The use of O&M funds for FHA requires prior Congressional approval. Congressional approval must be stated in legislation and appropriate funds necessary to conduct the activity.

Appendix A

1 **OVERSEAS HUMANITARIAN, DISASTER, AND CIVIC AID FUNDS**

2 A-7. The primary purpose of the OHDACA appropriation is for DOD to conduct worldwide HA and
3 demining operations. The DSCA manages the OHDACA appropriation. Guidance for DOD’s HA
4 programs is found in DOD 5105.38-M, *Security Assistance Management Manual (SAMM)*.

5 *Note:* OHDACA funding is 24 month funding, it can cross fiscal years. Request for OHDACA
6 must be requested online and be recommended by the theater commander (J-4) before the Office
7 of the Secretary of Defense will consider the request. To initiate a request for funding, an
8 organization must first request an account at: <https://www.ohasis.org/Login.aspx>

9 A-8. OHDACA funds several statutorily authorized programs, including humanitarian and civic
10 assistance under 10 USC 401. The primary purposes of Section 401 HCA are to provide for—

- 11 ● Medical, surgical, dental, and veterinary care in rural or underserved areas (included is training of
12 such care).
- 13 ● Construction of rudimentary surface transportation systems.
- 14 ● Well drilling and construction of rudimentary sanitation facilities.
- 15 ● Rudimentary construction and repair of public facilities.
- 16 ● Detection and clearance of landmines, including education, training, and technical assistance.

17 A-9. Section 401 HCA authorization has multiple funding sources. The 2010 Department of Defense
18 Appropriation Act authorizes OHDACA appropriations to carry out Section 401 HCA. Additionally, the
19 2010 Department of Defense Appropriation Act authorizes the use of Service O&M funds to finance
20 Section 401 HCA projects. Section 401 HCA funding that comes from O&M is called preplanned or
21 budgeted HCA, its use is regulated by Department of Defense Instructions (DODI) 2205.02, *Humanitarian
22 and Civic Assistance*, and the DOD 5105.38-M, Chapter 12.

23 **Preplanned HCA**

24 A-10. Under this program, the concerned Secretary may carry out HCA in conjunction with authorized
25 military operations of the Armed Forces in a country if the Secretary determines the activities will promote
26 (1) the security interests of the U.S. and the country where the activities will be carried out; and (2) the
27 specific operational readiness skills of the service members who will participate in activities. Preplanned
28 HCA is restricted by the following:

- 29 ● It may not duplicate other forms of U.S. economic assistance.
- 30 ● It may not be provided (directly or indirectly) to any individual, group, or organization engaged in
31 military or paramilitary activities.
- 32 ● The Secretary of State must specifically approve assistance.
- 33 ● It must be paid out of funds budgeted for HCA as part of the Service O&M appropriations.
- 34 ● U.S. personnel may not engage in the physical detection, lifting, or destroying of landmines (except
35 concurrent with U.S. military operation), or provide, such assistance as part of a military operation
36 not involving U.S. forces.
- 37 ● Expenses funded as HCA shall include the costs of consumable materials, supplies, and services
38 reasonably necessary to provide the HCA. They shall not include costs associated with the military
39 operation (for example, transportation, personnel expenses, and petroleum, oil, and lubricants) that
40 probably would have been incurred whether or not the HCA was provided.

41 **Minimal Cost HCA**

42 A-11. Minimal cost HCA funds provide authority for local commanders to react to HCA targets of
43 opportunity during the course of a military operation. Such activities must be modest in scope and involve
44 only minimal cost HCA; the maximum amount that may be obligated by a local commander on a minimal
45 cost HCA target is \$2,500. Commanders have authority to restrict that further. All material and supply

1 costs incurred in executing a minimal cost HCA project are funded from the unit’s O&M account because
2 the unit uses resources it currently has on hand. Other authorizations for the OHDACA are discussed in the
3 following paragraphs.

4 **10 USC 402, Transportation of Humanitarian Relief Supplies for Nongovernmental**
5 **Organizations**

6 A-12. Under 10 USC 402, the SecDef may transport to any country, without charge, supplies furnished by
7 NGOs intended for HA. Transport is permitted only on a space-available basis. Supplies may be distributed
8 by U.S. agencies, foreign governments, international organizations, or nonprofit relief organizations.
9 Supplies may not be distributed (directly or indirectly) to any individual, group, or organization engaged in
10 military or paramilitary activities. Before transporting supplies under 10 USC 402, the SecDef must
11 determine if—

- 12 • The transportation of supplies is consistent with U.S. foreign policy.
- 13 • The supplies to be transported are suitable for humanitarian purposes and are in usable condition.
- 14 • A legitimate humanitarian need exists for the supplies by the people for whom the supplies are
15 intended.
- 16 • The supplies will, in fact, be used for humanitarian purposes.
- 17 • Adequate arrangements have been made for the distribution of the supplies in the destination
18 country.

19 **10 USC 404, Foreign Disaster Assistance**

20 A-13. Under 10 USC 404, the President may direct the SecDef to provide disaster assistance outside the
21 U.S. in response to manmade or natural disasters when necessary to prevent the loss of life. The funds
22 appropriated to DOD for OHDACA are available for organizing general policies and programs for disaster
23 relief programs. Assistance under 10 USC 404 may include transportation, supplies, services, and
24 equipment.

25 A-14. The President delegates to the SecDef the authority to provide disaster relief, with the Secretary of
26 State’s concurrence. In emergencies when there is insufficient time to seek the concurrence of the
27 Secretary of State, the SecDef may authorize the disaster relief and begin execution, provided the SecDef
28 seeks Secretary of State concurrence as soon as possible. Executive Order 12966, Federal Regulation
29 36949 provides additional information. Within 48 hours of commencing relief activities, the President must
30 transmit a report to Congress.

31 **10 USC 407, Humanitarian Demining Assistance**

32 A-15. Under 10 USC 407, the Armed Forces may carry out humanitarian demining activities when such
33 assistance will promote either (1) both the U.S. and the country where the demining activities will be
34 carried out, or (2) operational readiness skills of members of the armed forces who participate in activities.

35 A-16. Humanitarian demining has a broad definition. JP 1-02 defines it as the *activities related to the*
36 *furnishing of education, training, and technical assistance with respect to detection and clearance of land*
37 *mines and other explosive remnants of war.*

38 A-17. 10 USC 407 contains a statutory cap of no more than \$10 million for equipment, services, and
39 supplies for humanitarian demining activities per year. However, the statute permits DOD to pay for
40 *expenses* associated with providing humanitarian demining assistance to a foreign country.

41 **10 USC 2557, Excess Nonlethal Supplies for Humanitarian Relief**

42 A-18. The SecDef may make available for humanitarian relief purposes any DOD nonlethal excess
43 supplies. Excess supplies furnished under this authority are transferred to DOS, which is responsible for
44 distributing the supplies. Nonlethal excess supplies means property that is excess under DOD regulations

Appendix A

1 and is not a weapon, ammunition, or other equipment or material designed to inflict serious bodily harm or
2 death.

3 **10 USC 2561, Humanitarian Assistance**

4 A-19. To the extent provided in authorization acts, funds appropriated to DOD for HA shall be used for
5 providing transportation of humanitarian relief and other humanitarian purposes worldwide. Programs
6 under 10 USC 2561 may be carried out by contractors.

7 **TEMPORARY AUTHORIZATIONS FOR FOREIGN HUMANITARIAN ASSISTANCE**

8 A-20. As discussed above, if Congress desires, it can allow DOD to use O&M funds to conduct FHA
9 missions. The authority provided must be explicit and must be accompanied by appropriate funds. Such
10 operations are of limited duration and scope. Recent operations in Iraq and Afghanistan have relied heavily
11 upon such authorizations. Examples of Congressionally authorized temporary FHA programs are discussed
12 in the following paragraphs.

13 **Commander’s Emergency Response Program**

14 A-21. The statutory purpose for the U.S.-funded Commander’s Emergency Response Program (CERP) is
15 “[to enable] military commanders in Iraq [and Afghanistan] to respond to urgent humanitarian relief and
16 reconstruction requirements within their AOR by carrying out programs that will immediately assist the
17 Iraqi [and Afghan] people.” CERP is a critical capability in the commander’s toolbox for stability
18 operations. CERP was originally funded with seized Iraqi funds, but Congress later authorized funds to
19 continue the programs to provide urgent humanitarian relief and reconstruction. CERP funds apply only to
20 operations in Iraq and Afghanistan.

21 **Iraqi-Funded CERP**

22 A-22. The primary purpose of the Iraqi-funded CERP (I-CERP) is to allow commanders to execute
23 reconstruction for the benefit of the Iraqi people in the 15 non-Kurdish provinces. Commanders may use
24 I-CERP for four basic purposes (1) water purification plants (2) schools (3) health clinics (4) city planning
25 facilities (government of Iraq, provincial and local government offices). Exceptions exist to allow
26 commanders to fund roads, sewers, irrigation projects, and nonreconstruction projects that promote small
27 business development.

28 A-23. I-CERP is an Iraqi-funded CERP based on a memorandum of understanding between the Iraq
29 Supreme Reconstruction Council and multinational force-Iraq, dated 3 April 2008. The I-CERP program is
30 funded by the government of Iraq, and NOT by U.S. appropriated funds. However, Congress provided
31 authorization for DOD HA missions in Iraq in cases where funds originate from foreign governments,
32 including the Government of Iraq.

33 **DEPARTMENT OF STATE AUTHORIZATIONS**

34 A-24. DOS and USAID finance a number of development assistance programs, including—agriculture and
35 nutrition, population control, health, education, energy, and environment improvement. Most of these
36 projects are financed with direct grants or loans from DOS or USAID to the developing country. These are
37 large-scale projects and normally do not involve DOD. There are a few DOS development assistance
38 programs, however, that do involve DOD. Most notably are the Economic Support Fund and the Bureau of
39 International Narcotics and Criminal Law Enforcement, both provide DOS funds to provincial
40 reconstruction teams in Iraq and Afghanistan.

41 A-25. For the deployed unit, properly coordinating for access to the DOS appropriations and authorizations
42 becomes critical. When not deployed, a DOD unit would normally coordinate with DSCA and follow the
43 procedures in DOD 5105.38-M.

1 **SECTION 2346, TITLE 22 UNITED STATES CODE, ECONOMIC SUPPORT FUND**

2 A-26. The DOS finances some provincial reconstruction team missions in Iraq and Afghanistan with this
3 fund. The primary function of the fund is to build capacity for governance in a foreign country. Provincial
4 reconstruction teams are organizations staffed by USG civilian personnel, and sometimes augmented with
5 military personnel, to assist foreign provincial governments with their reconstruction efforts; their security
6 and rule of law efforts; and their political and economic development.

7 A-27. The FAA authorizes economic support fund assistance to promote the economic or political stability
8 of foreign countries. The Economic Support Fund provides financial assistance to programs all over the
9 world; its application is not limited to efforts in Iraq and Afghanistan.

10 **SECTION 2291, TITLE 22 UNITED STATES CODE, INTERNATIONAL NARCOTICS AND**
11 **CRIMINAL LAW ENFORCEMENT FUNDS**

12 A-28. The DOS has statutory authority to furnish assistance to any country or international organization for
13 the control of narcotic and psychotropic drugs and other controlled substances, or for other anticrime
14 purposes.

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Appendix B

Foreign Humanitarian Assistance Vignettes

The vignettes included in this appendix were collected from various locations. They are based on actual missions and should be used only as examples of the best practices.

***Stabilization Partnership Development Alternatives,
Incorporated-Local Governance and Community Development (DAI-LGCD),
United States Agency for International Development (USAID),
United States Military, Afghan National Army (ANA),
Afghan National Police (ANP), and Local Villages***

In the province of Uruzgan, in the Shahi Hassia District of Afghanistan, DAI-LGCD implemented a local stability initiative small grant project. It was a collaborative effort between the DAI-LGCD, USAID, U.S. military, ANA, ANP, Afghan villagers, and Shuras.

This particular small grant project provided funds for recent returnees from the Pasaw and Dosang villages. The funds allowed the villages to purchase flour and cooking oil. Their homes had been damaged due to fighting between the Taliban and coalition and ANA forces. In addition to the flour and oil that DIA-LGCD supplied, the U.S. military provided them with green tea, school supplies for the children, hygiene kits, and prayer rugs. The project involved all actors of the project cycle—from the vendors where the food was purchased locally in the Oshay bazaar to the district government who oversaw the project and distributed the food in coordination with village elders.

The area was previously a Taliban stronghold. An alliance of U.S. military, ANA, and ANP forces defeated the Taliban. Villagers who had fled the area came back to their homes; but, they arrived to total devastation. Their houses had been destroyed by fire, and food was scarce. They had been unable to plant crops during the last planting season due to the attacks. By providing basic provisions, the grant helped 100 families and included assistance to orphans and widows who had lost loved ones during the conflict.

This, however, was not a one day affair. For a month prior, USAID and the DAI-LGCD team, along with the U.S. military, were on the ground talking to the villagers while assessing their particular needs. Once an understanding of their needs was obtained an implementation plan was prepared. One U.S. Soldier working on the distribution commented, “the Taliban was watching as the drop went on. We intercepted some ICOM traffic stating that they were watching us and that we were giving the villagers food. The insurgents said that the villagers now openly welcome the *infidels* and that they are no longer able to enter the villages freely like they could in the past. One of the best parts of the mission is that it completely had an Afghani face. The ANA and ANP did an outstanding job, and you could see that the villagers had pride in their security forces.”

This particular project not only built trust between the communities, both the ANA and ANP, but also encouraged villagers; especially from Dosang village to return to their homes. It gave the district administration much needed authority and boosted the local economy. The emergency provisions that were provided curtailed pain and suffering. Families were able to sustain themselves through to the spring.

6

Appendix B

Building Trust And Partnerships in the Horn of Africa: United States Navy Maritime Civil Affairs Team Uses Facebook to Build Trust Among Nongovernmental Organizations

Relationships with military and NGOs are a challenge—NGOs are typically uncomfortable when approached by the military and leery of their intentions. The Navy maritime Civil Affairs team (MCAT) created a Facebook site to illustrate their mission and past accomplishments through words and images.

During initial guarded discussions with NGOs, the MCAT referenced the Facebook site to obtain more information. The level of transparency shown on Facebook positively affected the impressions the NGOs had about the Navy and provided an open door to establish successful working relationships.

Because of bandwidth and security issues, Facebook Inbox messages became a primary means to interface with people the MCAT met in Rwanda and Uganda, Africa. These contacts followed the MCAT's travels throughout the continent and commented on their progress.

The MCAT also used Facebook to keep in touch with contacts and friends they have made throughout their travels in Africa. The MCAT had nearly 400 fans in the region (spanning the Republics of Uganda, Rwanda, and Djibouti, as well as other countries) and received an average of 24 interactions on Facebook per week.

1

United States Army Civil Affairs Teams Making a Difference in Hinche, Haiti

A Civil Affairs team from the U.S. Army Special Operations Command along with UN officials and NGOs helped facilitate the distribution of food and medical aid for more than 380 families from the Haitian city of Hinche. The distribution was the first since the formation of a local humanitarian aid coordination committee organized by the Hinche city government. The food, which consisted of a two-week supply of rice, beans, flour, and cooking oil was distributed to the community by local Haitian volunteers from World Vision.

"The food distribution is a promising step in the right direction, though organizations need to be preparing for long-term solutions as well," said an Army Civil Affairs team leader based out of Hinche. "We're trying to make sure NGOs and the local government work together to request assistance through the system the UN has in place so we get the right aid and assistance to those in need."

Civil Affairs Soldiers also assisted a team of doctors from an NGO in treating approximately 50 children at a Hinche orphanage. More than 200 children lived at the orphanage, which was run by a Haitian outreach organization. The supporting doctors were from the Haiti Endowment Fund, an organization that provides food and medical aid, as well as educational services for Haitian citizens. Prior to the engagement, the NGOs were working separately and were unaware of each other's presence. But thanks to the work of the U.S. Army Civil Affairs teams on the ground, the two organizations were able to link up and perform services as a single entity.

The team leader said "I'm glad we were able to connect two different organizations that are doing so much good here in Hinche, and now we are seeing the effects that these organizations are providing for so many kids in need. It's very encouraging."

2

Civil Affairs Team Delivers Supplies, Provides Vital Aid to Village of El Sauce

A Civil Affairs team from Special Operations Command South, based out of Homestead, Florida, provided vital aid to the small village of El Sauce by dropping off more than 5,000 total pounds of food and water.

U.S. Southern Command and the U.S. military group in El Salvador requested the team's visit to conduct rapid assessments of the most disaster torn areas and provide much needed relief supplies to an area that could not be reached by land vehicles. El Sauce, with a population of 1,500 was so disconnected that the team had to take a boat ride from Apulo, along the edge of Lake Ilopango, to get there.

Once the team arrived they made contact with the community leaders and started the initial assessment of the devastated area. Within minutes of being in the village, they learned that the community's potable water source was severely damaged—a huge problem that required quick action by the team. The team then initiated contact with the Salvadoran government and military, to start the ball rolling in obtaining much needed supplies. This was a combined effort by Salvadoran government and military, the people of El Sauce, USAID, Civil Affairs, and Joint Task Force-Bravo.

The assessment team identified an area that would be used for the landing zone. Salvadoran military and U.S. Soldiers then loaded a UH-60 Blackhawk with supplies near Ilopango International Airport. Because the area around El Sauce was so badly damaged by mudslides that the landing zone was about a quarter of a mile from the village. Once the supplies were dropped off, the villagers had to carry more than 5,000 pound of food and water back to the village.

The team submitted a proposal to USAID for repair of the village's water sources, which would provide a long-term solution.

1

Civil Affairs Team Helps Strengthen U.N., Government of Haiti, NGO Network in St. Marc

A Joint Forces Special Operations Component Command Civil Affairs team assigned to St. Marc achieved success in strengthening the network of NGOs, MINUSTAH and Government of Haiti members that continued to operate as the U.S. military reduced its role.

The team helped coordinate and facilitate meetings between the various organizations focused on HA after the 7.0 magnitude earthquake in Port-au-Prince on January 12, 2010. Their primary task was to be a facilitator of the system already in place that mirrored the cluster system in Port-au-Prince.

The relationships formed in this network helped HA more effectively reach the citizens of the coastal town, as locations with needs were linked to organizations with supplies.

MINUSTAH representatives were still gathering information on the numbers of people who migrated to the outlying communes of the city. "I hope it's going to strengthen our system," said a MINUSTAH representative, referring to the efforts of the Civil Affairs team to help gather information and communicate with the government in Port-au-Prince.

In addition to working with members of MINUSTAH and the local government, the team collaborated with NGOs at hospitals and camps of internally displaced persons to assess their needs. Doctors from an NGO working in St. Marc expressed their appreciation for the Civil Affairs team's work to connect their organization with other agencies in the area.

The U.S. military is an organization we know we can trust," said a spokesperson from, an emergency physician from Temple, Texas volunteering in St. Marc. "They have been instrumental in setting up the network and dealing with other agencies—things we don't know much about as physicians." (continued)

Appendix B

***Civil Affairs Team Helps Strengthen U.N.,
Government of Haiti, NGOo Network in St. Marc (continued)***

Joint Forces Special Operations Component Command Civil Affairs teams also worked to strengthen networks in Cap-Haitien, Hinche, and Gonaives.

1

Civil Affairs Teams Continue to Assist NGOs as Capabilities Improve

A Civil Affairs team along with Soldiers from the 82nd Airborne Division partnered with the NGO “Tzu-Chi” to help facilitate the delivery of blankets and shelter for more than 2,000 citizens in Port-au-Prince, Haiti during a humanitarian aid distribution operation. The U.S. military assisted NGOs, the U.N., and other agencies with delivery of humanitarian aid. As coordination efforts continued to improve and infrastructure gains strengthen, Civil Affairs teams were seeing their roles diminish.

“We are here to help facilitate in this distribution, but this NGO has a very organized method of delivery, so everything pretty much runs by itself,” said a Civil Affairs team sergeant. “We are seeing more of this every day when we go out. The NGOs are making better partnerships with the people.”

An NGO member from Maryland made the trip to Haiti and said he was appreciative of the involvement U.S. Soldiers were taking in the country. “We’re all there to serve and help people, I’m glad we were able to partner with the U.S. military for this operation. I think we can learn a little bit from each other about helping the people of Haiti.”

The Civil Affairs team leader said the relationship with Tzu-Chi is typical of the partnerships built between the U.S. military and relief organizations in Haiti. “We fill in where we can to assist them, but then we step back and let them lead the effort. These organizations are becoming more capable, and they are increasingly helping more people, and that’s going to make an impact on the long term.” “Everyone here makes an impact. I believe we are all making a difference for people in Haiti by doing the things we’re doing here today.”

2

Five Nations Join in Romania for Civil Affairs Symposium

Military representatives from five nations joined together in the Romanian port city of Constanta, 24–27 May 2010, to discuss the best practices for conducting civil-military operations. Civil Affairs staffs from Azerbaijan, Bulgaria, Romania, and Ukraine joined U.S. Marines and Soldiers in a four-day symposium, the purpose of which was to allow the nations’ representatives to learn from each other.

“Each country has a different way, with a different focus on how they do Civil Affairs,” said the staff noncommissioned officer in charge of Civil Affairs for the Black Sea Rotational Force. “It was great to have the different countries here, especially with the diversity of knowledge they brought.”

The symposium was designed as an open forum, so that attendees could freely share their opinions and experiences on subjects ranging from combat operations to HA. “For example in combat operations, Civil Affairs serves as the liaison for the commanding officer to leaders in the local community in order to minimize the impact of military operations on the civilian population,” said the Civil Affairs officer for the Black Sea Rotational Force. “But in disaster relief, Civil Affairs forces provide expedient assistance to the civilian population and assist in coordinating with relief organizations.”

Items covered during the symposium included discussions on dislocated individuals, peacekeeping operations, and nongovernmental and intergovernmental organizations, as well as case studies on military operations in Sierra Leone and Darfur, Sudan, and HA in Bangladesh. (continued)

Five Nations Join in Romania for Civil Affairs Symposium (continued)

“The plan for the symposium was perfect,” said the civil-military cooperation chief for the general staff of the Bulgarian armed forces. “The atmosphere was very open. We could clearly see and speak to each other and discuss what we felt was important.” He also said he planned to take back some of what he learned at the symposium in the hopes of creating a more integrated Civil Affairs community in the Bulgarian armed forces

1

Rapid Response: The U.S. Military’s Haiti Relief Surge

The humanitarian relief effort in Haiti began January 12, 2010, immediately after the island nation was rocked by a 7.0-magnitude earthquake. The U.S. military immediately took the lead in opening a logistics chain enabling medical and rescue personnel, food, water, temporary shelter and other necessities to reach Haiti despite the near total destruction of the island’s air and seaport facilities.

Working in concert under the direction of the U.S. Transportation Command, the Navy’s Military Sealift Command set up temporary off-loading capabilities for seaborne supplies while working to reopen the harbor at Port-au-Prince; the Air Force Air Mobility Command did the same with the capital city’s small, and devastated, airport; and the Army’s Military Surface Distribution and Deployment Command played a major role in both efforts, especially in the initial hours after the earthquake, and was the primary logistics interface with USAID to move relief supplies inland.

Within 12 hours the airfield was opened, and working with the Air Force, the Surface Distribution and Deployment Command’s 688th Rapid Port Opening Element moved cargo coming in by air to a distribution site. The 832d Transportation Battalion out of Jacksonville, Florida, opened up the seaport in 36 hours at Port-au-Prince to receive humanitarian supplies. Joint logistics over the shore also was set up, using a trident pier for containers.

While the initial response was by air, sealift was required for a lot of the heavier equipment needed to clear debris and search for survivors. Military Sealift Command responded with a wide variety of capabilities from 21 vessels, including the U.S. military hospital ship *Comfort*, two 673-foot maritime prepositioning ships (the PFC Dewayne T. Williams and the 1st Lt. Jack Lummus), two T-AKE dry cargo/ammunition ships (the Lewis and Clark and the Sacagawea), the Naval Fleet Auxiliary Force fleet replenishment oiler *Big Horn*, four Maritime Administration Ready Reserve force ships (the Cornhusker State and Gopher State crane ships, the Cape May heavy-lift ship and the aviation maintenance logistics ship *Wright*) and the Military Sealift Command Special Mission program oceanographic survey ship *Henson*, which surveyed the harbor floor and identified potential hazards to ships bringing relief supplies.

The Navy also sent the USS Carl Vinson Carrier Strike Group and USS Bataan and USS Nassau Amphibious Ready Groups to support the relief effort, and Maritime Administration activated two high-speed ferries from the National Defense Reserve Fleet—MV *Huakai* and MV *Alakai*—to ferry personnel, vehicles and supplies between Jacksonville and Haiti.

The *Comfort* is maintained in a five-day readiness-to-sea status, fully manned with civilian mariners and a Navy medical team and all supplies, including helicopters and boats. It is the equivalent of an entire city hospital. The journey from Baltimore to Haiti took 77 hours.

The effort was closely coordinated among all the Service components, with U.S. Transportation Command overseeing the combined mission, working closely with Southern Command and the Joint Task Force, but all of the military logistics commands initially responded even before orders were issued. Some assets that had been scheduled for use in the drawdown in Iraq and build-up in Afghanistan were retasked to Haiti, but the Service commanders say neither the war effort nor Haitian relief were short-changed because U.S. Transportation Command had effectively preplanned for such contingencies.

Appendix B

1

U.S. Military Helped Search-and-Rescue Efforts in Haiti

You have only to look at what are called “crush” injuries of earthquake victims in Haiti to realize that the flattening effect of collapsed concrete buildings leaves little chance for survival. Despite that gruesome fact, search-and-rescue (SAR) teams deployed by the U.S. military and working alongside civilian units from around the world did have some success following the January 12, 2010, disaster that killed more than 100,000 people. Within days of the devastating earthquake U.S. military engineers and pararescue units in Operation UNIFIED RESPONSE worked feverishly with SAR teams from the United States as well as units from Taiwan, Turkey, France, Israel and other countries to rescue trapped survivors, many suffering horrific crush injuries to arms and legs; necessitating immediate amputation.

The 1,700 members of 43 SAR teams used 161 body-sniffing dogs and sophisticated seismic listening devices to locate and pull survivors from the rubble of collapsed structures. Six of the teams were from the United States; their 511 members came from California, Florida, New York, and Virginia.

They were helped by U.S. military units that used heavy equipment to clear rubble obstructing rescue sites and assessed the stability of damaged structures.

While focusing on the restoration of essential public services like electricity and water, U.S. military engineers also had an important role to play in SAR activities. The collapsed sites were extremely dangerous, and removing the wrong beam or section of concrete could cause the entire remaining structure to collapse, so the U.S. military engineers leveraged the expertise of SAR personnel by identifying which pieces or components (of the mass of concrete rubble) needed to be removed next. That care paid off when U.S. Air Force pararescue specialists from the 23d Special Tactics Squadron worked with members of various rescue teams to rescue a 25-year-old woman who had been trapped in a collapsed building for seven days.

Within 48 hours of the disaster, despite the aftershocks and chaos that followed the initial quake, a French SAR team pulled 8 survivors out of the ruins of the Montana Hotel outside Port-au-Prince, including seven Americans.

The Fairfax County, Virginia, Task Force Urban Search and Rescue Team that arrived in Haiti less than 24 hours after the disaster reported it had pulled 14 survivors from collapsed buildings. The buildings included a large home whose owner survived the collapse but whose family was trapped inside. Four family members were saved by the SAR team that the Haitian owner said was “sent from heaven.”

Note: This vignette came from <http://www.america.gov>.

2

Maritime Civil Affairs Team Aboard Bataan Coordinates Aid Distribution

Members from the U.S. Navy Maritime Civil Affairs Team (MCAT) 207, embarked aboard the multipurpose amphibious assault ship USS Bataan (LHD 5), and met with members of the Haitian Coast Guard in Carrefour, Haiti, to facilitate the distribution of U.S.-provided humanitarian relief supplies through Haitian authorities. The U.S. military was the primary distributor of aid in Killick, and discussions centered on the transfer of aid distribution responsibilities to the Haitian military and NGOs.

The reason for the visit to the Haitian Coast Guard was to maintain contact between the MCAT and the Haitian military. Open lines of communication helped ensure that aid was distributed where it would have a greater impact. (continued)

Maritime Civil Affairs Team Aboard Bataan Coordinates Aid Distribution (continued)

The team coordinated with the larger NGOs in the Carrefour area to provide relief supplies to the community. The ideal situation was to have the larger NGOs receive the aid supplied to the Haitian government and then distribute those supplies to smaller relief organizations, giving the aid a much wider reach.

Once the mayor of Carrefour approved the primary group of NGOs, the plan went into effect. MCAT members from the amphibious dock-landing ship the USS Gunston Hall (LSD 44) had been coordinating with the World Food Programme (UN) to provide aid that was dispersed by the Haitian government and NGOs. The USS Bataan's MCAT resumed those talks as the USS Gunston Hall prepared to depart the waters of Haiti to begin their Africa Partnership Station deployment.

The USS Gunston Hall officially completed her Operation UNIFIED RESPONSE mission on February 11, 2010. The USS Bataan arrived off the coast of Haiti on January 18, 2010, and immediately began providing HA and disaster relief in support of Operation UNIFIED RESPONSE.

Operation UNIFIED RESPONSE was part of a larger U.S. response to a request from the government of Haiti for urgent humanitarian aid. U.S. Southern Command worked closely with the Department of State, USAID, and the international community to provide life-sustaining services to the people of Haiti. All military efforts were in support of USAID, which orchestrated the U.S. Government's contributions to the relief.

Note: This vignette came from <http://www.navy.mil>.

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Continuing Promise 2009 (CP09) NGOs Partner With U.S. Military To Provide Aid In the Dominican Republic

U.S. military and international partners on board the USNS Comfort (T-AH 20) delivered more than \$500,000 in donations to several recipients in the Dominican Republic during the Comfort's second stop as part of CP09.

Through CP09, the USNS Comfort combined U.S. military and interagency personnel, NGOs, civil service mariners, academic and partner nations to provide medical, dental, veterinary, and engineering services afloat and ashore alongside HN personnel.

The maritime Civil Affairs team on board the USNS Comfort worked closely with the NGOs to coordinate the mission. The NGOs involved in this donation were Project Handclasp, Project Hope, Latter Day Saints Charities, and Rotary International. They donated items ranging from medical supplies to hygiene items, as well as cribs, first-aid equipment, and school supplies.

"This partnership is something we definitely want to continue," said a spokesperson from the Latter Day Saints liaison on board the USNS Comfort. "We are building a foundation for future work together not only in Haiti and the Dominican Republic, but in other countries as well."

Several organizations in the local area benefited from the donations. A few of the clinics were Otto Martinez, Hospital Amigos de las Ninez y las Madres and the Pabellon de balman sports complex, as well as several others.

The USNS Comfort delivered related charitable goods throughout its four month humanitarian mission in Latin America and the Caribbean region during CP09. The USNS Comfort visited five other countries—Antigua and Barbuda, Colombia, El Salvador, Nicaragua and Panama—as part of CP09.

Note: This vignette came from <http://www.navy.mil>.

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Appendix C
Generic Civil Affairs Operations
Foreign Humanitarian Assistance, Appendix 5

All plans, orders, and attachments follow the five-paragraph order format (Situation, Mission, Execution, Sustainment, and Command and Control). Attachments (annexes, appendixes, tabs, and exhibits) are information management tools. Using them increases the base order’s clarity and usefulness by keeping it short. Attachments include information, such as sustainment, administrative support details, and instructions that expand upon the base order. As identified in FM 5-0, *The Operations Process*, the Civil Affairs operations Annex is titled Annex K (Civil Affairs Operations). FM 3-05.40 in support of previous references specifies supporting appendixes to the CAO Annex. Just as the annex expands the information contained in the base order, appendixes contain information necessary to expand annexes; and tabs expand appendixes. The supporting CAO appendixes are:

- Appendix 1–Execution Matrix
- Appendix 2–Assessment Matrix
- Appendix 3–Cultural Briefing
- Appendix 4–Populace and Resources Control Plan
 - Tab A–DC Plan
 - Tab B–NEO Plan
- Appendix 5–FHA Plan
- Appendix 6–NA Plan
- Appendix 7–CIM Plan
- Appendix 8–Support to Civil Administration Plan
- Appendix 9–Transition Plan

NOTE: Additional appendixes, as required (for example: project management, funding, and so on).

The G-9/S-9 staff is responsible for the preparation of the CAO annex and its attachments. Figure C-1, pages C-2 through C-7, provides an example of Appendix 5, FHA Plan.

[CLASSIFICATION] (Change from verbal orders, if any)
Copy ____ of ____ copies Issuing Headquarters Place of issue Date-time group of signature Message reference number
<i>Include full heading if attachment(s) is distributed separately from the annex or base order level attachment.</i>
Appendix 5 (Foreign Humanitarian Assistance) to Annex K (Civil Affairs Operations) to operation plan (OPLAN) ____ (operation order [OPORD] ____) (Corps/Division/Brigade) (code name) (classification of title)
(U) References. List documents essential to understanding Appendix 5.
(U) Time Zone Used Throughout the OPLAN/OPORD: Write the time zone established in the base plan/order.
<p>1. (U) Situation. Include items of information affecting FHA support that paragraph 1 of the OPORD or Annex K, and any information that needs expansion. The situation paragraph describes how the CAO environment may affect friendly, adversary, and other operations. It should discuss how FHA would influence friendly operations. The situation paragraph describes the conditions and circumstances of the operational environment that impact CA operations in the following subparagraphs:</p> <ul style="list-style-type: none">a. (U) <u>Area of Interest</u>. Describe the area of interest. Refer to Annex B (Intelligence), as required.b. (U) <u>Area of Operations</u>. Describe the AO. Refer to the appropriate map by its subparagraph under references, for example, "Map, reference [b]." Refer to Appendix 2 (Operations Overlay) to Annex C (Operations), as required. Include the following:<ul style="list-style-type: none">(1) (U) <u>Terrain</u>. Describe the aspects of terrain that may impact FHA operations. Refer to Tab A (Terrain) to Appendix 1 (Intelligence Estimate) to Annex B (Intelligence), and the CAO assessment, as required. Analyze the mission in relation to the FHA operations to be conducted (for example, military training, Soldiers, and construction materials).(2) (U) <u>Weather</u>. Describe the aspects of weather that may impact FHA operations. Refer to Tab B (Weather) to Appendix 1 (Intelligence Estimate) to Annex B (Intelligence), as required (for example, consider seasonal events [rain, flooding, wind storms, and snow], impacts on time associated with inclement weather).c. (U) <u>Enemy Forces</u>. Identify enemy forces and appraise their general capabilities, if applicable, identify known or potential threats and adversaries within the AO. Refer to Annex B (Intelligence), as required (if applicable).
[Page Number] [CLASSIFICATION]

Figure C-1. Civil Affairs operations annex format

<p>[CLASSIFICATION] (Change from verbal orders, if any)</p> <p>Appendix 5 (Foreign Humanitarian Assistance) to Annex K (Civil Affairs Operations) to operation plan (OPLAN) ____ (operation order [OPORD] ____) (Corps/Division/Brigade) (code name) (classification of title)</p> <p>d. (U) <u>Friendly Forces</u>. Briefly identify the mission of friendly forces and the objectives, goals and mission of civilian organization that impact FHA operations (project/program/and so on).</p> <p>e. (U) <u>Interagency, Intergovernmental, and Nongovernmental Organizations</u>. Identify and state the objective or goals and primary tasks of those non-Department of Defense organizations that have a significant role within the AO. Refer to Annex V (Interagency Coordination) as required. Take into consideration any and all organizations that could have a vested interest (for example, host nation [to include the HN military], multinational agencies and organizations, and IPI). Identify specific legal authorities permitting specifically identified FHA activities. Do not repeat information listed in Annexes K and V.</p> <p>(1) (U) <u>Interagency Organizations</u>. Assessment of the ability of key interagency organizations operating in the AO to support the unit's CAO mission to include; the agency's missions, capabilities, capacity, and coordination POCs if not listed in Annex V. Identify known unit requirements to support interagency operations and the internal defense and development plans of the HN and U.S. Ambassador.</p> <p>(2) (U) <u>Intergovernmental Organizations</u>. Assessment of the ability of key IGOs (especially UN agencies) operating in the AO to support the unit's FHA mission to include; the agency's missions, political heritage, capabilities, capacity, and coordination POCs. Identify orders, policies, treaties and agreements permitting or directing interaction with intergovernmental entities in support of FHA.</p> <p>(3) (U) <u>Nongovernmental Organizations</u>. Assessment of key NGOs operating in the AO to support the unit's CAO mission to include; the agency's missions, capabilities, capacity (for example, ability to support civil relief systems), and coordination POCs. Identify known unit requirements to support nongovernmental operations.</p> <p>f. (U) <u>Civil Considerations</u>. Describe the critical aspects, strengths and weaknesses of the civil situation that impact operations. Liaise with the G-2 (S-2) and refer to Tab C (Civil Considerations) to Appendix 1 (Intelligence Estimate) to Annex B (Intelligence), as required. Address the general overview of civil considerations for the AO (described by mnemonic ASCOPE—areas, structures, capabilities, organizations, people, and events). Review the critical aspects of the civil situation by applying each of the operational variables political, military, economic, society, information, infrastructure, and physical environment and time that could impact the civil considerations analysis.</p> <p style="text-align: center;">[Page Number] [CLASSIFICATION]</p>

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Figure C-1. Civil Affairs operations annex format (continued)

<p>[CLASSIFICATION] (Change from verbal orders, if any)</p>
<p>Appendix 5 (Foreign Humanitarian Assistance) to Annex K (Civil Affairs Operations) to operation plan (OPLAN) ____ (operation order [OPORD] ____) (Corps/Division/ Brigade) (code name) (classification of title)</p>
<p>(1) (U) Areas (key civil geographical areas). List the key civilian areas in the supported commander's operational environment. It approaches terrain analysis from a civilian perspective. Examples of key civilian areas are areas defined by political boundaries (districts within a city, municipalities within a region); locations of government centers; social, political, religious, or criminal enclaves; agricultural and mining regions; trade routes; possible sites for the temporary settlement of dislocated civilians or other civil functions.</p>
<p>(2) (U) Structures (infrastructures and buildings). List the locations of existing civil structures (critical infrastructure), such as ports, air terminals, transportation networks, bridges, communications towers, power plants, and dams (traditional high-payoff targets). Churches, mosques, national libraries, and hospitals are cultural sites that need to be listed and are generally protected by international law or other agreements.</p>
<p>(3) (U) <u>Capabilities</u> (institutional capabilities). Describe the institutional (civil) capabilities by assessing the populace's abilities to support FHA project/program and abilities for sustainment. Priorities depend on the HN assistance provided and should be from the perspective of those actions required to save, sustain, or enhance life.</p>
<p>(4) (U) Organizations (influential organizations). List organizations that may or may not be affiliated with government agencies, such as church groups, ethnic groups, multinational corporations, fraternal organizations, patriotic or service organizations, IGOs, or NGOs. Do not repeat those listed in Annex V or paragraph 1.e. above (interagency, intergovernmental, and nongovernmental organizations).</p>
<p>(5) (U) People (key communicators and populace). List key personnel and linkage to the population, leaders, figureheads, clerics; include key military leaders and their unit for consideration that could assist in FHA projects/programs.</p>
<p>(6) (U) Events. Determine what events, military and civilian, are occurring and provide analysis of the events for their political, economic, psychological, environmental, moral, and legal implications. Other events are disasters from natural, man-made, or technological sources that create civil hardship and require emergency response.</p>
<p>g. (U) <u>Attachments and Detachments</u>. List units attached to or detached from the issuing HQ. State when each attachment or detachment is effective (for example, on order, on commitment of the reserve) if different from the effective time of the OPLAN/OPORD. Do not repeat information already listed in Annex A (Task Organization). This</p>
<p>[Page Number] [CLASSIFICATION]</p>

Figure C-1. Civil Affairs operations annex format (continued)

<p>[CLASSIFICATION] (Change from verbal orders, if any)</p> <p>Appendix 5 (Foreign Humanitarian Assistance) to Annex K (Civil Affairs Operations) to operation plan (OPLAN) ____ (operation order [OPORD] ____) (Corps/Division/Brigade) (code name) (classification of title)</p> <p>paragraph includes all military and nonmilitary organizations participating in CMOC operations and CAO/CMO. Identify other CA resources attached and detached, including effective times of transfer if appropriate.</p> <p>h. (U) Assumptions. List assumptions only when preparing a CAO Annex to an OPLAN (for example: the 69th Engineer Platoon [Airborne] will be available to support the search and rescue operations by implementing their heavy equipment to clear rubble obstructing rescue sites and assess the stability of damaged structures).</p> <p>2. (U) Mission. State the mission of FHA in support of the CONOPS in the base plan or order—a short description of the who, what (task), when, where, and why (purpose) that clearly indicates the action to be taken and the reason for doing so (for example: the 412th Civil Affairs Brigade conducts [joint/combined], military FHA operations in support of the XVIII Airborne Corp, in Timbuktu, during Operation SHAKE and BAKE to assist DOS [USAID] and UN NGOs in providing humanitarian relief operations).</p> <p>3. (U) Execution. The execution paragraph provides the direction needed to synchronize the effects of FHA efforts and related activities. It outlines the affects the commander wants FHA to achieve while prioritizing CA tasks. It describes the activities of the force conducting CAO/CMO in enough detail to synchronize them by means of an execution matrix. The execution matrix is an appendix to the CAO Annex. The matrix shows when each CAO task is to be executed. The execution matrix helps the G-9/S-9 representative in the current operations integration cell of the command monitor and direct CAO during execution. The execution matrix is a tool to execute FHA effectively without incurring unanticipated interference or duplication of effort. CAO tasks are incorporated and synchronized in the G-3/S-3 Execution Matrix—Tab A (Execution Matrix) to Appendix 3 (Decision Support Products) to Annex C (Operations). The CAO execution matrix is not a tasking document. The CAO tasks are detailed under tasks to subordinate units in paragraph 3.b. of the CAO Annex or in the appropriate appendixes. The activities needed to synchronize the CAO/CMO elements and related activities include the following:</p> <p style="padding-left: 40px;">a. (U) Scheme of Support. Describe how CAO supports the commander’s intent and the CONOPS described in the base plan/order. Outline the effects the commander wants CAO to achieve while prioritizing CA tasks. List civil-military objectives and the primary tasks to achieve those objectives.</p> <p>(Note: This paragraph should include a discussion of civil-military objectives, civil decision points, MOPs and MOEs, transitions for each phase of the operation, and a general timeline for the operation. Each phase of the operation should be discussed in greater detail in the appendixes where the key nodal relationship will be further defined. If there are to be no appendixes then the</p> <p style="text-align: center;">[Page Number] [CLASSIFICATION]</p>
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Figure C-1. Civil Affairs operations annex format (continued)

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Appendix 5 (Foreign Humanitarian Assistance) to Annex K (Civil Affairs Operations) to operation plan (OPLAN) ____ (operation order [OPORD] ____) (Corps/Division/Brigade) (code name) (classification of title)

discussion here must be finitely detailed in this paragraph of the appendix.)

(**Note:** MOEs for FHA should be measurable, appropriate, mission-related, numerically realistic, sensitive to force performance, useful to detect situational changes, and valid.)

(**Note:** MOPs focus on task accomplished by answering the following questions—Did the program or project performed as the commander intended/regardless of effect? Did the assigned force produce the effects required by the specified or implied tasks/have the expected results of the desired influence or the changes in system behavior after project/program accomplished? Are we doing things right?)

- b. (U) Tasks to Subordinate Units. State the CAO tasks assigned to each unit that report directly to the HQ issuing the order. Each task must include who (the subordinate unit assigned the task), what (the task itself), when, where, and why (purpose). Include interagency, IGO, and NGO supporting tasks. Use a separate subparagraph for each unit. List units in task organization sequence. Place tasks that affect two or more units in paragraph 3.c. (Coordinating Instructions).
 - c. (U) Coordinating Instructions. List only instructions applicable to two or more units not covered in unit standing operating procedures. This should include constraints and restraints in terms of activities and funding. Applicable laws and command policies should be cited in order, clearly delineating authorized activities. Additionally, rules of engagement should be cited in terms of medical care provided (for example, life, limb, eyesight, or scope of medical civil action programs). Funding accountability measures should also be cited.
4. (U) Sustainment. This paragraph provides instructions and details concerning the service support relationship between the CAO elements and their supported units. Identify priorities of sustainment for CAO critical tasks and specify additional instructions as required. Refer to Annex K as required.
5. (U) Command and Control.
- a. (U) Command. State any key leaders not covered in the base order or Annex K. (if not covered: ambassador, staff judge advocate, contracting officer, media information bureau, GCC staff).
 - b. (U) Liaison Requirements. State CA liaison requirements not listed elsewhere.
 - c. (U) Signal. Address any functional area-specific communication requirements not covered elsewhere. (if not covered, also think in terms of the commander of HN forces supporting project construction [telephone/e-mail/and so on], local officials in the AO, country team POC [security assistance officer], tribal or clan figureheads contact information).

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Figure C-1. Civil Affairs operations annex format (continued)

<p>[CLASSIFICATION] (Change from verbal orders, if any)</p> <p>Appendix 5 (Foreign Humanitarian Assistance) to Annex K (Civil Affairs Operations) to operation plan (OPLAN) ____ (operation order [OPORD] ____) (Corps/Division/Brigade) (code name) (classification of title)</p> <p>ACKNOWLEDGE: Include only if attachment is distributed separately from the base order.</p> <p>OFFICIAL: [Authenticator's name] [Authenticator's position]</p> <p>Either the commander or coordinating staff officer responsible for the functional area may sign attachments.</p> <p>ATTACHMENTS: List lower-level attachments</p> <p>Tab A (example only)—Area Assessment (if required) Tab B (example only)—MOEs/MOPs (if required) Tab C (example only)—Map Overview of Shelters (if required) Tab D (example only)—Theater/Joint Task Force Commanders' Emergency Response Program Oversea or OHDACA standing operating procedure (if required)</p> <p>(Note: Designate tabs with capital letters. For example, Tab A (DC Plan) to Appendix 5 (Foreign Humanitarian Assistance) to Annex K (Civil Affairs Operations) to OPLAN ## (OPORD ##) (Corps/Division/Brigade) [code name] [classification of title])</p> <p>Distribution: Show only if distributed separately from the base order or higher-level attachments.</p> <p style="text-align: center;">[Page Number] [CLASSIFICATION]</p>

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Figure C-1. Civil Affairs operations annex format (continued)

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Glossary

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SECTION I – ACRONYMS AND ABBREVIATIONS

AAR	after-action reviews
AM	amplitude modulation
AO	area of operation
AOR	areas of responsibility
ASCC	Army Service component command
ASCOPE	areas, structures, capabilities, organizations, people, and events
ASD	Assistant Secretary of Defense
ATTP	Army tactics, techniques, and procedures
BCT	brigade combat teams
CA	Civil Affairs
CACOM	Civil Affairs commands
CAO	Civil Affairs operations
CAP	crisis action planning
CAPT	Civil Affairs planning team
CAT	Civil Affairs team
CBRN	chemical, biological, radiological, and nuclear
CCDR	combatant commander
CERP	Commander's Emergency Response Program
CIM	civil information management
CJ-9	combined civil-military operations staff officer
CJCS	Chairman of the Joint Chiefs of Staff
CLT	civil liaison team
CM	consequence management
CMAT	consequence management advisory team
CMO	civil-military operations
CMOC	civil-military operations center
CNT	counter-narcoterrorism
COM	chief of mission
CONOPS	concept of operations
CONPLAN	concept plan
CONUS	continental United States
COP	common operational picture
DA	Department of the Army
DART	disaster assistance response team
DASD(H&RA)	Deputy Assistant Secretary of Defense (Humanitarian and Refugee Affairs)
DATT	defense attaché

Glossary

DC	dislocated civilian
DHS	Department of Homeland Security
DOD	Department of Defense
DODI	Department of Defense Instruction
DODD	Department of Defense Directive
DOS	Department of State
DSCA	Defense Security Cooperation Agency
DTRA	Defense Threat Reduction Agency
EAP	emergency action plan
FAA	Foreign Assistance Act
FCM	foreign consequence management
FHA	foreign humanitarian assistance
FID	foreign internal defense
FM	field manual; frequency modulation
FMO	financial management officer
FOG	field operations guide
FRAGORD	fragmentary order
FUNCPLAN	functional plan
G-2	assistant chief of staff, Intelligence
G-9	assistant chief of staff, Civil Affairs operations
GCC	geographic combatant commander
GSO	governmental supply officer
GTA	graphic training aid
HA	humanitarian assistance
HACC	humanitarian assistance coordination center
HAST	humanitarian assistance survey team
HCA	humanitarian civic assistance
HIC	Humanitarian Information Center
HMA	humanitarian mine action
HN	host nation
HOCC	humanitarian operations coordination center
HQ	headquarters
IAW	in accordance with
I-CERP	Iraqi-CERP
IGO	intergovernmental organizations
IPI	indigenous populations and institutions
J-3	operations staff section
J-4	logistics staff section
J-5	plans staff section
J-9	civil-military operations staff section

JCMOTF	joint civil-military operations task force
JFC	joint force commander
JIACG	joint interagency coordination group
JOA	joint operations area
JOPEs	Joint Operation Planning and Execution System
JOPP	joint operation planning process
JP	joint publication
JSCP	Joint Strategic Capabilities Plan
JTACE	joint technical advisory CBRN element
JTF	joint task force
MCA	military civic action
MCAT	maritime Civil Affairs team
MCRP	Marine Corps reference publication
MDMP	military decision-making process
MEB	maneuver enhancement brigade
METT-TC	mission, enemy, terrain and weather, troops and support available, time available and civil considerations
MOA	memorandum of agreement
MOE	measure of effectiveness
MOP	measure of performance
MOU	memorandum of understanding
NA	nation assistance
NAI	named area of interest
NATO	North Atlantic Treaty Organization
NEO	noncombatant evacuation operations
NGO	nongovernmental organizations
NSC	National Security Council
OFDA	Office of Foreign Disaster Assistance
OGA	other government agency
OHDACA	Overseas Humanitarian, Disaster, and Civic Aid
O&M	operation and maintenance
OPLAN	operation plan
OPORD	operation plan
OSCE	Organization for Security and Cooperation
OSOCC	on-site operations coordination center
PAO	public affairs officer
PDSS	predeployment site survey
PO	political officer
POC	point of contact
POLAD	political advisor

Glossary

RSO	regional security officer
S-9	Civil Affairs operations staff officer
SAR	search and rescue
SecDef	Secretary of Defense
SOF	special operations forces
SOFA	status-of-forces agreement
SO/LIC	special operations and low-intensity conflict
TPFDD	time-phased force deployment data
TSCP	theater security cooperation plan
TSOC	theater special operations command
UN	United Nations
UNDAC	United Nations disaster assessment and coordination
UNHCR	United Nations Office for the High Commissioner for Refugees
U.S.	United States
USAID	United States Agency for International Development
USAJKFSWCS	United States Army John F. Kennedy Special Warfare Center and School
USAR	United States Army Reserve
USC	United States Code
USG	United States Government
WHO	World Health Organization

SECTION II – TERMS

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civil-military operations center

An organization normally comprised of civil affairs, established to plan and facilitate coordination of activities of the Armed Forces of the United States with indigenous populations and institutions, the private sector, intergovernmental organizations, nongovernmental organizations, multinational forces, and other governmental agencies, in support of the joint force commander. Also called CMOC.
(JP 3-57)

consequence management

Actions taken to maintain or restore essential services and manage and mitigate problems resulting from disasters and catastrophes, including natural, man-made, or terrorist incidents. Also call CM.
(JP 3-57)

foreign disaster relief

Prompt aid that can be used to alleviate the suffering of foreign disaster victims. Normally, it includes humanitarian services and transportation; the provision of food, clothing, medicine, beds, and bedding; temporary shelter and housing; the furnishing of medical materiel and medical and technical personnel; and making repairs to essential services. (JP 3-29)

foreign humanitarian assistance

Department of Defense activities, normally in support of the United States Agency for International Development or Department of State, conducted outside the United States, its territories, and possessions to relieve or reduce human suffering, disease, hunger, or privation. Also called FHA.
(JP 1-02)

1 **humanitarian and civic assistance**

2 Assistance to the local populace provided by predominantly U.S. forces in conjunction with military
3 operations and exercises. This assistance is specifically authorized by Title 10, United States Code,
4 Section 401, and funded under separate authorities. Also called HCA.

5

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28 Section 166a, Title 10, *United States Code, Combatant Commands: Funding Through the Chairman
29 of the Joint Chiefs of Staff*, 1 February 2010

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