

GTA 41-01-003



**CIVIL AFFAIRS
FOREIGN
HUMANITARIAN
ASSISTANCE
PLANNING
GUIDE**

MARCH 2005

Approved for public release; distribution is unlimited.

HEADQUARTERS, DEPARTMENT OF THE ARMY

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INTRODUCTION

This guide is intended to assist Civil Affairs (CA) Soldiers and civil-military operations (CMO) staffs as they plan and conduct foreign humanitarian assistance (FHA) in support of military commanders and interagency and multinational forces throughout the scope of operations. It should be used in conjunction with Joint Publication (JP) 3-07.6, *Joint Tactics, Techniques, and Procedures for Foreign Humanitarian Assistance*; Field Manual (FM) 41-10, *Civil Affairs Operations*; FM 3-05.401, *Civil Affairs Tactics, Techniques, and Procedures*; Graphic Training Aid (GTA) 41-01-001, *Civil Affairs Planning and Execution Guide*; and applicable operation plans (OPLANs).

JP 3-07.6 defines FHA as programs conducted to relieve or reduce the results of natural or man-made disasters or other endemic conditions such as human pain, disease, hunger, or privation that might present a serious threat to life or that can result in great damage to or loss of property. FHA provided by United States (U.S.) forces is limited in scope and duration. The foreign assistance provided is designed to supplement or complement the efforts of the host nation (HN) civil authorities or agencies that may have the primary responsibility for providing FHA. FHA operations are those conducted outside the United States, its territories, and its possessions.

Although U.S. military forces are primarily designed and structured to defend the United States, generally military resources can be readily adapted to FHA requirements. Military organization, structure, and readiness enable commanders to rapidly and effectively respond when time is at a premium. In addition to, or sometimes in lieu of, HN humanitarian assistance (HA) efforts, literally hundreds of

nongovernmental organizations (NGOs) from around the world respond to disasters to provide HA in various forms and for varied durations.

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

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

The joint task force (JTF) faced many significant challenges from the very beginning. The total joint operations area (JOA) spanned 100,357 square miles. The destruction in the region included 2,860 dead, over a thousand missing, and 1.04 million displaced people, as well as 172 damaged bridges. Since the U.S. had almost no military presence in any of the three countries in the JOA, the new JTF had to overcome problems in medical, logistical, engineering, aviation, and humanitarian assistance operations that the pre-existing JTF did not face. The JTF also planned and coordinated for each of

the port, medical, base operations, airfield, and other support facilities that it occupied. Additionally, most of the personnel and units assigned to assist in the JOA came from the continental U.S. (CONUS) and had little expertise or knowledge in the region. The JTF staff was organized around a CONUS Corps Support Group (CSG) headquarters, which had to quickly deploy, establish its base of operations, and begin support of arriving units. In addition to the many challenges the JTF faced, it also had some unique opportunities, such as improving U.S.-Nicaraguan relations through humanitarian assistance operations in Nicaragua, where no American troops have operated in decades.

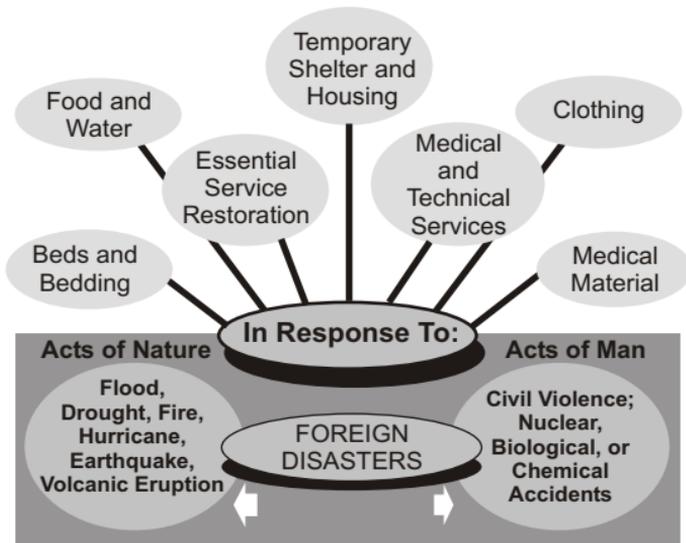
Hurricane Mitch, 1998
Center for Army Lessons Learned

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

The proponent of this GTA is the United States Army John F. Kennedy Special Warfare Center and School (USAJFKSWCS).

Reviewers and users of this GTA should submit comments and recommended changes on Department of the Army Form 2028 (Recommended Changes to Publications and Blank Forms) to Commander, United States Army John F. Kennedy Special Warfare Center and School, ATTN: AOJK-DTD-CA, Fort Bragg, NC 28310-5000.

Humanitarian Services and Transportation



TYPES OF FHA OPERATIONS

The umbrella of different missions that fall under FHA operations are as follows:

Relief Missions. These missions are provided for under Department of Defense Directive (DODD) 5100.46, *Foreign Disaster Relief*. The Department of Defense (DOD) is a supporting agency to the United States Agency for International Development (USAID), the Office of Foreign Disaster Assistance (OFDA), and international organizations (IOs).

Dislocated Civilian Support Missions. These include camp organization, basic construction, and administration; provision of care (food, supplies, medical attention, and protection); and placement (movement or relocation to other countries, camps, and locations).

Security Missions. These include establishing and maintaining conditions for the provision of FHA by organizations of the world relief community. These missions often call upon military forces to secure areas needed for the storage of relief supplies until they can be distributed. They also include providing protection and armed escorts for convoys of relief workers and aid, while guaranteeing conditions of temporary refuge for threatened persons.

Technical Assistance and Support Functions. These short-term tasks generally include communication restoration, relief supply management, provision of emergency medical care, humanitarian demining, and high-priority relief supply delivery. Based upon regional combatant commander (RCC) guidance, the FHA force commander should establish policy regarding technical advice and assistance to the affected country, United Nations (UN), NGOs, and IOs as soon as possible.

Consequence Management (CM) Operations. These operations mitigate the results of intentional or inadvertent release of weapons of mass destruction (WMD) or chemical, biological, radiological, nuclear high-yield explosives (CBRNE). These operations involve those essential services and activities required to manage and mitigate problems resulting from disasters and catastrophes.

The purpose of the United States Government (USG) humanitarian mine action (HMA) program is to help countries relieve human suffering and to develop an indigenous mine action capability, while promoting U.S. interests. To achieve program goals, the USG must balance its political, military, technological, and economic capabilities with available resources.

CA units support HMA activities by–

- ▶ Reviewing bilateral and international agreements, applicable UN mandates, and other pertinent documents for their implications in pending special operations forces (SOF) HMA activities.
- ▶ Assisting in writing national (country) strategic plans for HMA.
- ▶ Assisting in forming and training the national and regional mine action centers.
- ▶ Conducting liaison activities with the HN infrastructure, the UN, and international or local NGOs to prevent unintentional and unnecessary duplication of effort.
- ▶ Training civil organizations and agencies in leadership skills, management techniques, and staff procedures related to the CA activities embedded in HMA programs.

FHA programs carried out on a regular basis by DOD include the Excess Property Program (Section 2547, Title 10, United States Code [USC]) which makes available nonlethal DOD property; the Humanitarian Assistance Program, (10 USC 2561), which authorizes transportation and distribution of humanitarian supplies as well as disaster relief training and assessments, small-scale construction, and other humanitarian purposes worldwide; the Denton Space Available Transportation Program (10 USC 402), which allows for military transport of privately donated humanitarian cargo; and the Humanitarian and Civic Assistance (HCA) Program (10 USC 401), which provides medical, dental, and veterinary care; construction of rudimentary surface transportation systems; well drilling and construction; and repair of public facilities. HA provided under HCA must be in conjunction with exercises or other military operations, and must fulfill unit training requirements that incidentally create humanitarian benefits.

THE CIVIL AFFAIRS ROLE IN FHA

The CA role in FHA is one of support to the commander's operational function and to the administration of certain aspects of the FHA operation. CA Soldiers perform the following tasks:

- ▶ Participate in interagency assessment, planning, and synchronizing of FHA operations.
- ▶ Identify, validate, or evaluate HN and international community resources designated for use in the FHA operation.
- ▶ Participate in the execution of selected FHA activities, as needed or directed.

- ▶ Track costs associated with the execution of FHA.
- ▶ Perform quality-control assessments of FHA activities and costs.
- ▶ Assist in the arbitration of problems arising from the execution of FHA operations.
- ▶ Provide familiarization training to U.S. forces on the local area and population.
- ▶ Provide liaison with local civil authorities.
- ▶ Assist in the coordination for local labor support.
- ▶ Identify public and private facilities available for use by military forces.
- ▶ Advise and coordinate with civil information agencies.
- ▶ Advise, assist, and plan displaced civilian movement and control.
- ▶ Plan for displaced civilian camp construction and administration.
- ▶ Advise on cultural factors.
- ▶ Assist the commander to meet legal obligations and moral considerations.
- ▶ Assess requirements and support for the operation of the CMOC.

JP 3-07.6 contains additional information. CA units must consider strategic-, operational-, and tactical-level issues when conducting FHA operations.

Strategic Considerations

- ▶ Conduct and maintain threat and vulnerability analysis of the designated nations or regions.

- ▶ Conduct and maintain an assessment of humanitarian issues in designated nations or regions.
- ▶ Assess the ability of designated HN governments to relieve or reduce conditions that present a serious threat to life or that can result in great damage to or loss of property.
- ▶ Identify shortfalls in HN HA programs and resources.
- ▶ Monitor the conditions in designated nations or regions for indicators and warnings of impending humanitarian disasters.
- ▶ Review existing international agreements for stipulations providing emergency or disaster-related assistance.
- ▶ Review U.S. laws, international laws, local laws, international agreements, treaties, and other data sources for any legal issues that may affect the conduct of FHA operations.
- ▶ Participate in preparation and review of functional plans (FUNCPLANs) that address assisting USG agencies, international organizations, HN agencies, and NGOs to support FHA and disaster relief operations.
- ▶ Understand that approval authority for commitment of DOD component resources or services to foreign disaster relief operations rests with the Assistant Secretary of Defense for Peacekeeping and Humanitarian Assistance.
- ▶ Ensure DOD supplies and services are provided for disaster and humanitarian purposes only after approved by the Assistant Secretary of Defense

- ▶ (International Security Affairs). DOD provides supplies and services from the most expedient source, which is normally the regional combatant commander from whose theater the FHA request emanates.
- ▶ Establish a CMOC to support interagency coordination and deconfliction with the USG when given a Secretary of Defense Order to execute an FHA mission.
- ▶ Understand that Department of State (DOS) is the lead federal agency (LFA) for FHA.
- ▶ Monitor all FHA activities for compliance with applicable laws, agreements, treaties, and contracts.
- ▶ Record expenditures for all FHA activities associated with the operation.

Operational Considerations

- ▶ Review RCC guidance regarding FHA activities in theater security cooperation plans (TSCPs), FHA and disaster relief plans, and consequence management plans.
- ▶ Participate in preparation and review of RCC FUNCPLANS that address assisting USG agencies, international organizations, HN agencies, and NGOs in FHA and disaster relief operations.
- ▶ Incorporate FHA assessment and training, HCA projects, and military civic action (MCA) projects into TSCPs.
- ▶ Assess the environment in which U.S. forces will conduct FHA operations. The operational environment includes the political situation, physical boundaries,

potential threat to forces, global visibility, and media interest climate for FHA operations.

- ▶ Deploy CA personnel early to support advance-party operations and logistics elements, especially in areas where plans or agreements for FHA are limited or do not exist.
- ▶ Confirm and validate HN ability to manage HA in the area of operations (AO).
- ▶ Establish CMOC to coordinate and synchronize interagency and multinational HA efforts in the AO.
- ▶ Identify shortfalls in HN HA plans and resources.
- ▶ Identify HA resources, including various government agencies, military units, NGOs, and indigenous population and institutions (IPIs) in the theater of operations, and establish contact and working relationships, as appropriate.
- ▶ Incorporate HA supplies from all sources into collaborated logistics plans.
- ▶ Determine the impact of the history and infrastructure of the AO on FHA activities.
- ▶ Determine the impact of the populace on FHA activities.
- ▶ Determine the impact of FHA on the populace.
- ▶ Develop plans and strategies for long-range mitigation of political, economic, legal, social, and military issues associated with FHA activities.
- ▶ Understand that DODD 5100.46 establishes the relationship between DOD, USAID, and OFDA. The Deputy Assistant Secretary of Defense (Humanitarian

and Refugee Affairs) (DASD [H&RA]) is the primary point of contact (POC).

- ▶ Understand that DODD 5100.46 states, “It is the policy that DOD components will participate in foreign disaster relief operations only after a determination is made by the Department of State that foreign disaster relief shall be provided.” The Department of State will then send a request to the Assistant Secretary of Defense (International Security Affairs) that indicates the—
 - Countries, IOs, and individuals to be assisted.
 - Form of assistance requested.
 - Types and amounts of materiel and services requested.
 - Amount of funds allocated to the DOD, accompanied by symbols showing the chargeable appropriation, allotment, and obligation accounts.
 - Other information as is needed to permit effective participation by DOD components in an FHA foreign disaster relief operation.
- ▶ Provide guidance to subordinate commanders on how to handle issues resulting from ethnic differences and resentments; social structures; religious and symbolic systems; political structures; economic systems; linkages among social, religious, political, and economic dynamics; and attitudes toward the U.S. military forces.
- ▶ Record expenditures for all FHA activities associated with the operation.

- ▶ Understand that OFDA and USAID often have existing operational links and grants relationships with many NGOs and IOs that have relief programs outside the United States.

Tactical Considerations

- ▶ Review higher headquarters' guidance regarding support to FHA activities in-theater.
- ▶ Integrate PSYOP and civil information campaigns to inform the civilian infrastructure and to encourage popular support of humanitarian efforts.
- ▶ Maintain awareness of the security environment.
- ▶ Understand that even in a permissive environment, nonthreatening means, such as demonstrations, may be used to impair credibility or reduce the effectiveness of U.S. military activities.
- ▶ In a hostile environment, employ sufficient combat and combat support forces to safeguard the populace, defend the perimeter, escort convoys, screen the local populace, and assist in personnel recovery operations.
- ▶ Understand that HN authorities or combatants may use FHA and disaster relief as a tool for political gain.
- ▶ Establish CMOCs to coordinate and synchronize interagency and multinational HA efforts in the tactical area.
- ▶ Establish close ties with the disaster assistance response team (DART) from USAID's OFDA. The DART consists of specialists trained in a variety of disaster relief skills who assist U.S. Embassies and USAID missions in managing the USG response to disasters.

- ▶ Understand that military commanders at the immediate scene of a foreign disaster are authorized to conduct prompt relief operations when time is of the essence and when humanitarian considerations make it advisable to do so. The commander should report at once the action taken and request guidance in accordance with (IAW) the provisions of DODD 5100.46.
- ▶ Understand that measures to ensure continuity of operations, troop survival, and the rehabilitation of essential military bases take precedence over military support of local communities. Requests for support for the use of the military are normally accepted only on a mission-type basis.
- ▶ Update and maintain a database of FHA sources and issues in the tactical area.
- ▶ Execute FHA operations according to coordinated plans and guidance from higher headquarters.
- ▶ Assess, monitor, and report the impact of the history and infrastructure of the tactical area on FHA activities.
- ▶ Assess, monitor, and report the impact of FHA activities on the future and infrastructure of the tactical area.
- ▶ Assess, monitor, and report the impact of the populace on FHA activities.
- ▶ Assess, monitor, and report the impact of FHA activities on the populace.
- ▶ Execute operational plans for immediate mitigation of political, economic, legal, social, and military issues associated with FHA activities.

- ▶ Execute operational plans for long-range mitigation of political, economic, legal, social, and military issues associated with FHA activities.
- ▶ Record expenditures for all FHA activities associated with the operation.
- ▶ Assess, monitor, and report the effectiveness of FHA activities.

PLANNING FACTORS FOR FHA OPERATIONS

During the planning phase for FHA operations, the CA Soldier will use the six steps in the CA methodology: **assess, decide, develop** and **detect, deliver, evaluate, and transition**. For more detail see FM 3-05.401 and GTA 41-01-001.

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

CIVIL AFFAIRS COORDINATION IN HOST NATION

This section is designed to assist the Civil Affairs team when deployed and working in foreign countries for missions such as FHA, HMA, CM, counter-narco terrorism (CNT), and emerging operations. It addresses activities that may take place during predeployment, mission execution, or redeployment.

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

PDSS. Before any deployment, a predeployment site survey (PDSS) should be conducted. This PDSS is the opportunity for the mission commander or his designated representative to interface with U.S. Embassy personnel, the Theater Special Operations Command (TSOC), and the HN personnel. The PDSS checklist is the tool the mission commander uses to answer all mission-related questions.

U.S. Embassy Coordination. The CA team should coordinate with the U.S. Embassy as follows:

- ▶ **Brief defense attaché (DATT) officer.** At a minimum, brief the team composition and mission to the DATT officer and, if required, the Deputy Chief of Mission (DCM) or even the Ambassador. Confirm the status-of-forces agreement (SOFA), memorandum of agreement (MOA), and memorandum of understanding (MOU). Explain or confirm the training plans, schedules, and locations.
- ▶ **Receive threat brief from the regional security officer (RSO).** Confirm the emergency action plan (EAP). This plan details the evacuation of U.S. personnel out-of-country. Personnel should know assembly locations closest to their lodging and work areas, especially if the locations are different. Ensure good contact information is provided to the RSO for Force Protection Updates.
- ▶ **Meet the financial management officer (FMO).** Confirm what specific requirements the FMO has directed for the team's intended purchases or contracts. Establishing a good working relationship with the FMO is the key for mission success.

- ▶ **Meet with the political officer (PO).** Ask for an informal briefing of the latest developments in-country.
- ▶ **Meet with the governmental supply officer (GSO).** Ask him to assist in purchases, vehicle rentals, and other contracts.
- ▶ **Brief all the team members and all other collocated personnel.** Confirm the internal communications notification plan, friendly assembly areas, and actions upon the notification of the EAP. Ensure all members are aware of the potential threats and emergency procedures advised by the RSO or PO. Advise members of the addresses and contact numbers of key personnel and medical facilities.

Host Nation Coordination. CA teams should coordinate with the following:

- ▶ Key HN leaders involved in the mission.
- ▶ Local contractors.
- ▶ Pertinent local and international NGOs.
- ▶ Authorized private organizations.

NOTE: This list is not all inclusive.

Redeployment. At the completion of each mission, CA teams should–

- ▶ Outbrief HN senior leaders.
- ▶ Outbrief DATT/Ambassador.
- ▶ Meet with FMO.
- ▶ Coordinate with USAID.

NOTE: This list is not all inclusive.

CONDUCTING ASSESSMENTS

Assessment Process Main Points

- ▶ An assessment is only a “snapshot in time.”
- ▶ Information changes over time.
- ▶ The significance of information.
- ▶ What you cannot see is often more important than what you can see.
- ▶ It is vital to use the first assessment to establish an ongoing data collection and analysis system.
- ▶ The initial assessment should provide information that feeds directly into the program planning process.
- ▶ Timing of the report is vital. Without a point of reference, most assessment data is of little value.

Key Assessment Questions

General Situation.

- ▶ What is the type of disaster (or conflict) and what are its causes from a short-term and historical perspective?
- ▶ When did it occur and is it still occurring?
 - Are refugees still arriving?
 - Are flood waters still rising?
- ▶ What area has been affected?
- ▶ Within the affected area, how extensive was the damage to the infrastructure (buildings and homes)?
- ▶ How many people have died and how many have been injured?

- ▶ How many people are in need of assistance from the government and/or other agencies?

Water.

- ▶ What are the water needs of the population that only the military has the capability to meet?
- ▶ How many people lack a sufficient quantity of appropriately potable water?
- ▶ What is preventing people from obtaining water from traditional sources?
- ▶ Do people have sufficient water collection equipment?
- ▶ Why is water contaminated?
- ▶ Why are traditional means of making water potable not sufficient?

Sanitation.

- ▶ What are the sanitation needs of the population that can only be met by the military?
- ▶ How many people are in need of improved assistance in the area of sanitation?
- ▶ What are people using for excreta disposal?
- ▶ Are excreta disposal and isolation methods sufficient to prevent contamination of water and food sources?
- ▶ Are sanitation facilities (toilets and defecation fields) adequate in size, location, and cleanliness to convince people to use them?

Food.

- ▶ What are the nutrition needs of the population that can only be met by the military?

- ▶ How many people are in need of food?
- ▶ Are there signs of malnutrition among the population?
- ▶ Is the total amount of food being delivered equal to total needs in terms of calories per day?
- ▶ What is obstructing the delivery of food? Is it–
 - Inadequate supplies, armed resistance, management, and/or transportation?
 - Resources (ground and air), roads and bridges, or port and/or airfield throughout?
- ▶ Are the most vulnerable people obtaining adequate food?
- ▶ Is the food culturally appropriate (so that it can and will be eaten)?
- ▶ Do people have the appropriate utensils, cooking fuels, and so on, to prepare foods?
- ▶ What actions are being taken to ensure that people have sufficient food and equipment?
- ▶ How can the military assist the process?

Shelter.

- ▶ Are shelters sufficient in quantity and quality?
- ▶ Approximately how many people are without adequate shelter?
- ▶ Do people need supplies to rebuild their homes?
- ▶ How urgent is the need for shelter given the environment?
- ▶ What actions are being taken to ensure that people have sufficient shelter?

Health.

- ▶ What are the health needs of the population that can only be met by the military?
- ▶ Approximately how many people are in need of health care?
- ▶ What types of assistance do people need to be able to properly bury deceased relatives?
- ▶ What are the immediate health care risks?
- ▶ What type of health care system exists to meet health care needs?
- ▶ What health care needs are not being met?
- ▶ What problems are preventing those health care needs from being met? Are they–
 - Inadequate and insufficient facilities, equipment, and/or drugs?
 - Electricity, personnel, management, and/or training?
- ▶ What actions are being taken to ensure that people have sufficient health care?
- ▶ What can the military do to assist in addressing unmet health care needs?

Facilities and Infrastructure.

- ▶ What problems with infrastructure and facilities are impeding relief efforts?
- ▶ What is causing insufficient throughput rates at ports and airfields?
 - Damage to facilities?
 - Lack of equipment?

- Intermittent electricity?
- Problems in management?
- ▶ Where are the bottlenecks that prevent delivery of relief supplies?
- ▶ Are there sufficient transportation assets for delivery of relief aid?
- ▶ Do transportation assets for delivery of relief aid require security? Planning successful movement and security requires knowledge of the unit's movement responsibilities, an understanding of the total movement process, and an appreciation of the link between movements and the military decision-making process (MDMP) paradigm. CA personnel must address five steps in planning and preparing for force protection during movement operations:
 - Mission analysis.
 - Force structuring.
 - Movement data refinement.
 - Force/cargo preparation and protection.
 - Movement scheduling.
- ▶ Where is additional aid needed most critically and how much is needed?
- ▶ What actions are being taken to ensure that facilities and infrastructure are in sufficient working order to facilitate the relief effort?

Communications.

- ▶ What are the population's communications needs that must be met?

- ▶ What are the communications media that are currently available, functioning, or in need of repair?
- ▶ Does the HN infrastructure have the ability to update and modernize communications technology?
- ▶ What communications assets and actions can the military provide to stabilize the infrastructure, commerce, and the population?
- ▶ Can postal services safely and efficiently deliver mail to rural and urban areas?
- ▶ Are telephone systems configured to modern standards? (For example, line systems, grids, long distance services, and Internet.)
- ▶ How many main telephone lines are in use?
- ▶ Are mobile and satellite communications operational?
- ▶ How many radio and television stations are operational?
- ▶ What are the electrical power structure standards? (For example, frequencies, channels, type, numbers, voltage, and configuration.)
- ▶ Does the population have access to Internet capabilities and providers?

Coordination.

- ▶ What are the key agencies with whom the military must coordinate?
- ▶ What are the key coordination issues that are not being addressed, either due to lack of personnel or lack of subject-matter expertise?

- ▶ What actions are being taken to improve coordination efforts?

Preparation for Exit. Following are some specific questions, linked to essential tasks, that will help identify exit criteria:

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

Assessment Report

Once critical factors have been assessed, a matrix of needs can be created that generates an assessment of the proposed military contribution in each area. This assessment can be expressed in the format shown below. This format is compatible with the OFDA Disaster Assessment Handbook to make it compatible with the interagency relief community.

Reporting Format (Compatible With OFDA Format)

From:

To:

Info:

Subj: _____ Unit Assessment Report # _____

References: If applicable.

1. *Summary*: Summarize the findings of the initial disaster. Update with further reports.

2. *Description of Disaster*: What, when, where, and how? An estimate of the scope of the disaster in the area you are investigating.

3. *General Situation*:

- a. Describe the assessment effort (military).
- b. Identify any other agencies, private or governmental, involved in the assessment with you.

4. *Health/Nutrition Situation*:

- a. How many were killed, and where? How many human remains need to be disposed of ?
- b. What is being done in the health area, and by what agencies? How many people are untreated?

- c. What are the immediate health risks?
- d. If there is a food shortage, describe what it is, where it is, and in what volume.
- e. Is there any assistance that only the U.S. military can provide? If so, how long will it be required?

5. *Shelter:*

- a. Describe the damage to buildings.
- b. Describe estimated number of people and estimated family units needing shelter.
- c. What is being done to provide shelter?
- d. Is there any assistance that only the U.S. military can provide? If so, for how long will it be required?

6. *Water/Sanitation:*

- a. Describe water problems. Note the color and smell of the water.
- b. What is being done and who is doing it?
- c. Describe sanitation problems. How is sanitation being handled? Who is doing it?
- d. Is there anything that only the U.S. military can do? If so, for how long will it be required?

7. *Infrastructure/Logistics:* Are there things only the U.S. military can restore (especially transportation)? If so, in what volume and for how long?

8. *Coordination:*

- a. How is the relief effort being coordinated?
- b. Is the HN government (or local U.S. government, in domestic disasters) in charge?

- c. What private and/or nongovernmental agencies are involved?
- d. Is the assessment team attending meetings?
- e. Do you need augmentation to get the assessment completed?

9. *Capability:*

- a. Recap those things that only the U.S. military is capable of doing, noting those things that the other services can bring.
- b. Estimate how long services will be provided, and who will replace the military capability (if applicable).
- c. Use the Rapid Assessment format provided on page 31.

10. *Recommendations:* List the recommended priority of U.S. relief asset arrival in your area according to the immediacy of need.

Some Do's and Don'ts of Assessment

- ▶ Do be an effective listener.
- ▶ Do attempt to coordinate for some relief, even during the early stages of assessment; the perception that U.S. forces are “here to help” can be critical in the early stages of an operation.
- ▶ Do attempt to learn of predisaster norms in the area being assessed.
- ▶ Do try to quickly plug into existing host area disaster relief mechanisms.
- ▶ Do not monopolize meetings with your views.
- ▶ Do not sign up to any binding missions before your assessment has been approved by higher headquarters.

Focused Questions

- ▶ What is the security situation? Is anyone threatening you?
- ▶ How many people died per day before the disaster?
How many per day are dying now?
- ▶ What is your source of water? Has it been polluted by the disaster?
- ▶ How many people are without food?
- ▶ How many families are without shelter?
- ▶ What relief agencies are in place?
 - Who are they?
 - How can we contact them?
- ▶ Who is in charge of local relief efforts?
- ▶ Have any unusual diseases been noted, particularly among children?
- ▶ How many health care professionals do you have? Are they adequate?
- ▶ What is our normal source of power? Has it been disrupted?
- ▶ What was the crude mortality rate before the disaster?
What is it now?
- ▶ What is the situation in terms of—
 - Water?
 - Food?
 - Shelter?
 - Medical support?
 - Power and/or lines of communication?

- ▶ What are the conditions of various ports and airfields?
- ▶ What relief is being conducted? Who is conducting it?
- ▶ What elements can only the U.S. military supply?
 - How long?
 - Who will replace us and when?
- ▶ What desired end state will be used to define the success or failure of the mission?

Assessment Recommendation and Impact on Recovery

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

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

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

Recommendations should be simple, support the use of local materials and systems, and be sustainable by the affected

country. Do not discount alternative interventions that may be against “conventional wisdom,” collide with bureaucratic obstacles, or need increased relief agency capacity. In the long run they may be more cost effective and sustainable.

NOTE: These assessments come from various sources.

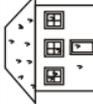
Reference Field Operations Guide (FOG) v.3 for additional information.

Sample UNHCR Assessment Format *

Municipality	Village				MGRS Grid Ref												
Agency	Name of Assessor				Date												
Source of information (give as much detail as possible - give the telephone number of someone in the village if possible)																	
ROAD ACCESS IN SUMMER			Car Y/N	4WD Y/N	Light Truck Y/N	Heavy Truck Y/N	Light Truck Y/N	Heavy Truck Y/N									
CURRENT POPULATION			Persons	Albanian	Serb	Other	Locals	Returnees	IDPs	Refugees							
INTERNALLY DISPLACED PERSONS (IDPs) - one record per village of former residence																	
Number of IDPs	from MUNICIPALITY (NAME)				from Village (NAME)				WHAT'S PREVENTING THEIR RETURN HOME? (See CONSTRAINTS TO RETURN box below for possible issues)								
COMMUNITY LEADERS PRESENT			MTS ACTIVIST			TEACHER			HEALTH WORKER			IMAM/PRIEST			OTHER		
			Name														
			Tel														

* Items need to be adjusted for missions in different regions.

Sample UNHCR Assessment Format (Continued) *

ASSISTANCE DISTRIBUTION		Who is responsible for distribution? (circle or specify)				Local warehouse/storage facilities?				
		MTS	UCK	Mayor's Office	Mosque/Church	NGO (specify)	Other (specify)	Y/N	Type	Size(m2)
SECONDARY DISTRIBUTION		Is this village used for secondary distribution? Y/N								
DAMAGE TO HOUSES (see category guide below)		If so, which villages receive assistance from this village?								
		Total Houses in Village	Category 1 (undamaged/unfinished)	Category 2	Category 3	Category 4	Category 5			
DAMAGE TO COMMUNITY BUILDINGS		Was there any new war damage to buildings since JANUARY 1999? Y/N								
		Was there any new war damage to building since NATO arrived? Y/N								
DAMAGE TO COMMUNITY BUILDINGS		MTS WAREHOUSE	SCHOOL	MOSQUE/CHURCH	SHOPS	BAKERY	HEALTH/FAC			
		None/Category	None/Category	None/Category	None/Category	None/Category	None/Category	None/Category		
 CAT (2)		 CAT (3)		 CAT (4)		 CAT (5)				
<ul style="list-style-type: none"> • Broken windows, door locks and hinges, roof tiles • Cut off from electricity, water • Can be repaired 		<ul style="list-style-type: none"> • Up to 30% roof damage • Light shelling or bullet impact on walls • Partial fire damage • Can be repaired 		<ul style="list-style-type: none"> • Over 30% roof damage • Severe fire damage • Need for replacement of floors • Doors and windows destroyed • All piping, wiring destroyed • Can be repaired 		<ul style="list-style-type: none"> • Destroyed • Needs reconstruction • Cannot be repaired 				

* Items need to be adjusted for missions in different regions.

Sample UNHCR Assessment Format (Continued) *

Electricity	Working?	Yes/No/Intermittent	If intermittent, approximate hours working per day
-------------	----------	---------------------	--

Education	School functioning?	Yes/No	Number of classrooms
WATER & SANITATION	% of Households Using	PERCEIVED WATER	
	Preconflict	QUALITY	QUANTITY
Wells	Current	Good/Bad	Adequate/Inadequate
Springs		Good/Bad	Adequate/Inadequate
Piped Distribution		Good/Bad	Adequate/Inadequate
Electric Pumps		Good/Bad	Adequate/Inadequate
* STATUS (more than one if necessary): (W)orking/(D)amaged/(C)ontaminated/(D)estroyed			

HEALTH (for Type, if Ambulanta circle one: MTS = Mother Teresa; S = State; P = Private; for Personnel; (D)octor, (N)nurse, (M)ed. Tech; for Drugs and Equipment: (A)dequate, (I)nadequate)						
TYPE (see above)	Daily Consultations	Working	Personnel (number)	Drugs	Equipment	Water
Hospital	Number:	Y/N	___ D ___ N ___ M	A/I	A/I	Y/N
Shetepia e Shendetit (DZ)	Number:	Y/N	___ D ___ N ___ M			
Ambulanta: MTS/S/P	Number:	Y/N	___ D ___ N ___ M			

FOOD AND COOKING		
% of dairy cattle remaining	% of farms expecting to harvest this summer	
% of families with cooking facilities:	Is there a bakery?	Is it operational?
	Y/N	Y/N

* Items need to be adjusted for missions in different regions.

Sample UNHCR Assessment Format (Continued) *

SOURCE OF FOOD AVAILABLE IN VILLAGE		FOOD ITEM	AVAILABLE	PRICE
Humanitarian Distribution	Y / N	Wheat Flour	Y / N	DM / Din Kg
Household Garden/Farm	Y / N	Oil	Y / N	DM / Din Liter
Household Stores	Y / N	Sugar	Y / N	DM / Din Kg
Shops or Market	Y / N	Meat	Y / N	DM / Din Kg
Nearest Village With Market		Fruit & Vegetables	Y / N	DM / Din Kg
		Coffee	Y / N	DM / Din Kg

ACTION TAKEN

REMARKS

Please return to UNHCR Pristina, attn: Inter Agency Coordination Unit
* Items need to be adjusted for missions in different regions.

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RAPID ASSESSMENT

CURRENT AS OF (MM/DD/YY):

- 1. GENERAL**
 - a. Village Name:
 - b. Grid:
 - c. Sector:
 - d. Language:
- 2. POPULATION**
 - a. Total Pop:
 - b. Families:
 - c. Male:
 - d. Female:
 - e. Children:
 - f. Refugees:
 - g. Refugee Origin:
 - h. Abroad:
- 3. STANDARD OF LIVING (General Description or Percentage)**
 - a. Food:
 - b. Water:
 - c. Shelter:
 - d. Power:
 - e. TV:
 - f. Radio:
 - g. Transportation:
- 4. ETHNIC COMPOSITION BY PERCENT**
- 5. POLITICS**
 - a. Parties:
 - b. Representatives:
- 6. EMERGENCY SERVICES**
 - a. Police:
 - b. Fire:
 - c. Rescue:
 - d. Militia:
- 7. KEY PERSONS**
 - a. Mayor:
 - b. Police Chief:
 - c. Military Commander:
 - d. Representative:
- 8. ECONOMICS**
 - a. Unemployed:
 - b. Self-Employed:
 - c. Nature of Self-Employment:
 - d. Employed:
 - e. Nature of Employment:
 - f. Agriculture:
 - g. Industry:
- 9. LINES OF COMMUNICATION/UTILITIES**
 - a. Communications:
 - b. Water Supply:
 - c. Electrical Supply:
 - d. Road System:
 - e. Rail System:
 - f. Medical Facilities:
 - g. Education Facilities:
- 10. OBSERVATIONS**

KEY EMERGENCY INDICATORS

Crude Mortality Rate (CMR)	Normal rate among a settled population Emergency program under control Emergency program in serious trouble Emergency out of control	0.3 to 0.5/10,000/day <1/10,000/day >1/10,000/day >2/10,000/day >5/10,000/day
Mortality Rate Among Children Under 5 Years Old	Normal rate among a settled population Emergency program under control Emergency program in serious trouble	1/10,000/day <2/10,000/day >2/10,000/day >4/10,000/day
Clean Water	Minimum survival allocation Minimum maintenance allocation	7 liters/person/day 15–20 liters/person/day
Food	Minimum food requirement for a population totally dependent on food aid	2,100 kilocalories/person/day
Nutrition	Emergency level	>15% of the population under 5 years old below 80% weight for height Or >10% of the population under 5 years old below 80% weight for height together with aggravating factors; for example, epidemic of measles, crude mortality rate >1/10,000/day
Measles	Any reported cases 10% or more not immunized among ages 6 months to 5 years	
Respiratory Infections	Any pattern of severe cases	
Diarrhea	Protection from wind, rain, freezing temperatures, and direct sunlight are minimum requirements	
Appropriate Shelter	Minimum shelter area Minimum total site area	3.5 square meters/person 30.0 square meters/person
Sanitation	Lack of organized excreta and waste disposal. Less than 1 latrine cubicle per 100 persons	

Calculating the Mortality Rate

The chief indicator of an actual emergency is an accelerated mortality. In all cases, deaths should be reported as total number and as a rate since population sizes will vary considerably depending on the nature of the emergency. The presentation of the number of deaths as rate will make comparison to existing norms possible regardless of the number of people considered in the group. An example of how to calculate the death rate follows:

$$\frac{\text{Number of Deaths} \times 10,000}{\text{Days Counted} \times \text{Total Population}} = \text{Deaths}/10,000$$

For example, if 21 people have died in one week in a total population of 5,000, then the death rate for that situation would be:

$$\frac{21 \text{ (Deaths)} \times 10,000}{7 \text{ Days} \times 5,000 \text{ (Total Population)}} = 6/10,000/\text{Day}$$

COMPARISON OF SPHERE AND UNHCR STANDARDS AND INDICATORS (February 2001)

TOPIC AREA/ISSUE	SPHERE	UNHCR
WATER		
Quantity	15 liters per person per day collected	15 liters per person per day; absolute minimum for short-term survival is 7 liters per person per day
System/Delivery	Taps provide flow rate of at least 0.125 liters per second	
	At least one water point per 250 people	At least one tap per 80–100 refugees and no more than 200 refugees per handpump or per well with one rope and bucket
Quality	No more than 10 faecal coliforms per 100 milliliters at point of delivery	1–10 faecal coliforms per 100 milliliters is reasonable quantity
	For piped systems, residual-free chlorine at tap is 0.2–0.5 milligrams per liter and turbidity is less than 5 nephelometric turbidity units (NTUs)	Residual-free chlorine at tap is 0.2–0.5 milligrams per liter at distribution point
	Dissolved solids no more than 1,000 milligrams per liter	
HYGIENE - SANITATION		
Soap	250 grams of soap per person per month	
Laundry	1 washing basin per 100 people	
Toilets/Latrines	Maximum 20 people per toilet	1 latrine per family; second option, 1 per 20 persons; or third option, 1 per 100 persons or defecation field
Refuse Bins	100 containers at 1 per 10 families	100 containers at 1 per 50 families
Refuse Pits	No shelter farther than 15 meters from container or 100 meters from communal refuse pits	1 pit 2 meters x 5 meters x 2 meters deep per 500 persons
CAMP SITE PLANNING		
Gross Area	45 square meters per person (inclusive of all uses except agriculture or garden)	30 square meters per person (inclusive of all uses except agriculture or garden space)
Dimensions/Distances	Maximum distance between shelter and toilets is 50 meters	Maximum distance between shelter and toilets is 50 meters
Firebreaks	2 meters between shelters, 6 meters between clusters of shelters, 15 meters between blocks of clusters	30 meters per every 300 meters of built-up area
Distance Between Wells/Springs and Latrines	Latrines farther than 30 meters from ground water sources and 1.5 meters above water table	Latrines farther than 30 meters of built-up area
	Maximum distance from shelter to water supply is 500 meters	No dwelling should be farther than 100 meters or a few minutes' walk from distribution points

COMPARISON OF SPHERE AND UNHCR STANDARDS AND INDICATORS (CONTINUED)

TOPIC AREA/ISSUE	SPHERE	UNHCR	
CAMP SITE PLANNING (Continued)			
Elevation/Drainage	3 meters above high water table		
	2–4% gradient (ideal) and not more than 7% without extensive site engineering		
SHELTER			
Shelter Area	3.5–4.5 square meters covered area per person	3.5 square meters covered area per person in tropical climates. 4.5–5.5 square meters covered area per person in cold or urban situations	
Plastic Sheeting for Temporary Shelter	4 meters x 6 meters sheet per household of 5 people (to meet UNHCR material specifications)	4 meters x 5 meters reinforced plastic tarpaulins in sheets with aluminum eyelets all four sides	
FOOD/NUTRITION			
Calories	2,100 kilocalories per day initial planning figure to be modified based on through demographic analysis of population.	2,100 kilocalories per day (initial planning figure)	
Makeup	10–12% total energy from protein 17% total energy from fat	10–12% total energy from protein 17% total energy from fat	
HEALTH			
Excessive Mortality	1 per 10,000 per day CMR	Normal rate among a settled population Emergency program under control	0.3/10,000 to 0.5/10,000/day 0.5/10,000 to 1/10,000/day
CMR	1 per 10,000 per day CMR	Emergency program in serious trouble Emergency out of control Major catastrophe	>1/10,000/day >2/10,000/day >5/10,000/day
U5MR	2 per 10,000 per day under 5 CMR	Normal rate among a settled population Emergency program under control Emergency program in serious trouble Emergency out of control	1/10,000/day <2/10,000/day >2/10,000/day >4/10,000/day
Measles Vaccination Coverage	95% of all children 6 months–12 years	UNHCR advocates the immunization of all children from 6 months up to 12 or even 15 years (rather than the more usual 5 years) because of the increased risk from the living conditions in refugee emergencies. As an emergency indicator, any reported cases of 10% or more unimmunized among ages 6 months to 5 years.	

COMPARISON OF SPHERE AND UNHCR STANDARDS AND INDICATORS (CONTINUED)

TOPIC AREA/ISSUE	SPHERE	UNHCR
HEALTH (Continued)		
Measles Vaccination Coverage	Measles vaccine needs = 140% of target group (15% waste, 25% stockpile)	
Medical Staff	1 home visitor for each 500–1,000 population 1 traditional birth attendant for each 2,000 1 supervisor for each 10 home visitors 1 senior supervisor 1 peripheral health facility for each 10,000 population 1 central health facility for each 10,000 population	Approximate staffing levels for refugee health and sanitation services for a population of 10–20,000: <ul style="list-style-type: none"> ● Community health workers: 10–20 ● Traditional birth attendant: 6–10 ● Public health nurse: 1 ● Clinic nurse midwives: 3–4 ● Doctor/medical assistants: 1–3 ● Pharmacy attendant: 1 ● Laboratory technician: 1 ● Dressers/assistants: 10 ● Sanitarians: 2–4 ● Sanitation assistants: 20
NONFOOD ITEMS (Domestic needs)		
Water Containers	2 vessels 10–20 liters for collecting, plus 1 20-liter vessel for water storage, narrow necks and covers	Ability to transport 10 liters and ability to store 20 liters per 5-person household.
Eating Utensils	1 cooking pot with lid 1 basin 1 kitchen knife 2 wooden spoons 1 plate per person 1 spoon per person 1 mug per person	
PROTECTION AND SECURITY		
Location	50 kilometers from threat (border?)	A reasonable distance

FUNDING

Department of Defense Foreign Disaster Assistance Tasking and Funding Procedures (JP 3-07.6, Appendix C)

Approval Authority. DOD components will participate in foreign disaster relief operations only after the DOS and/or USAID determines that assistance will be provided to the requesting country (except in cases of emergencies where the commander determines the immediate response is required). The Assistant Secretary of Defense (Special Operations and Low Intensity Conflict) (ASD[SO/LIC]) is the normal approval authority for DOD resource and services commitment to foreign disaster relief. The DOD coordinator for foreign disaster relief is the Deputy Assistant Secretary of Defense (Peacekeeping and Humanitarian Assistance) (DASD(PK/HA)). The DOD lead for management of budget allocations in this area is the Defense Security Cooperation Agency (DSCA). The joint staff main point of contact is the Chief, Logistics Readiness Center J-4.

General Responsibilities. The DOD provides supplies and services from the most expedient source, which normally is the combatant commander. The combatant commander, when directed, assumes the primary coordinating role for provision of DOD supplies and services. The joint staff and United States Transportation Command (USTRANSCOM) coordinate transportation requirements. The military departments and joint staff support the designated combatant commander by the coordinating interdepartmental approval and funding processes with DASD(PK/HA), DSCA, and the Office of the Under Secretary of Defense (Comptroller) (OUSD)(C). When the request for support comes from a country not encompassed by a unified command (for

example, Russia), the joint staff will request an appropriate combatant commander to assume the primary coordinating role in conjunction with DASD(PK/HA) and DSCA. If items requested are not available in the combatant command, or if the request comes from a country not encompassed by a combatant command, DASD(PK/HA) and DSCA will locate resources through Defense Logistics Agency (DLA), the Services, or a supporting combatant commander.

Procedures. Requests for DOD assistance may come from the DOS or USAID, and are normally routed through OFDA to the ASD(SO/LIC). Upon approval, the request is routed to the Joint Staff J-4 for action. J-4 may activate a logistics readiness center (LRC) 24-hour response team, which may be augmented by USTRANSCOM and DLA liaison elements. J-4 provides coordination among combatant command, Service, and defense agency response cells or teams, as appropriate.

Funding. DOD activities associated with foreign disaster relief may be sourced using the charts on pages 38 through 42.

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Overseas Humanitarian, Disaster, and Civic Aid (OHDACA)	
Legal Authority	10 USC 2561
Purpose	Program supports SecDef and combatant commanders' security cooperation strategies to build capabilities and cooperative relationships with allies, friends, and potential partners. Low cost, nonobtrusive. Access to areas not otherwise available to U.S. forces. Provides significant training and readiness benefits. Enhances deployment and war-fighting skills. Enables rapid response to disasters in commanders' AOR.
Appropriation Limits	\$300,000
Specified Use	<p>The Humanitarian Assistance Program (HAP) is designed to assure friendly nations and allies of our support and provide basic humanitarian aid and services to populations in need.</p> <p>The HMA Program, executed by the combatant commanders, provides significant training and readiness-enhancing benefits to U.S. forces while contributing to alleviating a highly visible, worldwide problem.</p> <p>Foreign Disaster Relief and Emergency Response (FDR/ER) enables the combatant commanders to correspond timely and effectively to crises in their AORs. FDR/ER minimizes the potential for crises to develop or to expand further. Therefore, regional stability is fostered, reducing a requirement for large-scale deployment of U.S. military forces at a later date. The commanders' disaster preparedness efforts increase HN's capability to respond to natural or man-made disasters, reducing the likelihood that future disasters will require a significant USG/DOD response.</p>
Approving Authority	Unit to CACOM to CENTCOM to DOS
Fund Proponent	Defense Security Cooperation Agency (DSCA)

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Overseas Humanitarian, Disaster, and Civic Aid (OHDACA) (De Minimis)	
Legal Authority	10 USC 401, DODD 2205.5
Purpose	For unplanned, quick-impact humanitarian and civic assistance incidental to military operations.
Appropriation Limits	\$1500 per project (MFP 11)
Specified Use	For unplanned, quick-impact humanitarian and civic assistance incidental to military operations, such as a unit doctor examines villagers for a few hours, with the administration of several shots and the issuance of medications. However, the deployment of a medical team for the purpose of providing mass inoculations to the local populace would not be allowed under De Minimus HCA.
Approving Authority	Defense Security Cooperation Agency (DSCA)
Fund Proponent	Defense Security Cooperation Agency
Operation and Maintenance (O&M) (Contingency Operations Funding Authority)	
Legal Authority	10 USC 127(a) (amended by DOD Authorization Act for FY 1996, Pub .L. No.104-106, 1003 [1996]).
Purpose	To fund deployments (other than for training) and humanitarian assistance, disaster relief, or support to law enforcement operations (including immigration control) for which funds have not been provided.
Appropriation Limits	Emergency and Extraordinary (E&E) Expenses Funds (10 USC 127) are special funds within the O&M appropriation. The secretaries of the military departments and the SecDef may expend these funds without regard to other provisions of law. These funds are very limited in amount, however, and regulatory controls apply to prevent abuse, including congressional notification requirements for expenditures over \$500,000.

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Operation and Maintenance (O&M) (Contingency Operations Funding Authority) (Continued)	
Appropriation Limits	Contingency Operations Funding Authority, 10 USC 127(a)(amended by DOD Authorization Act for FY 1996, Pub.L. No. 104-106, 1003 [1996]). Deployments (as stated in purpose), which are expected to exceed \$50M, or the incremental costs of which, when added to other operations currently ongoing, are expected to result in a cumulative incremental cost in excess of \$100M. Does <i>not</i> apply to operations with incremental costs not expected to exceed \$10M.
Specified Use	Deploying units normally use “generic” O&M funds to support their operations. Operation and maintenance appropriations pay for the day-to-day expenses of training, exercises, contingency missions, and other deployments. Examples of O&M expenses include force protection measures, sustainment costs, and repair of main supply routes. Likewise, expenses that are “necessary and incident” to an assigned military mission (for example, costs of maintaining public order and emergency health and safety requirements of the populace in Haiti during the NCA-directed mission of establishing a secure and stable environment).
Approving Authority	Various, including Congress, Talk to the SJA
Fund Proponent	DOD/DA Annual Budget
Combatant Commander Initiative Fund (CCIF)	
Legal Authority	10 USC 166a (Also see CJCSI 7401.01B)
Purpose	The primary focus of CCIF is to support unforeseen contingency requirements critical to combatant commands’ joint warfighting readiness and national security interests. The strongest candidates for approval are initiatives that support combatant command activities and functions, enhance interoperability, and yield high benefit at low cost.

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Combatant Commander Initiative Fund (CCIF) (Continued)	
Purpose	<p>Funds are managed competitively, with each initiative evaluated on its individual merits. Funds will not be allocated by apportioning a fixed percentage to each combatant command.</p> <p>The fund provides a means for combatant commands to react to unexpected contingencies and opportunities. It is not intended primarily to subsidize ongoing projects, supplement budget shortfalls, or support Service component expenses that are normally the responsibility of the parent Service.</p>
Appropriation Limits	<ul style="list-style-type: none"> • Not more than (NMT) \$15M (of all allotted funds) may be used to purchase items with a unit cost in excess of \$15,000. • NMT \$10M expenses of foreign countries participating in joint exercises. • NMT \$10M military education and training to military and civilian personnel of foreign countries. • Cannot fund activities denied by Congress. • Will not support initiatives that include– <ul style="list-style-type: none"> ▸ Acquisitions of major systems or end items. ▸ Salaries and expenses of employees. ▸ MILCON projects, R&D, LANs, VTCs. ▸ Normal operating costs.
Specified Use	<p>Initiatives are submitted in support of one of the following authorized activities: exercises and force training, contingencies, selected operations, humanitarian and civic assistance, military education and training of foreign personnel, and personal expenses in support of bilateral or regional cooperation programs.</p>
Approving Authority	CJCS
Fund Proponent	ASD (SO/LIC)

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Commander's Emergency Response Program (CERP)	
Legal Authority	<p>Coalition commander to establish a "Brigade Commander's Discretionary Recovery Program to Directly Benefit the Iraqi People." This was done in a fragmentary order (FRAGO) on 7 May 2003.</p> <p>In June 2003, the Administrator of the Coalition Provisional Authority (CPA) renamed the program as CERP, formally linked it to governing law and authorities relating to Iraqi property, and articulated its central purpose. Ambassador Paul Bremer, having been delegated authority by the Deputy Secretary of Defense over "Certain State- or Regime-Owned Property in Iraq," signed a memo on 16 June 2003, re delegating some of that authority to the commander of coalition forces. The memo authorized the commanders' Emergency Response Program.</p> <p>On 19 June 2003, the commander of Combined Joint Task Force 7 (CJTF 7) implemented the CERP by issuing FRAGO 89 to the operation order in effect at the time.</p>
Purpose	<p>To enable commanders to respond to URGENT humanitarian relief and reconstruction requirements within their areas of responsibility, by carrying out programs that will immediately assist the Iraqi people. (From seized Iraqi funds, Congressionally Appropriated Funds (up to \$180M for Afghanistan), Development Fund for Iraq [DFI] from oil revenues and UN monies [\$353M].)</p>
Appropriation Limits	\$2500
Specified Use	<p>Principally Humanitarian Assistance and Reconstruction (for example, repair of water pumps, repairs to schools, and equipping Iraqi Security Forces).</p>
Approving Authority	Battalion or Brigade Commanders
Fund Proponent	CENTCOM

USTRANSCOM calculates transportation system shipping costs (normally, using the DOD rate), and conveys that information to DASD(PK/HA), DSCA, and the Joint Staff J-4. DASD(PK/HA) and DSCA forward cost information to USAID (OFDA) or other agencies, as required.

After cost acceptance by the appropriate agencies (for example, DOS, USAID, DASD[SO/LIC], and/or OUSD[C]), formal approval to commit DOD materials and services is forwarded from DASD(SO/LIC) to the Director, Joint Staff. This approval contains funding and billing information (including, if possible, fund cites), as well as resource disposition instructions. Fund cites should be provided for each DOD support item. The joint staff then forwards the fund cites and other relevant information to the affected Service(s), agency supplier, or USTRANSCOM for each action at the time of request. J-4 (or J-3, as appropriate) develops tasking messages, which should contain fund cites, funding limits, billing addresses, and joint staff points of contact, if possible, for each DOD element tasked. Tasking messages will require tasked units to provide clear text itemized billing information and the tasked unit point of contact. The messages should also advise tasked elements that approval must be obtained before exceeding the funding limit; that agencies, such as OFDA, will only reimburse for those items or services requested; and that all bills must be submitted in the next monthly billing cycle following completion of the service or activity.

If military units and personnel are required to deploy, the Joint Staff Director for Force Structure, Resource and Assessment, assists OUSD(C) in obtaining rough order-of-magnitude cost estimates from the combatant commander or Service(s). Following receipt of funding approval from DASD(SO/LIC), the Joint Staff Director of Operations

prepares a Chairman of the Joint Chiefs of Staff (CJCS) deployment order for SecDef approval.

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

POLICY AND DIRECTIVES FOR FHA

DOD's involvement in foreign disaster relief can occur in one of the following situations:

- ▶ The Ambassador declares a foreign disaster in his country of responsibility and coordinates the U.S. response through the OFDA. DOD support may be provided under the provision of the Economy Act (22 USC 2292).
- ▶ The SecDef declares a foreign disaster to respond to natural or man-made disasters when such assistance is necessary to prevent loss of lives (404 USC).
- ▶ The local commander may declare a disaster to provide immediate assistance to protect lives (inherent authority).

22 USC 2292(b) authorizes the President to conduct foreign disaster assistance.

10 USC 404 is the legal basis to conduct Foreign Disaster Relief Operations by the DOD.

GLOSSARY

Civil-military operations center (CMOC)

The civil-military operations center provides command and control and interagency coordination from the Civil Affairs Command through company level. Also called CMOC.

(JP 3-57)

Consequence management

Those measures taken to protect public health and safety, restore essential government services, and provide emergency relief to governments, businesses, and individuals affected by the consequences of a chemical, biological, nuclear, and/or high-yield explosive situation. For domestic consequence management, the primary authority rests with the States to respond and the Federal Government to provide assistance as required. Also called CM. (JP 3-0)

Foreign disaster relief

Prompt aid that can be used to alleviate the suffering of foreign disaster victims. Normally, it includes humanitarian services and transportation; the provision of food, clothing, medicine, beds, and bedding; temporary shelter and housing; the furnishing of medical materiel and medical and technical personnel; and making repairs to essential services. (JP 3-07.6)

Foreign humanitarian assistance

Programs conducted to relieve or reduce the results of natural or manmade disasters or other endemic conditions such as human pain, disease, hunger, or privation that might present a serious threat to life or that can result in great damage to or

loss of property. Foreign humanitarian assistance (FHA) provided by U.S. forces is limited in scope and duration. The foreign assistance provided is designed to supplement or complement the efforts of the host nation civil authorities or agencies that may have the primary responsibility for providing FHA. FHA operations are those conducted outside the United States, its territories, and its possessions.

(JP 3-07.6)

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 Title 10, United States Code, section 401, and funded under separate authorities. Assistance provided under these provisions is limited to (1) medical, dental, and veterinary care provided in rural areas of a country; (2) construction of rudimentary surface transportation systems; (3) well drilling and construction of basic sanitation facilities; and (4) rudimentary construction and repair of public facilities. Assistance must fulfill unit training requirements that incidentally create humanitarian benefit to the local populace. Also called HCA. (JP 3-05.1)

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