

**ATP 3-57.30**

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**Civil Affairs Support  
to Nation Assistance**

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**May 2014**

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**Headquarters Department of the Army**

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# Civil Affairs Support to Nation Assistance

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# Preface

Army Techniques Publication (ATP) 3-57.30, *Civil Affairs Support to Nation Assistance*, provides doctrine for the integration of Civil Affairs operations (CAO)/civil-military operations (CMO) into the operations process. The manual provides techniques and procedures for CAO planning, training, and execution of missions in support of nation assistance (NA). The intent is to establish a common foundation for Civil Affairs (CA) forces to apply their unique skills in support of United States (U.S.) objectives to promote long-term stability, pluralistic government, and sound democratic institutions in the host nation (HN).

The ATP prescribes the programs included within the joint concept of NA operations: foreign internal defense (FID), security assistance (SA), and Title 10, United States Code (10 USC), Armed Forces, programs and activities. This manual also provides a generic CAO appendix to act as a guide in developing supporting documentation for operational plans (OPLANs). NA operations support the HN with the technical expertise, advice, and assistance that can exponentially influence the success of other ongoing programs and initiatives. ATP 3-57.30 elaborates on doctrine contained in Field Manual (FM) 3-57, *Civil Affairs Operations*.

The principal audience for ATP 3-57.30 is the Army Civil Affairs force, officers, and noncommissioned officers who support joint and Army forces or serve on the staffs that support those commanders of operations at all levels of war. It is also an applicable reference for the interagency. It provides techniques and procedures for the conduct of NA operations, one of the five core tasks of CAO.

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

ATP 3-57.30 uses joint terms where applicable. Selected joint and Army terms and definitions appear in both the glossary and the text. For other definitions shown in the text, the term is italicized and the number of the proponent publication follows the definition.

ATP 3-57.30 applies to the Active Army, Army National Guard/Army National Guard of the United States, and United States Army Reserve (USAR) unless otherwise stated.

Unless this publication states otherwise, masculine nouns and pronouns do not refer exclusively to men. The proponent for ATP 3-57.30 is the United States Army John F. Kennedy Special Warfare Center and School (USAJFKSWCS). The preparing agency is the Doctrine Division, Civil Affairs Branch Directorate, USAJFKSWCS, Fort Bragg, NC. Reviewers and users of this manual should submit comments and recommendations on a 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-CDI-CAD (ATP 3-57.30), 3004 Ardennes Street, Stop A, Fort Bragg, NC 28310-9610; or submit an electronic DA Form 2028 to AOJK-DT-CA@soc.mil.

# Introduction

ATP 3-57.30 expands the doctrinal discussion of the role of CA forces supporting NA missions that resides in FM 3-57. Publication of ATP 3-57.30 replaces CA NA doctrine found in FM 3-05.401, *Civil Affairs Tactics, Techniques, and Procedures*.

Support of NA is one of the five core tasks of CA forces. Consisting of FID, SA, and other 10 USC programs, NA operations may occur across the range of military operations but are most prevalent during Phase 0 (Shape) and Phase 1 (Deter). Collectively, all the instruments of U.S. national power provide NA to promote the growth, legitimacy, and protection of the HN partner. ATP 3-57.30 consists of four chapters and two appendixes, which are summarized in the following paragraphs.

**Chapter 1** provides an overview on the tenets of NA and details the importance of unity of effort in order to meet the U.S. strategic and operational objectives of NA programs. The chapter further discusses the role of CA forces in an overarching NA program in support of a friendly nation.

**Chapter 2** discusses FID and its supporting role to the HN's internal defense and development (IDAD). A discussion of the roles and responsibilities of interagency partners in the execution of an overall FID program is provided. CA force capabilities in the support of FID and their employment are detailed within the chapter. The chapter provides techniques for CA forces supporting both special operations and conventional forces in the execution of FID.

**Chapter 3** describes the roles of the Department of Defense (DOD) in the administration of various SA programs under the supervision of Department of State (DOS). The chapter provides an explanation of the legal authorities, funding sources, and interagency organizations necessary to execute SA programs. The role and recommendations for the employment of CA forces supporting SA programs are provided.

**Chapter 4** details the sections of 10 USC that authorize and fund DOD programs that directly support NA. These programs include Military Civic Action (MCA), Military-to-Military Contacts, Humanitarian and Civic Assistance (HCA), and Humanitarian Demining Assistance. The chapter describes how these standing authorities are narrowly defined and must be coordinated well in advance of execution with DOS. The CA force's supporting roles and functions in the overarching core tasks of NA are provided.

**Appendix A** provides the Army's format for Appendix 6 (Nation Assistance) to Annex K (Civil Affairs Operations) of an OPLAN or operational order (OPORD). Procedures for completing the formatted appendix are provided.

**Appendix B** describes the various authorities and appropriations under 10 USC that provide the legal basis and funding used by DOD to conduct NA operations.

ATP 3-57.30 does not add or modify any terminology found in the Army lexicon and is not the source document for any terms.

## **Chapter 1**

# **Nation Assistance**

This chapter provides an overview of NA operations, one of the five CA core tasks. It describes the operations that CA forces conduct in support of commanders who are conducting NA operations. It describes the types of CA missions that support NA, identifies supporting tasks, and describes the unity of effort required through all operations to promote economic stability, assist in developing a populace-supportive infrastructure with responsive democratic institutions, and promote long-term stability in support of the HN.

### **INTRODUCTION**

1-1. Unified land operations describe how the Army seizes, retains, and exploits the initiative to gain and maintain a position of relative advantage in sustained land operations through simultaneous offensive, defensive, and stability operations in order to prevent or deter conflict, prevail in war, and create the conditions for favorable conflict resolution. Army forces combine offensive, defensive, and stability or defense support of civil authorities as part of an interdependent joint force to seize, retain, and exploit the initiative, accepting prudent risk to create opportunities to achieve decisive results. They employ synchronized action—lethal and nonlethal—proportional to the mission and informed by a thorough understanding of all variables of the operational environment (OE). Mission command that conveys intent and an appreciation of all aspects of the situation guides the adaptive use of Army forces. Operations conducted outside the United States and its territories simultaneously combine three elements—offense, defense, and stability. Within the United States and its territories, operations combine the elements of defense support of civil authorities, defense, and offense to support civil authority. Shaping civil conditions (in concert with civilian organizations, civil authorities, and multinational forces) is just as important to campaign success. In many operations, stability or defense support of civil authorities often proves just as important as the offense and defense (Figure 1-1, page 1-2).

### **UNITY OF EFFORT**

1-2. Unity of command may not always be obtainable during operations. Force structure, environment, and the overall political-military situation in the operational area (OA) will have competing requirements, goals, and end states. The reality is the OE will be multidisciplinary, interagency, and intergovernmental, requiring unique and flexible leadership to accomplish assigned missions. Regardless of the mission, operational goals, and end state of the multiple entities supporting the stated mission, unity of command may never be attained, but unity of effort may be obtainable.

1-3. Missions in support of NA that pursue the common interest toward the accomplishment of final objectives will require a unity of effort. Unity of effort involves extensive coordination, cooperation, synchronization, and liaison by all parties, internal and external, to the host or foreign nation. The product of successful unified action is a unity of effort (Figure 1-2, page 1-2).

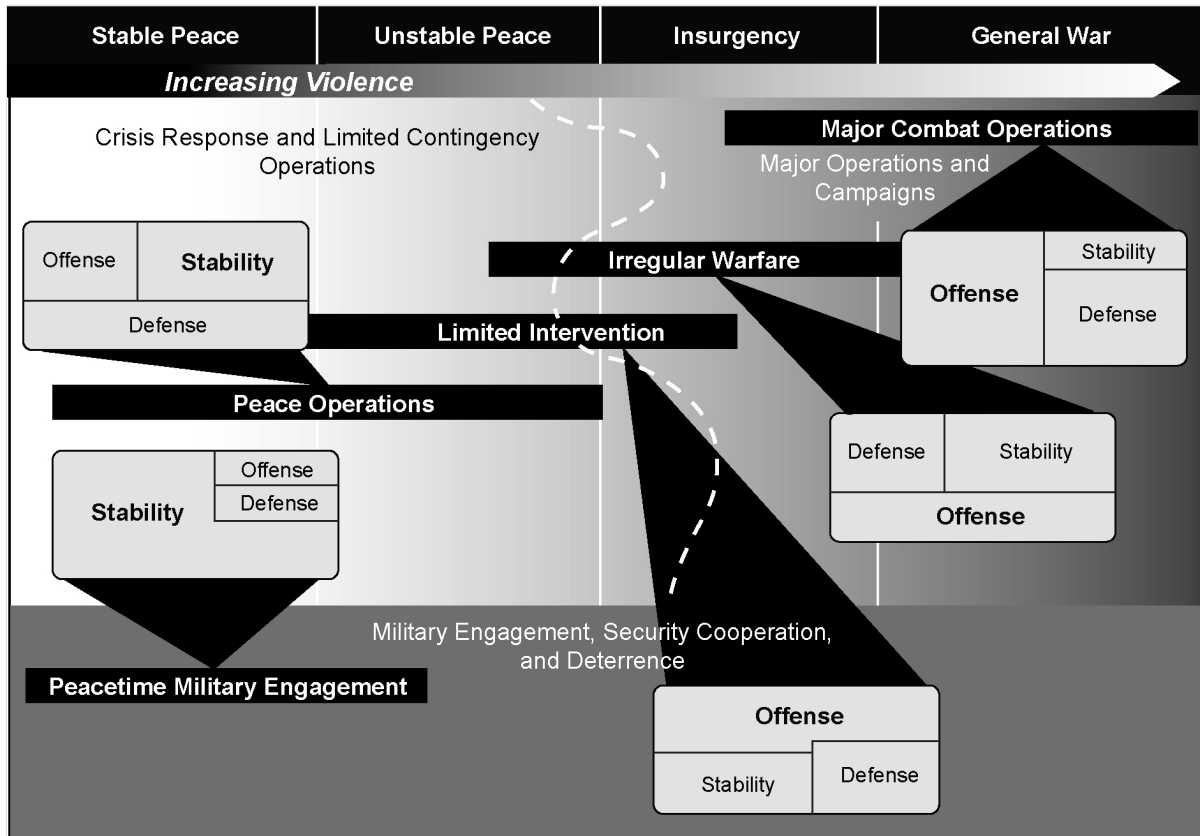


Figure 1-1. Notional combination of elements

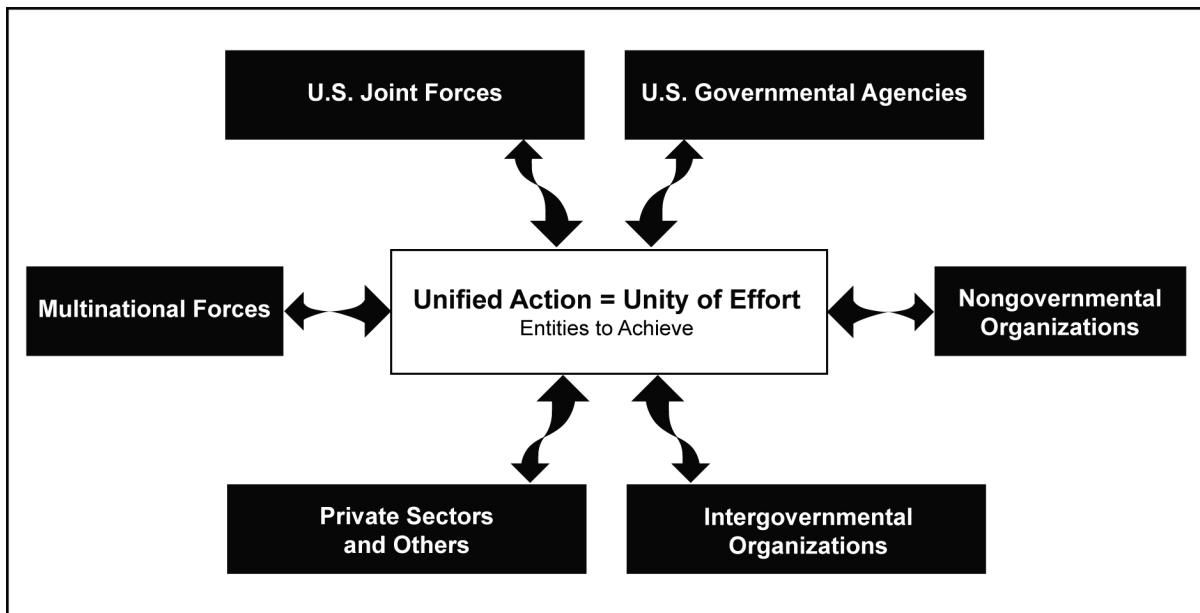


Figure 1-2. Unified action

1-4. One method of focusing on the unity of effort is through *phasing of operations* to pursue the desired end state. The primary benefit of the joint operations six-phase model is that it assists commanders in systematically achieving military objectives that are unattainable all at once. Military



objectives are achieved by arranging smaller, related operations in a logical sequence. End state can be obtainable through a unity of command, unity of effort, or a combination of the two in pursuit of a common interest toward accomplishing the mission. NA, whether applied in peacetime, crisis, emergency, or wartime environments, when applied with a defined end state, can be applicable throughout all operational plan phases of conflict or effort (Figure 1-3). NA programs or projects during Phase 0 can curtail or even prevent the need to increase intensity from elevating to or surpassing Phase 1. That is not to say that NA is only applicable in Phase 0. NA missions must have an appropriate balance between population-focused and enemy-focused action, recognizing that the latter can cause civilian casualties and other negative impacts on the population and information operations within the OA. This balancing act throughout the phasing process is one of the commander’s most difficult and important tasks because phasing can be used across the range of military operations (Joint Publication [JP] 3-0, *Joint Operations*).

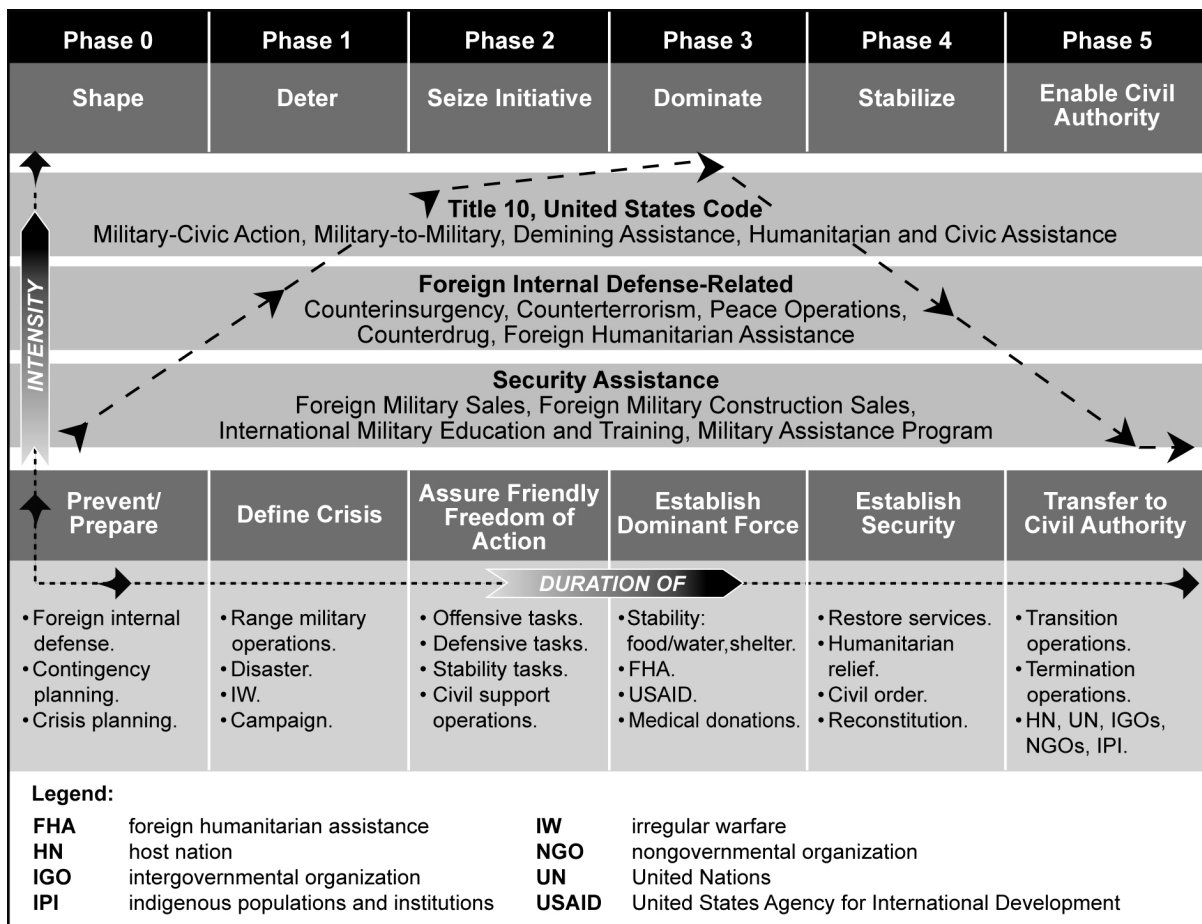
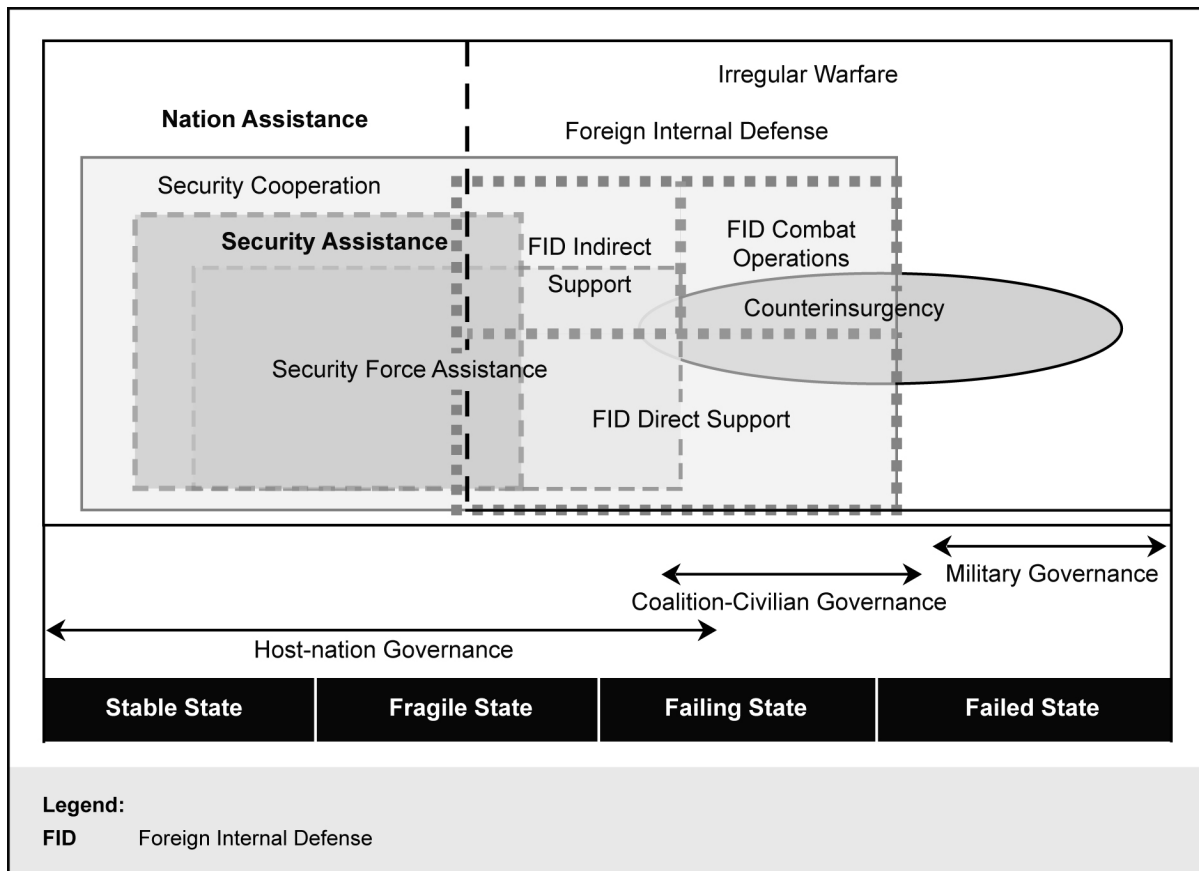


Figure 1-3. Transformation and stabilization

## NATION ASSISTANCE OVERVIEW

1-5. JP 3-0 defines nation assistance as assistance rendered to a nation by foreign forces within that nation’s territory based on agreements mutually concluded between nations. NA programs include, SA, FID, other 10 USC programs, and activities performed on a reimbursable basis by Federal agencies or intergovernmental organizations (IGO). One of the criticalities to the CA force is the total comprehension of the definition of NA. Its meaning is just as it seems, assisting nations. In some military and nonmilitary activities, NA operations are mistakenly referred to as nation building—a term that implies building a nation, or erecting a nation, versus providing support to a nation. CA, the U.S. military, and the United States Government (USG) provide support in NA operations. Collectively, all the instruments of

U.S. national power provide NA to promote HN growth, legitimacy, and protection from subversion, lawlessness, and insurgency, as well as for humanitarian needs to minimize the effects of catastrophic events or aid in life-saving conditions. The framework of NA is depicted in a diagram showing how NA relates to other forms of USG support to the HN (Figure 1-4).



**Figure 1-4. Nation assistance framework**

1-6. HN, as defined in JP 3-57, *Civil-Military Operations*, is a nation that receives the forces or supplies of allied nations and the North Atlantic Treaty Organization (NATO) to be located on, to operate in, or to transit through its territory. In essence, a nation receiving assistance relevant to its national security and views the United States as a friendly nation that has invited U.S. forces to its territory is in receipt of NA.



1-7. CA units and personnel are well suited to provide the tools necessary for an in-depth deliberate assessment and understanding of the cultures within the HN. The focus of NA programs is to legitimize and enhance the stability of a HN’s political, social, and economic infrastructure. A sociocultural understanding of the HN will enhance the U.S. position toward achieving the desired end state. NA is a CA core task, in which the military role provides the technical expertise, advice, and assistance that can exponentially influence the success of other ongoing programs and initiatives with the HN. This assistance forms a better foundation on which a nation can build programs to meet its people’s needs and promote its own sustainable development or growth.

## NATION ASSISTANCE FOCUS

1-8. Figure 1-5, page 1-5, illustrates how NA, as one of the CA core tasks, is applied throughout the range of military operations. The primary focus of a viable NA program is the coordination of all instruments of national power—diplomatic, informational, military, and economic—to meet the following objectives:

- Promote regional stability.
- Retain U.S. influence and access abroad.

- Defuse crises.
- Help friends and allies attain sustainable development.

	Range of Military Operations	Military Operations	General U.S. Goals	Civil Affairs Operations (Core Tasks)
Military Engagement, Security Cooperation, and Deterrence	Major Operations and Campaigns	War 	Fight to Win  Deter Aggression and Resolve Conflict	PRC  CIM  NA <i>FID, SA, Title 10 USC</i>  FHA
	Crisis Response and Limited Contingency Operations	 IW  Stability Operations	Promote Peace	CIM  NA <i>FID, SA, Title 10 USC</i>  SCA
<b>Legend:</b>				
<b>CIM</b>	Civil Information Management			
<b>FHA</b>	Foreign Humanitarian Assistance			
<b>FID</b>	Foreign Internal Defense			
<b>IW</b>	Irregular Warfare			
<b>NA</b>	Nation Assistance			
<b>PRC</b>	Populace and Resources Control			
<b>SA</b>	Security Assistance			
<b>SCA</b>	Support to Civil Administration			
<b>U.S.</b>	United States			
<b>USC</b>	United States Code			

**Figure 1-5. Civil Affairs operations across the range of military operations**

**DIPLOMATIC**

1-9. The diplomatic instrument of national power is the principal instrument for engaging with other states and foreign groups to advance U.S. values, interests, and objectives. CA forces have a responsibility to the supported commanders, country teams, and ambassadors around the world to understand U.S. foreign policy and to assure that those in the command have a clear understanding of the capabilities, limitations, and consequences of military action in relation to the political impact on both the HN and USG. In today’s ever-changing complex security environment, the basic political values of a democratic society—human rights principles, humanitarianism, and the rule of law—are not just “nice to have,” they are essential to U.S. success toward achieving long-term regional stability. Protecting civilians, fostering fair and effective justice, and promoting transparent and accountable governance institutions are crucial means of promoting stability and diminishing the appeal of violent extremism. Although the geographic combatant commanders (GCCs) are responsible for integrating military activities with diplomatic activities in their areas of responsibility (AORs), military operations can have both a negative and positive effect on the diplomatic position of the USG.

1-10. Various political subsystems can exist in the OA when addressing diplomatic positions of a HN or a foreign nation at the tactical, operational, or strategic level. CA personnel must consider this while assessing, planning, or conducting a military operation such as NA, foreign humanitarian assistance (FHA), populace and resources control (PRC), and so on. Examples of political components to consider during the planning through transition phases include types of central government to deal with, various political parties or interest groups in the OA, local government, regional or international active groups, and the roles of each (Figure 1-6).

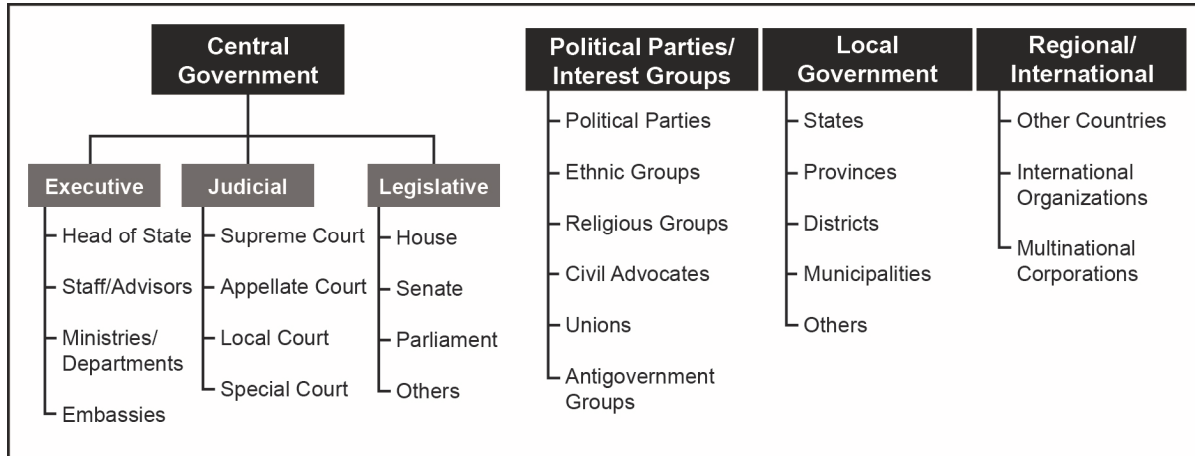


Figure 1-6. Model democratic component considerations

**INFORMATIONAL**

1-11. Information itself is a strategic resource vital to U.S. national security. Information and information-based technologies are vital during operations, whether in offense, defense, stability, or defense support of civil authorities. The U.S. military must provide timely and accurate information to the public in the HN and in the United States, while protecting U.S. interests at the tactical, operational, and strategic level.

1-12. CA can play a significant role as a conduit of information to and from interagency, nongovernmental organizations (NGOs), IGOs, the private sector, and indigenous populations and institutions (IPI) by conducting key leader engagements, conducting civil reconnaissance, and performing civil information management. Leadership and information are applied through, and multiply the effects of warfighting functions—movement and maneuver, intelligence, fires, sustainment, mission command, and protection.

1-13. In hypothesizing an overview of our strategic information system, the first concern from a military perspective would be defense information. Progressing through the levels of war, concerns should be at the national level and then the international level (Figure 1-7, page 1-7).

**MILITARY**

1-14. In applying the military instrument of national power, the U.S. Armed Forces must understand and consider the application of the subcomponents that provide our nation with the “M” option in diplomatic, informational, military, and economic instruments of national power. Figure 1-8, page 1-7, is an example of some of the subcomponents to consider; leadership, forces, security, industrial complex, and sustainment are some examples but are not an all-inclusive list. The ability of a nation to project military power relies on the professionalism of leadership, size of force, ability to develop intelligence and provide layered security, receive the backing of a robust military industrial complex, and sustain the force. Understanding these subcomponents is especially critical when attempting to apply an appropriate balance between offensive, defensive, and stability operations.

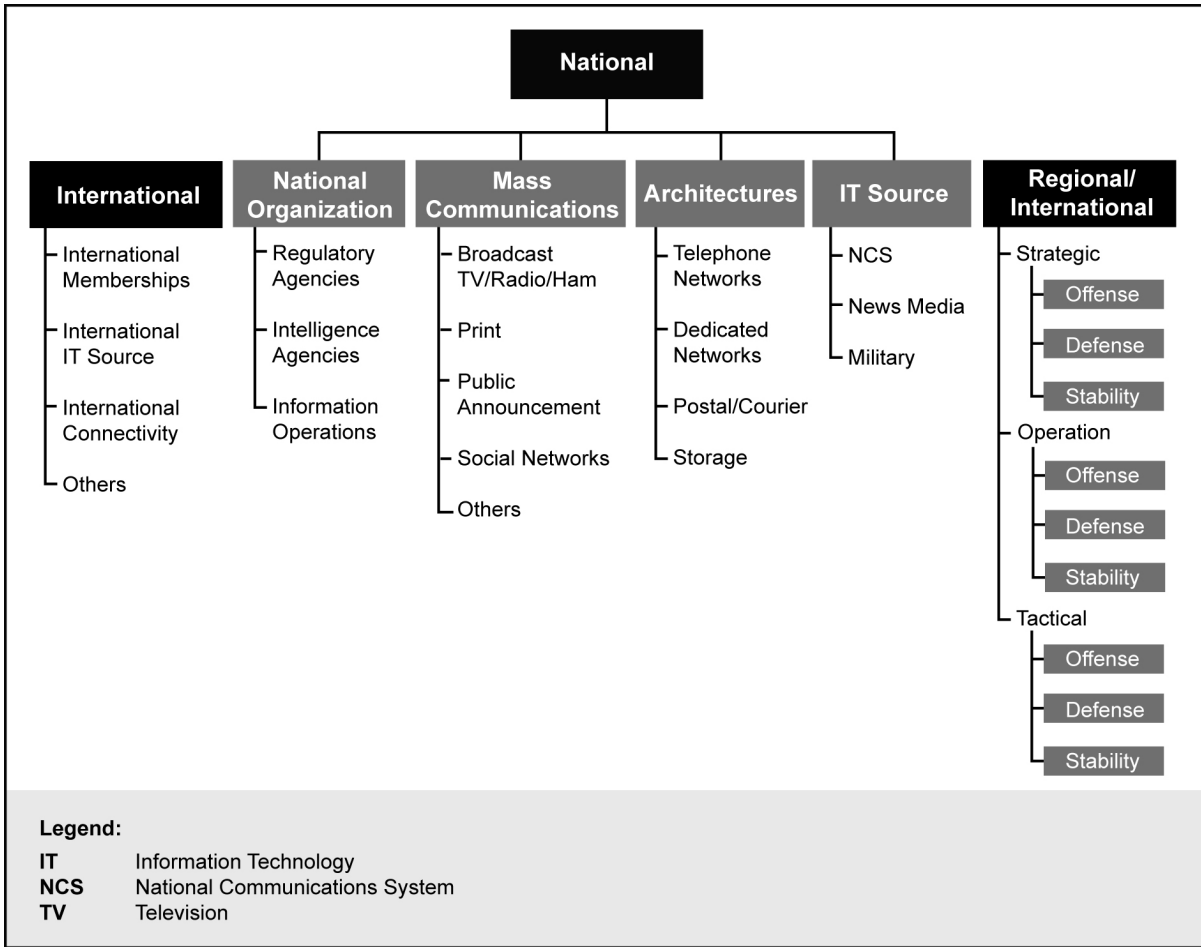


Figure 1-7. Model information component considerations

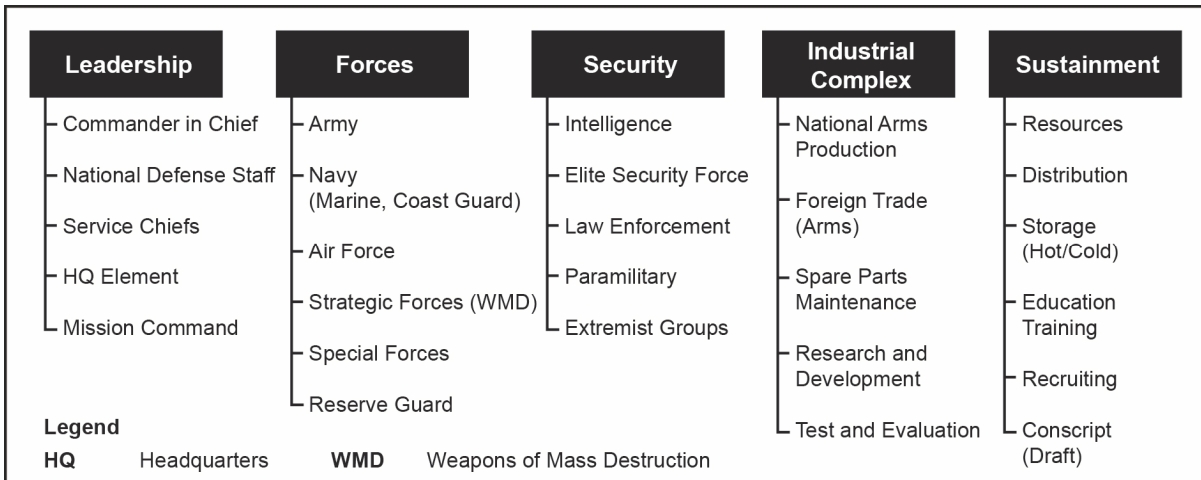
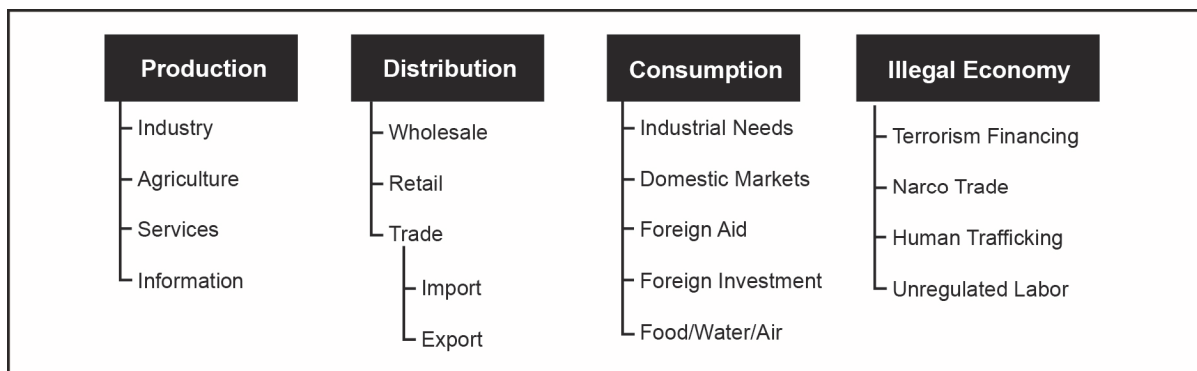


Figure 1-8. Model military component considerations

## ECONOMIC

1-15. When reviewing the economic security objectives in support of the HN, CA forces must also consider the informal economy. The informal economy influences economic growth of the HN, even when not promoted by the government. However, the existence of unconstructive economics will negatively influence the economic stability of the HN. Examples of informal economy's financing of terrorism are the narcotics trade, unregulated labor factions, and human trafficking (Figure 1-9, page 1-8). The National Security Council has primary responsibility for the integration of the economic and military instruments of national power abroad. The U.S. Armed Forces coordinate with USG agencies responsible for employing the economic instrument to facilitate unity of effort. The technical skills and resources of CA functional specialty elements and personnel can integrate and coordinate interagency activities with the HN's efforts to support the values in economic philosophy—cooperation, competition, and respect for personal and private property. Integration of CA personnel assessing, planning, and executing interagency activities is essential toward achieving a successful unified action. Unified action is promoted through close, continuous coordination and cooperation, which are necessary to overcome confusion over objectives, economic deterrence, inadequate structure or procedures, and bureaucratic and personnel limitations.



**Figure 1-9. Model economic component considerations**

1-16. Military support to stabilization efforts during peacetime generally takes the form of NA operations. Initial delivery of assistance to a country may lead to further engagement across the full range of security sector activity. Successful NA programs or projects, whether a relief effort or to gain HN legitimacy, can send a message that promotes a democratic society and at the same time may counter messages of extremist and terrorist groups.

1-17. The USG conveys a strategic message in support of the instruments of national power through the following enablers:

- **Financial.** The financial element promotes the conditions for prosperity and stability in the United States and encourages prosperity and stability throughout the rest of the world. The Department of the Treasury (TREAS) is the primary federal agency responsible for the economic and financial prosperity and security of the United States. In the international arena, the TREAS works with other federal agencies (DOD, DOS, HN governments, and the international financial institutions) to encourage economic growth, raise standards of living, and predict and prevent economic and financial crises. For example, CA forces apply targeted methodology in sponsoring and conducting CAO when supporting the HN and USG objectives on a micro level. This promotes legitimacy and enhances HN relations with its people when appropriately integrated with USG influence activities.
- **Intelligence.** Intelligence seeks to provide the leadership with the information needed to realize national goals and objectives while providing military leadership with the information needed to accomplish missions and implement the National Security Strategy. The integration of data with intelligence allows the operations staff to refine the civil component of the OE to aid in identifying the centers of gravity (COGs) within the area of operations (AO). Intelligence strives to identify the adversary's capabilities, project probable courses of action (COAs) and COGs,

and assist in planning friendly force employment. CAO plays a major role in providing information leading toward the assessment of the military situation.

- **Law enforcement.** A number of USG agencies support ongoing NA law enforcement programs in conjunction with multinational and partner nations. U.S. Armed Forces support these efforts, both during security cooperation and stability operations. CA forces provide assistance by—
  - Identifying local law enforcement projects and programs to enhance the effectiveness of local police operations.
  - Supporting ongoing international military education and training (IMET) programs and foreign military sales (FMS) training.
  - Providing civil defense and human rights seminars in conjunction with HN law enforcement officials.
  - Training HN law enforcement personnel, when required.

1-18. In CA organizations and task-organized forces based on CA organizations, practice of law can be conducted by one or more of the following:

- Judge advocate personnel assigned or attached to the CA organization.
- CA specialists in public safety with a background in law enforcement.
- Other personnel with backgrounds in judicial administration, corrections, and other relevant areas.

1-19. In essence, a law enforcement activity in support of the HN is a collaborative effort. On the military front, this would include military police, engineers, combat forces, logistical elements, legal personnel, and CA personnel.

1-20. NA operations support USG national interests and the HN by promoting sustainable development and growth of the IPI. The ultimate goal of NA is to promote long-term regional stability in the GCC's AOR.

1-21. CAO should play an extensive role in the planning process of a preventive strategy to correct HN tribulations before lawlessness, subversion, or insurgency becomes critical. CA units, because of their missions and force structure, have unique capabilities to coordinate NA and supporting activities. CA units are regionally focused, with CA Soldiers trained in cultural aspects of specific regions and, in many cases, trained in local languages, though they will usually rely on interpreters. CA functional specialists, possessing expertise in areas normally the responsibility of the civilian government and private industry, add to the mix of expertise available. Mission guidance and priorities—including prioritized regional engagement activities and language requirements from respective combatant commanders (CCDRs)—provide regional focus. One of the keys to a successful NA program is to use the technical skills and resources of CA units and personnel to integrate and coordinate with the respective American Embassy through the country team in support of the HN's efforts (IDAD) and the combatant command's theater plan.

1-22. In addition to DOD, other agencies in the forefront of support to NA programs include the following:

- United States Agency for International Development (USAID) (<http://www.usaid.gov>).
- U.S. Department of Agriculture (<http://www.usda.gov>).
- Department of Transportation (<http://www.dot.gov>).
- Drug Enforcement Agency (<http://www.dea.gov>).
- Department of Commerce (<http://home.doc.gov>).

1-23. NA generally refers to a long-term commitment to promote sustainable development and growth of responsive institutions. Most often, NA will be an important part of rebuilding after the completion of a disaster relief FHA mission. On a reimbursable basis, federal agencies or IGOs performed NA programs and activities, including the following:

- FID involves participation by civilian and military agencies of a government in any of the action programs taken by another government or other designated organization to free and protect its society from subversion, lawlessness, and insurgency. The principle of nations developing their own IDAD programs, supported through U.S. training and materiel assistance, has become the basis for today's FID concept. The fundamental principle of all FID efforts is that they foster internal solutions, and assist IDAD programs for which the supported HN has ultimate

responsibility and control. Historically, the United States has provided FID assistance in El Salvador, Colombia, Kuwait, the Philippines, Afghanistan, and the Republic of Georgia.

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*Note:* IDAD is the HN plan that U.S. FID supports; the HN does not support the U.S. FID plan.

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- SA is a group of programs authorized by the Foreign Assistance Act (FAA) of 1961, the Arms Export Control Act, or other related U.S. statutes. The USG provides defense articles and services, military training, and other defense-related services to foreign countries by grant, loan, credit, or cash sales in furtherance of U.S. national policies and objectives (for example, FMS). At the time when the United States provides SA to a HN, a principal concern is the HN's ability to plan and manage its defense resources by and for itself. The DOS continuously supervises and directs all SA programs. The Secretary of Defense (SecDef) is the administrator of programs, such as mobile training teams and other forms of mobile training assistance. The broad objectives of Army SA are to—
  - Aid deterrence.
  - Promote regional stability.
  - Help to assure U.S. access to vital overseas military facilities.
  - Lessen unilateral U.S. military requirements.
  - Enhance weapon standardization or interoperability.
- 10 USC covers a wide variety of material in support of the military, to include definitions (Armed Forces, uniformed services, defense agency, authorized strength, combatant commands, defense budget matters, humanitarian and other assistance, selection boards, and promotions). Examples of the 10 USC that correlate to NA include—
  - Combatant commands (funding through the Chairman of the Joint Chiefs of Staff [CJCS]).
  - Military-to-military contacts and comparable activities.
  - HCA provided in conjunction with military operations.
  - Humanitarian demining assistance (authority).

1-24. Often, NA operations connect with FHA operations, but there are very distinct differences. FHA operations are conducted outside the United States, its territories, and possessions specifically to relieve or reduce the results of natural or man-made disasters or other endemic conditions, such as human suffering, disease, hunger, or privation that might present a serious threat to life or that can result in great damage to or loss of property. Most often, NA will be an important part of rebuilding after the completion of a disaster-relief FHA mission. There are deviations between NA and FHA—short-term vice long-term activities and funding. 10 USC authorizes funding for NA and FHA, but there is a distinct difference in the funding sections. Figure 1-10, page 1-11, portrays various sections of 10 USC that can support NA and FHA. Chapter 4 provides additional information pertaining to NA funding under 10 USC. Titles 1 through 50, USC, may be found on the Internet at <http://uscode.house.gov>.

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*Note:* Section 166a, Title 10, United States Code (10 USC 166a), *Combatant Commands: Funding through the Chairman of the Joint Chiefs of Staff*, provides the CCDRs with a great deal of legal flexibility to conduct both NA and humanitarian operations and activities. The statute specifically lists HCA as an authorized activity. Under certain conditions, this statute also funds MCA projects.

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<b>Nation Assistance Funding Programs</b>	<b>Section 166A</b>	Combatant Commands: Funding through the Chairman of Joint Chiefs of Staff (MCA)
	<b>Section 168</b>	Military-to-military contacts and comparable activities
	<b>Section 401</b>	Humanitarian and civic assistance provided in conjunction with military operations (Minimal cost HCA [unit O&M])
	<b>Section 407</b>	Humanitarian demining assistance: authority; limitations
<b>Foreign Humanitarian Assistance Funding Programs</b>	<b>Section 402</b>	Transportation of humanitarian relief supplies to foreign countries (known as the Denton Amendment)
	<b>Section 404</b>	Foreign disaster assistance
	<b>Section 2557</b>	Excess nonlethal supplies: Humanitarian relief
	<b>Section 2561</b>	Humanitarian assistance
<b>Legend:</b>		
<b>HCA</b>	Humanitarian and Civic Assistance	
<b>MCA</b>	Military Civic Action	
<b>O&amp;M</b>	Operation and Maintenance	

**Figure 1-10. Nation assistance and foreign humanitarian assistance Title 10 funding comparison**

## CIVIL AFFAIRS IN SUPPORT OF NATION ASSISTANCE

1-25. Because of mission capabilities, force structure, and civil roles and functions, CA units have unique capabilities to plan for, coordinate, and support NA and activities in coordination with the HN IDAD plan. NA programs are complemented by applying the technical skills and resources of CA units and personnel to integrate and coordinate the progressive efforts of the HN. NA generally refers to a long-term commitment to promote regional stability, sustainable development, sound democratic institutions, and growth of responsive government in direct support of the populace and the means for orderly change. In some cases, NA will play an important part of reconstruction after FHA has been rendered.

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*Note:* Normally, FHA is directed from the strategic level, coordinated and managed at the operational level, and conducted at a tactical level. JP 3-29, *Foreign Humanitarian Assistance*, provides additional information on FHA.

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1-26. When supporting NA operations, U.S. forces must support, enhance, and maintain the sovereignty of the HN at all times in social networking. CA forces, when dealing with the HN, serve as mentors and trainers within the cultural norms of the HN. Major considerations for U.S. forces include operating in

support of the American Embassy (U.S. Ambassador) to complement the agencies supporting the HN IDAD plan by—

- Ensuring the HN receives credit for its successes to gain the maximum visibility and strengthen the government's legitimacy with the local populace. For example, operations should ensure continuous—
  - Synchronization with well-developed influence activities.
  - Liaisons with HN military.
  - Assistance (in the background).
  - Promotion of a program, project, or ceremonial event sponsored by the HN government.

- Providing CAO support as the lead element of U.S. Army support to developing nations. For example, this support provides—
  - Proficiency in the civil sector.
  - Sociocultural understanding of the OE. See note below.
  - A working knowledge of HN governmental organizations and structure.
  - Regional focus.
  - Economic development.
  - Liaison as required.
  - Possession of cultural or regional expertise to project and extend U.S. support.
  - Operational oversight and supervision as required.
  - Mentoring and training.
- Focusing on operations of lasting significance to the supported nations and long-term regional stability rather than short-term tasks. For example, operations focus on—
  - Analyzing the ambassador's overall country plan and the combatant command's campaign plan.
  - Assessing CAO.
  - Applying CA forces' technical skills.
  - Applying the correct mix of other military personnel and functions.
  - Applying measure of effectiveness (MOE) assessment capabilities.
  - Assisting the HN in dealing with nontraditional threats, such as trafficking illicit drugs and terrorism (through stability operations).
  - Applying knowledge of SA in-country.

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*Note:* Sociocultural research and analysis capabilities (such as a Human Terrain System) can augment CA organizations to increase sociocultural understanding. Sociocultural information repositories and databases should be used to establish and update the baseline of information on the relevant populations.

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1-27. Part of the DOD strategy in building partner capacity in a preventive, population-centric, and indirect approach is through a program called civil-military engagement (CME). CME is designed to enhance the capability, capacity, and legitimacy of partnered indigenous governments. The United States Special Operations Command initiated this program to address specific shaping operations that support global special operations forces (SOF) contingency plans. The theater special operations command manages and coordinates CME operations. Best described as NA, CME operations are coordinated with the GCC's contingency and theater campaign plans, and synchronized with the DOS Mission Strategic and Resource Plan of the American Embassy of the HN in which operations are conducted. Whereas FID represents one of the primary operational activities associated with NA, CME more directly supports a broader HN IDAD strategy. Designed to be preventive, CME directly supports the American Embassy, the country team, and the HN partner government's efforts to counter violent extremism and achieve self-sustainability.

## NATION ASSISTANCE SUMMARY

1-28. NA is based on agreements mutually concluded between the United States and the nation. Examples are Operation PROMOTE LIBERTY and Operation JUST CAUSE. NA operations support USG efforts to assist and complement the HN with internal programs to promote stability, develop sustainability, and establish institutions responsive to the needs of the populace. They are key military engagement, security cooperation, and deterrence operations that enhance the CCDR's shaping and deterrence efforts. Normally, the GCC's theater security cooperation plan or the ambassador's country plan will identify NA operations in support of the HN IDAD plan. CA forces are an asset that supports the planning and conduct of NA operations in a specific AOR or OA. The CA forces' role in support of NA and the planning process is to recognize and leverage each relationship between the command and every individual, group, and organization in the OE. By advising the supported commander on how he can best meet the needs of the

people affected by military operations, CA personnel will create the desired effect while ensuring the legitimacy and credibility of the mission. These effects must be part of the integrated staff planning process. The CA assessment can lead to the analyses required during each step of that process. The final results of the process is an OPLAN, OPORD, or supporting documentation that provides instructions, control measures, and time increments, synchronizing all efforts into an action that meets the perceived objectives.

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## Chapter 2

# Foreign Internal Defense

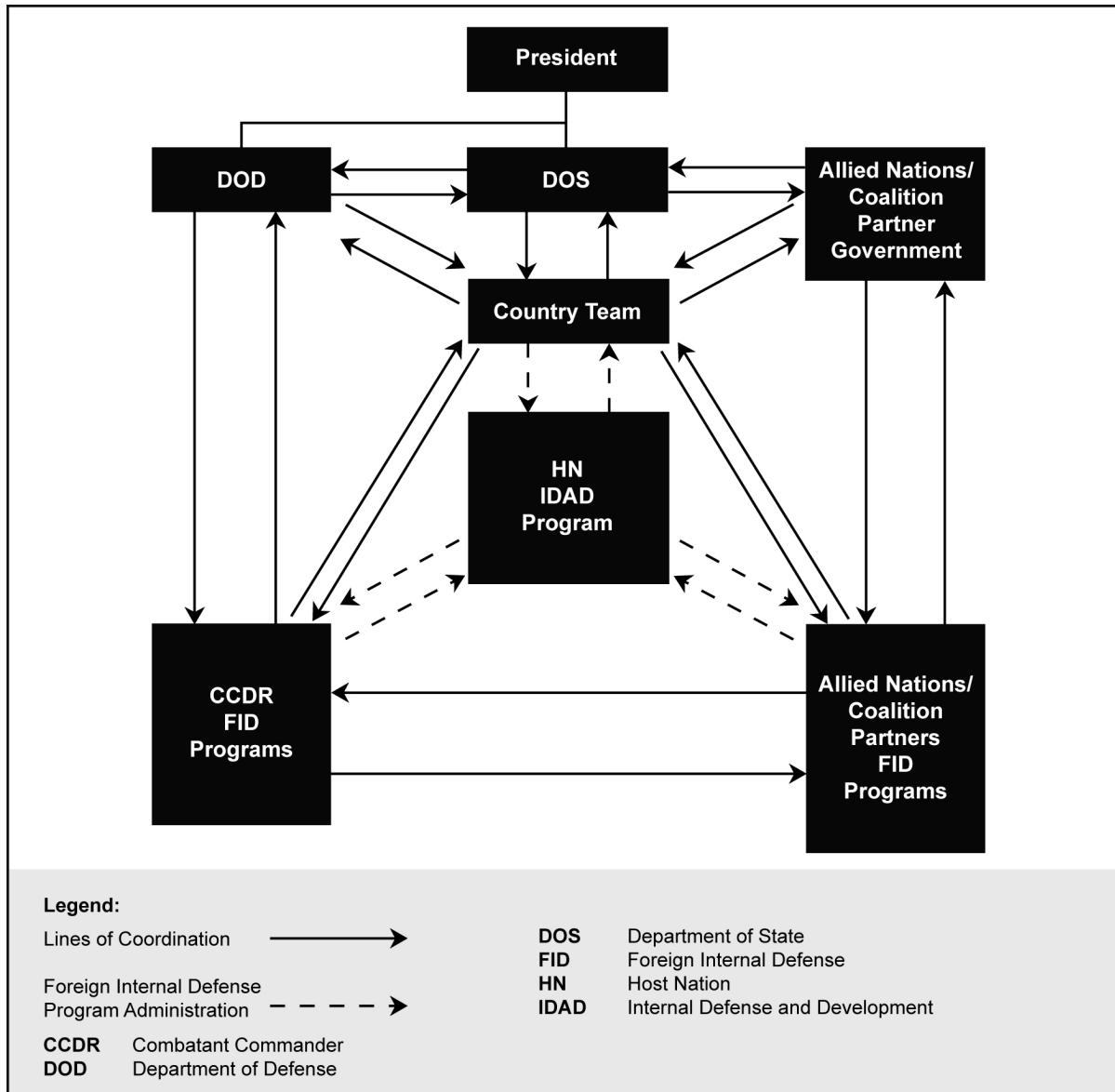
Characteristics of FID usually involve all instruments of national power used together to support a HN IDAD. The United States, once committed to supporting a nation, applies a combination of the instruments of national power in support of protecting that nation from subversion, lawlessness, and insurgency.

### Characteristics of Foreign Internal Defense

- May involve any or all instruments of national power.
- Can occur across the range of military operations.
- Supports and influences a HN's IDAD program.
- Includes training, materiel, technical and organizational assistance, advice, infrastructure development, and tactical operations.
- Generally, the preferred methods of support are through assistance and development programs.

## FOREIGN INTERNAL DEFENSE OVERVIEW

2-1. Understanding that the United States usually involves all the instruments of national power to achieve its strategic goals within a HN requires the understanding of the management of FID efforts that begin at the national strategic level. With recommendations from the SecDef, Secretary of State (SECSTATE), and other governmental officials, the President of the United States decides which nations the United States will support through FID programs. The CJCS receives this information and provides strategic guidance to the CCDRs for the conduct of military operations to support FID through the National Military Strategy and the Joint Strategic Capabilities Plan. The GCCs are responsible for planning and executing military operations in support of FID within their AOR. The GCC will direct the Services or subordinate joint commands, such as the theater special operations commands, to execute the planning efforts. The lines of organization and mission command in a FID situation are very complex, as illustrated in Figure 2-1, page 2-2. The global operations against terrorist networks could manifest mostly in the FID arena; thus, the United States is very active in pursuing the maturity of alliance nations and coalition partner governments. The final resolve of FID success is a supported HN possessing the capabilities of successfully integrating their military force with the instruments of nation power to defuse subversion, lawlessness, insurgency, and possibly future acts of terrorism.



**Figure 2-1. Foreign internal defense coordination**

2-2. Funding appropriations in support of FID is through congressional legislation. The United States will usually consider funding support for FID programs when and if they meet three general conditions:

- The threatened nation requests U.S. assistance.
- The threatened nation is capable of effectively applying U.S. assistance.
- The existing or threatened internal disorder threatens U.S. national strategic goals.

2-3. When and if the President or SecDef makes the decision to provide military support to a FID program, the level and type of assistance required must then be determined. With the numerous variables contributing to internal disorder and the preconceived desired end state, no two FID programs are exactly alike.

2-4. FID is a significant mission for selected Army SOF, although conventional forces also possess capabilities to conduct FID. Under legislative mandate, the United States Special Operations Command conducts FID as a core task. However, FID usually requires joint planning, preparation, and execution to integrate and focus the efforts of all Service and functional components. FID is not a military-only operation; it includes an interagency approach to assisting a HN. Army forces participating in FID normally advise and assist HN forces conducting operations. The President approves each mission. Operations are

limited in scope and duration and conducted in support of legitimate HN forces. FID, properly conducted, requires joint preparation, planning, and execution. This will synchronize the efforts of all services provided and functional components to achieve the desired end state to establish and preserve the HN's IPI. When conventional forces and SOF are integrated, appropriate mission command or liaison elements should be exchanged or provided to the components of a joint force.

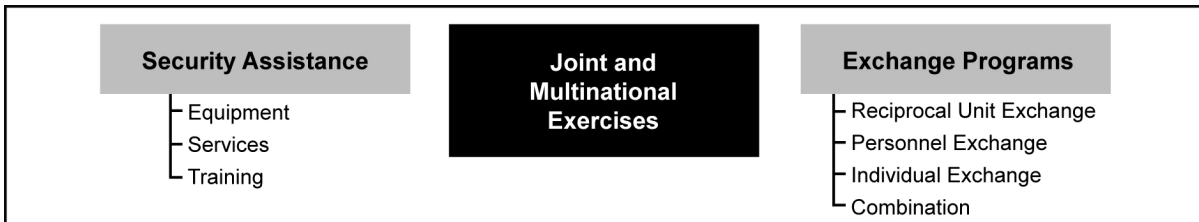
2-5. The categories of FID operations include indirect support and direct support. FID can occur throughout the range of military operations and is often a part of irregular warfare that supports the other instruments of national power through activities ranging from peacetime military engagement to combat operations. The focus of the military is to assist the HN in combating internal threats to help promote their legitimacy and influence over the population.

**INDIRECT SUPPORT**

2-6. The indirect support principle is based on self-sufficiency of the HN. Indirect support focuses on building strong national infrastructures through economic and military capabilities that contribute to this self-sufficiency. Contributions from U.S. forces to indirect support come from security cooperation guidance through SA. Examples include SA programs, multinational exercises, and exchange programs. Joint and multinational exercises can enhance a FID program. They offer the advantage of training U.S. forces while simultaneously increasing interoperability with HN forces and offering limited HN training opportunities. These exercises strengthen U.S. and HN relations and interoperability of forces by—

- Complementing SA and CMO.
- Validating the HN needs and capabilities.
- Providing a vehicle for the conduct of HCA programs and projects.

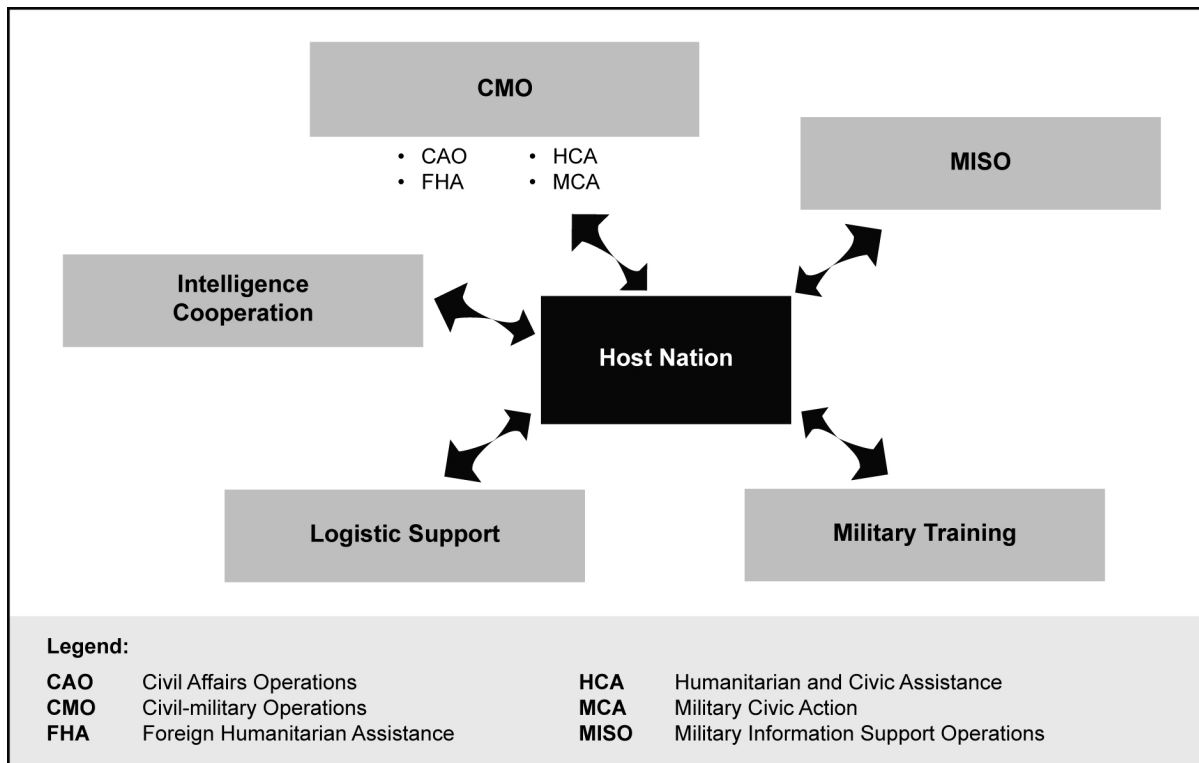
2-7. There are very firm legal restrictions on the type of support provided and on the monetary limits of such support. Exchange programs (personnel exchange programs, individual exchange programs, and combination programs) promote a better understanding and a more cooperative unified force structure and add to the commander's options that round out his FID plan. Whether a part of a FID program providing other support, or a stand-alone program, indirect support enhances the HN's ability to conduct its own operations (Figure 2-2).



**Figure 2-2. Indirect support in foreign internal defense**

**DIRECT SUPPORT**

2-8. Direct support does not involve combat operations, but includes the use of U.S. forces assisting the HN civilian populace or military forces directly. This support often focuses on CAO (primarily civil considerations), Military Information Support Operations (MISO), operational planning assistance, intelligence and communications sharing, logistics, and training of local military forces. Although all CAO support CMO, they are distinct. CAO and CMO span a very broad area in FID and include activities, such as FHA, HCA, and MCA. Direct support is joint- or Service-funded and normally conducted when the HN has not attained or regained self-sufficiency and when it still faces social, economic, or military threats beyond its capability for self-sustainment. In some cases, training of the military and the provision of new equipment may be authorized. The direct support goal may be to keep U.S. forces from participating in combat operations, which may stem from political concerns, or to ensure the HN remains in the forefront of all operations to ensure or gain legitimacy with IPI (Figure 2-3, page 2-4).



**Figure 2-3. Direct support not involving combat operations**

2-9. All staff elements contribute to the overall support of the FID program. Some, such as the logistics directorate of a joint staff and the communications systems directorate of a joint staff, are primarily responsible for specific military technical support missions. These staff elements will usually focus on the direct support category of military support to FID. When formed, a joint interagency coordination group (JIACG) can provide the CCDR with an increased capability to collaborate with other USG civilian agencies and departments. The JIACG, an element of a GCC's staff, is an interagency staff group that establishes and enhances regular, timely, and collaborative working relationships between interagency's representatives and military operational planners at the combatant commands. The CMO staff section can play a major role in support of the JIACG's collaboration and coordination with the private sector or regional organizations in the AOR (Figure 2-4, page 2-5).

2-10. Whether indirect support or direct support, military assistance programs or projects will be more successful when conducted in a way that (applicable to the masses of people) yields some tangible and prompt benefits, involves active and constructive participation of the local populace, and, when completed, develops pride of the people in their own achievement or status.

2-11. During combat operations, the introduction of U.S. combat forces into FID operations also requires a Presidential decision. These operations are a temporary solution until HN forces can stabilize the situation and provide security for the civilians. In all cases, U.S. combat operations will be in support of the HN IDAD program and remain strategically defensive in nature. In reality, even though U.S. combat forces assume a defensive posture, U.S. insertion in a foreign country will fuel anti-American sentiments and assist in the promotion of the adversary's cause. Influential messages through the application of related activities of CMO, public affairs, and defense support to public diplomacy can act as strong enablers in support of the HN and counteract the anti-American sentiments. However strong, U.S. military power cannot and will not ensure the survival of regimes that fail to meet their people's basic needs—thus the importance of civil considerations analysis.



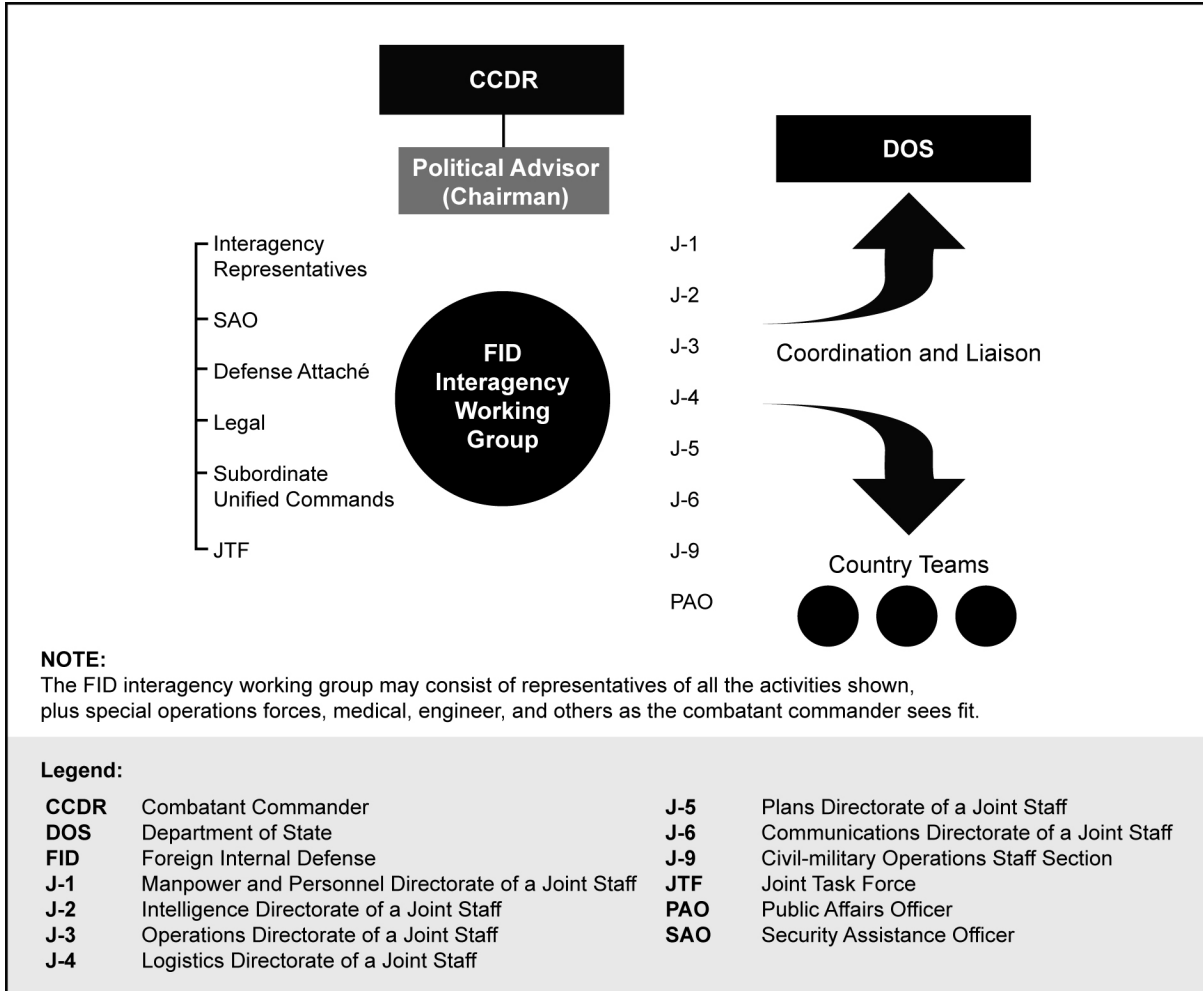


Figure 2-4. Notional foreign internal defense interagency working group

### Foreign Internal Defense in El Salvador

From 1979 until the early 1990s, the United States recognized Central America as a region of primary security interest. U.S. representatives sought to create lasting democratic change by assisting Latin American countries to revamp domestic policies, processes, and institutions through diplomatic, economic, and military influence. The Reagan administration used diplomacy and economic aid to promote democratic elections, initiate social and economic reforms, and end human rights abuses. A U.S. military group assisted the El Salvadoran army by establishing a facility for basic and advanced military training. The advisors, primarily Army special operations forces, also served with El Salvadoran units to support small-unit training and logistics. The advisors helped the El Salvadoran military become more professional and better organized while advising in the conduct of pacification and counterinsurgency operations against the communist-backed Farabundo Marti National Liberation Front. Army forces supported U.S. interests by creating an elite counterinsurgency (COIN) force that fought the guerillas to a standstill and established the groundwork for a negotiated settlement.

2-12. In addition to the military instrument, operations may involve participation by civilian agencies of a government in any of the action programs taken by another government or other designated organization to free and protect society. The U.S. military conventional and SOF units have a role and capability to conduct FID missions as well as coordinate interagency activities in support of FID. The ambassador (chief of mission) coordinates the FID effort through the assigned security assistance officer (SAO) or the country team. There is a close coordinating relationship between the ambassador, the represented USG agencies, and the CCDR and staff. The GCCs have the responsibility for planning FID operations for their respective AORs. In general, U.S. military FID activities include the following:

- **HN military assistance.** HN military assistance operations include operations that train HN military individuals and units in tactical employment, sustainment, and integration of land, air, and maritime skills; provide advice and assistance to military leaders; and provide training on tactics, techniques, and procedures required to protect the HN from subversion, lawlessness, and insurgency; and develop indigenous individual, leader, and organizational skills.
- **Population security.** Population security includes operations that strengthen the security of the population by providing supervision of tactical operations conducted by HN military units to neutralize and destroy insurgent threats, isolate insurgents from the civil population, and protect the civil population. As a subset of FID, designated SOF units may also train select HN forces to perform counterterrorism missions.

## GENERAL FOREIGN INTERNAL DEFENSE SKILLS

2-13. All elements engaged in military operations in support of FID must have an understanding of the overall goals and objectives of the supported GCC. The knowledge required is similar to understanding the supported commander's intent in planning a military operation. An understanding of the goals is what will provide the basis for determining if the perceived actions or programs are in support of the overall theater strategic objectives. Some of the skills needed for successful military support of FID include—

- **Area expertise.** Knowledge of the OA is definitely required to maximize the overall effectiveness of any military operation—civil support, peace operations, COIN operations, FHA, and FID.
- **Cultural orientation.** Any deployed element will find difficulty in successful interaction with the supported nations' governmental representatives and the IPI if that element does not possess an understanding of the background of the nation and the customs therein. The element must understand regional, religious, and ethnic differences and be able to operate within the cultures indigenous to the OA.
- **Language proficiency.** Native language proficiency could be considered a force multiplier when it comes to dealing with HN personnel and the ability to communicate. Daily contact and interface in the respective language lends to credibility. Although language is important, it is more important to convey the right message when conducting FID operations; thus, personnel should not hesitate to conduct training or speak through an interpreter.
- **Standards of conduct.** U.S. military personnel must understand the importance of the image they project to both the HN government representatives and population. An implied task in FID operations is promoting a democratic way of life while gaining long-term support for the overall FID program. Professionalism and respect are inherent to the U.S. way of life and can be passed by example to the HN population.
- **Information collection.** The success of FID programs relies heavily on effective CAO. CA forces engaged in military operations in support of FID programs can supply valuable information on the social, economic, and political situation critical to the OA evaluation process. These deployed units and teams absorb information essential to mission success. Team members must be careful not to hamper relationships with their HN counterparts. Personnel involved in FID must know and understand their respective roles and responsibilities in these areas.
- **Coordination relationships.** FID programs are likely to interact at all levels with other USG agencies (for example, embassy public affairs officer or attaché, USAID, MISO, GCC staff, political advisor, and so on). This type of coordination to some military elements may be new and require additional training, as will any legal guidelines that are applicable (for example, status-of-forces agreements, international law and agreements, and local customs).

- **Rules of engagement.** A thorough understanding of the rules of engagement is very important when in support of FID; for example, each Soldier must understand the reasons and need for restraint because a single act could cause adverse political consequences.

## CIVIL AFFAIRS ASSETS IN FOREIGN INTERNAL DEFENSE

2-14. FID is participation by civilian and military agencies of a government in any of the action programs taken by another government or other designated organization to free and protect its society from subversion, lawlessness, insurgency, terrorism, and other threats to its security (JP 3-22, *Foreign Internal Defense*). The focus of FID efforts is support to the HN government. Success is determined largely by how well those military and civilian agencies work in harmony. Coordination is the key to preventing duplication of effort while showing U.S. resolve to and for the region. CAO in support of FID can be extensive in nature and can involve substantial CA assets.

2-15. CA forces plan, direct, and conduct CAO because of the complexities and demands for specialized roles and capabilities associated with activities normally the responsibility of the foreign nation or HN civil governments or authorities. Although all CAO support CMO, they remain distinctly different. Volumes can be written about CAO/CMO in support of FID, especially considering that every step—from planning initiatives through execution and from completion to the decision that the desired end state has been achieved—should include civil considerations. CA forces are a valuable resource in planning and supporting the conduct of various indirect and direct support operations in support of the overall FID effort. The CAO running estimate examines each military COA and how the CMO may best influence the various COAs the commander is considering. The focus of the CAO running estimate development is on situation assessment rather than COA development. The purpose is to assemble information underlying a CMO concept of support that can be modified to support the overall FID concept of operations (CONOPS). CAO can also support the reconstitution of a viable and competent civil service and social infrastructures, to include assisting the HN civilian government by providing civil administration assistance within its governmental structure. The discussion below is limited to those portions of CAO/CMO that directly contribute to a commander's support of a FID program. JP 3-57 provides further information on CMO.

## FORCE STRUCTURE

2-16. Most of the CA force structure is in the USAR; therefore, the supported commanders need to consider carefully how they will plan for and employ these limited CA forces to their optimum capability.

2-17. Each GCC is apportioned Regular Army and USAR forces based upon approved OPLANs. The preponderance of the CA forces is in the U.S. Army, although the U.S. Marine Corps and the U.S. Navy have a CA force structure. Even though the USAR forces are attached to a CCDR, they are not available unless mobilized or called to active duty. To help ensure that dedicated USAR CA support will be available for FID programs and joint FID exercises, supported commanders and their staffs need to understand the limitations that exist for the employment of USAR forces. To help prevent CA shortfalls, the CCDR needs to ensure his staff conducts early and continuous coordination with the respective Service components. FM 3-57 provides specifics as to the composition of the CA force.

## CIVIL AFFAIRS LIAISON

2-18. There are four principal means of communications: liaison, personal contact, document transfer, and data exchange. Liaison and communications are at least as important and widely used in stability operations as in offensive and defensive operations. In addition to normal functions, commanders use liaison and communications to achieve unity of effort, trust, and mutual understanding with organizations not subordinate to military authority. Liaison facilitates communication of the common operational picture (COP) and related information, and the execution of information between the sending headquarters (HQ) and the receiving HQ. CA liaison personnel can and should play a significant role in the development of the civil components of the supported commander's COP and are major contributors in the link with other organizations within the OA, such as NGOs, IGOs, and the private sector. Many of these organizations can affect military operations, but may have goals and operations significantly different from those of the commander. The importance of the civil liaison team (CLT) remains—a common CA element whose

primary task is to foster cooperation between the various civic organizations or agencies and the supported commander. The CLT accomplishes this task by identifying and directly engaging the various civil components within the OA. In addition, the civil-military operations center (CMOC) or the supported commander may direct the CLT to conduct CA assessments or civil reconnaissance.

### **CIVIL AFFAIRS ELEMENTS AND CAPABILITIES**

2-19. U.S. Army CA forces deploy as individual passengers, teams, detachments, or larger units. Army CA forces are organized to support conventional forces and SOF, the Services, USG agencies, coalition forces, agencies of other countries, and various IGOs and their associated NGOs. Mission guidance and priorities, including prioritized regional engagement activities and language requirements, derive from respective CCDRs who provide regional focus.

### **CIVIL AFFAIRS CAPABILITIES**

2-20. The goal of CA operational engagement is to achieve U.S. national goals and objectives at the strategic, operational, and tactical levels of war. To aid in achieving the intention of these goals and objectives, CA units are—

- Regionally focused (varying levels of language capability and country expertise).
- Proficient in the civil sector (supporting and conducting civil administration, facilitating the identification and procurement of civilian resources to support the mission, and applying functional specialty areas [governance, economics, and so on]).
- Well-versed in liaison activities with the Services, USG agencies, multinational forces, agencies of other countries, and various IGOs, and their associated NGOs (planning, supporting, and controlling other military operations in FID, such as training assistance, FHA, MCA, HCA, and logistic support).

2-21. The focus of CAO is to engage the civil component of the OE by assessing, monitoring, protecting, reinforcing, establishing, and transitioning. CA units are fully capable of being an integral part of each phase.

### **Assessing**

2-22. Civil Affairs commands and brigades are capable of assessing MOEs of the following based on information collected by CA companies or other elements in accordance with the commander's collection plan:

- PRC measures.
- HN public, religious, and private education systems.
- HN government agencies, services, personnel, and resources.
- IPI access to food, water, shelter, emergency health care, and sanitation (FM 3-07).
- The threat posed by hazardous materials (civil considerations).
- United Nations (UN), unilateral, bilateral, and multinational treaties and agreements to which the United States is a signatory, and those agreements mutually concluded between the United States and the HN applicable to NA.
- Civil dimensions as they apply to both the adversary and friendly COGs.

### **Monitoring**

2-23. CA units are capable of monitoring CMO in the following:

- Indigenous public information programs and CAO/CMO-related reports from the field.
- Indigenous economy, economic systems, commercial activities, agencies, services, personnel, and recourses.
- IPI in terms of the six functional specialties.
- Ongoing SA efforts in their areas.
- CAO to determine when the “deliver” step is over and the “transition” step may begin.

- Key civilian areas (districts within a city; municipalities; government centers; social, political, religious, or criminal enclaves; agricultural and mining regions; trade routes; and so on).
- Strengths and vulnerabilities of civil components of the OA and how they relate to the overall mission.

### Protecting

2-24. CA units are capable of—

- Identifying significant cultural property and facilities (advise and assist in locating, identifying, and preserving religious buildings, shrines and consecrated places, museums, monuments, art, archives, and libraries).
- Assisting in the planning of no-fire areas and restrictive-fire areas.
- Advising IPI on environmental management.
- Developing plans and measures to minimize the exposure of noncombatants from the effects of combat operations.

### Reinforcing

2-25. CA units are capable of reinforcing—

- The supported unit commander and assisting in mission analysis, assessment, planning, implementation, and execution through to transition operations (terminated, transferred to follow-on forces, or transitioned to IPI, IGOs, or legitimate HN authorities).
- The political situation, both actively and passively.
- The economic development or nondevelopment, both actively and passively (organizational structure, policies, monetary system, budget system, financial institutions, laws and regulations, labor, and so on).
- The social and cultural information institutions and capabilities.
- The request for forces through the supported unit G-9/S-9 to the supported G-3/S-3.

### Establishing

2-26. CA units are capable of establishing—

- Contact with the supported units and other CAO/CMO elements.
- Contact with nonmilitary agencies and local authorities.
- Contact with CMO working groups.
- Contact with liaison as required, including higher, lower, and adjacent military units, and interagency and external partners.
- CONOPS for controlling the population for self-protection and crime prevention.
- Technical requirements for government, community and private systems and agencies to protect, preserve, and restore cultural property.
- Operational oversight and supervision in rehabilitating or establishing transportation equipment, facilities, and systems.
- The technical requirements for government and commercial communications resources to support government administration (postal services, telephone, telegraph, radio, TV, computer systems, and print media).

### Transitioning

2-27. CA units are capable of transitioning—

- Missions to a follow-on agency or force, military or civil in nature, which can be a peacekeeping entity under a UN mandate, HN, IPI, IGO, or NGO.
- Procedural protocols of dealing with IPI, IGOs, and NGOs.
- Major roles for the CA planner based on their expertise (requires detailed, coordinated, and synchronized planning).

- Responsibility for the care and transfer of the dislocated civilian population to a controlling agency. CA units should determine the criteria that will dictate when the incoming organization will assume control of the activity or task; for example, a target date, task standard, or level of understanding.
- Responsibility for projects, including—
  - Closing ceremonies.
  - Orientation for the incoming organization to the area.
  - Introduction to all the essential players of both military and civilian organizations remaining in the area.
  - Completion of an after action review and an after action report.
  - Redeployment.

2-28. FID, as part of NA, takes place in an arena that may include support to—

- COIN.
- CT.
- Peace operations.
- DOD support to counterdrug (CD) operations.
- FHA.

2-29. These activities may include FID operations as an integral component in supporting the fight against internal threats. In FID, CA forces can facilitate the integration of U.S. military operations directed at supporting internal HN action programs aimed at bolstering IDAD.

2-30. U.S. military involvement in FID traditionally focuses on COIN. FID may or may not include countering an insurgency. When FID includes countering an insurgency, COIN is part of FID. COIN only refers to actions aimed at countering an insurgency; whereas the FID mission is focused toward subversion, lawlessness, and insurgency or a combination of the three.

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*Note:* When COIN is conducted without a HN, COIN is not part of a larger FID program, as FID specifically supports a HN.

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2-31. COIN that is not part of FID is an uncommon situation, and it should be a transitory situation where the United States and any partners should work to establish or re-establish HN sovereignty. Focusing on the internal development portion of IDAD enables the FID program to address areas other than COIN. In support of the HN, CMO may be used in a preventive or rehabilitative manner to address root causes of instability or in a reconstructive manner. FID may be one of the smaller programs within the IDAD strategy in terms of funding, focus, facilities, and personnel committed.

### **Imperatives of Counterinsurgency**

Manage Information and Expectations  
Use the Appropriate Level of Force  
Learn and Adapt  
Empower the Lowest Levels  
Support the HN

2-32. The proper application of CMO can mitigate grievances exploited, or potentially exploited, by insurgents or other internal threats to HN stability by actively demonstrating the HN force's commitment to the well-being of the population and reinforcing within key elements of the population their importance as the COG for their government's legitimacy. CMO is an initial step to reinforce or enhance the HN's image as a responsive government, both internally and internationally. CMO is executed by all forces and can be better enabled and facilitated by the application of CA forces to train, advise, and assist other forces, as well as plan and execute specific and targeted CAO to achieve an operational or strategic objective.

2-33. The proper use of CA forces in COIN is essential during all phases of an insurgency to counter a resistance movement. When used to their full potential, CMO can be crucial in preventing the escalation of an insurgency to higher phases. Properly using CMO can reduce insurgent activities. A national development program can solidify the HN government's position and improve conditions for the people. CAO varies with the capabilities of the HN government and with the level of insurgent activity. Commanders should consider their CA forces as a positive resource in planning and providing liaison to support their overall FID program:

- Planning, supporting, and controlling other military operations in FID, such as training assistance, FHA, MCA, HCA, and logistic support. CAO/CMO should—
  - Make life-saving initiatives a priority.
  - Improve the HN infrastructure and the living conditions of the local populace, while enhancing the legitimacy of the HN government.
  - Distribute food, provide local security programs, and provide basic health system support to the local populace, when applicable.
  - Find ways to reduce civil interference with military operations.
  - Track costs associated with the execution.
  - Make CAO a part of the planning and executing of all military operations in support of FID programs.
- Providing liaison to NGOs, IGOs, and the private sector (Figure 2-5, page 2-12). CAO and CMO should—
  - Maintain continuous liaison and communications with applicable agencies and document all activities.
  - Ensure a constant and accurate flow of information between the military and civilian agencies to contribute to the COP.
  - Serve as mediator, explaining U.S. policy goals, expectations, and the rewards of cooperation, as well as the consequences of noncooperation, if applicable.
  - Maintain focus toward the supported commander's military end state.
  - Synchronize NA projects with other programs, military and civilian.
  - Ensure transition plans are coordinated with all applicable agencies and timeframes for transition and are well documented (includes transfer of authority or termination plan).
- Facilitating the identification and procurement of HN civilian resources to support the mission. CAO/CMO should—
  - Ensure priority is to the supported commander.
  - Consider the impact of military operations on the civil populace and vice versa.
  - Identify HN support agreements (if in effect).
  - Assess the HN's ability and probable willingness to provide the support to U.S. Army forces.
  - Identify by type of support, quantities, times, places, rationale, and operational impact of availability or nonavailability.
  - Ensure the needs of the civil populace are met (food, water, medical assistance, and security).
  - Ensure the HN receives public support (successful FID operations hinge upon public support).
  - Evaluate and facilitate medical support and emergency services.
  - Encourage self-sufficiency (on the part of the HN).
- Supporting and conducting civil administration. CAO/CMO should—
  - Increase the effectiveness of, respect for, and cooperation with HN law enforcement and security forces.
  - Mitigate the grievances exploited by insurgents and threats to stability that generate popular support for resistance elements.

- Facilitate civil order.
- Determine the limits of authority and liability established by U.S. and international laws, regulations, and international treaties and agreements.
- Set conditions and prepare the populace for elections, if applicable.
- Synchronize CAO and information-related capability with FID activities to enhance that support.
- Maintain sovereignty of the HN at all times. The perception that the United States is running a puppet government is counter to the basic principles of FID. This is important to remember when providing civil administration assistance.
- Ensure positive influences toward the economic, social, and political situations.

CATEGORY	DEFINITION	EXAMPLES
Nongovernmental organization	A private, self-governing, not-for-profit organization dedicated to alleviating human suffering; and/or promoting education, health care, economic development, environmental protection, human rights, and conflict resolution; and/or encouraging the establishment of democratic institutions and civil society. (JP 3-08)	United Nations (UN) Web site (www.un.org) lists accredited NGOs
Intergovernmental organization	An organization created by a formal agreement between two or more governments on a global, regional, or functional basis to protect and promote national interests shared by member states. (JP 3-08)	UN European Union North Atlantic Treaty Organization African Union Organization for Security and Cooperation in Europe
Private sector	An umbrella term that may be applied to any or all of the nonpublic or commercial individuals and businesses, specified nonprofit organizations, most of academia and other scholastic institutions, and selected nongovernmental organizations. (JP 3-57)	Partnership with limited or unlimited liability. Private limited company or LTD (limited liability with private shares). Public limited company whose shares are open to the public, such as a franchise (business owner pays a corporation to use their name and receives specifications for the business) or workers' cooperative (all workers have equal pay and make joint business decisions).

**Figure 2-5. Definition and example of civilian organizations**

2-34. Economics influence every aspect of FID support, ranging from direct financial assistance and favorable trade arrangements to the provision of foreign military financing under SA. The TREAS is the primary federal agency responsible for the economic and financial prosperity and security of the United States and is responsible for a wide range of activities including—

- Advising the President on economic and financial issues.
- Promoting the President’s growth agenda.
- Enhancing corporate governance in financial institutions.

2-35. CA elements conducting CAO in support of NA must understand the economic structures and systems of the HN in which they operate. There are three theoretical economic systems—capitalism, socialism, and communism. In practice, most countries practice a hybrid of these three theoretical economic systems, which are defined below:



- *Capitalism*: A broad economic system where competition in a free market determines the price, production, and consumption of goods through the invisible hand of supply and demand.
- *Socialism*: A set of economic systems in which the major enterprises are owned or controlled by the state or by the members who work in the enterprises who manage them as cooperatives.
- *Communism*: A totalitarian system of government in which a single authoritarian party controls state-owned means of production.

2-36. When CAO is evaluating economic organization and performance of the HN, there are several areas to assess and evaluate in support of the commander and the development of the COP, including—

- Economic infrastructure, such as resource locations, scientific and technical capabilities, electric power production and distribution, transport facilities, and communications networks.
- Economic performance, such as gross national product, gross domestic product, foreign trade balance, per capita income, inflation rate, and annual growth rate.
- Banking and investment infrastructure and capabilities, investment markets, and capital available for expenditures.
- Major industries and their sustainability including the depth and soundness of the economic base, maximum peak production levels and duration, and storage capacity.
- Performance of productive segments, such as public and private ownership patterns, concentration and dispersal, and distribution of wealth in agriculture, manufacturing, forestry, information, professional services, mining, and transportation.
- Public health factors that include but are not limited to birth and death rates, diet and nutrition, water supply, sanitation, health care availability, endemic diseases, health of farm animals, and availability of veterinary services.
- Availability of education including access by individuals and groups and sufficiency for individual needs; groupings by scientific technical, professional, liberal arts, and crafts training; and surpluses and shortages of skills.
- Unemployment, underemployment, and exclusion of groups, as well as horizontal and vertical career mobility.
- Population shifts and their causes and effects (for example, rural to urban, agriculture to manufacturing, and manufacturing to service).

2-37. The CA assessment early in the planning process can address the majority of the economic considerations cited above. The assessment is used to determine current conditions, compare them to a defined norm and established standards, and identify needs or requirements that CAO can address. This includes the needs and requirements of the supported commander or organization associated with the mission, as well as those of the local populace. CA forces in support of the military commander in an operational FID environment must ensure the plan economically and psychologically mitigates these effects while anticipating security threats and developing proactive security measures for such sites, as deemed appropriate. The CAO sketch can become the basis for the operational overlay which graphically represents the sectors of the population that are pro-government, antigovernment, pro-threat, anti-threat, and uncommitted or neutral. The generic population status overlay can also display economic aspects of the population, as well as other areas of interest (for example, educational, religious, ethnic, and tribal regions) of the supported commander. A more refined product in a rural environment (for example, engineer projects, such as schools, roads, and bridges) may also display the home and workplaces of key friendly and threat military or civilian personnel and their relatives in the AO.

2-38. A central legal consideration for commanders conducting FID operations is using the proper funding authorizations for the type of mission. The two major types of funding are FAA funds (Title 22, United States Code [22 USC]) and operation and maintenance (O&M) funds (10 USC).

2-39. The FAA is designed to focus on developing countries and provides economic, agricultural, medical, disaster relief, and other forms of assistance. The FAA also assists foreign countries in fighting internal and external aggression by providing various forms of military assistance upon request (and subject to Congressional approval). Despite a large DOD role in providing defense-related articles and services, the

DOS controls the FAA. The FAA mandates close coordination and cooperation between the DOD and U.S. civilian agencies at all levels of the SA process.

2-40. Sections 2292(a) through 2292(k), 22 USC, describe the international disaster assistance funds. The President may direct the DOD through the SecDef to respond to man-made or natural disasters. The President delegated disaster relief authority to the SecDef with concurrence of the DOS (except in emergencies). The DOD has limited authority to engage in disaster assistance. Through 22 USC 2292, Congress and the President provide the authorization for the United States to provide assistance to certain countries. Generally, each section after 2292(b) indicates particular countries that are the intended recipients of this aid. Additional countries are added to the list periodically. In addition to funds mentioned in 10 USC, the bulk of FHA operations are funded according to 22 USC 2292.

2-41. In most instances, commanders encounter problems with fiscal law when they use O&M funds for projects that require FAA funding. The following fiscal principles should be observed when conducting FID operations to ensure that all activities are conducted within the limits of U.S. law. Commanders must—

- Be aware of fiscal law principles to avoid possible violation of Anti-deficiency Act (Section 1341[a], Title 31, United States Code [31 USC 1341a], Limitations on Expending and Obligating Amounts). Anti-deficiency Act violations are reportable to Congress and carry both civil and criminal penalties. Commanders cannot make expenditures in advance or in excess of available appropriations.
- Ensure expenditures reasonably relate to the purpose of the appropriation.
- Not allow expenditures prohibited by law.
- Make sure the expenditure does not fall specifically within the scope of some other category of appropriation.
- Know that if two appropriations permit the expenditure, either may be used, but not in combination or interchangeably.

2-42. CA units assigned at all levels in a FID operation support the commander's CMO objectives by becoming familiar with the intricacies of these funding sources.

## FOREIGN INTERNAL DEFENSE SUMMARY

2-43. Enhancing the will of alliance nations to fight global threats is the responsibility of DOS. Effective FID programs can improve public perceptions of the HN and USG and facilitate more active HN policies that actively deter and combat acts of terrorism. CAO/CMO not only can support a COIN program, but also can enhance all FID programs. CAO/CMO may be used in a preventive manner in order to address root causes of instability, in a reconstructive manner after conflict or in support of disaster relief, consequence management, civil defense, CD, and AT activities. In many cases, measures increasing the capacity of a state to fight terrorism also will strengthen the overall IDAD program of the HN while supporting the HN in their plight against subversion, lawlessness, and insurgency. Successful FID operations hinge upon HN public support, both internal and external. Using CAO/CMO support to military activities in a FID program can enhance preventive measures, reconstruction efforts, and combat operations in support of a HN IDAD program. U.S. forces in support of FID must always maintain the position that the fundamental principle of all FID efforts is that they foster internal solutions and assist IDAD programs for which the supported nation has ultimate responsibility and control. The sovereignty of the HN must be maintained at all times. The perception that the United States is running a puppet government runs counter to the basic principles of FID (especially in support to civil administration). It is imperative that CA forces' expertise be incorporated early in the planning stage, as well as into the execution of military activities in support of FID operations. This will aid in preventing duplication of effort and resources and build synergy within all entities conducting the FID mission.

## Chapter 3

# Security Assistance

Security assistance is a group of programs authorized by law that allows the transfer of military articles and services to friendly foreign governments. They increase the ability of U.S. partners to deter and defend against possible confrontation, promote the sharing of common defense burdens, and aid in fostering regional stability.

### SECURITY ASSISTANCE OVERVIEW

3-1. SA programs are authorized by the FAA of 1961, as amended; and the Arms Export Control Act of 1976, as amended; or other related statutes by which the United States provides defense articles, military training, and other defense-related services. SA transfers are accomplished in various ways, to include sales, grants, leases, and loans. SA is authorized under the premise that these transfers are essential to the security and economic well-being of the HN governments and IGO and that they are equally vital to the security and economic well-being of the United States. SA programs, by design, support U.S. national security and foreign policy objectives. SA functions and programs extend and reinforce national strategic policies and objectives. The glossary of this publication and Army Regulation (AR) 12-1, *Security Assistance, Training, and Export Policy*, provide further details on the meaning of grants, leases, and loans, as related to SA.

3-2. The United States began training military personnel from several foreign countries in 1949. The greatest concentration of these personnel came from European states. This training started once Congress authorized the grant military assistance program and the cash FMS program and set out rules and criteria for their use. As Europe recovered from World War II, U.S. SA efforts shifted toward developing countries in the Pacific, the Middle East, Africa, and Latin America.

3-3. SA is under the supervision and general direction of the DOS. The SECSTATE supervises and directs SA, determines which countries are eligible to receive SA, and determines the dollar value of country programs. SA covers a multitude of programs or activities which are administered by DOS—Economic Support Fund; Peacekeeping Operations; Nonproliferation, Antiterrorism, Demining, and Related Programs; and International Narcotics Control and Law Enforcement. DOD administers other programs that are a subset of security cooperation. The SecDef is responsible for supervising the training of international military students under the SA training program. This responsibility includes training teams deployed outside the continental United States (OCONUS).

#### **Synopsis of Security Assistance Programs Administered by DOD**

##### **Foreign Military Sales**

Countries pay for their own training through the FMS program, which enables friendly countries to learn operation, maintenance, and management of the sophisticated equipment they purchase from the United States. FMS training sometimes includes tactical training as well.

##### **Foreign Military Construction Sales**

The President may sell design and construction services to any eligible foreign country or international organization if such country or organization agrees to pay, in U.S. dollars, not less than the full cost to the USG for furnishing such services.  
(continued)

**International Military Education and Training**

The IMET program is designed to provide professional leadership and management training for senior military leaders and selected junior and middle grade officers with leadership potential. Additionally, the program can reach out to the civilian side of the region's defense establishment to enhance ongoing efforts to provide educational opportunities to civilian leaders, thereby enhancing civil-military relations between the HN and the United States. In the Western Hemisphere, the largest IMET programs belong to Argentina, Colombia, the Dominican Republic, El Salvador, and Honduras.

**Military Assistance Program**

Under the military assistance program (MAP), the USG retains certain rights to the materiel provided to foreign governments. Transfer of title for materiel transferred under grant aid constitutes transfer of custody; it does not constitute transfer of ownership of U.S. materiel to the recipient country. With prior USG approval, the recipient country can modify or improve the equipment at its own expense. The USG retains reversionary rights to MAP materiel and may exercise these rights. However, the country may buy the reversionary rights to MAP-furnished materiel.

3-4. SA can be administered in—

- The delivery of defensive weapon systems.
- U.S. Service schools training foreign military students.
- U.S. personnel advising interagency on ways to improve the HN internal defense capabilities.
- U.S. personnel providing guidance and assistance in establishing infrastructures and economic programs to achieve and maintain regional stability.
- Cooperation (DOS, DOD, HN in partnership).

3-5. When the United States renders SA to other nations in an effort to help them meet their defense requirements, U.S. security is strengthened at home and abroad. Both diplomatic and military elements in foreign countries must support U.S. objectives; they operate under policy guidance developed through interagency cooperation. The ambassador must approve military activities and ensure SA activities are—

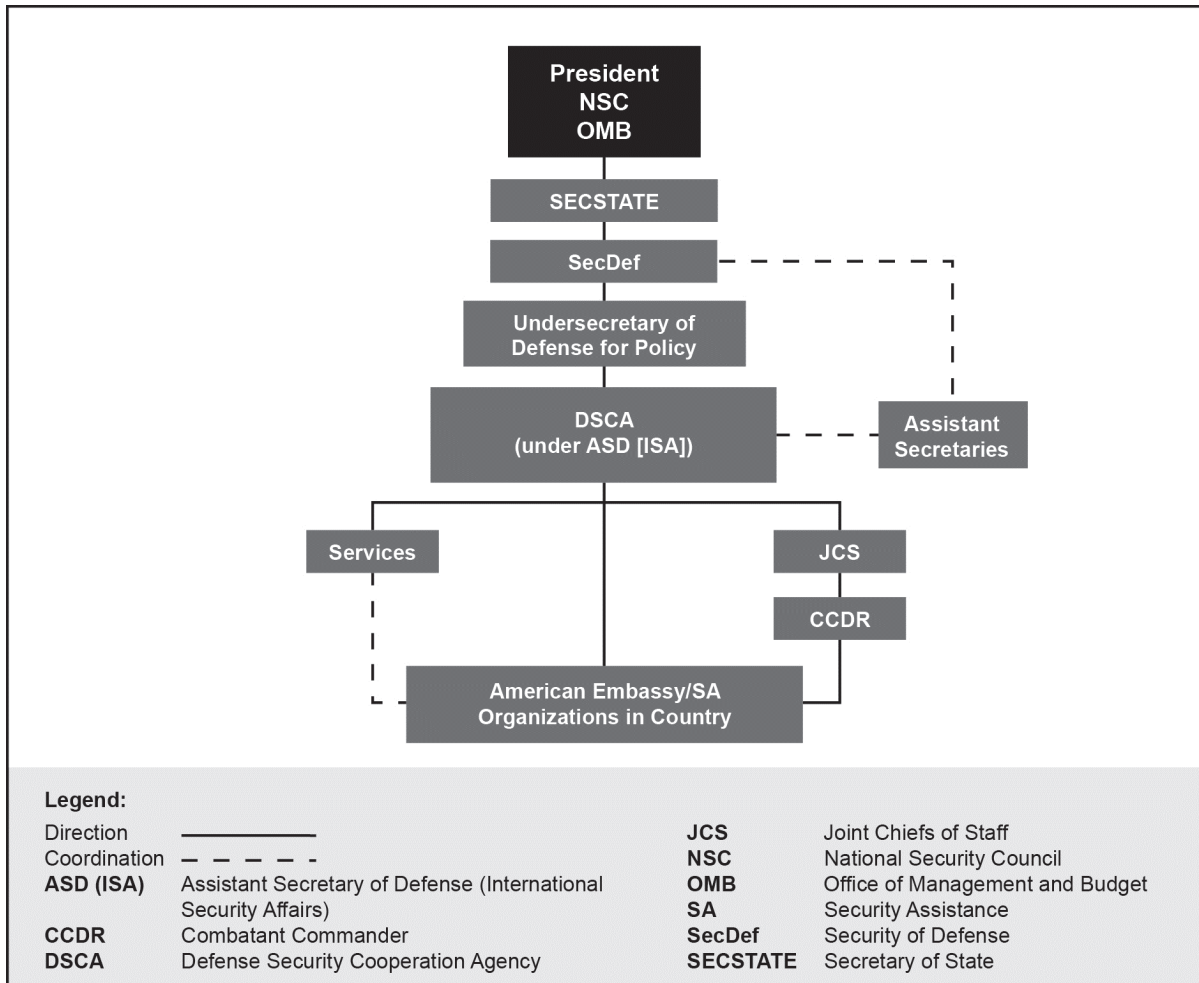
- Relevant to the current situation.
- Efficiently and economically administered.
- Effectively interrelated to U.S. interests.

3-6. Policy directives from the chief of mission will be binding upon all members of the country team. Directives must specify the goals of the program and the responsibilities and support that each agency provides. Depending on funding and policy directives, embassy staff can provide technical help, moral support, and limited supplies and resources.

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*Note:* The mission of the Defense Security Cooperation Agency (DSCA) is to direct, administer, and supervise the execution of SA programs. SA refers to the responsibilities of the SecDef under the FAA of 1961 and Arms Export Control Act, as amended, related statutory authorities, and Executive Orders and Directives relating to the administration of MAP, IMET, credit financing, and FMS. Figure 3-1, page 3-3 illustrates the major decisionmakers for SA.

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**Figure 3-1. Major decisionmakers for security assistance**

## OBJECTIVES OF SECURITY ASSISTANCE

3-7. SA programs are an important aspect of U.S. security policy. These programs aid deterrence, help enhance regional stability, and contribute to the promotion of U.S. access to vital overseas military facilities. In addition, SA lessens unilateral U.S. military requirements, enhances weapon and communications standardization and interoperability, and supports the U.S. defense industrial base. Objectives of SA are to—

- Support U.S. strategic national security interests (political, military, economic) and strengthen the military capability of partners by—
  - Aiding collective security and deterrence.
  - Defending against external threats.
  - Sustaining regional military balances and defense postures.
  - Boosting internal security.
  - Developing economic cooperation programs to enhance internal and regional stability.
- Foster favorable attitudes toward the United States and its policies.
- Encourage allies to pursue national objectives compatible with U.S. foreign policy and military strategy.
- Assist in obtaining and maintaining the necessary base rights, authorizations, and facility arrangements at key foreign locations for U.S. and coalition forces.

- Encourage other nations to develop and rely on their own defense, thus reducing the need for U.S. forces.
- Support and maintain the U.S. defense industrial base.
- Encourage respect for internationally recognized human rights.

## CHIEFS OF SECURITY ASSISTANCE ORGANIZATIONS

3-8. Administrators of DOD military portions of the program are under the direction of the Assistant Secretary of Defense (International Security Affairs). The GCC is responsible for planning military operations for their AOR, but for SA administration, the GCC must interface directly with the SAO located in the HN. The GCCs are active in the SA process by advising the SAO and by coordinating and monitoring ongoing SA efforts in their AORs. SAOs serve under the direction and supervision of the chief of mission who has responsibility for coordinating the full range of USG objectives and activities in the country. Based on available resources and the situation in-country, each SAO will—

- Evaluate HN SA requests and develop the U.S. mission recommendation.
- Conduct initial planning and coordination for deployment of SA teams and make support arrangements in country.
- Develop the annual IMET program and submit appropriate program data.
- Serve as the control and coordination point for U.S. Army personnel performing SA activities in country.
- Assist in the evaluation and planning of the host government's military capabilities and requirements (country's budget and program request).

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*Note:* Security cooperation organizations (SCOs) are all DOD elements located in a foreign country with assigned responsibilities for carrying out security assistance/cooperation management functions. SCOs include military assistance advisory groups, military missions and groups, offices of defense and military cooperation, liaison groups, and defense attaché personnel designated to perform security assistance/cooperation functions. (JP 3-22)

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## CIVIL AFFAIRS ROLE IN SUPPORT OF SECURITY ASSISTANCE

3-9. CA forces are an invaluable asset in supporting the SA mission, especially if brought in on the planning phase. CA forces can apply country expertise, civic knowledge, and language proficiency, with the HN country team equally contributing to the analysis in support of the SA mission. The application of the CAO running estimate can assist in identifying the IGOs, NGOs, and IPI working in the OA and the status of current operations and projects of each organization. Using the assessment process, CA forces can identify potential threats and vulnerabilities affecting SA shortfalls in existing programs, actual or potential cultural conflicts, and actual or potential civil COGs. CA personnel also are capable of developing or reviewing the nomination list of programs or projects to support the mission objectives, make a determination of the feasibility of each program, and prioritize these programs to meet the desired end states and goals. CAO, in support of SA projects and programs, can provide significant criteria such as the following:

- Determine the capabilities of the HN to support the presence of U.S. or coalition forces.
- Compare the cost effectiveness of each COA in terms of benefit in achieving U.S. mission objectives and the benefit to the HN.
- Develop a strategy to satisfy SA mission(s) that will—
  - Develop a timeline or milestones for project and program implementation.
  - Identify military and civilian labor requirements.
  - Identify specific material requirements.
  - Identify space allocation requirements.
  - Develop the MOE.
  - Develop the measure of performance (MOP).

- Identify security requirements.
- Comply with all funding rules and regulations.
- Develop a transition plan for the project and program.

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*Note:* MOEs answer the question, “Are we doing the right thing or are additional or alternate actions required?” MOPs focus on task accomplishment. In other words, a MOP confirms or denies that we have “done things right.”

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3-10. CAO/CMO are invaluable contributors in support of a unit commander deploying to conduct a SA activity in a specific OA. The CA forces can provide input to the supported unit’s OPLAN or OPORD by integrating and synchronizing the civil considerations (areas, structures, capabilities, organizations, people, and events [ASCOPE]) of the mission variables in the planning for SA operations. The CA forces can produce the products required by each step in the supported unit’s planning process, resulting in an approved annex with accompanying appendixes and tabs to the supported unit’s OPLAN or OPORD in support of SA operations.

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*Note:* Operational variables are political, military, economic, social, information, infrastructure, physical environment, and time (PMESII-PT). Coordination with the chief of mission may include direct contact with the defense attaché or the assigned SAO on the embassy staff.

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3-11. CA forces can directly support SA and security force assistance (SFA) by training foreign forces in civil-military relations and CMO. CA forces are the subject matter experts in the development and execution of civil-military relations and CMO activities. Whereas SFA and the military instrument of FID focus on preparing foreign military and security forces, building partner capacity includes USG interactions with foreign partners to develop that nation’s partner capability to govern effectively and securely. Where the SA and SFA goals include supporting the FID mission, CA forces are highly recommended for support to the HN military activities. (JP 3-22 provides additional information on SFA.) CA forces can assist the HN military in conducting the following activities:

- PRC (minimization of civilian interference with military operations).
- Assistance in government functions (CA functional specialties [governance, rule of law, and public health and welfare], human rights).
- Community engagement relations (communications and community development).
- Civil defense (classes, seminars, and symposiums).
- Relief activities (civil considerations, assessment prioritization [life-sustainment, water, medical care]).
- Labor assistance to agriculture and industry (animal husbandry and economics).
- Self-supported activities for the military (human rights, resourcing, communications, and sanitation).

3-12. If the SA element is deploying a mobile training team to a foreign country, CA briefers can ensure personnel are thoroughly informed on civil aspects of the OA. Examples are—

- Current political situation.
- Social customs (dos and don’ts).
- Social structure such as the following:
  - Family (dating and marriage, greetings, eating practices).
  - Religion (written and unwritten laws of conduct and human behavior).
  - Sexual mores, including interrelations and intermarriages with alien personnel.
  - Religious sects (number, key leaders, and geographic locations).
  - U.S. interests and commercial interests.

3-13. The majority of these civil components are acquired through the CA area study. This study establishes a baseline of information relating to the civil components of the area in question. Time and

resources permitting, CA forces can update the information detailed in the study as required by initiating a CAO running estimate before the SA team's deployment.

3-14. CMO support to SA can include training foreign military forces in CMO and civil-military relations. CA forces can provide training that is beyond the capability of in-country U.S. military assistance elements. The synchronization of CMO planning and CA forces with the other SA capabilities is imperative to achieve unity of effort. Examples of legislatively approved international training include humanitarian assistance (HA); training of police forces (prohibition and exceptions); CD training support; HCA, including demining; and joint combined exchange training—SOF training with friendly foreign forces (according to DOD 5105.38-M, *Security Assistance Management Manual*). The training identified and other SA programs are designed to strengthen U.S. and HN relations and interoperability of forces. They can be joint (joint or multinational exercises) or Service funded and complement both SA and CMO by validating HN needs and capabilities and providing a vehicle for the conduct of other programs, such as HCA projects and construction.

## **SECURITY ASSISTANCE SUMMARY**

3-15. Training leaders of other countries can translate into improved communications and compatibility with the United States; however, others query why the United States is training a potential opponent. The positives do outweigh the negatives. Technical assistance and training can include technical assistance teams and field-training services (extended training service specialists, contractor field services, quality assurance teams, surveys, and mobile training teams). SA training can contribute to better relationships with U.S. allies and friends and further enhance relations by guaranteeing the use or sales of weapons. In exchange for basing rights, SA training can provide airspace or overflight rights, port access, and other opportunities as presented. The sale of weaponry and equipment can enhance relationships and leverage a more positive posture for future operational considerations. SA planned at the lower level and endorsed by the authorities-to-be can play a role at the strategic level. Approved plans consider the economic capabilities of the foreign government, the support provided by third parties, and the overall U.S. and regional conventional arms transfer policies. The amount and type of military equipment that a country can support is also considered. SA plans emphasize the country's capabilities to organize, employ, and manage national resources allocated to defense. Plans should be consistent with overall political, economic, technological, and National Security Strategy and U.S. foreign policy objectives. SA can serve as a road map toward achieving a "democratic" political end state, with a cooperative, pro-U.S. military.



## Chapter 4

# Nation Assistance Programs Under Title 10 of the United States Code

Congress specifically appropriates funds for foreign assistance. USAID expends such funds under the legal authorities in Title 22, United States Code. In addition, provisions of Title 10, United States Code authorize small amounts of funds be appropriated annually for commanders to provide humanitarian relief, disaster relief, or civic assistance in conjunction with military operations. These standing authorities are narrowly defined, and generally require significant advance coordination within DOD and DOS (JP 3-22).

### **TITLE 10, UNITED STATES CODE, OVERVIEW**

4-1. The U.S. Army of today comprises the Regular Army, the Army National Guard, the Army National Guard of the United States, and the USAR. The Regular Army and the USAR are organized under 10 USC while the Army National Guard is organized under Title 32, United States Code (32 USC). The DOD coordinates and supervises all agencies and functions of the government relating directly to national security and the U.S. Armed Forces. The organization and functions of the DOD are set forth in 10 USC, which outlines the role of the Armed Forces and provides the legal basis for the roles, missions, and organization of each of the Services. The five subtitles under 10 USC deal with a separate aspect or element of the armed Services:

- Subtitle A, General Military Law, including Uniform Code of Military Justice.
- Subtitle B, Army.
- Subtitle C, Navy and Marine Corps.
- Subtitle D, Air Force.
- Subtitle E, Reserve Components.

4-2. The USC contains 50 titles and is published every 6 years by the Office of the Law Revision Counsel of the House of Representatives. Internet access to the USCs, including Title 10, *Armed Forces*; Title 32, *National Guard*; and Title 50, *War and National Defense*, is available at the following Web site: <http://uscode.house.gov>.

### **SECTION 166A, TITLE 10, UNITED STATES CODE, COMBATANT COMMANDS: FUNDING THROUGH THE CHAIRMAN OF THE JOINT CHIEFS OF STAFF**

4-3. The CJCS may provide funds to the CCDR, if requested; or to an officer designated by the CJCS for such purposes, with respect to a geographic area or areas not within the AOR of a CCDR. If SA provides the U.S. military support to MCA, normal SA coordination procedures will apply. If support is provided through a separate CCDR's initiative using O&M funds, most of the coordination will be internal to the command. Just as the name infers, it is the CCDR's funds made available for the fiscal year allocated. The

peaceful application of projects or programs funded through use of this fund is commonly referred to as MCA. Legislative authority under MCA projects or programs allows the U.S. Armed Forces to assist the military forces of partners to—

- Bolster emergent democracies.
- Transition into true military professionals.
- Reinforce humanitarian efforts within the private sector.

4-4. Every MCA project is different and the challenges may vary according to the OE. MCA projects should be accomplished rapidly, and yet have a long-lasting effect. It is difficult to retain local enthusiasm or elicit continued active effort on delayed projects, even if for unforeseeable reasons, such as weather, terrain, and so on. Furthermore, Western customs or beliefs differ in many respects from those of the underdeveloped countries and may not be conducive to unified productivity. Related technical applications for these projects may require the HN populace to accept modification. Every difference imposed by the United States renews a demand for a response—negative or positive. Consequently, each program or project must be carefully scrutinized in terms of how it will be received by the HN, military, nonmilitary, and the local populaces.

4-5. Within this subsection, funds may be authorized for the following activities:

- Joint warfighting capabilities.
- Joint exercises (including activities of participating foreign countries).
- Contingencies.
- Military education and training to military and related civilian personnel of foreign countries (including transportation, translation, and administrative expenses).
- Protection.
- HCA, to include urgent and unanticipated humanitarian relief and reconstruction assistance.

4-6. 10 USC 166A does establish CJCS priority for considering funds requests from the CCDRs. Priorities are as follows:

- Requests for funds for activities that would enhance the warfighting capability, readiness, and sustainability of the forces assigned to the commander requesting the funds.
- Provision of funds for activities with respect to an area or areas not within the AOR of a CCDR that would reduce the threat to, or otherwise increase, the national security of the United States.
- Provision of funds for urgent and unanticipated humanitarian relief and reconstruction assistance, particularly in a foreign country where the U.S. Armed Forces are engaged in a contingency operation.

4-7. MCA should contribute to—

- Promoting the progress of the social, cultural, and economic aspects of the HN. In remote and inaccessible areas, the military forces of a country are often the only governmental agency equipped and prepared to initiate needed programs and to perform services in the socioeconomic arena. MCA often brings government and civilization to remote areas where there are no other actual or symbolic representations of the HN government.
- Promoting the desires of the community and contributing to their own progress. Civil populaces learn that they can contribute to their own social and economic improvement by working side by side with the military. The United States renders advice and assistance wherever needed, but the major effort must come from the locals.
- Strengthening the ties of mutual respect and friendship between the civilian population and the national armed forces. The armed forces of some developing countries have been a major political force separate and apart from the people. Participation in civic action brings the Soldier closer to the people and makes both aware of their combined potential for supporting NA.
- Engaging the military in peaceful and productive pursuits and refuting the arguments of those who condemn military expenditures as a useless drain of public funds. Civic action assists in reducing discontent among the people, thereby discouraging insurgency and infiltration of extremist ideologies. It eliminates some of the grievances and helps to dissuade civilians from cooperating with guerrilla forces.

4-8. MCA is only one contributor of many public and private efforts to contribute to the stabilization of the HN. Civic action projects cannot promote a satisfied populace in areas where basic discontent exists centered on long-standing political, economic, or social grievances. In concert with the total government effort, individual projects of MCA combined with government integration symbolizes for the citizen the government's desire and determination to address, stabilize, and overcome these grievances. The selection will not always be clear-cut, but it should be defensible by a rational ranking process and a consideration of all relevant factors. Clearly, considerable thought and study must be devoted to the evaluation process, but a correct decision leading to a successfully completed project is well worth the effort. FM 3-57 provides additional information on MCA.

## **SECTION 168, TITLE 10, UNITED STATES CODE, MILITARY-TO-MILITARY CONTACTS AND COMPARABLE ACTIVITIES**

4-9. The SecDef is the program authority for the conduct of military-to-military contacts and comparable activities. The CCDR generally conducts military-to-military contacts to promote a democratic orientation of the defense establishment and military forces of partner nations, developing a military-to-military relationship with these organizations and the HN. Military-to-military contacts, although not defined in Army or joint doctrine, basically are contacts between members of the U.S. Armed Forces and members of foreign armed forces through activities, such as the following:

- Military liaison teams.
- Exchanges of civilian or military personnel between the DOD and defense ministries of foreign governments.
- Seminars and conferences held primarily in a theater of operations.
- Exchanges of military personnel between units of the U.S. Armed Forces and units of foreign armed forces.
- Distribution of publications primarily in a theater of operations.

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*Note:* Under Section 168, Title 10, United States Code (10 USC 168), *Military-to-Military Contacts and Comparable Activities*, the SECSTATE must approve any activity conducted with a foreign country. Funds may not be provided under this section for a fiscal year for any country that is not eligible in that fiscal year for assistance under the FAA of 1961. 10 USC provides additional funding limitations.

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4-10. Military-to-military contacts may be Army-to-Army or Marine-to-Army. Activities will always be of a combined nature conducted by CCDRs. Arranging operations is an element of operational design, and phasing is a key aspect of this element. Phasing is a useful tool for any type of operation. Phase 0, Shape Operations, are those activities conducted in an environment where no conflict exists. JP 5-0, *Joint Operational Planning*, contains additional information regarding phasing.

4-11. Military-to-military training activities are designed to—

- Help partner nations increase their capacity to provide for their own security.
- Promote democracy as a long-term measure for strengthening international stability.
- Reduce regional conflicts.
- Counter terrorism and terror-supporting extremism.
- Extend peace and prosperity globally.

## **SECTION 401, TITLE 10, UNITED STATES CODE, HUMANITARIAN AND CIVIC ASSISTANCE PROVIDED IN CONJUNCTION WITH MILITARY OPERATIONS**

4-12. Under Section 401, Title 10, United States Code (10 USC 401), *Humanitarian and Civic Assistance Provided in Conjunction with Military Operations*, HCA activities shall complement but not duplicate any

other form of social or economic assistance provided to a country by any other department or agency of the United States. U.S. military forces are permitted to carry out HA projects and activities in foreign countries in conjunction with U.S. military operations. HCA deployments managed by the GCC are necessary to maintain a forward U.S. military presence, ensure operational readiness to respond to crises, and prepare the USAR for their wartime missions. HCA activities—

- Will promote the security interests of both the United States and the country in which the activities are to be carried out. HCA activities also will promote the specific operational readiness skills of the members of the Armed Forces who participate in the activities.
- May involve cooperation with HN military or paramilitary elements (including the participation of third-party organizations such as nongovernmental, private, or voluntary groups) to establish trust and enhance relations with those entities. HCA may not be provided, directly or indirectly, to any individual, group, or organization engaged in military or paramilitary activity.

4-13. HCA projects usually are nominated by the HN (through the embassy), the American Embassy in country (DOS), or the GCC. The GCC submits nominations for approval. The approval authority for all HCA projects proposed by the GCC is the Director, DSCA. Once approved, Congress appropriates funding to the military departments (MILDEPs) to support the projects or programs. The responsive MILDEP acts as the executive agent for the CCDRs. The Army allocates funds to United States European Command and United States Southern Command; the Navy funds United States Pacific Command; and the Air Force funds United States Central Command. Authority for the MILDEP to fund HCA activities is contained in Section 8009, Public Law 109-289, the DOD Appropriations Act, 2007.

4-14. If the HCA program executes a project, U.S. military forces must provide the labor. Army O&M accounts fund the building materials and other incremental costs incurred for projects performed under Section 401 authority. Typical HCA projects include the following:

- Provision of medical, dental, and veterinary care in areas of a country that are rural or are underserved by medical, dental, and veterinary professionals.
- Construction of rudimentary surface transportation systems.
- Construction of wells and basic sanitation facilities.
- Construction and rudimentary repair of public facilities.

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*Note:* The GCC's nominations will usually consist of internal project numbers, project title, program or project (school, dam, road), location (country, grid, or address), estimated costs, proposed date(s) (by quarter), and supported U.S. unit (if known).

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4-15. 10 USC 401 also authorizes the military commander to fund small HCA opportunities that often arise during the course of an exercise or operation in a foreign country. The unit O&M account funds small, minimal-cost HCA (formerly referred to as de minimis HCA). Department of Defense Instruction 2205.02, *Humanitarian and Civic Assistance (HCA) Activities*, provides examples of minimal-cost HCA. Minimal-cost HCA activities must be one of the four activities statutorily allowed as an HCA activity. In addition, all other restrictions for the conduct of HCA under this title apply to minimal-cost HCA.

4-16. To avoid possible overlap or duplication of effort and to ensure sustainability, HCA and MCA projects must be coordinated with the country team, USAID, and the HN. For example, school construction should not be undertaken if there is not a sustainable plan by partners to provide teachers and administration, salaries, equipment, and books.

## **SECTION 407, TITLE 10, UNITED STATES CODE, HUMANITARIAN DEMINING ASSISTANCE: AUTHORITY, LIMITATIONS**

4-17. Humanitarian demining assistance is now covered under Public Law 109-346, revising Section 401 by moving references to demining activities to Section 407, Title 10, United States Code (10 USC 407), *Humanitarian Demining Assistance: Authority, Limitations*.

4-18. The SecDef, under prescribed regulations, authorizes the secretary of a MILDEP to perform humanitarian demining assistance activities in a foreign country. The secretary of the MILDEP must

determine if the assistance provided will promote either the security interests of both the United States and the country in which the activities are to be carried out or the specific operational readiness skills of the members of the U.S. Armed Forces who participate in the humanitarian demining activities. Humanitarian demining assistance activities must complement but not duplicate any other form of social or economic assistance provided by the United States.

4-19. The SecDef shall ensure that no member of the U.S. Armed Forces while providing humanitarian demining assistance under 10 USC 407—

- Engages in the physical detection, lifting, or destroying of landmines or other explosive remnants of war (unless the member does so for the concurrent purpose of supporting a U.S. military operation).
- Provides such assistance as part of a military operation that does not involve the Armed Forces.

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*Note:* The GCC's program concentrates on training HNs in the procedures of landmine clearance, mine risk education, and victims' assistance, as well providing unique training and readiness-enhancing benefits to U.S. Armed Forces while advancing the GCC's' theater security cooperation strategies. A nation desiring assistance must make a formal request through the American Embassy to the DOS. An activity may not be conducted under 10 USC 407 with a foreign country unless the SECSTATE approves the conduct of such activity in that foreign country.

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4-20. Depending on the research material, the number of countries in continental Asia varies. Approximately 35 percent of these Asian countries are mine-affected nations because there is extensive unexploded ordnance in the region. The United States is actively engaged in demining activities in Cambodia, Thailand, Laos, and Vietnam. Some of these demining activities are authorized under other than 10 USC. However, the intent of Section 407 is to provide the means to the nation to furnish education, training, and technical assistance with respect to detecting and clearing landmines and other explosive remnants of war.

4-21. The CA forces supporting roles and functions in the overarching core tasks of NA are as varied as the types of funding available to support the theater strategy. Types of funding include the following:

- **MCA Program.** MCA program funding requires a CAO running estimate to review all CA functional specialties, such as the following:
  - Prioritizing humanitarian needs (water, food, shelter, medical support).
  - Recommending projects in support of the HNs IDAD plan.
  - Identifying and coordinating locations.
  - Nominating projects with support from the American Embassy.
  - Interfacing with outside agencies.
  - Coordinating with HN military.
  - Identifying supporting units.
  - Promoting HN government.
  - Promoting information operations, MISO, and local media.

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*Note:* A running estimate is a staff section's continuous assessment of current and future operations to determine if the current operation is proceeding according to the commander's intent and if future operations are supportable.

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- **Military-to-Military program.** Military-to-Military program funding is used to conduct regional orientations of culture and language as follows:
  - Serving as a member of a liaison team.
  - Participating in exchange programs.

- Providing functional specialists to ministries (doctors, certified public accountants, and judges).
- Conducting and leading seminars on civil defense, human rights, law of armed conflict, legal and moral obligations, dos and don'ts (customs and mores), and exchanges in airborne operations.
- **HCA program.** HCA program funding assists in projects, such as—
  - Identifying and coordinating a location for a rural school (teacher, land, students).
  - Nominating projects (wells, roads, and so on) with support from the American Embassy.
  - Analyzing costs (CAO running estimate, and staff section's continuous assessment).
  - Coordinating for a supporting U.S. element (Army engineer unit, Navy construction engineer, and medical/dental/veterinary element).
  - Serving as lead for opening ceremony (gift exchange, if applicable).
  - Conducting quality control and preparing cost-analysis reports (tracking costs).
- **Demining program.** Demining program funding assists with conducting regional orientations of culture and language as follows:
  - Serving as a member of a liaison team.
  - Conducting CAO running estimates.
  - Assisting in the arbitration process, if needed.
  - Participating in the instruction and execution, as needed.
  - Coordinating activities.
  - Conducting quality-control checks.

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*Note:* HCA and MCA programs are typically preplanned military exercises designed to assist the HN.

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4-22. Depending on situations, MCA, military-to-military, HCA, and demining programs can have either short- or long-term benefits for the HN by promoting the legitimacy and effectiveness of the host government. The ultimate goal is to promote long-term regional stability. When a HN successfully completes a mission and remains within monetary and legal constraints, it shows the populace that their government is capable of meeting their basic needs. Six of the functional specialty areas that promote stability include the following:

- **Governance.** Governance involves creating, resourcing, managing, and sustaining the institutions and processes through which a society is governed, protected, and prospered. Governance provides—
  - Guidance in public administration, environmental management, police and fire protection, and so forth.
  - Technical expertise, advice, and assistance in identifying and assessing HN public administration systems, agencies, services, personnel, and resources.
  - Support to government administration to mitigate, prepare, respond, and recover from environmental activities.
  - Assistance with plans, operational oversight, and supervision in rehabilitating or establishing environmental resource management systems, agencies, equipment, and facilities.
  - Supervision of public services.
  - Assistance in planning for civil defense (severe weather, flood control, and mudslides).
  - Assistance in establishing village councils.
- **Economic stability.** Economic stability involves promoting the efficient management of resources, goods, and services to ensure the viability of a society's economic system. Economic stability—
  - Aids in the construction of housing and buildings (labor pools, jobs, and supporting services)

- Encourages the establishment of small business (to include funding assistance).
- Promotes the development of new products, goods, and services.
- Improves marketing facilities and practices (helps develop policies and standards).
- Assesses and develops resources for movement of goods (employment, farm-to-market accessibility, supporting services, waterways, rail, air, and so forth).
- **Infrastructure.** Infrastructure involves assisting in designing, building, and maintaining the organizations, systems, and architecture required to support transportation, water, communications, and power. A CA functional specialist dedicated to infrastructure may, in coordination with the HN, USG agencies, and private industry—
  - Help organize, support, and educate on proper sanitation.
  - Assist in communications (telephones, radio systems, computer networks, and the Internet) while promoting the use of government-driven public announcements, especially during emergencies.
  - Develop or improve means of power production and distribution.
  - Support constructing postal facilities, and public storage facilities (includes refrigeration and refrigerated rail assets).
- **Public health and welfare.** Public health and welfare involves systems, institutions, programs, and practices that promote the physical, mental, and social well-being of a society. Public health and welfare—
  - Improves hygiene standards (water supply, food decontamination measures, disposal of human waste, insect and rodent control, immunization, elimination of dangerous animals, and disease control of domestic animals).
  - Improves treatment standards (dispensaries, outpatient clinics and hospitals, roving medical teams, and medical evacuation systems).
  - Improves medical training standards in sanitation, personal hygiene, and first aid.
  - Educates the civilian populace regarding preventive medicine measures and encourages advanced training of medical personnel.
  - Sponsors worthy projects, such as children’s shelters.
  - Relocates people from perceived disaster areas (constructs intermediate shelters, and disaster relief).
- **Public education and information.** Public education and information involves designing, resourcing, and implementing public education and public information programs and systems through media and formal education institutions. Public education and information—
  - Assists in basic and technical education to the HN military (civil relations, dos and don’ts, and history).
  - Aids in constructing schools (sports arenas, and ball and soccer fields). Military facilities may be used until schools are complete.
  - Provides books in the respective language, instructors, and other resources for schools (interim measures).
  - Provides technical materials (audiovisual, computers, and movie halls).
  - Promotes literacy (night school programs, scouting affiliates, and religious schooling).
  - Constructs village libraries.
  - Organizes hamlet or village meetings.
- **Rule of law.** Rule of law involves the fair, competent, and efficient development, application, and effective enforcement of the civil and criminal laws of a society through impartial legal institutions and competent corrections systems. The rule of law section is organized to—
  - Determine the capabilities and effectiveness of the HN legal systems and the impact of those on joint force CMO strategy.
  - Evaluate the HN legal system, to include reviewing statutes, codes, decrees, regulations, procedures, and legal traditions for compliance with international standards and advising

and assisting the HN and other rule of law participants in the process of developing transitional codes and procedures and long-term legal reform.

- Evaluate the personnel, judicial infrastructure, and equipment of the HN court system to determine requirements for training, repair, construction, and acquisition.
- Provide support to transitional justice, to include acting as judges, magistrates, prosecutors, defense counsels, legal advisors, and court administrators, when required.
- Coordinate rule of law efforts involving U.S. and coalition military, other U.S. agencies, IGOs, NGOs, and HN authorities.
- Assist the staff judge advocate (SJA) in educating and training U.S. personnel in the indigenous legal system, obligations, and consequences.
- Advise and assist the SJA in international and HN legal issues, as required.
- Assist the SJA with regard to status-of-forces agreement and status-of-mission agreement issues.
- Advise and assist in establishing the technical requirements for government public safety systems to support penal systems' administration.

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*Note:* 2010 National Security Strategy states: “The rule of law—and our capacity to enforce it—advances our national security and strengthens our leadership.” While believed to promote economic development, no DOD policy statement explicitly defines the term “rule of law.”

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## TITLE 10, UNITED STATES CODE, SUMMARY

4-23. There is a nondefined objective of ensuring that all military and nonmilitary activities are synchronized and integrated with the HN. This includes the respective American Embassy, GCC, DOS, and DOD. CA forces participation in all projects and programs may not be possible; however, the CA Soldier will play a significant role in Phase 0. Project management is the systematic approach to oversee projects and programs associated with the delivery of effects, to include financial management. Examples of viable MOEs include whether—

- The project or program generates a high level of interest and enthusiasm.
- The local populace is willing to participate in the project or program.
- The local populace will maintain and operate the project after its completion.
- The local populace understands and appreciates the significance of the project and the benefits derived.
- The efforts make an important or significant contribution toward alleviating local problems or meeting local needs.
- The project is addressing immediate needs (priority).
- There are tangible benefits to the program or project.
- The projects interrelate with and support one another (NGO, IGO, USAID, and so forth).
- There is a high probability of success.
- The projects serve as a catalyst to generate future self-help efforts.
- The projects reflect credit on the HN.

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*Note:* For more information on project management, refer to Graphic Training Aid (GTA) 41-01-007, *Civil Affairs Project Management*.

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4-24. The cited criteria compose the most important yardsticks by which virtually every contemplated civic action project should be evaluated. In any given situation, other factors may have to be taken into account. Naturally, the basic mission of the U.S. military should not be compromised by civic action operations nor should overall military efficiency be impaired. All projects must be sustainable once transferred to the responsible HN entities. It should be equally apparent that civic action operations should not prejudice the initiative or undermine the authority of civilian or military administration in the HN.



## Appendix A

# Appendix 6 (Nation Assistance) to Annex K (Civil Affairs Operations)

All Army plans, orders, and attachments follow the five-paragraph order format (Situation, Mission, Execution, Sustainment, and Command and Signal). Attachments (annexes, appendixes, tabs, and exhibits) are information management tools that increase the clarity and brevity of the base order. Attachments include information (such as sustainment, administrative support details, and instructions) that expands upon the base order. As identified in the Army Doctrinal Publication (ADP) 5-0, *The Operations Process*, the Army's CAO annex is entitled Annex K (Civil Affairs Operations).

A-1. FM 3-57 specifies the Army 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 Army CAO appendixes are as follows:

- Appendix 1–Execution Matrix.
- Appendix 2–Assessment Matrix.
- Appendix 3–Cultural Briefing.
- Appendix 4–PRC Plan.
  - Tab A–Dislocated Civilian Plan.
  - Tab B–Noncombatant Evacuation Operation Plan.
- Appendix 5–FHA Plan.
- Appendix 6–NA Plan.
- Appendix 7–Civil Information Management Plan.
- Appendix 8–Support to Civil Administration Plan.
- Appendix 9–Transition Plan.

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*Note:* Not every appendix listed specifically will be addressed in every CAO annex, but they are included to ensure the planner considers the context when developing the annex and supporting information. Additional appendixes may be required (examples are Project Management, Funding, Contracting, and so forth).

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A-2. The G-9/S-9 is responsible for the preparation of the CAO annex and its attachments. This annex, as with all annexes, is developed to simplify orders. Whether working an NA appendix, OPLAN, OPORD, or other supporting documentation, the CA staff element must consider the U.S. and HN capabilities so the supported commander has all required information to enhance the COP and to support the synchronization and integration of all instruments of national power. The CA staff assesses the HN in its entirety from both a negative and positive aspect of the following capabilities:

- **Diplomatic.** Planners identify the political subsystems of the governmental structure to include the following:
  - Branch of central government (executive, legislative, judicial).
  - Political parties and interest groups (ethnic groups, trade unions, religious groups, corporations, professional groups, and NGOs).
  - Local governments and structure (states or provinces, districts, municipalities, and autonomous or special areas).

- Regional or international support or lack thereof (other countries pro/con, international political, security groups, and multinational corporations).
- **Informational.** Planners consider the following:
  - Global information (international memberships and sources and global grid connectivity).
  - National information (mass communications—broadcast, print, and Internet).
  - National organizations and their effectiveness (regulatory agencies, intelligence agencies, and information operations).
  - National architecture (telephone networks, dedicated networks, and postal, courier, and storage capabilities).
- **Military.** Planners consider the composition of the following:
  - Leadership (command structure, HQ element, and mission command).
  - Services (Army, Marine Corps, Navy, Air Force, and Coast Guard).
  - Internal security (intelligence apparatus, elite forces, law enforcement, and paramilitary).
  - Sustainment (resources, storage and distribution, education and training, and recruitment).
- **Economic.** When assessing the economical aspects of a HN, planners consider the following four subsystems:
  - Production of goods and industrial and agricultural services.
  - Distribution (wholesale, retail, international trading [export and imports]).
  - Consumption (domestic market, foreign aid, foreign investment).
  - Informal economy (terrorism [financing, backing, training], narcotic trade, unregulated labor, and human trafficking).

A-3. The application of the civil considerations by CA forces can define specified or implied essential tasks and delineate MOEs to indicate how the ASCOPE characteristics of the system are reacting to the OE (for example, how the civil population is reacting to drilling of wells). Criteria for the MOE should address the impact of NA on long-range mitigation of political, economic, social, legal, or military issues affecting the OE. During the execution of any NA project or program, CA forces can play a valuable role in promoting the HN government through coordination and information-directed efforts, planning and execution of an appropriate ceremony, and expertise in transition planning and implementation. Figure A-1, pages A-3 through A-7, provides an example of Appendix 6 (Nation Assistance).

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*Use the heading only when the base plan or order issues the annex and its attachments separately.*

**APPENDIX 6 (Nation Assistance Plan) TO ANNEX K (Civil Affairs Operations [CAO]) To OPLAN \_\_\_\_ or OPORD \_\_\_\_ (Corps/Division/Brigade) (code name) (classification of title)**

**(U) References:** *List documents essential to understanding Appendix 6.*

**(U) Time Zone Used Throughout the OPLAN/OPORD:** *Write the time zone established in the base plan/order.*

**1. (U) Situation.** *Include items of information affecting NA support that paragraph 1 of the OPORD or Annex K did not address 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 NA would influence friendly operations. The situation paragraph describes the conditions and circumstances of the operational environment that impact CAO in the following subparagraphs:*

a. (U) Area of Interest. *Describe the area of interest. Refer to Annex B (Intelligence) or Annex K (CAO) as required.*

b. (U) Area of Operations. *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.*

(1) (U) Terrain. *Describe the aspects of terrain that affect NA operations. Refer to Tab A (Terrain) to Appendix 1 (Intelligence Estimate) to Annex B (Intelligence) and the CA assessment, as required. Analyze the mission in relation to the NA operations to be conducted (FID/SA/Title 10, United States Code [10 USC]); for example, building a bridge, military training, Soldiers, and construction material.*

(2) (U) Weather. *Describe the aspects of weather that affect operations. Refer to Tab B (Weather) to Appendix 1 (Intelligence Estimate) to Annex B (Intelligence), as required. Examples of weather considerations include seasonal events (rain, flooding, windstorms, and snow) that may affect time associated with inclement weather.*

c. (U) Enemy Forces. *Identify enemy forces and appraise their general capabilities. Identify known or potential threats and adversaries within the AO. Refer to Annex B (Intelligence), as required.*

d. (U) Friendly Forces. *Briefly identify the mission of friendly forces and the objectives, goals, and mission of civilian organization that affect NA operations (project, program, and so on).*

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Figure A-1. Example of Appendix 6 (Nation Assistance)

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e. (U) Interagency, Intergovernmental, and Nongovernmental Organizations. Identify and state the objective or goals and primary tasks of non-DOD organizations that play a significant role within the AO. Refer to Annex V (Interagency Coordination), as required. Consider all organizations with interests in the AO; for example, the HN (including the HN military), multinational agencies and organizations, IPI, and, to a lesser degree, the private sector. Identify specific legal authorities permitting specifically identified NA activities. Do not repeat information listed in Annex K and V.

(1) (U) Interagency Organizations. Assess the ability of key interagency organizations operating in the AO to support the unit's CAO mission. Include the agency's missions, capabilities, capacity, and coordination points of contact, if not listed in Annex V. Identify known unit requirements to support interagency operations and the IDAD plans of the HN.

(2) (U) Intergovernmental Organizations. Assess the ability of key IGOs, especially UN agencies operating in the AO, to support the unit's NA mission. Include the agency's missions, political heritage, capabilities, capacity, and coordination points of contact. Identify orders, policies, treaties, and agreements permitting or directing interaction with intergovernmental entities in support of NA.

(3) (U) Nongovernmental Organizations. Assess key NGOs operating in the AO to support the unit's CAO mission. Include the agency's missions, capabilities, capacity, such as the ability to support civil relief systems and coordination points of contact. Identify known unit requirements to support nongovernmental operations.

f. (U) Civil Considerations. Describe the critical aspects, strengths, and weaknesses of the civil situation that affect 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). Review the critical aspects of the civil situation by applying each of the operational variables PMESII-PT that could affect the civil considerations analysis.

(1) (U) Areas. Describe key civil geographical areas. List the key civilian areas in the supported commander's OE. Approach terrain analysis from a civilian perspective. Commanders analyze key civilian areas in terms of how they affect the mission, as well as how military operations affect these areas. Examples of key civilian areas are areas defined by political boundaries, such as districts within a city or 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.

(2) (U) Structures. Describe 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, which are traditional high-payoff targets. List churches, mosques, national libraries, and hospitals as cultural sites that international law or other agreements usually protect.

(3) (U) Capabilities. Describes institutional capabilities. Describe civil capabilities by assessing the population's ability to sustain itself through public safety and emergency services, as well as food and agriculture sources. Include whether the populace needs assistance with public works and utilities, public health, public transportation, economics, and commerce; for example, "Limited restoration of law enforcement exists and requires support from UN or coalition forces. HN basic emergency and medical services are reportedly adequate to support the local populace." The priority, depending on the HN assistance provided, should be from the perspective of those actions required to save, sustain, or enhance life. Otherwise, describe institutional (civil) capabilities by assessing the populace abilities of supporting NA project/program and abilities for sustainment.

(4) (U) Organizations. Describe 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

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Figure A-1. Example of Appendix 6 (Nation Assistance) (continued)

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Annex V or paragraph 1.e. above (Interagency, IGOs, and NGOs). Include HN organizations capable of forming the nucleus for MCA projects or programs assistance.

(5) (U) People. Describe key communicators and populace. List key personnel and linkage to the population, leaders, figureheads, and clerics. Include key military leaders and their unit for consideration under SA, FID, and/or 10 USC projects and programs.

(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 include disasters from natural, man-made, or technological sources that create civil hardship and require emergency response.

g. (U) Attachments and Detachments. List units attached to or detached from the issuing HQ. State when each attachment or detachment is effective (for example, on order or 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 paragraph includes all military and nonmilitary organizations participating in CMOC operations and CAO or CMO. Identify other CA resources attached and detached, including effective times of transfer, if appropriate.

h. (U) Assumptions. Only list assumptions when preparing a CAO Annex to an OPLAN. (Example: The 25th Engineer Platoon will be available to support HCA project #12-99, elementary school construction, vicinity corner lot [Prime and Bolivar Road] during the period 19–30 Apr 2011).

2. (U) Mission. State the mission of NA in support of the CONOPS in the base plan or order. Include a short description of who, what (task), when, where, and why (purpose). Provide a clear, concise statement of the action to be taken and the reason for doing so. An example of a mission statement is as follows:

*The 358th Civil Affairs Brigade plans, coordinates, and supports the XVIII Airborne Corps in AO Bright Star conducting NA operations through CAO mission analysis of the AO to determine if MCA/HCA project nominations and relevant civic critical tasks have been properly identified and validates that the MCA/HCA project nominations are consistent with regulatory requirements; supports the commander's CONOPS; ensures all project/programs are synchronized with other military and civilian programs; develops MOEs/MOPs and responsive funding requirements, as directed; assesses and nominates additional projects according to unit standard operating procedure; and develops transition plans, as required.*

3. (U) Execution. The execution paragraph provides the direction needed to synchronize the effects of NA efforts and related activities. It outlines the effects the commander wants NA to achieve while prioritizing CA tasks. It describes the activities of the force conducting CAO/CMO in enough detail to synchronize them with 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/S-9 representative in the current operations integration cell monitor and direct CAO during execution. The execution matrix is a tool to execute NA 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

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Figure A-1. Example of Appendix 6 (Nation Assistance) (continued)

[CLASSIFICATION]

CAO annex or in the appropriate appendixes. The activities needed to synchronize the CAO/CMO elements and related activities include the following:

a. (U) Scheme of Support. The scheme of support describes how CAO supports the commander's intent and the command's CONOPS described in the base plan/order. It outlines the effects the commander wants CAO to achieve while prioritizing CA tasks. It lists civil-military objectives and the primary tasks to achieve those objectives. This paragraph should include a discussion of civil-military objectives, civil decisive 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 detail in the appendixes where the key nodal relationship will be defined. If there are to be no appendixes then the discussion here must be finitely detailed in this paragraph of the appendix.

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

MOPs determine whether 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? Did we achieve the expected results, desired influence, or changes in system behavior after the project or program was completed? Are we doing things right?

b. (U) Tasks to Subordinate Units. State the CAO tasks assigned to each unit that reports 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 standard operating procedures.

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 Signal.

a. (U) Command.

(1) (U) Location of Key Personnel. List any key leaders not covered in the base order or Annex K. (If not covered, list ambassador, SJA, contracting officer, media information bureau, and GCC staff).

(2) (U) Liaison Requirements. List CA liaison requirements not covered elsewhere. List nonmilitary, such as interagency, intergovernmental, nongovernmental, HN government, and private sector.

b. (U) Control.

(1) (U) Command Posts. Describe the employment of command posts, including the location and operating hours of each command post, as appropriate.

(2) (U) Reports. List reports not covered in standard operating procedures. Refer to Annex R (Reports), as required.

c. (U) Signal. Address any functional area-specific communication requirements not covered elsewhere. Consider adding other information if not covered elsewhere; for example, "Commander of HN forces supporting project construction (phone, email, and so on), local officials in the AO, country team point of contact (SA officer) (phone, email, and so on); tribal or clan figureheads contact information.

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Figure A-1. Example of Appendix 6 (Nation Assistance) (continued)

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**ACKNOWLEDGE:** *Include only if attachment is distributed separately from the base order.*

**OFFICIAL:**

[Authenticator's name]

[Authenticator's position]

**Note:** *Either the commander or coordinating staff officer responsible for the functional area may sign attachments.*

**ATTACHMENTS:** *List lower-level attachments.*

TAB A (Example only. See note below.)—MOEs and MOPs.

TAB B (Example only. See note below.)—HCA Projects nominated, approved, and assessment needs.

TAB C (Example only. See note below.)—MCA or SA projects or programs ongoing.

(Note on Tabs) Designate tabs with capital letters; for example, TAB A (MOE/MOP) TO APPENDIX 6 (Nation Assistance) TO ANNEX K (Civil Affairs Operations) TO OPLAN ## (OPORD ##)—  
(Corps/Division/Brigade) (code name) (classification of title)

**DISTRIBUTION:** *Show only if distributed separately from the base order or higher-level attachments.*

**Notes:**

TAB A—Criteria or MOEs that write MOEs as statements that are measurable, collective, and relevant as follows: 1) measures success in improving HN capability and capacity to sustain; 2) recognizes the limited duration of U.S. military presence; 3) assists in identifying shortfalls in U.S. HCA plans and resources; 4) assesses the impact of projects/programs (HCA/MCA/SA) on the populace and the HN; 5) assesses the impact of project/program on long-range mitigation of political, economic, social, legal and/or HN issues impacting the OE; or 6) distinguishes COAs in their ability to meet the 10 USC requirements for NA.

TAB B—HCA project lists can be: 1) obtained from respective GCC's staff element (will include project number, supporting U.S. unit, what (bridge, medical civic action program, road construction, etc.); 2) identify specific location, 3) when, and 4) estimated program costs (under Title 10, United States Code, Section 401 [10 USC 401]).

TAB C—MCA projects/programs: 1) support the IDAD; 2) provide resources within the HN that can support the MCA; 3) outside contributors (NGOs/partner nations/IPI/and so on), 4) security requirements as applicable, identify indigenous military supporting units (who/what/where/when/how), 5) identify the impact of the physical environment (forest clearing, overcultivation, erosion, pollution, and so on), 6) identify who/what/where/when United States supporting SA especially FMSC/IMET/MAP in AO.

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Figure A-1. Example of Appendix 6 (Nation Assistance) (continued)

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## Appendix B

# Title 10, United States Code, Authorization and Appropriations Overview

Title 10, United States Code, provides an overview of HA authorizations and appropriations in support of assisting HN development. Other agencies have similar appropriations such as discretionary budget authority; development assistance; the Peace Corps; USAID operating expenses; and nonproliferation, antiterrorism, and demining programs.

B-1. DOD appropriations fall under five basic titles:

- **Military construction (MILCON).** MILCON funds any project designed to construct, alter, develop, convert, or extend a military installation. MILCON programming is the process of acquiring both the authority and resources necessary to provide facility requirements identified by the planning process. The MILCON program normally funds construction projects with an estimated cost greater than \$750,000.
- **Operation and maintenance (O&M).** O&M funds maintenance and repair of real property, operation of utilities, and provision of other services, such as refuse collection and disposal, entomology, snow removal, and ice alleviation.

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*Note:* O&M Army funds provide the support needed to prepare, conduct, and sustain combat operations. These types of funds covers fuel, supplies, repair parts, maintenance, and minor construction.

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- **Procurement.** Procurement funds the items necessary for day-to-day operations.
- **Personnel.** Personnel funds cover the costs pertaining to personnel matters, including salaries.
- **Research, development, and test and evaluation.** Funds the efforts performed by contractors and government installations to develop equipment, material, or computer application software; to perform developmental tests and evaluation; and to conduct initial operational test and evaluation. These efforts may include purchasing end items, weapons, equipment, components, and materials and performing services, as necessary, to develop and test the system. Normally, appropriations are obligated for a 2-year span and are available to conduct operational and developmental tests for Army, Navy, Air Force, and other Defense agencies.

B-2. Overseas humanitarian, disaster, and civic aid (OHDACA) programs support U.S. military forces in meeting two key requirements. The first is to maintain a robust overseas presence aimed at shaping the international security environment in a manner that deters would-be aggressors, strengthens friends and allies, and promotes peace and stability in regions of tension. The second requirement is for U.S. forces to respond effectively when called upon to assist the victims of storms, earthquakes, and other natural or man-made disasters. OHDACA includes three segments as follows:

- The Humanitarian Mine Action Program consisting of the Humanitarian Demining Training Center at Fort Leonard Wood, MO. The center funds OCONUS deployments for demining and clearance training for other explosive remnants of war; mine risk education and awareness; and medical, safety, and organizational management.
- The Humanitarian Assistance Program covers nonlethal excess property, medical visits, minor construction, road repair, schools, clinics, well digging, and disaster preparedness.
- The Foreign Disaster Relief Assistance Program covers logistics, airlift, search and rescue, humanitarian daily rations, plastic sheeting, tents, water, and capacity building.

B-3. Generally, the Humanitarian Mine Action Program supports the GCC's planned humanitarian demining activities. The HA program includes transportation, excess property, and other targeted assistance for disaster preparedness and mitigation. Funding also provides for distribution of relief supplies; acquisition and shipment of transportation assets to assist in distribution; acquisition and provision of relief supplies; refurbishment and restoration of excess DOD equipment; storage of excess property; and inspection, packaging, and intermediary warehouse storage until excess items can be delivered. Foreign Disaster Relief Assistance funds support the capacity of the DOD, through the CCDRs, to respond to natural and man-made disasters and to the humanitarian aspects of security crises.

## **NATION ASSISTANCE FUNDING PROGRAM**

B-4. NA funding is designed to increase the long-term capacity of the HN. Funding provides resources to enhance the health and well-being of the HN populace.

### **SECTION 166A, TITLE 10, UNITED STATES CODE, COMBATANT COMMANDS: FUNDING THROUGH THE CHAIRMAN OF JOINT CHIEFS OF STAFF**

B-5. Under 10 USC 166a, the CJCS authorizes funding for joint exercises and military education and training of personnel, both military and civilian, from foreign countries. Funding covers transportation, translation, and administrative expenses.

B-6. Funding is limited to \$10 million for any expenses of foreign countries participating in joint exercises and \$5 million for military education and training to military and related civilian personnel of foreign countries.

### **SECTION 401, TITLE 10, UNITED STATES CODE, HUMANITARIAN AND CIVIC ASSISTANCE PROVIDED IN CONJUNCTION WITH MILITARY OPERATIONS (MINIMAL COST HCA [UNIT O&M])**

B-7. Under 10 USC 401, the concerned Secretary may carry out HCA in conjunction with authorized military operations of the Armed Forces. This is contingent on the Secretary determining that these activities will promote the security interests of the United States and the partner country, while enhancing the specific operational readiness skills of the members of the Armed Forces who will participate in the activities.

B-8. Funding under this section is limited to \$5 million for equipment, services, and supplies provided to a foreign country in any fiscal year.

### **SECTION 407, TITLE 10, UNITED STATES CODE, HUMANITARIAN DEMINING ASSISTANCE**

B-9. Under 10 USC 407, the Armed Forces is authorized to conduct humanitarian demining assistance when such activities will promote the United States and the country where the demining activities will be carried out or the operational readiness skills of members of the Armed Forces who participate in activities.

B-10. Funding under this section is limited to \$10 million for equipment, services, and supplies provided in any fiscal year under this section.

## **FOREIGN HUMANITARIAN ASSISTANCE FUNDING PROGRAM**

B-11. FHA funding programs are designed to relieve and reduce human suffering, disease, hunger, or privation by the population of a foreign country.

### **SECTION 402, TITLE 10, UNITED STATES CODE, TRANSPORTATION OF HUMANITARIAN RELIEF SUPPLIES TO FOREIGN COUNTRIES**

B-12. Under 10 USC 402, the SecDef may transport to any country, without charge, supplies furnished by NGOs intended for HA. Transport is permitted only on a space-available basis. Supplies may be distributed by U.S. agencies, foreign governments, international organizations, or nonprofit relief organizations.

Supplies may not be distributed (directly or indirectly) to any individual, group, or organization engaged in military or paramilitary activities.

#### **SECTION 404, TITLE 10, UNITED STATES CODE, FOREIGN DISASTER ASSISTANCE**

B-13. Under 10 USC 404, the President may direct the SecDef to provide disaster assistance outside the United States in response to man-made or natural disasters, when necessary, to prevent the loss of life. Assistance under 10 USC 404 may include transportation, supplies, services, and equipment. Within 48 hours of commencing relief activities, the President must transmit a report to Congress.

#### **SECTION 2557, TITLE 10 UNITED STATE CODE, EXCESS NONLETHAL SUPPLIES: HUMANITARIAN RELIEF**

B-14. The SecDef may make available for humanitarian relief purposes any DOD nonlethal excess supplies. Excess supplies furnished under this authority are transferred to DOS, which is responsible for distributing the supplies. Nonlethal excess supplies is property that is excess under DOD regulations and is not a weapon, ammunition, or other equipment or material designed to inflict serious bodily harm or death.

#### **SECTION 2561, TITLE 10, UNITED STATES CODE, HUMANITARIAN ASSISTANCE**

B-15. To the extent provided in defense authorization acts, funds appropriated to DOD for HA shall be used for providing transportation of humanitarian relief and for other humanitarian purposes worldwide. The SECSTATE must direct the use of these funds.

B-16. Transportation shall be provided by the most economical commercial or military means available. The SECSTATE may determine that it is in the national interest of the United States to provide transportation by other means, such as aircraft or personnel of the USAR.

#### **OPERATION IRAQI FREEDOM AND ENDURING FREEDOM AUTHORIZATIONS**

B-17. The Commanders' Emergency Response Program (CERP) enables local commanders in Afghanistan and Iraq to respond to urgent, small-scale (less than \$500,000) humanitarian assistance and projects or services that immediately assist the IPI. CERP is an effective method of providing an immediate, positive impact to what could be a discouraging situation to the supported populace. Projects or services provided under CERP should be quick, visible in nature, and beneficial to the local populace.

#### **ASSISTANCE TO ALLIES: TITLE 10, TRAINING AUTHORIZATIONS AND APPROPRIATION**

B-18. 10 USC training authorizations and appropriations include SOF training, multinational training conferences, and military-to-military contacts.

#### **SECTION 168, TITLE 10, UNITED STATES CODE, MILITARY-TO-MILITARY CONTACTS AND COMPARABLE ACTIVITIES**

B-19. Under 10 USC 168, the SECSTATE must authorize exchanges of civilian or military personnel between the DOD and defense ministries of foreign governments and exchanges of military personnel between units of the U.S. Armed Forces and units of foreign armed forces. Funds may not be used under this section for the provision of defense articles or defense services to any country or for assistance under Chapter 5 of part II of the FAA of 1961.

**SECTION 1050, TITLE 10, UNITED STATES CODE, LATIN AMERICAN COOPERATION:  
PAYMENT OF PERSONNEL EXPENSES**

B-20. The SecDef or the Secretary of a MILDEP may pay the travel, subsistence, special compensation, and other expenses of officers and students of Latin American countries. The SecDef or the Secretary considers funding a necessity for Latin American cooperation.

**SECTION 1051, TITLE 10, UNITED STATES CODE, BILATERAL OR REGIONAL  
COOPERATION PROGRAMS: PAYMENT OF PERSONNEL EXPENSES**

B-21. Under 10 USC 1051, the SecDef may pay the travel, subsistence, and similar personal expenses of defense personnel of developing countries when such personnel attend a bilateral or regional conference, seminar, or similar meeting. The Secretary determines if attendance is in the national security interests of the United States.

**SECTION 2011, TITLE 10, UNITED STATES CODE, SPECIAL OPERATIONS FORCES:  
TRAINING WITH FRIENDLY FOREIGN FORCES**

B-22. Under 10 USC 2011, the authority to pay training expenses, under regulations prescribed pursuant to subsection (c), the commander of the special operations command established pursuant to 10 USC 167 and the commander of any other unified or specified combatant command may pay or authorize payment for any of the following expenses:

- Expenses of training SOF assigned to that command in conjunction with training and training with, armed forces and other security forces of a friendly foreign country.
- Expenses of deploying such SOF for that training.
- In the case of training in conjunction with a friendly developing country, the incremental expenses incurred by that country as the direct result of such training.

B-23. The primary purpose for which payment may be made shall be to train U.S. SOF. SOF includes CA and MIS forces.

**SPECIAL APPROPRIATIONS**

B-24. The National Defense Authorization Act is a U.S. federal law specifying budgeted items in support of military operations around the globe. Congress authorizes and appropriates these funds in support of humanitarian relief efforts and related activities programmed for a specific operation, and in some cases a specified timeframe. The rules governing the use of these funds are based on the Congressional restrictions in the legislation and are tailored to the needs of the particular operation. Two examples of these special appropriations are under Sections 1004 and 1206. Section 1004 is CD assistance and mostly applies to Latin America CD for training for foreign security forces and foreign police forces. It has since been extended several times and is expected to be extended for an additional 5 years. Section 1206 is train and equip authority. It provides the authority to “train and equip” foreign military and police worldwide. It closely resembles the State Department’s Foreign Military Financing program. There are numerous sections within the National Defense Authorization Act that support specific operations. The supported commander must be aware of all funding assets available to support and complete assigned missions.

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*Note:* For most funding authorizations, the rules, guidance, uses/non-uses, and general responsibilities are under the prelude of the supporting resource management office and financial management unit.

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B-25. Further guidance is available from the servicing judge advocate and from the current year’s operational law handbook. These references are published by the Center for Law and Military Operations of the Judge Advocate General’s Legal Center and School.

# Glossary

## SECTION I – ACRONYMS AND ABBREVIATIONS

<b>AO</b>	area of operations
<b>AOR</b>	area of responsibility
<b>ASCOPE</b>	areas, structures, capabilities, organizations, people, and events
<b>ATP</b>	Army techniques publication
<b>CA</b>	Civil Affairs
<b>CAO</b>	Civil Affairs operations
<b>CCDR</b>	combatant commander
<b>CD</b>	counterdrug
<b>CERP</b>	Commanders' Emergency Response Program
<b>CJCS</b>	Chairman of the Joint Chiefs of Staff
<b>CLT</b>	civil liaison team
<b>CME</b>	civil-military engagement
<b>CMO</b>	civil-military operations
<b>CMOC</b>	civil-military operations center
<b>COA</b>	course of action
<b>COG</b>	center of gravity
<b>COIN</b>	counterinsurgency
<b>CONOPS</b>	concept of operations
<b>COP</b>	common operational picture
<b>DOD</b>	Department of Defense
<b>DOS</b>	Department of State
<b>DSCA</b>	Defense Security Cooperation Agency
<b>FAA</b>	Foreign Assistance Act
<b>FHA</b>	foreign humanitarian assistance
<b>FID</b>	foreign internal defense
<b>FM</b>	field manual
<b>FMS</b>	foreign military sales
<b>G-3</b>	assistant chief of staff, operations
<b>G-9</b>	assistant chief of staff, civil affairs operations
<b>GCC</b>	geographic combatant commander
<b>HA</b>	humanitarian assistance
<b>HCA</b>	Humanitarian and Civic Assistance
<b>HN</b>	host nation
<b>HQ</b>	headquarters
<b>IDAD</b>	internal defense and development
<b>IGO</b>	intergovernmental organization
<b>IMET</b>	international military education and training

## Glossary

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<b>IPI</b>	indigenous populations and institutions
<b>JIACG</b>	joint interagency coordination group
<b>JP</b>	joint publication
<b>MAP</b>	military assistance program
<b>MCA</b>	Military Civic Action
<b>MILCON</b>	military construction
<b>MILDEP</b>	military department
<b>MISO</b>	Military Information Support Operations
<b>MOE</b>	measure of effectiveness
<b>MOP</b>	measure of performance
<b>NA</b>	nation assistance
<b>NATO</b>	North Atlantic Treaty Organization
<b>NGO</b>	nongovernmental organization
<b>O&amp;M</b>	operation and maintenance
<b>OA</b>	operational area
<b>OCONUS</b>	outside the continental United States
<b>OE</b>	operational environment
<b>OHDACA</b>	overseas humanitarian, disaster, and civic aid
<b>OPLAN</b>	operation plan
<b>OPORD</b>	operation order
<b>PMESII-PT</b>	political, military, economic, social, information, infrastructure, physical environment, and time
<b>PRC</b>	populace and resources control
<b>S-3</b>	operations staff officer
<b>S-9</b>	Civil Affairs operations staff officer
<b>SA</b>	security assistance
<b>SAO</b>	security assistance officer
<b>SCO</b>	security cooperation organization
<b>SecDef</b>	Secretary of Defense
<b>SECSTATE</b>	Secretary of State
<b>SFA</b>	security force assistance
<b>SJA</b>	staff judge advocate
<b>SOF</b>	special operations forces
<b>TREAS</b>	Department of the Treasury
<b>UN</b>	United Nations
<b>U.S.</b>	United States
<b>USAID</b>	United States Agency for International Development
<b>USAJFKSWCS</b>	United States Army John F. Kennedy Special Warfare Center and School
<b>USAR</b>	United States Army Reserve
<b>USC</b>	United States Code
<b>USG</b>	United States Government

**SECTION II – TERMS****Civil Affairs**

Designated Active and Reserve component forces and units organized, trained, and equipped specifically to conduct civil affairs operations and to support civil-military operations. Also called **CA**. (JP 3-57)

**Civil Affairs operations**

Actions planned, executed, and assessed by civil affairs forces that enhance awareness of and manage the interaction with the civil component of the operational environment; identify and mitigate underlying causes of instability within civil society; or involve the application of functional specialty skills normally the responsibility of civil government. Also called **CAO**. (JP 3-57)

**civil-military operations**

Activities of a commander performed by designated civil affairs or other military forces that establish, maintain, influence, or exploit relations between military forces, indigenous populations, and institutions by directly supporting the attainment of objectives relating to the reestablishment or maintenance of stability within a region or host nation. Also called **CMO**. (JP 3-57)

**counterinsurgency**

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

**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 3-29)

**foreign internal defense**

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

**foreign military sales**

That portion of U.S. security assistance authorized by the Foreign Assistance Act of 1961, as amended, and the Arms Export Control Act of 1976, as amended. This assistance differs from the military assistance program and the International Military Education and Training Program in that the recipient provides reimbursement for defense articles and services transferred. Also called **FMS**. (JP 4-08)

**host nation**

A nation that receives the forces and/or supplies of allied nations and/or NATO organizations to be located on, to operate in, or to transit through its territory. Also called **HN**. (JP 3-57)

**humanitarian and civic assistance**

Assistance to the local populace provided by predominantly U.S. forces in conjunction with military operations and exercises. This assistance is specifically authorized by 10 USC 401 and funded under separate authorities. Also called **HCA**. (JP 3-29)

**indigenous populations and institutions**

The societal framework of an operational environment including citizens, legal and illegal immigrants, dislocated civilians, and governmental, tribal, ethnic, religious, commercial, and private organizations and entities. Also called **IPI**. (JP 3-57)

### **internal defense and development**

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

### **international military education and training**

Formal or informal instruction provided to foreign military students, units, and forces on a nonreimbursable (grant) basis by offices or employees of the United States, contract technicians, and contractors. Instruction may include correspondence courses; technical, educational, or informational publications; and media of all kinds. Also called **IMET**. (JP 3-22)

### **Military Assistance Program**

That portion of the U.S. security assistance authorized by the Foreign Assistance Act of 1961, as amended, which provides defense articles and services to recipients on a nonreimbursable (grant) basis. Also called **MAP**. (JP 3-22)

### **Military Civic Action**

Programs and projects managed by United States forces but executed primarily by indigenous military or security forces that contribute to the economic and social development of a host nation civil society thereby enhancing the legitimacy and social standing of the host nation government and its military forces. Also called **MCA** (JP 3-57)

### **mobile training team**

A team consisting of one or more U.S. military or civilian personnel sent on temporary duty, often to a foreign nation, to give instruction. The mission of the team is to train indigenous personnel to operate, maintain, and employ weapons and support systems or to develop a self-training capability in a particular skill. The SecDef may direct a team to train either military or civilian indigenous personnel, depending upon HN requests. Also called **MTT**. (JP 1-02)

### **nation assistance**

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

### **security assistance**

Group of programs authorized by the Foreign Assistance Act of 1961, as amended, and the Arms Export Control Act of 1976, as amended, or other related statutes by which the United States provides defense articles, military training, and other defense-related services by grant, loan, credit, or cash sales in furtherance of national policies and objectives. SA is an element of security cooperation funded and authorized by DOS to be administered by DOD/DSCA. Also called **SA**. (JP 3-22) See FM 3-07.



# References

## REQUIRED PUBLICATIONS

These documents must be available to intended users of this publication.

ADRP 1-02, *Terms and Military Symbols*, 24 September 2013.

JP 1-02, *Department of Defense Dictionary of Military and Associated Terms*, 8 November 2010.

## RELATED PUBLICATIONS

These documents contain relevant supplemental information.

### ARMY PUBLICATIONS

Most Army doctrinal publications are available online:

<http://www.apd.army.mil>.

ADP 5-0, *The Operations Process*, 17 May 2012.

AR 12-1, *Security Assistance, Training, and Export Policy*, 23 July 2010.

FM 3-05.401, *Civil Affairs Tactics, Techniques, and Procedures*, 5 July 2007.

FM 3-07, *Stability Operations*, 6 October 2008.

FM 3-57, *Civil Affairs Operations*, 31 October 2011.

FM 27-10, *The Law of Land Warfare*, 18 July 1956.

GTA 41-01-007, *Civil Affairs Project Management*, 26 November 2012.

### DEPARTMENT OF DEFENSE

Most Department of Defense publications are available online:

<http://www.dtic.mil/whs/directives/corres/ins1.html>.

DOD 5105.38-M, *Security Assistance Management Manual*, 3 October 2003.

DODI 2205.02, *Humanitarian and Civic Assistance (HCA) Activities*, 2 December 2008.

### JOINT PUBLICATIONS

Most joint publications are available online:

[http://www.dtic.mil/doctrine/new\\_pubs/jointpub.htm](http://www.dtic.mil/doctrine/new_pubs/jointpub.htm).

JP 1, *Doctrine for the Armed Forces of the United States*, 25 March 2013.

JP 3-0, *Joint Operations*, 11 August 2011.

JP 3-08, *Interorganizational Coordination During Joint Operations*, 24 June 2011.

JP 3-22, *Foreign Internal Defense*, 12 July 2010.

JP 3-24, *Counterinsurgency*, 22 November 2013.

JP 3-29, *Foreign Humanitarian Assistance*, 3 January 2014.

JP 3-57, *Civil-Military Operations*, 11 September 2013.

JP 4-08, *Logistics in Support of Multinational Operations*, 21 February 2013.

JP 5-0, *Joint Operation Planning*, 11 August 2011.

### UNITED STATES CODES

Most United States codes are available online:

<http://uscode.house.gov/>.

10 USC 166a, *Combatant Commands: Funding Through the Chairman of the Joint Chiefs of Staff*, 1 February 2010.

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- 10 USC 168, *Military-to-Military Contacts and Comparable Activities*, 1 February 2010.
- 10 USC 401, *Humanitarian and Civic Assistance Provided in Conjunction with Military Operations*, 1 February 2010.
- 10 USC 402, *Transportation of Humanitarian Relief Supplies to Foreign Countries*, 1 February 2010.
- 10 USC 404, *Foreign Disaster Assistance*, 1 February 2010.
- 10 USC 407, *Humanitarian Demining Assistance: Authority; Limitations*, 3 January 2007.
- 10 USC 1050, *African Cooperation: Payment of Personnel Expenses*, 7 January 2011.
- 10 USC 1051, *Bilateral or Regional Cooperation Programs: Payment of Personnel Expenses*, 1 February 2010.
- 10 USC 2011, *Special Operations Forces: Training With Friendly Foreign Forces*, 3 January 2012.
- 10 USC 2557, *Excess Nonlethal Supplies: Availability for Humanitarian Relief, Domestic Emergency Assistance, and Homeless Veterans Assistance*, 7 January 2011.
- 10 USC 2561, *Humanitarian Assistance*, 1 February 2010.
- 22 USC, *Foreign Relations and Intercourse, Chapter 32, Foreign Assistance*, 3 January 2012.

## PRESCRIBED FORMS

None

## REFERENCED FORMS

Most Army forms are available online: <http://www.apd.army.mil>.

DA Form 2028, *Recommended Changes to Publications and Blank Forms*.

## RECOMMENDED READINGS

### FEDERAL AGENCIES

Agency for International Development: <http://www.usaid.gov/>.

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*Note:* The site above is organized by region and special topics; it reports on U.S. foreign assistance projects throughout the world.

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Department of Defense: <http://www.defense.gov/>.

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*Note:* The site above provides access to major DOD publications where students of U.S. foreign policy can gain access to information on DOD activities and subjects of interest.

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Department of Health and Human Services: <http://www.hhs.gov/>.

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*Note:* The site above provides information on the principal agency for protecting the health of all Americans. It is comprised of the Office of the Secretary and 11 operating divisions and provides information on news, grants, regulations, and so on.

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Department of State: <http://www.state.gov/>.

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*Note:* The site above gives access to recent news, as well as country reports and provides information on important international issues, such as terrorism, human rights, and religious freedom.

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U.S. Department of Treasury: <http://www.treas.gov/>.

U.S. Diplomacy Center: <http://diplomacy.state.gov>.

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**Note:** The site above is a DOS Web site for the U.S. Diplomacy Center intended to “*explain why diplomacy matters and to inspire future leaders to become involved.*”

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### INTERGOVERNMENTAL ORGANIZATIONS

NATO: <http://www.nato.int/>.

United Nations High Commissioner for Refugees: <http://www.unhcr.org/cgi-bin/texis/vtx/home>.

United Nations Office for the Coordination of Humanitarian Affairs (OCHA): <http://ochaonline.un.org>.

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**Note:** OCHA mobilizes and coordinates HA delivered by international and national partners to populations and communities in need.

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United Nations Actions to Counter Terrorism: <http://www.un.org/terrorism/>.

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**Note:** The site above provides UN actions to CT—strategic framework, UN news, human rights, Security Council, and so on.

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**ATP 3-57.30**  
**1 May 2014**

By order of the Secretary of the Army:

**RAYMOND T. ODIERNO**  
*General, United States Army*  
*Chief of Staff*

Official:

A handwritten signature in black ink, appearing to read "Gerald B. O'Keefe". The signature is written in a cursive style with some stylized flourishes.

**GERALD B. O'KEEFE**  
*Administrative Assistant to the*  
*Secretary of the Army*  
1411401

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