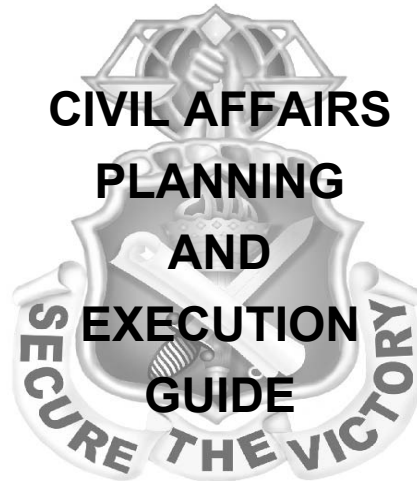


\*GTA 41-01-001



**JANUARY 2008**

Approved for public release; distribution is unlimited.

\*This publication supersedes GTA 41-01-001, 4 September 1994,  
and GTA 41-01-001, 1 October 2002.

**HEADQUARTERS, DEPARTMENT OF THE ARMY**



# Civil Affairs Planning and Execution Guide

## Contents

	Page
Introduction .....	1
Overview .....	2
Planning .....	8
Military Decisionmaking Process.....	13
Mission, Enemy, Terrain and Weather, Troops and Support Available, Time Available, Civil Considerations.....	18
Civil Considerations Analysis–ASCOPE .....	23
Civil Affairs Methodology.....	28
Information Gathering .....	34
Running Estimate.....	38
CMO Estimate Format .....	45
CMO Annex.....	50
Measures of Effectiveness/Measures of Performance .....	53
Transition Planning .....	59
Order Formats.....	68
Precombat Inspection .....	73

**GTA 41-01-001**

---

Execution.....	79
Force Protection .....	84
Risk Management.....	88
Uniform and Personal Equipment Considerations .....	93
Use of Interpreters.....	95
Setting Up a Meeting .....	103
Negotiation Techniques .....	107
Assessments .....	111
Financial, Contract, and Project Management.....	125
Property Control .....	148
Reference Material .....	154

## INTRODUCTION

This aid enhances Civil Affairs (CA) planning and execution at the tactical and operational levels and across the range of military operations. It is critical that CA elements at all echelons properly plan and execute Civil Affairs operations (CAO) to enhance the supported commander's successful mission accomplishment.

From the basic principles of CA planning through determination of measures of effectiveness (MOEs), this graphic training aid (GTA) outlines and provides factors for successful CA planning and execution in various environments and situations.

This GTA provides a basic structure for utilizing essential information-gathering elements and methods in order to assist the commander in making informed decisions. It reflects doctrinal concepts in FM 3-05.40, *Civil Affairs Operations*, and FM 3-05.401, *Civil Affairs Tactics, Techniques, and Procedures*, while incorporating valuable information from the Sphere Project and United Nations Office of the High Commissioner for Refugees (UNHCR) emergency indicators and standards.

CA forces are combat multipliers with unique capabilities to influence and support the commander's mission accomplishment in war and peace.

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 to Commander, USAJFKSWCS, ATTN: AOJK-DTD-CA, Fort Bragg, NC 28310-9610, or e-mail them to AOJK-DTD-CA@soc.mil.

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

## OVERVIEW

**Offensive operations** carry the fight to the enemy by closing with and destroying enemy forces, seizing territory and vital resources, and imposing the commander's will on the enemy. Offensive operations focus on seizing, retaining, and exploiting the initiative. This active imposition of landpower makes the offense the decisive type of military operation, whether undertaken against irregular forces or the armed forces of a nation-state. In addition, the physical presence of land forces and their credible ability to conduct offensive operations enable the unimpeded conduct of stability operations.

**Defensive operations** counter enemy offensive operations. Defensive operations defeat attacks, destroying as many attackers as necessary. Defensive operations preserve control over land, protect key resources, and guard populations. Defensive operations also buy time and economize forces to allow the conduct of offensive operations elsewhere. Defensive operations not only defeat attacks but also create the conditions necessary to regain the initiative and go on the offensive or execute stability operations.

**Stability operations** sustain and exploit security and control over areas, populations, and resources. Stability operations employ military capabilities to reconstruct or establish services and support civilian agencies. Stability operations involve both coercive and cooperative actions. Stability operations may occur before, during, and after offensive and defensive operations; however, they also occur separately, usually at the lower end of full spectrum operations. During stability operations, there is a high demand placed on CA capabilities. This can lead to an environment in which (in cooperation with a legitimate government) the other instruments of national power predominate.

**Civil support operations (CSO)** address the consequences of man-made or natural accidents and incidents beyond the capabilities of civilian authorities. Army forces do not conduct

stability operations within the United States and its territories; under U.S. law, the federal and state governments are responsible for those tasks. Instead, Army forces conduct CSO when requested, providing Army expertise and capabilities to lead agency authorities.

**Civil-military operations (CMO)** is defined in FM 1-02, *Operational Terms and Graphics*, as the activities of a commander that establish, maintain, influence, or exploit relations between military forces, governmental and nongovernmental civilian organizations and authorities, and the civilian populace in a friendly, neutral, or hostile operational area in order to facilitate military operations to consolidate and achieve U.S. objectives. CMO may include performance by military forces of activities and functions normally the responsibility of local, regional, or national governments. These activities may occur before, during, or after other military actions. They may also occur, if directed, in the absence of other military operations. CMO may be performed by designated CA, by other military forces, or by a combination of CA and other forces.

CMO are conducted across full spectrum operations. When conducting CMO, commanders may employ a number of military capabilities and engage many different indigenous populations and institutions (IPI), intergovernmental organizations (IGOs), nongovernmental organizations (NGO), host-nation (HN) organizations, and other governmental organizations (OGAs). Among these capabilities are CA forces. CA forces can support the commander during CMO by conducting Civil Affairs operations (CAO).

**Civil Affairs operations** are those military operations planned, supported, executed, or transitioned by CA forces through, with, or by the IPI, IGOs, NGOs, or OGAs to modify behaviors, to mitigate or defeat threats to civil society, and to assist in establishing the capacity for deterring or defeating future civil threats in support of CMO and other U.S. objectives.

#### **GTA 41-01-001**

---

CAOs are conducted within the scope of five core tasks and may occur simultaneously or sequentially with combat operations depending on the operational environment. These core tasks are the focus for all CA forces' training, planning, and execution but are not solely the responsibility of CA forces. As part of the larger category of CMO, these core tasks are nested within the maneuver commander's overall responsibility for planning and conducting CMO. CA forces focus on these core tasks, planning and executing them across full spectrum operations. As such, CA forces are the maneuver commander's primary asset to plan, coordinate, support, and execute CAO.

CAOs are conducted by CA Soldiers and consist of the following core tasks:

- Populace and resources control (PRC).
- Foreign humanitarian assistance (FHA).
- Civil information management (CIM).
- Nation assistance (NA).
- Support to civil administration (SCA).

**Populace and resources control** operations consist of two distinct, yet linked, components: populace control and resources control. These controls are normally a responsibility of indigenous civil governments. They are defined and enforced during times of civil or military emergency. For practical and security reasons, military forces use PRC measures of some type and to varying degrees in military operations across the full spectrum of operations. PRC operations can be executed in conjunction with, and as an integral part of, all military operations. PRC operations are further explained below:

- *Populace Control.* Populace control provides security for the populace, mobilizes human resources, denies personnel to the enemy, and detects and reduces the effectiveness of enemy agents. Populace control



measures include curfews, movement restrictions, travel permits, registration cards, and relocation of the population. Dislocated civilian (DC) operations and noncombatant evacuation operations (NEOs) are two special categories of populace control that require extensive planning and coordination among various military and nonmilitary organizations.

- *Resources Control.* Resources control regulates the movement or consumption of materiel resources, mobilizes materiel resources, and denies materiel to the enemy. Resources control measures include licensing, regulations or guidelines, checkpoints (for example, roadblocks), ration controls, amnesty programs, and inspection of facilities.

**Foreign humanitarian assistance** is defined in Joint Publication (JP) 1-02, *Department of Defense Dictionary of Military and Associated Terms*, 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 U.S. forces is limited in scope and duration. The foreign assistance provided is designed to supplement or complement the efforts of the HN civil authorities and IGOs that may have the primary responsibility for providing FHA. FHA operations are those conducted outside the United States, its territories, and its possessions. Examples of disasters include hurricanes, earthquakes, floods, oil spills, famine, disease, civil conflicts, terrorist incidents, and incidents involving weapons of mass destruction (WMD).

**Civil information management** is information developed from data with relation to civil areas, structures, capabilities, organizations, people, and events, within the civil component of the commander's operational environment that can be fused or processed to increase Department of Defense (DOD)/Interagency/IGO/NGO/IPI situational awareness, situational

**GTA 41-01-001**

---

understanding, or situational dominance. CIM is the process whereby civil information is collected, entered into a central database, and internally fused with the supported element, higher headquarters (HQ), other United States Government (USG) and DOD agencies, IGOs, and NGOs to ensure the timely availability of information for analysis and the widest possible dissemination of the raw and analyzed civil information to military and nonmilitary partners throughout the area of operation (AO).

**Nation assistance** is civil or military assistance (other than FHA) rendered to a nation by U.S. forces within that nation's territory during peacetime, crises or emergencies, or war based on agreements mutually concluded between the United States and that nation. NA operations support an HN by promoting sustainable development and growth of responsive institutions. The goal is to promote long-term regional stability. NA programs often include, but are not limited to, security assistance (SA), foreign internal defense (FID), Title 10 United States Code (USC) (DOD) programs, and activities performed on a reimbursable basis by federal agencies or IGOs. All NA operations are usually coordinated with the U.S. Ambassador through the Country Team.

**Support to civil administration** is military operations that help to stabilize or to continue the operations of the governing body or civil structure of a foreign country, whether by assisting an established government or by establishing military authority over an occupied population.

SCA occurs most often in stability operations. Some support to civil administration is manifested in the other CAO: PRC, FHA, and NA. The SCA operations consist of two distinct mission activities:

- *Civil administration in friendly territory.* The geographic combatant commander's (GCC's) support to governments of friendly territories during peacetime, disasters, or war. Examples of support include advising friendly authorities and performing

specific functions within limits of the authority and liability established by international treaties and agreements.

- *Civil administration in occupied territory.* The establishment of a temporary government, as directed by the Secretary of Defense (SecDef), to exercise executive, legislative, and judicial authority over the populace of a territory that U.S. forces have taken from an enemy by force of arms until an indigenous civil government can be established.

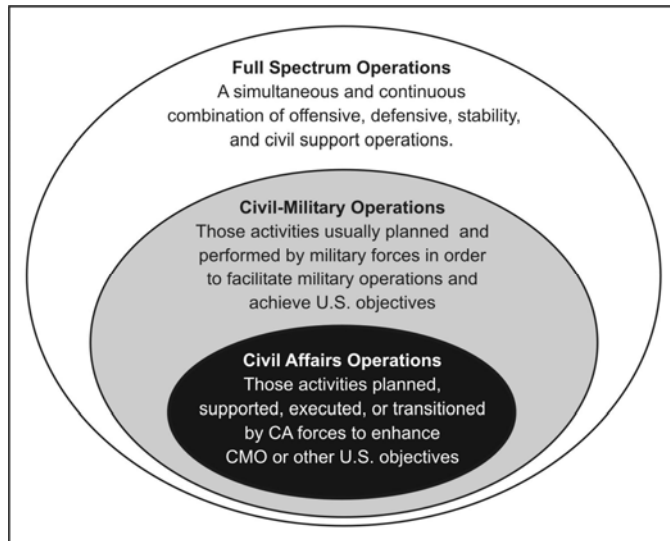
The five core tasks of CAO are interrelated with one another. Each of these core tasks may support the overall CMO goals and objectives as outlined in the civil-military strategy but rarely do they do so independently. Instead, the core tasks of CAO tie into and support one another across the full spectrum of military operations.

Figure 1, page 8, depicts the interrelationship of CAO, CMO, and full spectrum operations.

The primary function of all Army CA units is to support the warfighter by engaging the civil component of the battlefield. CA forces interface with IPI, IGOs, NGOs, other civilian and government organizations, and military forces to assist the supported commander to accomplish the mission. To meet this broad requirement, Army CA units are organized to support the Services, USG agencies, allied forces, agencies of other countries, and various IGOs and their associated NGOs. Mission guidance and priorities—including prioritized regional engagement activities and language requirements—from respective unified command combatant commanders provide regional focus.

CA capability requirements have shifted to meet the transforming needs of the Army. As shown in Figure 2, page 9, CA capabilities are aligned to support Army modularity, while maintaining special operations forces (SOF) support, to execute CAO across the full spectrum of military operations.

CA functions and capabilities are consolidated to support the brigade combat team (BCT), the division, and the corps echelons with a CA planning capability, a CAO/CMO coordinating capability, and a civil sector assessment and project management capability. FM 3-05.40 provides detailed information on CMO and CAO.



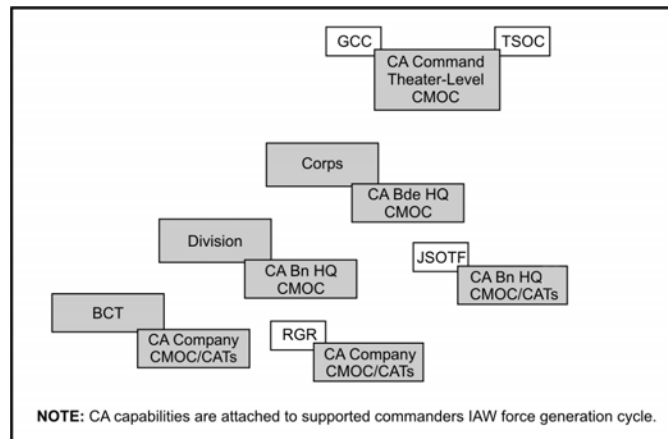
**Figure 1. Interrelationship of CAO, CMO, and full spectrum operations**

## **PLANNING**

Full spectrum operations demand a flexible approach to planning that adapts planning methods to each situation. An effective planning process structures the thinking of commanders and staffs while supporting their insight, creativity, and initiative.

The Army uses three different but related processes to guide planning activities:

- Army problem solving.
- Military decisionmaking process (MDMP).
- Troop-leading procedures (TLP).



**Figure 2. CA capabilities alignment**

### Problem Solving

Army problem solving is a systematic way to arrive at the best solution to a problem. It applies at all echelons and includes the steps needed to develop well-reasoned, supportable solutions (Figure 3, page 10). Problem solving incorporates risk management techniques appropriate to the situation. Army leaders remain as objective as possible when solving problems. The goal is to prepare an unbiased solution or recommendation for the decision maker, based on the facts.

Figure 3, page 10, shows the seven-step problem-solving model. FM 5-0, *Army Planning and Orders Production*, provides additional information on problem solving.

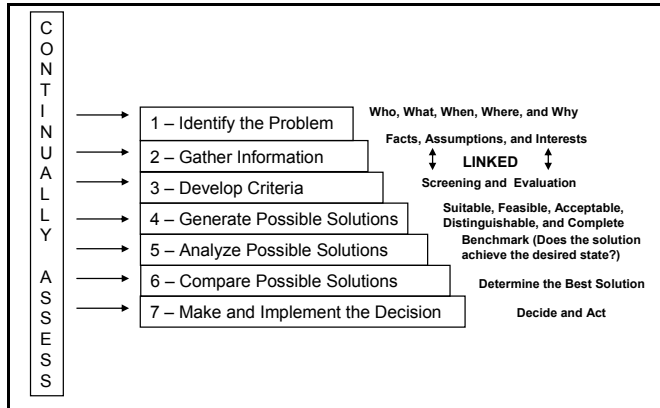


Figure 3. Seven-step problem-solving model

**Troop-Leading Procedures**

TLP provide small-unit leaders a framework for planning and preparing for operations. Leaders of company and smaller units use TLP to develop plans and orders.

TLP extend the MDMP to small-unit level. The MDMP and TLP are similar but not identical. They are both linked by the basic problem-solving methodology. Commanders with a coordinating staff use the MDMP as their primary planning process. Company-level and smaller units do not have formal staffs and use TLP to plan and prepare for operations. Doing so places the responsibility for planning primarily on the commander or small-unit leader.

TLP consist of the eight steps as depicted in Figure 4, pages 11 through 13. The sequence of the TLP steps is not rigid. TLP steps may be modified to meet the mission, situation, and available time. Some steps are done concurrently; others may go on continuously throughout the operation.

The type, amount, and timeliness of the information passed from higher to lower headquarters directly impact the lower-unit

leader's TLP. Figure 5, page 15, illustrates the parallel sequences of the MDMP of a battalion with the TLP of a company and a platoon. Normally, the first three steps (receive the mission, issue a WARNO, and make a tentative plan) of TLP occur in order. However, the sequence of subsequent steps is based on the situation.

Army leaders begin TLP when they receive the initial WARNO or perceive a new mission. As each subsequent order arrives, leaders modify their assessments, update tentative plans, and continue to supervise and assess preparations.

Parallel planning hinges on distributing information as it is received or developed. Army leaders cannot complete their plans until they receive their unit mission. FM 5-0 provides additional information on TLP.

<b>TLP Guidance</b>	
<b>1. RECEIVE THE MISSION.</b>	<ul style="list-style-type: none"> <li>a. Understand commander's intent.</li> <li>b. Receive mission by operation order (OPORD), warning order (WARNO), or fragmentary order (FRAGO).</li> <li>c. Perform an initial assessment (mission, enemy, terrain and weather, troops and support available, time available, civil considerations [METT-TC]).</li> <li>d. Implement 1/3–2/3 rule for time management.</li> </ul>
<b>2. ISSUE A WARNO.</b>	<ul style="list-style-type: none"> <li>a. Include the mission or nature of the operation.</li> <li>b. Include the time and the place for issuing the OPORD.</li> <li>c. Include the units participating in the operation.</li> <li>d. Include specific tasks.</li> <li>e. Include the timeline for the operation.</li> </ul>

**Figure 4. TLP sequence**

<b>TLP Guidance (continued)</b>	
<b>3. MAKE TENTATIVE PLAN.</b>	<ul style="list-style-type: none"><li>a. Conduct mission analysis.</li><li>b. Consider higher HQ mission and commander's intent.</li><li>c. Consider higher HQ concept of the operation.</li><li>d. Consider specified, implied, and essential tasks.</li><li>e. Identify constraints.</li><li>f. Consider METT-TC and observation and fields of fire, avenues of approach, key terrain, obstacles, and cover and concealment (OAKOC).</li><li>g. Develop courses of action (COAs).</li><li>h. Analyze and compare COAs.</li></ul>
<b>4. INITIATE MOVEMENT.</b> <i>(Includes reconnaissance element, guides, quartering parties, or whole units.)</i>	<ul style="list-style-type: none"><li>a. Move to an assembly area.</li><li>b. Move to a new AO.</li><li>c. Move to battle position.</li></ul>
<b>5. CONDUCT RECONNAISSANCE.</b>	<ul style="list-style-type: none"><li>a. Seek to confirm or deny information that supports tentative plan.</li><li>b. Conduct firsthand assessment of METT-TC.</li><li>c. Conduct minimum reconnaissance (consists of map reconnaissance and imagery).</li><li>d. Focus on information gaps.</li></ul>
<b>6. COMPLETE THE PLAN.</b>	<ul style="list-style-type: none"><li>a. Incorporate results of reconnaissance into selected COA.</li><li>b. Prepare overlays.</li><li>c. Conduct or complete coordination with adjacent units, higher HQ, and logistics support.</li></ul>

**Figure 4. TLP sequence (continued)**



<b>TLP Guidance (continued)</b>	
<b>7. ISSUE THE ORDER.</b>	<ul style="list-style-type: none"><li>a. May be verbal or written.</li><li>b. Use five-paragraph format.</li><li>c. Use terrain model, maps, and detailed sketches.</li></ul>
<b>8. SUPERVISE AND REFINE.</b>	<ul style="list-style-type: none"><li>a. Throughout TLP, monitor mission preparation and refine the plan.</li><li>b. Conduct initial and final inspections of personnel and equipment.</li><li>c. Conduct rehearsals.</li><li>d. Conduct confirmation brief.</li><li>e. Conduct briefback.</li><li>f. Conduct combined arms rehearsal.</li><li>g. Conduct support rehearsal.</li><li>h. Conduct battle drills or standing operating procedures (SOPs) rehearsal.</li></ul>

**Figure 4. TLP sequence (continued)**

## **MILITARY DECISIONMAKING PROCESS**

The MDMP is a planning model that establishes procedures for analyzing a mission; developing, analyzing, and comparing courses of action (COAs) against criteria of success and each other; selecting the optimum COA; and producing a plan or order. The MDMP applies across the spectrum of conflict and range of military operations. Commanders with an assigned staff use the MDMP to organize their planning activities, share a common understanding of the mission and commander's intent, and develop effective plans and orders.

The MDMP can be as detailed as time, resources, experience, and situation permit. The MDMP is detailed, deliberate, sequential, and time consuming. All steps and substeps are used when enough planning time and staff support are

**GTA 41-01-001**

---

available to thoroughly examine two or more friendly and enemy COAs.

Commanders can alter the MDMP to fit time-constrained circumstances and produce a satisfactory plan. In time-constrained conditions, commanders assess the situation, update their commander's visualization, and direct the staff to perform those MDMP activities needed to support the required decisions. Streamlined processes permit commanders and staffs to shorten the time needed to issue orders when the situation changes. In a time-constrained environment, many steps of the MDMP are conducted concurrently.

Figure 6, page 16, shows a graphical representation of the MDMP inputs, steps, and outputs.

Commander's actions are listed under the commander's visualization column in Figure 7, page 17. The right column lists a series of briefings the staff gives to the commander. (The OPORD briefing is presented to subordinate commanders.) These briefings allow the staff to present their analysis and recommendations in a coordinated manner and receive guidance throughout the planning process.

The MDMP is also designed to allow the staff to interact and share information with subordinate HQ during planning. As decisions, information, and staff products become available, the higher HQ sends them to subordinates in WARNOs.

Figure 8, page 17, shows the parallel planning timeline using MDMP. Figure 9, page 18, shows a comparison of the steps between TLP and MDMP. Figure 10, page 19, shows the 17 steps of mission analysis within the MDMP framework. FM 5-0 provides additional information on the MDMP.

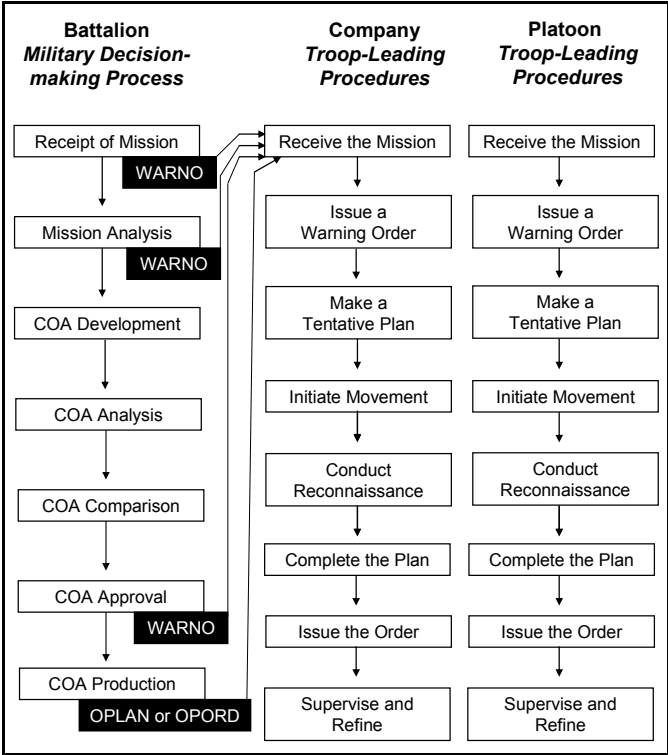
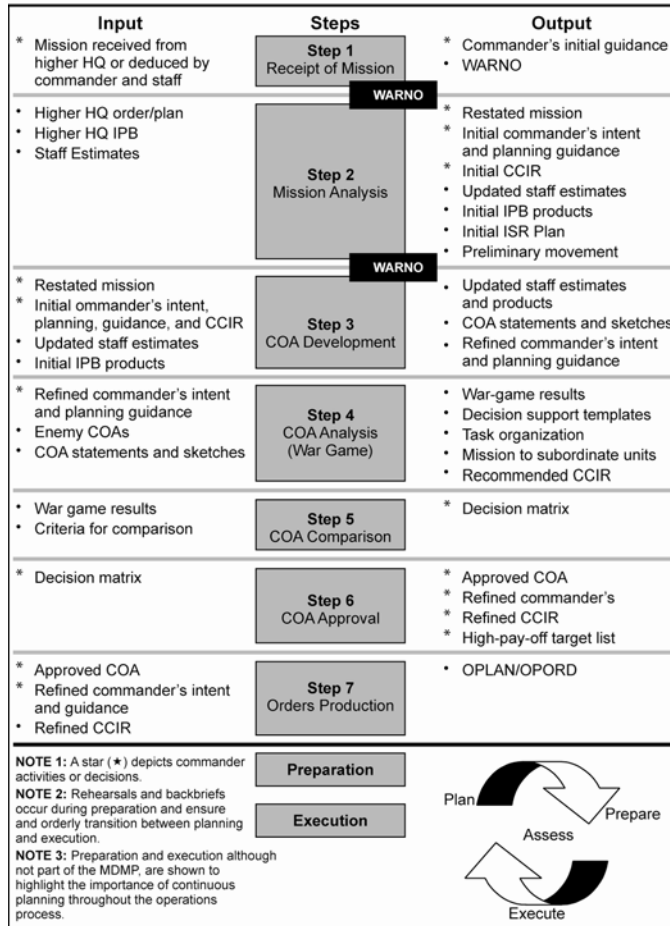


Figure 5. Parallel planning

**GTA 41-01-001**



**Figure 6. Military decisionmaking process**

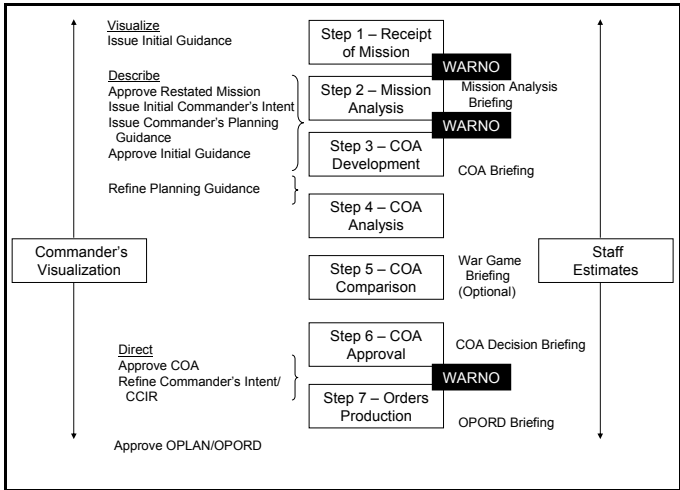


Figure 7. Role of the command and staff in the MDMP

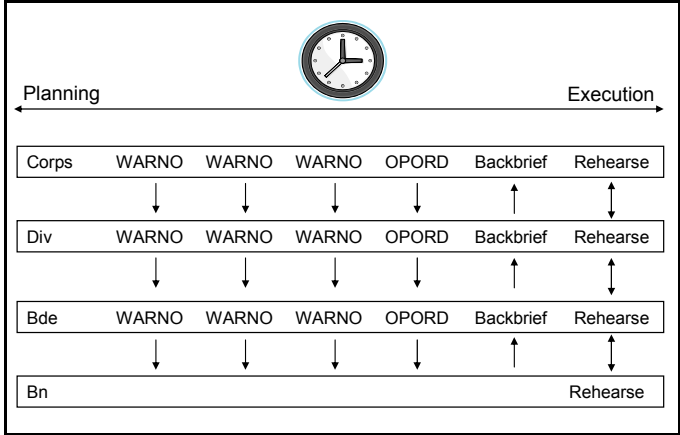


Figure 8. Parallel planning and the MDMP

TLP	MDMP
1. Receive the Mission	1. Receive the Mission
2. Issue the Warning Order	2. Conduct Mission
3. Make a Tentative Plan	3. COA Development
4. Initiate Movement	4. COA Analysis
5. Conduct Reconnaissance	5. COA Comparison
6. Conduct the Plan	6. COA Approval
7. Issue the Order	7. Orders of Production
8. Supervise	

Figure 9. TLP and MDMP comparison

## MISSION, ENEMY, TERRAIN AND WEATHER, TROOPS AND SUPPORT AVAILABLE, TIME AVAILABLE, CIVIL CONSIDERATIONS

### Mission

JP 1-02 defines mission as the task, together with the purpose, that clearly indicates the action to be taken and the reason therefore. The mission is always the first factor commanders consider during decision making. A thorough understanding of the mission focuses decision making throughout the operations process. Commanders analyze their missions and decisions in terms of the higher commander's intent, mission, and concept of operations (CONOPS). As commanders allocate tasks and resources to subordinates, they ensure their decisions support the decisive operation and the higher commander's intent. Commanders and staffs view all the other factors of METT-TC in terms of their impact on mission accomplishment.

The mission statement defines the *who, what, when, where, and why* of the operation. A thorough understanding of why the unit is conducting an operation provides the focus for planning. Commanders analyze a mission in terms of the intent of the

two higher commanders and their concepts of operations. They also consider the missions of adjacent units to understand their contributions in relation to their own units.

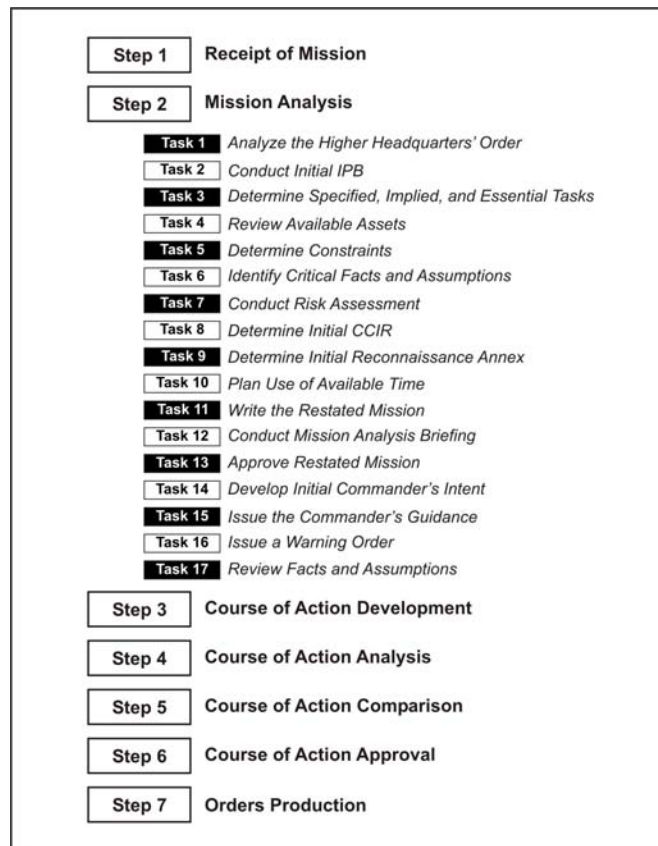


Figure 10. Mission analysis steps

### **Enemy**

The second factor to consider is the enemy's disposition (including organization, strength, location, and tactical mobility), doctrine, equipment, capabilities, vulnerabilities, and probable COAs. FM 34-130, *Intelligence Preparation of the Battlefield*, has additional information. Commanders will look for enemy weaknesses and strengths to deny options to enemy commanders and keep them reacting to friendly maneuvers. Commanders analyze their forces for weaknesses and vulnerabilities that enemies might exploit and act to counter them.

### **Terrain and Weather**

Terrain and weather are natural conditions. Commanders have only a limited ability to influence them, although terrain includes man-made structures, such as roads and cities. Human modification of terrain can change the shape of the land or its trafficability. It can also change local weather effects by modifying local wind or water pathways. When analyzing terrain, commanders consider man-made features and their effects on natural terrain features and climate. Commanders also consider the effects of man-made and natural terrain in conjunction with the weather on friendly and enemy operations. The second step of intelligence preparation of the battlefield (IPB) helps commanders with this complex task. FM 34-130 provides additional information. Terrain and weather are relatively neutral; they favor neither side unless one is better prepared to operate in the environment or is more familiar with it (for example, fighting on friendly territory). Commanders analyze terrain and weather for favorable and unfavorable conditions as discussed below:

*Terrain.* The terrain has a direct impact on selecting objectives; location, movement, and control of forces; effectiveness of weapons and other systems; and protective measures. Effective use of terrain diminishes the effects of enemy fires, increases the effects of friendly



fires, and facilitates surprise. The effects of terrain on operations vary, depending on whether a force is defending or attacking.

Terrain also includes environmental considerations; that is, the spectrum of environmental media, resources, or programs that affect and are affected by operations.

Terrain is normally analyzed using the five military aspects of terrain, expressed in the memory aid, OAKOC:

- Observation and fields of fire.
- Avenues of approach.
- Key and decisive terrain.
- Obstacles.
- Cover and concealment.

Commanders consider all five aspects when analyzing terrain. They focus on the ones most relevant to the situation. FM 6-0, *Command and Control of Army Forces*, provides additional information on the use of OAKOC.

*Weather.* Weather can create opportunities as well as difficulties for each side. Weather and climate have direct and indirect effects on tactical operations.

Climate is a longer-term but more predictable phenomenon than weather. Weather is a shorter-term but less predictable phenomenon than climate. Weather affects the condition and capabilities of Soldiers and weapon systems; this includes trafficability, visibility, obstacle emplacement times, and munitions performance.

Planners consider climate with longer-range plans, while most tactical planning considers weather. Effective commanders use weather and climate to their advantage.

### **Troops and Support Available**

The fourth factor of METT-TC is the number, type, capabilities, and condition of available friendly troops and support.

---

**GTA 41-01-001**

---

Commanders consider available troops and support when analyzing whether they have enough resources to accomplish a mission. If commanders determine that they do not, they request more from the higher commander. Increasing assets in one area may compensate for a shortage of assets in another.

**Time Available**

Effective commanders and staffs know how much time and space their units need to plan, prepare, and execute operations. This includes the time required to assemble, deploy, move, and converge units to mass the effects of combat power effectively. They also consider time with respect to the enemy: time available is always related to the enemy's ability to plan, prepare, and execute operations and react effectively to friendly actions. Time available varies with unit size and mission. It also depends on how much time is usable; for example, for some activities, hours of darkness are usable time, whereas for others, they are not.

Consideration of time available further includes the time subordinate commanders and units require to plan and prepare their own operations. FM 5-0 provides additional information. Parallel planning can help make the most of time available

**Civil Considerations**

Civil considerations comprise the influence of man-made infrastructure, civilian institutions, and attitudes and activities of the civilian leaders, populations, and organizations within an AO on the conduct of military operations. Civil considerations are a factor in all types of military operations: offense, defense, stability, and support. If the military's mission is to support civil authorities, civil considerations define the mission.

Civil considerations generally focus on the immediate impact of civilians on operations in progress; however, they also include larger, long-term diplomatic, informational, and economic issues at higher levels. At the tactical level, they directly relate to key civilian areas, structures, capabilities, organizations,

people, and events (ASCOPE) within the AO. Discounting these can tax the resources of follow-on elements. The world's increasing urbanization means that the attitudes and activities of the civilian population in the AO often influence the outcome of military operations. Civil considerations of the environment can either help or hinder friendly or enemy forces; the difference lies in which commander has taken time to learn the situation and its possible effects on the operation. These considerations can influence the choice of a COA and the execution of operations.

Some effects of civil considerations may impede overall force activities; others affect Soldiers directly, preventing them from functioning to their full capability. Anticipation and preparation can often overcome these effects or even turn them to friendly advantage. This holds particularly true for civil considerations, where careful preparation can turn parts of civil populations into advantages for friendly forces and disadvantages for enemy forces.

An appreciation of civil considerations—the ability to analyze their impact on operations—enhances several aspects of operations: among them, the selection of objectives; location, movement, and control of forces; use of weapons; and force protection measures. Civil considerations comprise six characteristics, expressed in the memory aid ASCOPE.

### **CIVIL CONSIDERATIONS ANALYSIS— ASCOPE**

CAO/CMO planners apply the factors of METT-TC, concentrating on the civil considerations aspect of the AO during the conduct of MDMP. Civil considerations are analyzed using the mnemonic ASCOPE. The six characteristics are—

- **Areas.**
- **Structures.**
- **Capabilities.**

#### **GTA 41-01-001**

---

- **O**rganizations.
- **P**eople.
- **E**vents.

**Areas** are key localities or aspects of the terrain within a commander's operational environment that are not normally thought of as militarily significant. Failure to consider key civil areas, however, can seriously affect the success of any military mission.

CA personnel analyze key civil areas from two perspectives: how do these areas affect the military mission and how do military operations impact on civilian activities in these areas? At times, the answers to these questions may dramatically influence major portions of the COAs being considered.

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.

**Structures** are existing civil structures that take on many significant roles. Some, such as bridges, communications towers, power plants, and dams, are traditional high-payoff targets. Others, such as churches, mosques, national libraries, and hospitals, are cultural sites that are generally protected by international law or other agreements. Still others are facilities with practical applications, such as jails, warehouses, schools, television stations, radio stations, and print plants, which may be useful for military purposes. Some aspects of the civilian infrastructure, such as the location of toxic industrial materials, may influence operations.

Structures analysis involves determining the location, functions, capabilities, and application in support of military operations. It also involves weighing the consequences of removing them from civilian use in terms of political, economic, religious, social, and informational implications; the reaction of the populace; and the expected military benefits against costs to the community that will have to be addressed in the future.

Civil **capabilities** can be viewed from several perspectives. The term “capabilities” may refer to—

- Existing capabilities of the populace to sustain itself, such as through public administration, public safety, emergency services, and food and agriculture systems.
- Capabilities with which the populace needs assistance, such as public works and utilities, public health, public transportation, economics, and commerce.
- Resources and services that can be contracted to support the military mission, such as interpreters, laundry services, construction materials, and equipment. Local vendors, the HN, or other nations may provide these resources and services. In hostile territory, civil capabilities include resources that may be taken and used by military forces, consistent with international law.

Analysis of the existing capabilities of the AO is normally conducted based on the 14 CA functional specialties. The analysis also identifies the capabilities of partner countries and organizations involved in the operation. In doing so, CAO/CMO planners consider how to address shortfalls, as well as how to capitalize on strengths in capabilities.

Civil **organizations** are nonmilitary groups or institutions in the AO. They influence and interact with the populace, the force, and each other. They generally have a hierarchical structure, defined goals, established operations, fixed facilities or meeting places, and a means of financial or logistical support.

**GTA 41-01-001**

---

Some organizations may be indigenous to the area. These may include church groups, fraternal organizations, patriotic or service organizations, labor unions, criminal organizations, and community watch groups. Other organizations may come from outside the AO. Examples of these include multinational corporations, United Nations agencies, U.S. governmental agencies, and NGOs, such as the International Red Cross.

Organizations can assist the commander in keeping the populace informed of ongoing and future activities in an AO and influencing the actions of the populace. They can also form the nucleus of HA programs, interim-governing bodies, civil defense efforts, and other activities.

Operations often require coordination with international organizations and NGOs. Commanders remain familiar with organizations operating in their AOs. Situational understanding includes understanding how the activities of different organizations may affect military operations and how military operations may affect these organizations' activities. From this commanders can determine how organizations and military forces can work together toward common goals when necessary.

**People**, both individually and collectively, can have a positive impact, a negative impact, or no impact on military operations. In the context of ASCOPE, the term "people" includes civilians or nonmilitary personnel encountered in an AO. The term may also extend to those outside the AO whose actions, opinions, or political influence can affect the military mission. In all military operations, U.S. forces must be prepared to encounter and work closely with civilians of all types. When analyzing people, CA Soldiers consider historical, cultural, ethnic, political, economic, and humanitarian factors. They also identify the key communicators and the formal and informal processes used to influence people.

Regardless of the nature of the operation, military forces will usually encounter various civilians living and operating in and around the supported unit's AO. To facilitate determining who they might be, it is useful to separate civilians into distinct categories. In foreign operations, these categories might include—

- Local nationals (town and city dwellers, farmers and other rural dwellers, and nomads).
- Local civil authorities (elected and traditional leaders at all levels of government).
- Expatriates.
- Foreign employees of IGOs or NGOs.
- USG and third-nation government agency representatives.
- Contractors (U.S. citizens, local nationals, and third-nation citizens providing contract services).
- DOD civilian employees.
- The media (journalists from print, radio, and visual media).

Civilian activities are dictated primarily by the type of environment in which they occur. Each category of civilian should be considered separately, as their activities will impact differently, both positively and negatively, on the unit's mission. Military operations affect civilian activities in various ways. When analyzing people consider historical, cultural, ethnic, political, economic, and humanitarian factors as well as the political, economic, psychological, environmental, and legal impact of operations on the categories of civilians identified in the AO. You should also identify the key communicators and the formal and informal processes used to influence people

**Events** are routine, cyclical, planned, or spontaneous activities that significantly affect organizations, people, and military operations. Examples include national and religious holidays, agricultural crop/livestock and market cycles, elections, civil

**GTA 41-01-001**

---

disturbances, and celebrations. Other events are disasters from natural, man-made, or technological sources. These create civil hardship and require emergency responses. Examples of events precipitated by military forces include combat operations, deployments, redeployments, and paydays. Once significant events are determined, it is important to template the events and to analyze them for their political, economic, psychological, environmental, and legal implications.

Technological innovations, external social influences, and natural and man-made disasters (such as hurricanes, environmental damage, and war) affect the attitudes and activities of governments and civilian populations. These changes cause stress in the civilian population and its leaders. The civilian population may or may not successfully incorporate these changes within its existing cultural value system. Addressing the problems posed by change requires considerable time and resources. The impatience of key leaders and groups, legal restrictions, and limits on resources can make resolution difficult. However, when resolution is necessary to accomplish the mission, commanders become concerned with it.

FM 6-0, FM 3-05.40, and FM 3-05.401 provide additional information on ASCOPE.

## **CIVIL AFFAIRS METHODOLOGY**

The focus of all CAO/CMO is to enable commanders to engage the civil component of their operational environment. CAO/CMO are integrated into the conduct (plan, prepare, execute, and assess) of all operations and include those activities that establish, maintain, influence, or exploit relations between military forces, governmental and nongovernmental civilian organizations and authorities, and the civilian populace within an area of responsibility (AOR), joint operations area (JOA), or AO. This effort focuses on assessing, monitoring, protecting, reinforcing, establishing, and transitioning political, economic, social, and cultural institutions. CA Soldiers assist



commanders by conducting these operations and tasks both actively, through direct contact, and passively, through observation, research, and analysis.

The CA methodology describes how CA Soldiers, elements, and units approach all CAO/CMO. It consists of six steps:

- Assess.
- Decide.
- Develop and detect.
- Deliver.
- Evaluate.
- Transition.

The first five steps together are known as AD3E.

The CA methodology is applied equally by CA Soldiers at the strategic, operational, and tactical levels of war. At each level, it supports the commander's ability to visualize, describe, direct, and lead operations in his exercise of battle command. FM 3-05.401 provides a detailed discussion of the six steps of the CA methodology. A brief explanation of each step is discussed below:

- **Assess.** *Assess current conditions against a defined norm or established standards.* This assessment begins at receipt of the mission and continues through the mission analysis process focusing on defining the civil components of the supported commander's AO. This step looks at the civil considerations of METT-TC using ASCOPE that shape the operational environment. It is conducted for each of the CA 14 functional specialties as well as the general aspects of the AO. The product of this step is an initial estimate and restated mission statement.

- **Decide.** *Decide who, what, when, where, why, and how to focus CA assets and actions that support the commander's intent, planning guidance, and CONOPS.* This step encompasses integrating CAO into unit COAs and analyzing and providing recommendations to the commander for a COA decision from a CA perspective. Upon the commander's COA decision, CA leaders refine a concept of CAO/CMO and the CAO/CMO plan. The plan directs task-organized CA elements and non-CA forces to create or observe those conditions or events that would either mitigate or trigger a specific CAO/CMO response. It also addresses all CAO/CMO from initial response through transition to other authorities, whether they are military or civilian. The products of this step include the commander's concept for CMO, CA priorities, and the CMO annex. In addition, measures of performance (MOPs) and MOEs for the various related objectives and tasks are identified.
- **Develop and detect.** *Develop rapport and relationships with the nonmilitary participants of the operation (including the IPI) and detect those conditions or events that would call for a specific CAO/CMO response.* CA accomplishes this step through numerous actions and operations, such as facilitating the interagency process in the civil-military operations center (CMOC), hosting meetings, participating in selected DC operations, conducting civil reconnaissance (CR) in support of CIM, and monitoring public information programs and CAO/CMO-related reports from the field. The products of this step include continuous assessments, revised or updated plans, formalized CMOC terms of reference, and FRAGOs.

- **Deliver.** *Engage the civil component with planned or on-call CAO (PRC, FHA, NA, SCA, and CIM/CMO, as appropriate.* This step is executed according to synchronized plans by CA Soldiers, non-CA Soldiers, IGOs, NGOs, IPI, and HN assets. The product of this step is an executed mission.
- **Evaluate.** *Evaluate the results of the executed mission.* This step validates the CAO/CMO CONOPS and supports the management of MOPs and MOEs to assess task accomplishment and attainment of objectives. Evaluators analyze the effects of the operation (both desirable and undesirable) based on each of the 14 CA functional specialties, determine the sustainability of any projects or programs initiated during the execution phase, and recommend follow-on actions.
- **Transition.** *Transition CAO/CMO to follow-on CA units, other military units, HN and IPI assets, IGOs, NGOs, OGAs, and other civilian agencies as appropriate.* This step is CA's direct contribution to a sustainable solution and the commander's ability to secure the victory. This step is executed according to synchronized transition plans. The outcome of this step includes successful transition of authority or relief-in-place, and programs that are durable and sustainable by the follow-on force or organization.

Elements of the common problem-solving and decision-making processes used at various levels of command are embedded within the steps of the CA methodology (Figure 11, pages 32 and 33).

The CA methodology is not necessarily linear. It is a spiral in which new missions are spawned during the evaluation phase, which starts the process over again. Several spirals may also occur simultaneously and, at times, overlap as operations become time-sensitive and more complex.

CA Methodology	Basic Problem-Solving Steps	SO Operational Planning Procedures	Joint Operations Planning Process	Crisis Action Planning	MDMP	Troop-Leading Procedures
Assess	Identify the Problem	Receive Mission	Initiation	Phase 1: Situation Development	Receive Mission	Receive Mission
	Identify Facts and Assumptions	Initiate the SOMP Conduct Mission Analysis	Mission Analysis	Phase 2: Crisis Assessment	Analyze Mission	Issue a Warning Order
Decide	Generate Alternatives	Send CONOPS to Mission-Tasking HQ	COA Development	Phase 3: COA Development	Develop COAs	Make a Tentative Plan
	Analyze the Alternatives	Attend Mission Conference/Orders Briefs and Conduct Predeployment Site Survey	COA Analysis	Phase 4: COA Selection	Analyze COAs	Start Necessary Movement
	Compare the Alternatives	Receive CONOPS Approval	COA Comparison		Compare COAs	Conduct a Preliminary or Initial Assessment
	Make a Decision	Refine Concept into OPLAN, CONPLAN, Supporting Plan or CPORD	COA Approval		Approve COA	
		Conduct Briefback	Develop Plan or Order		Produce Orders	Issue the Complete Order

Figure 11. Comparison of CA methodology and problem-solving and decisionmaking processes

CA Methodology	Basic Problem-Solving Steps	SO Operational Planning Procedures	Joint Operations Planning Process	Crisis Action Planning	MDMP	Troop-Leading Procedures
Develop and Detect	Execute the Decision	Deploy		Phase 5: Execution Planning	Prepare	Supervise
Deliver	Execute the Decision	Execute the Mission		Phase 6: Execution	Execute	
Evaluate	Assess the Results	Document Results of Mission				
Transition		Redeploy				
Legend: CONPLAN – Concept Plan OPORD – Operation Order SOMPF – Special Operations Mission Planning Folder						

Figure 11. Comparison of CA methodology and problem-solving and decisionmaking processes (continued)

## INFORMATION GATHERING

Information necessary to describe and define the civil situation of an AO is obtained from classified and open sources. At the strategic theater and operational levels, CMO planners organize data collection according to the analysis of the six interrelated characteristics of ASCOPE within each of the political, military, economic, social, information, infrastructure, and other systems:

- **Political** data collection—
  - Defines the overall political situation in the AOR.
  - Identifies the political leadership and type of government.
  - Identifies those key aspects of the commander's operational environment, such as political boundaries and centers of the foreign nation (FN) government—strengths, weaknesses, role in society, and so on.
  - Includes intergovernmental organizations present in the AO.
- **Military** data collection—
  - Identifies the CMO capabilities of all U.S. and non-U.S. forces available in the AO.
  - Identifies how the military situation within the AO influences the current mission requirement.
  - Identifies how the current military situation is affecting stability, government security, and so on.
  - Identifies what the role of the military is in the applicable country.
- **Economic** data collection—
  - States the strengths and weaknesses of the economic systems along with nation's plans for economic development goals and objectives impacting the military mission.

- Includes shortages affecting the commander's ability to use FN supplies or impacting the operation, including the FN's ability to supply enough foodstuffs to meet the civil populace's need.
- Identifies the agricultural calendar—harvest and planting seasons.
- Identifies the economic fiscal calendar.
- **Social** data collection—
  - States the current social climate in the AO.
  - Identifies key civilian personnel inside and outside the AO and their linkage to the population. Key is the identification of leaders of the various factions of the population, to include—
    - Figureheads.
    - Clerics.
    - Subject matter experts (SMEs) associated with the operation of critical civil infrastructure, such as water production and treatment, communications, electrical generation, transportation, health services, and so on.
  - Identifies the role of religion in society—religious and fraternal groups.
  - Identifies events that can affect the commander's mission—significant weather events (floods), elections, the school year, the fiscal year, and holidays (religious periods and traditional vacation time).
- **Information** data collection—
  - Describes the current status and ability to transmit and receive information within the AO.
  - Lists locations and meeting cycles of key nonmilitary agencies in the AO (international

organizations and NGOs, UNHCR, World Food Program [WFP] United Nations [UN], Office of Foreign Disaster Assistance [OFDA], governing bodies, health services, judicial and law enforcement agencies, and community organizations).

- **Infrastructure** data collection—
  - Describes the civil infrastructure in the AO. Concentrates on how the state of the infrastructure assists or hinders the commander's mission.
  - Identifies condition and location of key structures, including—
    - Government facilities.
    - Medical treatment facilities.
    - Cultural sites—monuments, religious shrines, libraries, museums, and so on.
    - Facilities with practical applications—detention facilities and warehouses.
    - Power generation and transmission facilities.
    - Transportation grids and port, rail, and aerial facilities.
    - Water purification and sewage treatment plants.
    - Radio and television (TV) production and transmission facilities.
  - Identifies agricultural and mining regions, and other significant geographic and economic features.

The data sources CMO planners use for gathering information include U.S. and foreign government agencies; international, nongovernmental, and private humanitarian/charitable organizations; and digital libraries. Access to classified military database networks and the World Wide Web (WWW) greatly enhances the CMO planner's ability to obtain the critical information needed to conduct mission analysis.



Open-source information or data gathered for use during mission analysis might be dated, secondhand, or incomplete. Verification of critical data from multiple sources establishes the data as fact. If CMO planners cannot verify data elements, they must identify the data as assumptions until verification occurs. CMO planners continuously gather, validate, analyze, and integrate information during mission analysis.

Figure 12, shows a technique for assessing the ASCOPE factors by the political, military, economic, social, information, infrastructure, and other systems.

Analyzing Information Systems	ASCOPE Factor					
	Areas	Structures	Capabilities	Organizations	People	Events
Information						
Infrastructure						
Social						
Economic						
Military						
Political						

Figure 12. Information analysis grid

## **RUNNING ESTIMATE**

An assessment of the situation and an analysis of those COAs a commander is considering that best accomplish the mission is called a running estimate. It includes an evaluation of how factors in a staff section's functional area influence each COA and includes conclusions and a recommended COA to the commander.

Running estimates parallel the MDMP. Mission analysis, facts and assumptions, and the analysis of the factors of METT-TC furnish the structure for running estimates. Estimates consist of significant facts, events, and conclusions based on analyzed data. They recommend how to best use available resources.

The coordinating staff and each staff principal develop facts, assessments, and information that relate to their functional field or warfighting functions. Types of estimates include, but are not limited to—

- Operations estimate.
- Personnel estimate.
- Intelligence estimate.
- Logistics estimate.
- CMO estimate.
- Signal estimate.
- Information operations (IO) estimate.
- Special running estimates.

The CMO estimate is the CMO planner's (S-9/G-9) running estimate. It is an evaluation of how CMO factors may influence the COA the commander is considering. This section addresses how the CMO planner develops and maintains the running estimate, and its relationship to the tasks of the MDMP. It shows which paragraphs of the estimate contribute to the CMO annex of operations plans (OPLANs) and OPORDs. It includes an annotated CMO estimate format.

### CMO Estimate Development

The CMO estimate supports decision making throughout an operation. It is particularly helpful during the MDMP (Figure 13). The CMO estimate shows how CMO can best be integrated into the overall operation. An effective CMO planner begins to compile the CMO estimate immediately upon receipt of the higher command's WARNO, or sooner if possible.

MDMP Task	Running Estimate
Receipt of Mission	Prepare and begin recording information.
Mission Analysis	Paragraph 1, Mission <ul style="list-style-type: none"> <li>• CMO concept of support</li> <li>• Enemy forces</li> <li>• Friendly forces</li> <li>• Assumptions</li> <li>• ASCOPE</li> </ul>
COA Development	Paragraph 3, COA Development
COA Analysis (War Game)	Paragraph 4, COA Analysis <ul style="list-style-type: none"> <li>• CMO in COA 1 <ul style="list-style-type: none"> <li>▪ CMO concept of support</li> <li>▪ CMO goals and objectives</li> <li>▪ Analysis</li> <li>▪ Risk analysis</li> </ul> </li> <li>• CMO in COA 2, and so on</li> </ul>
COA Comparison	Paragraph 5, COA Comparison
COA Approval	Paragraph 7, Recommendation and Conclusions
Order Production	Update running estimates to reflect approved COA information.

**Figure 13. CMO estimate contributions to the MDMP**

**GTA 41-01-001**

---

The CMO estimate is a running estimate. It is a living document that is continuously updated throughout the operations process. This staffing tool enables planners to make assessments during preparation and execution.

The CMO estimate is a process and a product. The process calls for a disciplined approach to gathering and processing information, and recording the analytical results. Automated tools such as databases and word processing programs give the CMO planner the flexibility and responsiveness needed to tailor the estimate to meet a variety of requirements. The CMO estimate is a living document that is continuously refined as additional information becomes available. A current estimate allows the CMO planner to quickly provide accurate information to meet planning requirements as they change.

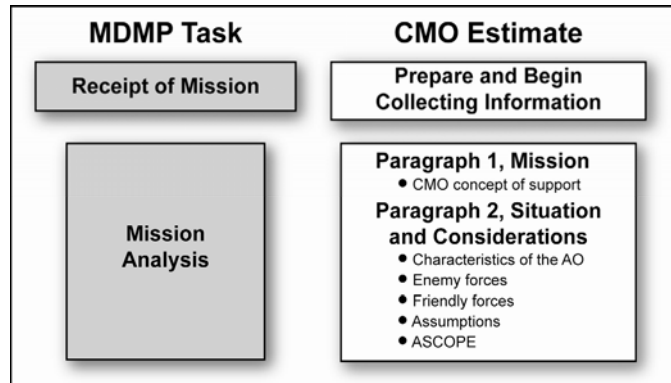
Normally, the CMO estimate provides enough information to complete the first draft of the CMO annex and write the CMO paragraph for the base OPORD or OPLAN. The CMO estimate's depiction of the future also contributes to the commander's visualization. The estimate-derived initial CMO annex should be enough to begin an operation. The CMO estimate should be as comprehensive as possible within the time available.

The mission analysis step of the MDMP produces the first two paragraphs of the CMO estimate. The completion of paragraphs 1 and 2 of the CMO estimate is the S-9/G-9 product that signals the end of the mission analysis phase of the supported unit's MDMP (Figure 14, page 41). Paragraphs 1 and 2 of the CMO estimate are input for the mission analysis briefing.

To focus the estimate process, planners first develop a restated mission statement that delineates those CMO tasks necessary to successfully support the commander's mission. The mission statement is a short sentence or paragraph describing the unit's CMO essential task (or tasks) and purpose that clearly indicate the action to be taken and the reason for doing so. It contains the elements of who, what,

when, where, and why, and the reasons thereof, but seldom specifies how. FM 5-0 provides additional information. The restated mission becomes paragraph 1, Mission, of the CMO estimate. The CMO restated mission answers the following five elements:

- Who will execute CMO (unit, organization, or other CMO assets)?
- What is the unit's priority CMO task?
- When will the operation begin (by time or event), or what is the duration of the operation?
- Where will the operation occur (AO, objective, latitude and longitude, or military grid location)?
- Why will the force conduct CMO (mission objectives and end state)?



**Figure 14. CMO estimate contributions to MDMP mission analysis**

#### **GTA 41-01-001**

---

Mission analysis continues with the development of paragraph 2, Situation and Considerations, of the CMO estimate. This section of the estimate examines four distinct elements:

- Characteristics of the AO.
- Enemy forces.
- Friendly forces.
- Assumptions.

The element “characteristics of the operational area” describes the civil environment’s status or condition and capabilities. This description begins with a short narrative that identifies key CMO factors derived from the analysis of the current intelligence estimate, area studies, and the preliminary CMO assessment. This element is further subdivided into three subsections:

- Weather.
- Terrain.
- Civil considerations.

CMO planners obtain data for the analysis of enemy forces in the AO from the intelligence estimate and the preliminary CMO assessment. CMO planners describe enemy capabilities by considering sabotage, espionage, subversion, terrorism, and movement of DCs. CMO planners discuss the enemy’s ability to influence or affect planned military operations and CMO in this section. Continuous coordination with the intelligence staff enhances the CMO planner’s ability to accurately describe the potential impact of enemy forces on the CMO mission.

Analysis of friendly forces identifies those military and OGAs operating in the AO, their assets, and their capability to support the CMO requirement. CMO planners develop separate narratives, first to describe the status of military CMO resources, and secondly to describe the status of OGA resources. This section concludes with a comparison of available capabilities versus those requirements necessary for CMO mission

accomplishment. CMO planners clearly describe discrepancies between capabilities and requirements. CMO planners include solutions to rectify the discrepancies as recommendations.

CMO planners conclude this paragraph of the CMO estimate with a list of assumptions developed during mission analysis. An assumption is appropriate if it meets the tests of validity and necessity. Validity means the assumption is likely to be true. "Assuming away" potential problems, such as weather or likely enemy COAs, produces an invalid assumption. Necessity is whether the assumption is essential for planning. If planning can continue without the assumption, it is not necessary and CMO planners should discard it.

CMO planners continuously integrate the results of the CMO mission analysis step of MDMP with the estimates of the other staff sections. Synchronization of the various staff products assists in the development of COAs by the operations staff and refinement of IPB products. Depending on the time available, the mission analysis products of the staff may be presented to the commander in the form of a mission analysis briefing.

The mission analysis briefing, by the staff, results in an approved restated mission statement and the commander's initial intent, planning guidance, and critical information requirements. These elements form the basis for COA development.

During mission analysis, the commander and staff ensure they understand the operational desired end state and associated objectives. The mission analysis process designs the tactical desired end states and supporting objectives through the identification of desirable and undesirable effects. Mission planning begins with the development of a COA and concludes with the production of an OPLAN or OPORD (Figure 15, page 46).

#### **COA Development**

The commander's planning guidance may limit the number of COAs requiring development. Normally, the operations staff

#### **GTA 41-01-001**

---

produces the narrative statements and supporting graphics that describe each distinct COA. When considering COAs, each must be fully capable of accomplishing the commander's mission. Each COA is then developed as fully as time allows, filling in as many details as possible given the current facts and assumptions. Like all military forces, CA participates in the full range of military operations. CMO staff planners support COA development by identifying supporting actions conducted by available CA and other forces that accomplish the CMO tasks identified during mission analysis. COAs may vary because of differences in employment of the main effort, task organization, populace situation or objectives, the use and composition of forces, and the scheme of maneuver.

#### **COA Analysis**

A COA analysis consists of a feasibility check, war gaming, risk assessment, and comparison of war game results. The war game of the COA is critical for the commander and staff to ensure all elements are fully integrated and synchronized. Prior to the war game, CMO planners select criteria by which to evaluate the results of the war gaming of each COA. CMO planners focus on the ability of available CA and other forces to accomplish the CMO tasks identified during mission analysis. Analysis of each COA determines if the COA is—

- Suitable.
- Feasible.
- Acceptable.
- Distinguishable.
- Complete.

#### **COA Comparison**

The COA comparison discovers the strengths and weaknesses of a COA. Governing factors may include the speed of deployment, risk, redundancy or capability, flexibility, and logistics. Not all of these governing factors, however, are equal.



Some may be based on the commander's guidance and intent. For example, is the COA under consideration more likely to achieve the essential tasks, or does it support the achievement of all CMO objectives equally well?

#### **COA Approval**

The CMO planner makes a recommendation to the commander based only on essential information, such as mission, situation, and deductions about the situation, critical analysis, and sound doctrine. The commander's decision may be based on experience, estimate of the situation, the COA's inherent flexibility, task organizations, and risk. Paragraphs 3, 4, 5, and 6 of the CMO estimate are input to the COA decision briefing.

### **CMO ESTIMATE FORMAT**

Once the commander approves a COA, the CMO planner prepares the CMO annex. The annex is not a total reevaluation; rather, the analysis done during COA comparison is explained based on the approved COA.

Upon completion of the CMO estimate (Figure 16, pages 47 through 49), the CMO planner will have prepared the majority of input needed for the OPLAN/OPORD. The CMO planner can build most of the CMO annex through "cut-and-paste" from a well-prepared CMO estimate (Figure 17, page 50).

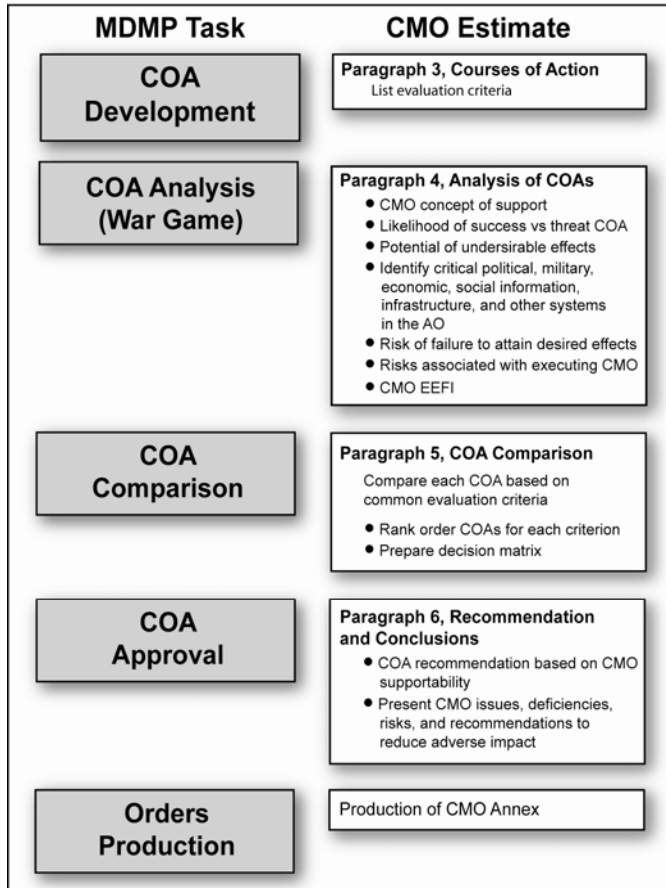


Figure 15. MDMP and CMO estimate comparison

<b>CLASSIFICATION</b>	
	Issuing Headquarters
	Place of Issue
	Date/Time Group
CIVIL-MILITARY OPERATIONS ESTIMATE NUMBER:	
REFERENCES: List maps, charts, CMO-related documents, and local command guidance.	
<ol style="list-style-type: none"> <li>1. <b>MISSION.</b> Cite the restated CMO mission from the mission analysis.</li> <li>2. <b>SITUATION AND CONSIDERATIONS.</b> <ol style="list-style-type: none"> <li>a. Characteristics of the area of operations (key CMO factors derived from the intelligence estimate and area studies assessments).               <ol style="list-style-type: none"> <li>(1) Weather. State how the military aspects of weather affect CMO.</li> <li>(2) Terrain. State how aspects of terrain affect CMO.</li> <li>(3) Civil Considerations:                   <ol style="list-style-type: none"> <li>(a) Attitudes of the population (cooperative or uncooperative).</li> <li>(b) Availability of the population (cooperative or uncooperative).</li> <li>(c) Availability of local material and personnel to support military operations.</li> <li>(d) Number of dislocated civilians in the area.</li> <li>(e) Amount and type of war damage suffered by the economy (particularly in transportation, public utilities, and communications).</li> <li>(f) Status and charter of the civil government.</li> <li>(g) State of health of the civilian populace. Ability of local police, judicial authorities, and correction officials to maintain public order.</li> <li>(h) CMO environment. When working at the tactical level, describe the areas, structures, capabilities, organizations, people, and events.</li> </ol> </li> </ol> </li> </ol> </li> </ol>	
<b>CLASSIFICATION</b>	

Figure 16. CMO estimate format

<p style="text-align: center;"><b>CLASSIFICATION</b></p> <ul style="list-style-type: none"><li>b. Enemy Forces. Include key CMO factors from the intelligence estimate and area assessments. Address enemy capabilities by considering sabotage, espionage, subversion, terrorism, and movement of dislocated civilians, and the enemy's ability to influence or affect planned military operations and CMO.</li><li>c. Friendly Forces.<ul style="list-style-type: none"><li>(1) Current status of CMO resources (OGA).</li><li>(2) Comparison of CMO assets and resource requirements versus CMO capabilities available and recommended solutions for discrepancies.</li></ul></li><li>d. Assumptions. CMO assumptions developed during mission analysis.</li></ul> <p><b>3. COURSE OF ACTION.</b></p> <ul style="list-style-type: none"><li>a. List the friendly COAs war-gamed.</li><li>b. List the evaluation criteria identified using COA analysis. All staff sections use the same evaluation criteria.</li></ul> <p><b>4. ANALYSIS OF COURSE OF ACTION.</b></p> <ul style="list-style-type: none"><li>a. COA.<ul style="list-style-type: none"><li>(1) Analyze the CMO concept of support using the CMO analysis. All staff sections use the same evaluation criteria.</li><li>(2) Estimate the likelihood of accomplishing CMO objectives in the available time, given friendly CMO capabilities and vulnerabilities versus likely threat COAs.</li><li>(3) Determine the potential for unintended consequences of CMO tasks and the possible impacts on both adversary and friendly COAs.</li><li>(4) Identify critical subsystems within ASCOPE that should be evaluated within COA analysis to assess CMO requirements.</li></ul></li></ul> <p style="text-align: center;"><b>CLASSIFICATION</b></p>
---

Figure 16. CMO estimate format (continued)

<b>CLASSIFICATION</b>
<ul style="list-style-type: none"> <li>(5) Assess the effectiveness of CMO-related capabilities in relation to each other. Assess the most significant CMO-related vulnerabilities.</li> <li>(6) Evaluate the risk of failure to reach CMO goals or objectives in terms of effects on the success of the COA.</li> <li>(7) Analyze the risk in executing CMO in the COA in terms of nonavailability of assessments of resources.</li> </ul> <p>b. COA 1. (Repeat the process outlined above for all COAs).</p> <p><b>5. COA COMPARISON.</b> Compare the COAs in terms of the evaluation criteria. Rank-order COAs for each criterion. Visually support the comparison with a decision matrix.</p> <ul style="list-style-type: none"> <li>a. Compare the costs of CMO in each COA based on the resources and time required executing them in relation to the operational impact of their success (if a stated evaluation criteria).</li> <li>b. Compare the levels of risk to COA success and friendly assets should CMO fail (if a stated evaluation criteria).</li> <li>c. Summarize the advantages and disadvantages for CMO in each COA to evaluate the chance of success in each (as taken from the CMO analysis).</li> </ul> <p><b>6. RECOMMENDATION AND CONCLUSIONS.</b></p> <ul style="list-style-type: none"> <li>a. Recommend a COA based on the comparison (most supportable from the CMO perspective).</li> <li>b. Present CMO issues, deficiencies, risks, and recommendations to reduce their impacts.</li> </ul> <p>/signed/          (Designation of staff officer or originator)          APPENDIXES: (As required)</p>
<b>CLASSIFICATION</b>

Figure 16. CMO estimate format (continued)

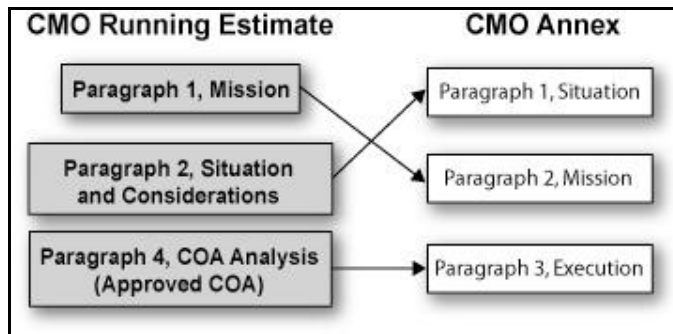


Figure 17. CMO estimate contributions to the CMO annex

### CMO ANNEX

The CMO annex (Figure 18, pages 51 through 53) serves three primary purposes:

- The situation paragraph provides operational details on the situation from a CMO perspective.
- The execution paragraph and matrix provide the direction needed to focus the effects of the CMO elements.
- The assessment matrix displays the information needed to assess CMO tasks.

The CMO annex also addresses service support, command, and signal aspects of CMO that are not covered elsewhere in the OPLAN or OPORD. Much of the information in the CMO annex is derived from the CMO area study and CMO estimate. Major portions of the annex can be written directly from the CMO estimate. Much of the information required for the execution and assessment matrices can be taken from CMO work sheets developed for COA approval. Normally, in Army operations, this annex is Annex Q (FM 5-0).

<b>CLASSIFICATION</b>
ANNEX ____ (Civil-Military Operations)
TO ____ (Corps/Division/Brigade)
OPLAN # (OPORD #) _____
REFERENCES: List those documents used to prepare this annex.
1 – CMO annex of higher HQ.
2 – Relevant plans of participating civilian organizations.
3 – Relevant civilian agency operations guides and standards documents.
4 – Coordinated transition plans.
5 – International treaties and agreements.
6 – Operational CA database.
7 – Others (as applicable).
<i>Task Organization.</i> State the CMO task organization for this mission.
<i>Interagency Task Organization.</i> Include elements such as liaison officers and the units or organizations they support.
<b>1. SITUATION.</b>
a. Civil.
(1) Areas.
(2) Structures.
(3) Capabilities.
(4) Organizations.
(5) People.
(6) Events.
b. Threat.
c. Friendly Forces.
(1) Higher HQ.
(2) Adjacent units.
(3) Other forces.
d. Attachments/Detachments.
e. Assumptions.
<b>CLASSIFICATION</b>

Figure 18. Example CMO annex

<b>CLASSIFICATION</b>	
<b>2. MISSION.</b>	
<b>3. EXECUTION.</b>	
a. Commander's Intent.	
b. Concept of the Operation.	
(1) Phase I.	
(a) Line of operation 1.	
(b) Line of operation 2.	
(2) Phase II.	
(a) Line of operation 1.	
(b) Line of operation 2.	
(3) Phase III.	
(4) Phase IV.	
(5) Phase V.	
c. Tasks to Subordinate Units.	
(1) Unit 1.	
(2) Unit 2.	
d. Coordinating Instructions.	
<b>4. SERVICE SUPPORT.</b>	
a. Administrative.	
b. Medical.	
c. Logistics.	
d. Maintenance.	
<b>5. COMMAND AND SIGNAL.</b>	
a. Command.	
(1) Location of G-9/J-9/CMO planners/Civil Affairs planning teams.	
(2) Location of CMOC.	
b. Signal.	
(1) Reserved frequency for CMO, if any.	
(2) Special code words to indicate accomplishment of CMO tasks.	
<b>CLASSIFICATION</b>	

Figure 18. Example CMO annex (continued)



<b>CLASSIFICATION</b>	
Appendixes:	
1.	Execution Matrix.
2.	Assessment Matrix.
3.	Cultural Briefing.
4.	PRC Plan (as required).
a.	Dislocated Civilian Plan (as required).
b.	Noncombatant Evacuation Plan (as required).
5.	Foreign Humanitarian Assistance Plan (as required).
6.	Nation Assistance.
7.	Support to Civil Administration Plan (as required).
8.	Transfer of Authority Plan.
9.	Any other (as required).
<b>Authentication</b>	
<b>Signature</b>	
<b>CLASSIFICATION</b>	

**Figure 18. Example CMO annex (continued)**

See FM 3-04.40 for a detailed walkthrough on how to fill out the CMO Annex.

## **MEASURES OF EFFECTIVENESS/ MEASURES OF PERFORMANCE**

MOEs focus on effects attainment by demonstrating the impact that completed actions have had in attaining the desired adversary behaviors. MOPs focus on task accomplishment. In other words, MOPs confirm or deny that we have “done things right,” whereas MOEs answer the question, “Are we doing the right thing, or are additional or alternate actions required?”

The primary purpose of evaluation is to identify progress toward the accomplishment of objectives at any point in time, which provides the basis for plan adjustment. Through the effective use of CR and CIM processes, combat assessments are developed by using two primary criteria—MOPs and MOEs—to assess task accomplishment and effects attainment,

**GTA 41-01-001**

---

respectively. Together, MOPs and MOEs support an overall assessment of objective accomplishment.

Measuring effects improves planning and assessment by emphasizing the following:

- The linking of operational objectives to tactical-level actions through a specified set of effects.
- The systemic situational awareness and understanding of the adversary and operational environment enabled by a systemic analysis process.
- The command and staff interaction across multiple echelons enabled by significant collaboration capabilities through CIM support to the collaborative environment.
- The enhanced unity of effort between joint, multinational, and interagency organizations supported by the CIM process and fed through the CIG.
- A more accurate, rigorous assessment of the attainment of objectives focused on system behavior rather than discrete task accomplishment.

MOP focus on task accomplishment by answering the following questions:

- Was the task or action performed as the commander intended?
- Regardless of effect, did the assigned force produce the fires, maneuver, or information required by the specified or implied tasks?
- Have the expected results of the desired influence or the changes in system behavior after the assigned tasks been accomplished?
- Are we doing things right?

At tactical levels, desired effects are reflected as part of the higher commander's intent statement—the concise expression of the purpose of the operation and the desired end state—that serves as incentive for the subordinate unit planning effort.

The final step is overall operational assessment, and through the CIM process, overlaying that information into the supported commander's common operational picture (COP). Using assessments to determine the current and projected state of conditions, planners and commanders identify the difference, the "delta," between current and desired conditions as they relate to mission execution. CAO/CMO evaluations review what has happened and validate current and projected plans, and assist the commander and his staff to direct near-term changes to impending operations and to refine future planning to ensure the command achieves its objectives.

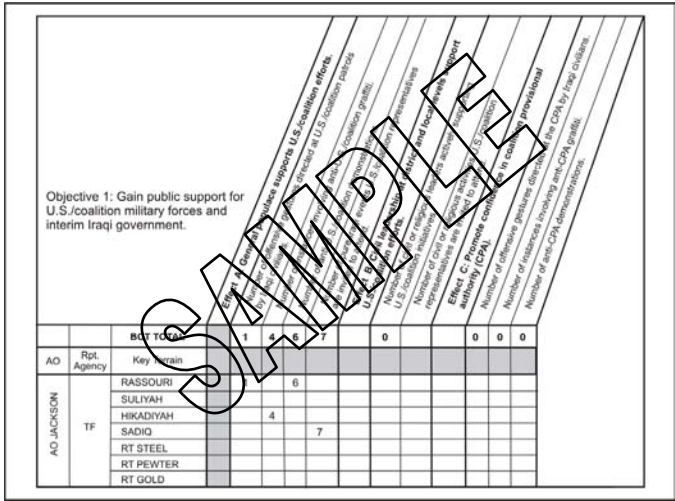
An MOE spreadsheet (Figure 19, page 56) provides criteria to measure an effect's success that directly supports the commander's objective. Usually identified in a quantifiable format, the collection of MOEs provides trends to determine positive progress toward a stated objective or desired effect. The MOEs spreadsheet allows the force to track, by AO and key terrain, where indicators are occurring to show whether the unit is having success or failure with a particular effect.

The trend analysis spreadsheet (Figure 20, page 57) takes the historical information from the MOE spreadsheet and allows the commander and staff to visually see where positive and negative activities are occurring within the AO. As shown in the following figure, the commander's objective and desired effects are clearly identified. MOE indicators are aligned for each effect. From this information and analysis of why a trend is up or down, the staff can identify trouble spots and plan operations to reverse the negative trend.

GTA 41-01-001

MOE Spreadsheet			
<i>OBJECTIVE 1: Gain public support for U.S./coalition military forces and interim Iraqi government.</i>			
Effect A: General populace supports U.S./coalition efforts.			
Measures	Oct	Nov	Dec
Number of offensive gestures directed at U.S./coalition patrols by Iraqi civilians.	10	12	9
Number of instances involving anti-U.S./coalition graffiti.	9	11	8
Number of anti-U.S./coalition demonstrations.	12	11	5
Number of pure Iraqi events U.S./coalition representatives are invited to attend.	4	3	5
Effect B: Civil leadership at district and local levels support U.S./coalition efforts.			
Measures	Oct	Nov	Dec
Number of civil or religious leaders actively supporting U.S./coalition initiatives.	20	20	25
Number of civil or religious activities U.S./coalition representatives are invited to attend.	8	10	12
Legend			
Baseline			
Positive			
Neutral			
Negative			

Figure 19. Sample MOE spreadsheet



**Figure 20. Sample trend analysis spreadsheet**

CAO and CMO planners can capitalize on the positive trends, determine what is causing the positive increase, and then apply successful techniques, tactics, and procedures (TTP) with higher HQ and subordinate task force commanders. The analysis from this product, task force (TF) commander’s assessments, and intelligence summaries (INTSUMs) are used to develop the trend analysis slide.

The trend analysis chart (Figure 21, page 58) is a product that provides a visual tool for the assessment of the commander’s objectives and effects. This product is derived from the trend analysis spreadsheet, commander’s assessment, CMO assessments, and INTSUMs. It also shows in time how the commander evaluates each objective and desired effects.

Trend Analysis			
Objective: Gain public support for U.S./coalition military forces and interim Iraqi government.			
Months			Effects
Oct	Nov	Dec	
			General populace support U.S./coalition efforts.
			Civil leadership at district and local levels support U.S./coalition efforts.
Legend			
Baseline			
Positive			
Neutral			

**Figure 21. Sample trend analysis chart**

The impact analysis chart (Figure 22, page 59) is part of the overall visual assessment for the commander. This product shows the impact of upward or downward trends. It does this by color-coding AOs with a RED, YELLOW, or GREEN status and the events or indicators that have occurred to make that assessment (printing limitations preclude Figure 22 from appearing in color). This chart allows commanders to quickly focus and graphically control forces.

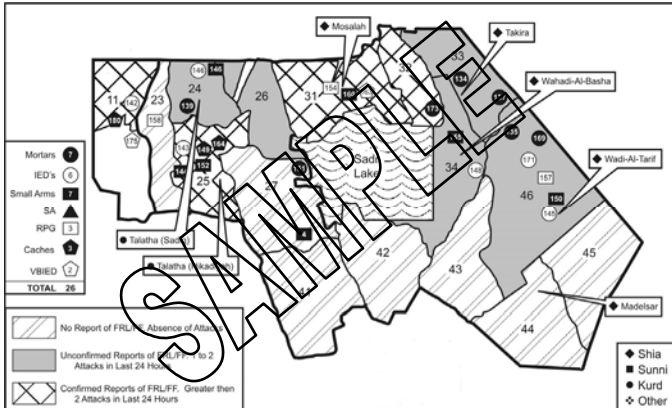


Figure 22. Sample impact analysis chart

### TRANSITION PLANNING

*It is DoD policy that...civil affairs activities shall be undertaken to achieve an orderly and prompt transition of civilian sector responsibilities from the DoD components to non-DoD authorities.*

Department of Defense Directive (DODD) 2000.13  
Civil Affairs  
27 June 1994

The transition plan is vital if stability operations are to be a success. It prioritizes and plans for the successful handover of missions to a follow-on agency or force, being either military or civil in nature. Examples of these organizations are peacekeeping entities under a UN mandate, IGOs, NGOs, or IPI. CA forces and CMO planners are uniquely qualified to advise the commander on activities that reduce turmoil and stabilize the situation until international relief organizations or IPI assume control.

#### **GTA 41-01-001**

---

Transition may occur between U.S. military forces, another military force (for example, multinational or forces from the affected country), regional organizations, the UN, or civilian organizations. A detailed plan addressing the various civil functions and to whom they will transition greatly reduces the turmoil typically associated with transition. A comprehensive transition plan includes specific requirements for all elements involved in the transition, summarizes capabilities and assets, and assigns specific responsibilities.

Transitions may occur randomly, sequentially, or simultaneously across the AO or within a theater. Ideally, each type of transition is executed according to synchronized transition plans. Depending on the situation, CAO and CMO in transition operations may be—

- Terminated.
- Transferred to follow-on forces.
- Transitioned to other U.S. Government agencies, the international community, or the indigenous government and institutions.

Areas that impact significantly on the development of a transition plan are—

- Identification of issues.
- Key events (past and present).
- Work required to accomplish the transition.
- A thorough knowledge of the organization or force taking over control of the operation.

Transition plans are normally a product of transition working groups established early in the planning process of an operation. Transition working groups usually require close ties with a CMOC to obtain updates on the current situation and the status of MOEs. They meet periodically to review, refine, and coordinate specific details of the transition plan. A comprehensive transition plan includes specific requirements for all elements involved in the transition, summarizes capabilities and assets,



and assigns specific responsibilities. An unclassified transition plan written in easily understood terms is particularly required when transitioning to nonmilitary organizations.

### **Termination**

The termination of an operation or task occurs for a variety of reasons. Some of these include:

- The time specified for the task has elapsed.
- Milestones or overall objectives have been reached.
- The political or security situation has deteriorated below an acceptable level.
- A loss of support or funding by the project benefactor.
- A change of mission.
- Command directive.

When terminating an activity or task, whether completed as planned or not, CA Soldiers must execute certain close-out procedures. These include—

- Closing out all open administrative actions.
- Giving or returning equipment and facilities in good condition to the appropriate authorities.
- Conducting and writing an after action report (AAR).

Depending on METT-TC, the command climate, and other factors, CA Soldiers may consider conducting a termination ceremony. This action helps maintain good rapport with the IPI, as well as the international community, and facilitates future operations in the area. Chapter III of JP 3-57, *Joint Doctrine for Civil-Military Operations*, and Appendix A of FM 3-05.40 contain sample checklists for termination planning.

### **Transfer**

Transferring an operation or task to other forces or organizations requires detailed, coordinated, and synchronized

**GTA 41-01-001**

---

planning. The CAO and CMO planner should consider the following items:

- Define the desired end state; for example, continuity of current operations or modification of current operations to some other format.
- Identify the organizational structure required to perform the operation or task.
- Identify and match components within the incoming organization that are the same or similar in nature to components within the unit being replaced.
- Identify equipment and facilities required to perform the operation or task and who will provide them. Prepare the appropriate property-control documentation if transferring equipment or facilities between organizations.
- Create timelines that provide enough overlap between the outgoing and incoming organizations.
- 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.
- Orient the incoming organization to the area, including an introduction to all the essential players of both military and civilian organizations remaining in the area.
- Orient the incoming organization to the operation or task. Include exchanging procedures, routine and recurring events, and other information critical to the conduct of the activity or task in the orientation. Demonstrate the activity or task, if possible.
- Supervise the incoming organization in performing the operation or task. The outgoing organization retains control of the operation or task during this process, providing critiques and guidance, as needed.

- Transfer the operation or task according to the plan.
- Redeploy.
- Conduct and write an AAR.

### **Transition**

Ultimately, especially during support to civil administration operations, an operation or task may be turned over to the indigenous government and institutions, other U.S. Government agencies, or the international community. The following are examples:

- Transfer of civil authority from military to civil government (for example, replacement of U.S. military governors by German civilian high commissioners with the establishment of the Federal Republic of Germany in 1949 and replacement of U.S. military government with the Japanese government).
- Establishment of indigenous police or security forces (for example, establishment of a multiethnic police force in Bosnia and Herzegovina, the establishment of the Afghan National Army and the Iraqi Army).
- Privatization or return of facilities, such as public works and utilities, airports, and seaports, to civilian control (for example, Kuwait City International Airport).
- Privatization of FHA programs.

The considerations for transferring an operation or task to indigenous government and institutions are similar, in many respects, to transferring to follow-on forces or organizations. Items for the CAO and CMO planner to consider include the following:

- Capabilities and limitations of the elements of the on-the-ground infrastructure, such as—
  - Organization of the indigenous government (national, regional, and local).
  - Bilateral donors.

**GTA 41-01-001**

---

- UN agencies.
- International organizations—especially the International Crisis Group (ICG) and the International Committee of the Red Cross (ICRC).
- NGOs by type (assistance or advocacy).
- IPIs.
- Desired end state; for example, continuity of current operations or modification of current operations to some other format.
- Identification of the organizational structure required to perform the operation or task.
- If within the control of the relieved organization, identification of competent, trustworthy individuals to fill positions within the relieving organizational structure.
- If necessary, procedures for demilitarizing indigenous forces and incorporating former belligerents into the private sector.
- Identification of the equipment and facilities required to perform the operation or task, and who will provide them. Preparation of the appropriate property-control documentation if transferring equipment or facilities to the relieving organization.
- Creation of timelines that provide sufficient overlap between the departing and relieving organizations.
- Criteria that will dictate when the relieving organization will assume control of the operation or task; for example, a target date, task standard, or level of understanding.
- Orientation of the relieving organization to the operation or task. Orientation includes procedures, routine and recurring events, and other information critical to the conduct of the activity or task (the relieving organization demonstrates the activity or task, if possible).

- Supervision of the relieving organization in performing the operation or task. The departing organization retains control of the operation or task during this process, providing critiques and guidance, as needed.
- Transfer of the task according to the plan.
- Redeployment timelines.

Transition planning must begin with the desired end state in mind. Transition planning includes the engagement of the indigenous government or regional actors early in the post-crisis and post-conflict planning. This creates an atmosphere of cooperation, collaboration, and enfranchisement for the recovering or reconstituting HN.

#### **Continuity of Operations**

The continuity of OPLAN is the mechanism to ensure that underway projects, coordination, reconstruction planning, and implementation receive support during and after transition. The goal of transition to follow-on organizations or IPI is a sustainable, durable structure or system. Throughout all operations, CAO and CMO planners, functional specialists, and team members maintain continuity books that will orient new personnel to their routine tasks. Ideally, an overlap period exists when mission hand off occurs between individuals and units.

A continuity book facilitates a turnover of operations between outgoing and incoming personnel that is transparent to the supported organization, agency, or populace. The book should be chronologically arranged with daily, weekly, and monthly calendars that show essential tasks with enough detail (such as who, what, where, why, when, and how) to preclude guessing by a newly assigned Soldier. The daily staff journal is a tool that CA Soldiers can use to build a useful continuity book. Additional items the CA Soldier should consider to ensure continuity of operations are—

- Operational resource requirements (funding, equipment, personnel, and facilities).

#### **GTA 41-01-001**

---

- Sources of supplies and services required to maintain operations.
- Identification of interdependency and interoperability between organizations.
- Contingency plans that address threats to continuity of operations, countermeasures to mitigate those threats, and preparedness for, response to, and recovery from those threats that succeed in disrupting operations.
- Post-redeployment oversight and support mechanisms for the operation (reachback points of contact [POCs], periodic visits, and combatant command theater engagement programs).

#### **Civil Affairs Desired End State – Indicators and Measurement**

Indicators are measures for which data exists that helps quantify the achievement of a desired result. Indicators help answer the question: “How would we know a result if we achieved it?” Examples of indicators include—

- Rates of preventable disease.
- Death rates among a distressed population.
- Rates of pregnancy and drug use.
- Crime rates.

One of the products of the MDMP is CMO MOEs. CAO and CMO planners develop CMO MOEs to determine how well or poorly an operation is proceeding in achieving the CMO goals of the operation according to the commander’s mission statement and intent. CAO and CMO planners develop CMO MOEs to identify effective strategies and tactics and to determine points at which to shift resources, transition to different phases, or alter or terminate the mission.

In addition to deciding MOEs, CAO and CMO planners develop plans to observe and validate each MOE. These plans determine—

- Who will observe the MOE?
- When will the MOE be observed?
- How will the MOE be observed?
- Where will the observations be made?
- Who will approve and validate achievement of the MOE?
- What actions will be taken when the MOE is satisfactorily achieved, and who will take these actions?

Some MOEs may be observed in the course of routine CMOC, or interagency, operations. The CMOC analyzes reports from CA teams and various civilian agencies, records the statistics resulting from the analysis, and then provides input to the COP. In this way, MOEs, such as the sustainability of NGO or HN operations, are readily identifiable.

Observation of MOEs may be event-driven or time-driven. CA Soldiers are able to observe and measure some MOEs immediately after an event. Examples of such MOEs are the percentage of a population inoculated or the level of output of a utility after repairs. However, CA Soldiers can observe other MOEs only after a cycle of time has passed, such as a harvest season, if measuring agricultural output, or a school year, if measuring academic achievement. CA Soldiers may need to observe MOEs on a routine or periodic basis to establish baselines or trends, as in crime rates or mortality rates.

Transition working groups usually require close ties with a CMOC to obtain updates on the current situation and the status of MOEs. The CAO and CMO staffs validate the MOEs. An approval authority, which may be a commander, HN authorities, an organized representative of the international community, or some other entity, approves the validated

## **GTA 41-01-001**

---

MOEs. Validation and approval occur before final disposition of an event or program.

Achievement of MOEs must be tied to a disposition action. This action may be the termination of an activity or task; the transfer of an activity or task to follow-on CA units, other military forces, or the international community; or the transition of an activity or task to the indigenous population or institutions. Satisfaction of MOEs indicates an operation is nearing completion. CA Soldiers finalize transition plans and begin executing termination or transition timelines.

If the MOEs have not been achieved, CA Soldiers must determine why. The evaluated results of an event or program may be unsuccessful because levels were set too high, the wrong activity was measured, or for some other reason. CA Soldiers may determine that the MOEs have been partially achieved. In this instance, CA Soldiers should modify, not recreate, the MOEs to do the intended job. After the CAO and CMO planners recommend the modification of the operation from the original plan; the supported commander decides what to do next. Some options include—

- Continuing the operation as currently planned and reevaluating it at a future date.
- Accepting the results and proceeding with transition of the operation as planned.
- Redefining the mission and developing a new plan with new MOEs.

## **ORDER FORMATS**

### **Warning Order**

JP 5-0 defines a WARNO as a planning directive that describes the situation, allocates forces and resources, establishes command relationships, provides other initial planning guidance, and initiates subordinate unit mission planning. Figure 23, pages 69 and 70, is an example of a WARNO format.



<p style="text-align: center;"><b>CLASSIFICATION</b></p> <p style="text-align: center;">(Change from oral orders, if any) (Optional)</p> <p style="text-align: center;">A WARNING ORDER DOES NOT AUTHORIZE EXECUTION UNLESS SPECIFICALLY STATED</p> <p><b>WARNING ORDER</b></p> <p><b>REFERENCES:</b> Refer to higher HQ OPLAN/OPORD, and identify map sheet for the operation. (Optional)</p> <p><b>Time Zone Used Throughout the Order:</b> (Optional)</p> <p><b>Task Organization:</b> (Optional [See paragraph 1c.]</p> <p><b>1. SITUATION.</b></p> <ul style="list-style-type: none"><li>a. Enemy forces.</li><li>b. Friendly forces: (Optional) Only address what is essential in the WARNO.<ul style="list-style-type: none"><li>(1) Higher commander's mission.</li><li>(2) Higher commander's intent.</li></ul></li><li>c. Attachments and detachments: Initial task organization. Address only major unit changes.</li></ul> <p><b>2. MISSION.</b> Issuing HQ mission at the time of the WARNO. Include the higher HQ restated mission or the commander's decisions during MDMP.</p> <p><b>3. EXECUTION.</b></p> <p><b>Intent:</b></p> <ul style="list-style-type: none"><li>a. Concept of operations: Provide as much information as available (may be none during the initial WARNO).</li><li>b. Tasks to maneuver units:</li><li>c. Tasks to combat support units: See paragraph 3b.</li><li>d. Coordinating instructions:<ul style="list-style-type: none"><li>(1) CCIR.</li><li>(2) Risk guidance.</li><li>(3) Deception guidance.</li><li>(4) Specific priorities, in order of completion.</li><li>(5) Timeline.</li><li>(6) Guidance on orders and rehearsals.</li></ul></li></ul> <p style="text-align: center;"><b>CLASSIFICATION</b></p>
--

Figure 23. Warning order format

<b>CLASSIFICATION</b>
(7) Orders group meeting (attendees, location, and time).
(8) Earliest movement time and degree or notice.
<b>4. SERVICE SUPPORT.</b> (Optional) Include any known logistics preparation for the operation.
a. Special equipment: Identify requirements and coordinate transfer to using units.
b. Transportation: Identify requirements and coordinate for preposition of assets.
<b>5. COMMAND AND SIGNAL.</b> (Optional)
a. Command: State the chain of command, if different from the unit SOP.
b. Signal: Identify current signal of instructions (SOI) edition and preposition signal assets to support operation.
<b>ACKNOWLEDGE:</b> (Mandatory)
<b>NAME</b> (Commander's last name)
<b>RANK</b> (Commander's rank)
<b>OFFICIAL:</b> (Optional)
<b>CLASSIFICATION</b>

Figure 23. Warning order format (continued)

### Operation Order

JP 1-02 defines an OPLAN as a plan for the conduct of military operations prepared in response to actual and potential contingencies. Figure 24, pages 71 and 72, is an example of an OPORD format.

<p style="text-align: center;"><b>CLASSIFICATION</b></p> <p style="text-align: center;">(Change from oral orders, if any)</p> <p><b>OPERATION ORDER</b> _____(number)</p> <p><b>REFERENCES:</b></p> <p><b>Time Zone Used Throughout the Plan (Order):</b></p> <p><b>Task Organization:</b></p> <p><b>1. SITUATION.</b></p> <ul style="list-style-type: none"><li>a. Enemy forces.</li><li>b. Friendly forces.</li><li>c. Attachments and detachments.</li><li>d. Assumptions (OPLAN only).</li></ul> <p><b>2. MISSION.</b></p> <p><b>3. EXECUTION.</b></p> <p><b>Intent:</b></p> <ul style="list-style-type: none"><li>a. Concept of operations.<ul style="list-style-type: none"><li>(1) Maneuver.</li><li>(2) Fires.</li><li>(3) Reconnaissance and surveillance.</li><li>(4) Intelligence.</li><li>(5) Engineer.</li><li>(6) Air defense.</li><li>(7) IO.</li></ul></li><li>b. Tasks to maneuver units.</li><li>c. Tasks to combat support units.<ul style="list-style-type: none"><li>(1) Intelligence.</li><li>(2) Engineer.</li><li>(3) Fire support.</li><li>(4) Air defense.</li><li>(5) Signal.</li><li>(6) Chemical, biological, radiological, nuclear (CBRN).</li><li>(7) Provost marshal.</li><li>(8) PSYOP.</li></ul></li></ul> <p style="text-align: center;"><b>CLASSIFICATION</b></p>
---

Figure 24. Operation order format

CLASSIFICATION	
(9)	Civil military.
(10)	As required.
d.	Coordinating instructions.
(1)	Time or condition when a plan or order becomes effects.
(2)	CCIR.
(3)	Risk. Reduction control measures.
(4)	Rules of engagement.
(5)	Environmental consideration.
(6)	Force protection.
(7)	As required.
<b>4.</b>	<b>SERVICE SUPPORT.</b>
a.	Support concept.
b.	Materiel and services.
c.	Medical evacuation (MEDEVAC) and hospitalization.
d.	Personnel.
e.	Civil-military.
f.	As required.
<b>5.</b>	<b>COMMAND AND SIGNAL.</b>
a.	Command.
b.	Signal.
<b>ACKNOWLEDGE:</b>	
<b>NAME</b> (Commander's last name)	
<b>RANK</b> (Commander's rank)	
<b>OFFICIAL:</b> (Name and Position)	
<b>ANNEXES:</b>	
CLASSIFICATION	

Figure 24. Operation order format (continued)

### **Fragmentary Order Format**

JP 1-02 defines a fragmentary order is an abbreviated form of an operation order (verbal, written, or digital) usually issued on a day-to-day basis that eliminates the need for restating information contained in a basic OPORD. It may be issued in sections. It is issued after an OPORD to change or modify that order or to execute a branch or sequel to that order. FRAGOs include all five OPORD paragraph headings. After each heading, either new information or "no change" is stated. Doing so ensures that recipients know they have received the entire FRAGO. Commanders may authorize members of their staff to issue FRAGOs in their name.

FRAGOs differ from OPORDs only in the degree of detail provided. They address only those parts of the original OPORD that have changed. FRAGOs refer to previous orders and provide brief and specific instructions. The higher headquarters issues a new OPORD when there is a complete change of the tactical situation or when many changes make the current order ineffective. Figure 25, page 74, is an example of a FRAGO format.

## **PRECOMBAT INSPECTION**

Precombat inspections (PCIs) confirm that Soldiers have the essential equipment, food, water, and ammunition to accomplish the mission. Equally important, PCIs ensure that Soldiers do not carry unnecessary equipment or sensitive combat intelligence into the battle that could jeopardize the mission should they become a casualty or be captured. Believe it or not, some tactical leaders have stated that they do not need checklists unless they forget something. In combat, those leaders may not get much older. Like "bold aviators" who do not use checklists, they may never become "old Soldiers."

### **Precombat Checks**

Precombat checks aid the leader in preparing his unit for combat. These include checks for individuals, vehicles,

**GTA 41-01-001**

weapons, and equipment. While these checklists are generic, they can easily be tailored to fit the unit's specific needs. Leaders at all levels use these checklists in their planning and in preparing instructions to their subordinate leaders.

<p style="text-align: center;"><b>CLASSIFICATION</b> (Change for oral orders, if any)</p> <p><b>FRAGMENTARY ORDER</b> _____</p> <p><b>REFERENCES:</b> (Mandatory) Reference the order being modified.</p> <p><b>Time Zone Used Throughout the Order</b> (Optional)</p> <ol style="list-style-type: none"><li><b>1. SITUATION.</b> (Mandatory) Include any changes to the existing order.</li><li><b>2. MISSION.</b> (Mandatory) List the new mission.</li><li><b>3. EXECUTION.</b></li></ol> <p><b>Intent: (Optional)</b></p> <ol style="list-style-type: none"><li>Concept of operations. (Mandatory)</li><li>Tasks to subordinate units. (Mandatory)</li><li>Coordinating instructions. (Mandatory) Include statement, "Current overlay remains in effect" or "See Change 1 to Annex C, Operations Overlay." Mark changes to control measures on overlay or issue a new overlay.</li></ol> <ol style="list-style-type: none"><li><b>4. SERVICE SUPPORT.</b> Include any changes to existing order or the statement, "No change to OPORD xx."</li><li><b>5. COMMAND AND SIGNAL.</b> Include any changes to existing order or the statement, "No change to OPORD xx."</li></ol> <p><b>ACKNOWLEDGE:</b> <b>NAME</b> (Commander's last name) <b>RANK</b> (Commander's rank) <b>OFFICIAL:</b> (Name and Position) <b>ANNEXES:</b></p> <p style="text-align: center;"><b>CLASSIFICATION</b></p>
---

**Figure 25. Fragmentary order format**

**Precombat Inspections**

Precombat inspections validate that the precombat checks have been performed. The leader must plan his time and that of his unit's to ensure that inspections are performed. Time must also

be available for corrective actions should an individual or item fail the inspection. The leader cannot delegate this responsibility; he must be the inspector. Doing so demands that he be competent in the maintenance and care of all his unit's equipment. The standards he sets will determine the unit's ability to perform in combat. Figure 26, pages 75 through 77, is an example of a modified PCI.

Precombat Inspection Checklist	
<b>1. Plan.</b>	
a. Troop-Leading Procedures.	
• Receive Mission.	
• Issue WARNO.	
• Make a Tentative Plan.	
• Initiate Movement.	
• Reconnoiter.	
• Complete the Plan.	
• Issue the Order.	
• Supervise and Refine.	
b. Documentation.	
• Trip Ticket.	
• Vehicle Manifest.	
• Combat Patrol/Convoy Briefing.	
• Risk-Assessment Matrix.	
• Load Plan.	
• Sensitive-Items List.	
• Dispatch.	
<b>2. Prepare and Inspect.</b>	
• Logistics.	
▪ Preventive Maintenance Checks and Services (PMCS).	
▪ Fuel.	
▪ Water.	

Figure 26. Modified precombat inspection

Precombat Inspection Checklist (continued)	
	<ul style="list-style-type: none"><li>▪ Meals, Ready to Eat (MREs).</li><li>▪ Combat Life Saver Bags/Stretcher.</li><li>▪ Tow equipment.</li><li>• Shoot.<ul style="list-style-type: none"><li>▪ Ammunition Basic Load (Vehicle/Individual).</li><li>▪ Assigned Weapons.</li><li>▪ Function Check.</li><li>▪ Test Fire.</li></ul></li><li>• Move.<ul style="list-style-type: none"><li>▪ Maps/Overlays.</li><li>▪ Global Positioning System (GPS).</li><li>▪ Route Status.</li><li>▪ Combat Patrol/Convoy Brief.</li></ul></li><li>• Communicate.<ul style="list-style-type: none"><li>▪ PMCS Single-Channel Ground and Airborne Radio System (SINGARS).</li><li>▪ Automated Net Control Device (ANCD).</li><li>▪ Signal Operating Instructions (SOI) Loaded.</li><li>▪ Supporting Equipment.</li><li>▪ Radio Check.</li></ul></li><li>• Personal Protective Equipment (PPE).<ul style="list-style-type: none"><li>▪ Army Combat Helmet.</li><li>▪ Body Armor.</li><li>▪ Weapons.</li><li>▪ Eye Protection.</li><li>▪ Hearing Protection.</li><li>▪ First Aid.</li><li>▪ CBRN Gear (If Applicable).</li><li>▪ ID Card/Tags.</li></ul></li></ul>

Figure 26. Modified precombat inspection (continued)



Precombat Inspection Checklist (continued)	
<ul style="list-style-type: none"> <li>• CBRN (If Applicable). <ul style="list-style-type: none"> <li>▪ M40 Pro Mask.</li> <li>▪ Auto Injectors – 3 each.</li> <li>▪ Decontamination Kit.</li> <li>▪ M258 Kit.</li> <li>▪ MOPP Gear.</li> <li>▪ M8/M9 Paper.</li> </ul> </li> <li>• Drills. <ul style="list-style-type: none"> <li>▪ TTPs in accordance with (IAW) unit tactical standing operating procedure (TACSOP) and rules of engagement (ROE).</li> <li>▪ Rollover Drills.</li> <li>▪ Crew Drills.</li> </ul> </li> <li>• Safety IAW unit policies.</li> </ul>	
<b>3. Recover/Reorganize.</b> Conduct AAR and perform full PCI.	

**Figure 26. Modified precombat inspection (continued)**

### Postcombat Checks

Postcombat checks are identical in form to precombat checks but differ in substance. Checks are still performed on individuals, vehicles, weapons, and equipment; however, the focus changes to repairing and refitting these items to a reusable condition. Expendable items may need replenishing, and lost items require replacing. Units replace their basic-load items and ensure that equipment has its full complement of petroleum, oils, and lubricants (POL). Damaged and nonoperational equipment is evacuated for repair. Individual needs must be attended to. Soldiers require rest and refitting, and medical problems must be attended to.

### Postcombat Inspections

In the same way that precombat inspections are performed, postcombat inspections must be planned and conducted by the leaders. Since postcombat operations are heavily maintenance

**GTA 41-01-001**

---

oriented, the leader should seek the aid of his vehicle, communications, and supply personnel to assist him in conducting his inspections. They are capable of making immediate repairs and also serve as expert advisers. Inspections must focus on serviceability. Vehicles and equipment must be operated to standard. A check of all radios requires that a net station be positioned at a distance consistent with combat conditions. It does a unit no good to be able to talk only in an assembly area. Sufficient time must be allocated to perform these inspections as it is necessary to pay strict attention to detail. An inspection which checks only one of every three weapons ensures that the unit is only one-third operable. A 100 percent inspection must be made.

**Five-Point Contingency Plan**

Leaders give a five-point contingency plan to subordinates as direction and guidance for actions that may happen during the leaders' absence. The leader leaves for many reasons throughout the planning, coordination, preparation, and execution of his mission. Each time the leader departs, or an element separates, without radio or wire communications, they must issue a five-point contingency plan (Figure 27).

Five-Point Contingency Plan (GOTWA)
<b>GOING:</b> Where you are going.
<b>OTHERS:</b> Who you are taking with you.
<b>TIME:</b> Time you will be done.
<b>WHAT:</b> What to do if you do not return in time.
<b>ACTIONS:</b> Actions upon enemy contact for both elements.

**Figure 27. Five-point contingency plan**

## EXECUTION

### Capabilities Brief

The capabilities brief, premodularity is a very important part of the CA team's rapport building with the supported unit and usually sets the tone for the effectiveness of a CA team with the supported unit. Since the modular redesign and the placement of CA-qualified S-9/G-9s at brigade and above, the capabilities brief no longer has the same level of importance it once did, but it still may be a valuable tool.

The brief can be a PowerPoint slide presentation, a desk-side briefing, or simply an oral presentation. No matter the briefing type, the briefing must be planned, rehearsed, and tailored to the supported commander.

The briefer should advise the commander on the specific capabilities he has at his disposal to support the commander's mission as well as the capabilities he has access to through reachback.

The most important aspect of the capabilities brief is the presentation of the appropriate information. The briefer must prepare and deliver a professional brief (content, appearance, and delivery). A professional brief will ensure that CA capabilities will be fully nested in the supported unit's CONOPS.

### Civil-Military Operations

JP 1-02 defines CMO "as the activities of a commander that establish, maintain, influence, or exploit relations between military forces, governmental and nongovernmental civilian organizations and authorities, and the civilian populace in a friendly, neutral, or hostile operational AOs in order to facilitate military operations, to consolidate and achieve U.S. objectives. CMO may include performance by military forces activities and functions normally the responsibility of the local, regional, or national government. These activities may occur prior to, during, or subsequent to other military actions. They may also

**GTA 41-01-001**

---

occur, if directed, in the absence of other military operations. CMO may be performed by designated CA, by other military forces, or by a combination of CA and other forces.”

Successful CMO require the integration of a number of diverse entities found within the commander’s operational environment. While CA plays a key role in the planning, execution, and transition of CMO, all U.S. military forces have some inherent capability of supporting CMO. The integration of engineer, military police (MP), health services, communications, transportation, and other SOF capabilities to the overall CMO effort is necessary for the successful attainment of identified national objectives.

CMO necessitate interaction between U.S., multinational, and indigenous security forces and governmental, nongovernmental, and international organizations. The challenge is to create an atmosphere of cooperation among extremely diverse groups with different and sometimes conflicting goals, policies, procedures, capabilities, and decision-making techniques. Some NGOs and international organizations may, in fact, have policies that are purposely diametrically opposed to the U.S. military forces’ and USG agencies’ goals and objectives. Only through close and continuous interagency coordination and cooperation can unity of effort be achieved during the conduct of CMO.

Development of CMO plans and objectives is a top-down process. Planners must incorporate CMO plans and considerations at the onset of the planning process for any operation. CMO must be a part of an overall national strategy, formulated and managed through interagency coordination, and integrated with strategic, operational, and tactical plans and operations. The focus of CMO at the—

- Strategic level is on larger, long-term global or regional issues, such as economic development and stability.
- Operational level is on strategic CMO objectives and

immediate and near-term issues (for example, DC operations and public safety programs), synchronization of CMO support to tactical commanders, and integration of interagency operations with military operations.

- Tactical level is narrow and has more immediate effects. Examples of tactical-level CMO include food distribution, local security programs, basic health service support to the local populace, and support of NGO and international organization humanitarian operations.

Commanders at all levels must realize that Soldier actions in dealing with the indigenous populace, local government officials, NGOs, international organizations, or other USG agencies impact the overall CMO situation. Predeployment and sustainment training of all Soldiers regarding the culture and mores of the factions of the indigenous populace enhance the effectiveness of the overall CMO campaign.

CMO are conducted across full spectrum operations. When conducting CMO, commanders may employ a number of military capabilities and engage many different indigenous populations and institutions, IGOs, NGOs, HN organizations, and other governmental organizations. Among these capabilities are CA forces. CA forces can support the commander during CMO by conducting CAO.

#### **Civil Affairs Operations**

FM 3-05.40 defines CAO as those military operations planned, supported, executed, or transitioned by CA forces through, with, or by the IPI, international organizations, NGOs, or other governmental agencies (OGAs) to mitigate or defeat threats to civil society and assist in establishing the capacity for deterring or defeating future civil threats in support of CMO or other U.S. objectives.

**GTA 41-01-001**

---

CAO are conducted within the scope of five core tasks and may occur simultaneously or sequentially with combat operations, depending on the operational environment. Although these tasks are the focus for all CA forces training, planning, and execution, they are not solely the responsibility of the CA forces. As part of the larger category of CMO, these core tasks are nested within the maneuver commander's overall responsibility for planning and conducting CMO. CA forces focus on these core tasks, planning and executing them across full spectrum operations. As such, CA forces are the maneuver commander's primary asset to plan, coordinate, support, and execute CAO.

CA operations may also involve the application of CA functional specialty expertise in areas normally the responsibility of the civilian government.

A significant CAO capability is the functional specialty expertise found in the United States Army Reserve (USAR) CA force. Functional specialists provide the civilian-acquired education, skills, and experience applicable to areas normally found in the departments and agencies of the civilian government. CA functional specialties are categorized within six functional areas, as shown in Figure 28, page 83.

Limited CA functional specialties are organic to the USAR CA brigade and USAR CA battalion functional specialty cells (FX SP Cells). The Civil Affairs command (CACOM) maintains specialists in all functional areas. Based on mission requirements, specific functional specialists may augment the various CA HQ elements at each level of operation on a case-by-case basis.

Functional Specialties					
Governance	Rule of Law	Economic Stability	Health and Welfare	Infrastructure	Public Education and Information
Public Administration	International Law	Economic Development	Public Health	Public Works and Utilities	Public Education
Environmental Management		Food and Agriculture	Cultural Relations	Public Transportation	Civil Information
Public Safety		Civilian Supply		Public Communications	

Figure 28. Functional specialty breakout

## **FORCE PROTECTION**

Force protection (FP) is a paramount concern of all commanders. Every GCC, Army Command, Army Service Component Command (ASCC), and direct reporting unit (DRU) has standing FP policies that require understanding and adherence by all personnel. United States Army Special Operations Command (USASOC) also prescribes FP requirements as a matter of policy for all assigned units and Soldiers. CA units, teams, and elements incorporate these requirements in planning to ensure compliance and mitigate risk.

FP encompasses a range of processes—mobilization, deployment, employment, sustainment, and redeployment. These processes occur in a continuous, overlapping, and repeating sequence throughout an operation. Per the DOD-approved definition, FP does not include actions to defeat the enemy or protect against accidents, weather, or disease. FP rests on the synergy of operations security (OPSEC), physical security, counterterrorism (CT), law enforcement, and personal security to protect personnel, facilities, operations, and activities from loss because of hostile action, including terrorism, criminal activity, or disaffected insiders.

OPSEC is a process of identifying critical information and subsequently analyzing friendly actions attendant to military operations and other activities.

Physical security programs involve physical measures designed to safeguard personnel; to prevent unauthorized access to equipment, installations, material, and documents; and to safeguard them against espionage, sabotage, damage, and theft. Physical security measures deter, detect, and defend against threats from terrorists, criminals, and unconventional forces.



CA Soldiers focus on force protection at two distinct levels—the individual or team level and the supported force level. These levels are discussed below:

- At the individual or team level, CA Soldiers employ measures to counter threats to individual or team members from all sources while conducting CA operations. Threats to CA Soldiers include enemy direct and indirect fires; chemical, biological, radiological, nuclear, and high-yield explosives (CBRNE) attack; ambush; improvised explosive devices (IEDs); thugs, criminals, and enraged or disaffected civilians; and theft of equipment. CA Soldiers follow command guidance and unit FP SOPs.
- At the supported-force level, conducting routine CA operations can enhance protection of the supported force from threats from the civil component of the AO. Threats to the supported force include disaffected or dislocated civilian populations, unfriendly political organizations, terrorist incidents, and theft of equipment.

CA Soldiers enhance FP in any operation by conducting normal CAO and CMO. This means CA Soldiers must—

- Circulate among the populace.
- Establish rapport with ordinary citizens, key leaders, and representatives of international organizations and NGOs.
- Establish and maintain an accessible CMOC.
- Conduct continuous deliberate assessments.
- Conduct deliberate CR.
- Provide input to all-source analysis centers on conditions, attitudes, and intentions of the populace.

It is difficult to prevent threat forces from attacking someone or something they want; however, there are ways that CA Soldiers can mitigate the effects and make themselves less desirable

**GTA 41-01-001**

---

targets. CA Soldiers should not limit themselves to the following considerations when developing a sound FP. As with any planning sequence, CA Soldiers must consider the environment. Some common ways to increase FP are as follows:

- Maintain a low profile. CA Soldiers should—
  - Discourage very important person (VIP) treatment.
  - Limit the use of staff cars, or do not use them at all. If they are used, the vehicle should blend in as much as possible with the vehicles used by the local population.
  - Avoid using official or diplomatic license plates.
  - Not permanently affix decals required by the base or Embassy to the vehicle.
  - Drive themselves, which allows them to control the routes, speed of travel, and pickup times. *NOTE.* Personnel who have a driver or chauffeur are considered VIPs.
  - If required to have a bodyguard or escort, keep the number to a minimum and make sure he blends in with the local population.
  - When their jobs require them to be interviewed or photographed, downplay their importance.
- Control the environment. CA Soldiers should—
  - Whenever possible, use on-base facilities. These generally offer better security and are probably better equipped to deal with hostile attacks.
  - Choose locations that employ security measures; for example, guards, cameras, visitor sign-in rosters, and so on.
  - Avoid street-level rooms.
  - Be alert for anyone loitering or carrying objects that could conceal weapons.

- Be familiar with the uniforms of local police, military, fire department, emergency services, and hotel security. Also know the proper procedures for obtaining their services.
- Select a working/meeting place. CA Soldiers should ensure that—
  - The area has reliable police, fire, and rescue services.
  - The area does not have a high crime rate or any late-night establishments.
  - The area has multiple routes to and from the meeting/working place and is not located on narrow or one-way streets.
  - The building selected has high walls and fences. There should be more than one gate to offer alternative ways in and out of the compound.
  - The trees and shrubs serve as a screen to anyone trying to observe the grounds. Shrubbery within the perimeter and near the building should be trimmed or removed to prevent them from being used by intruders for concealment.
  - When possible, dogs monitor the building and surrounding area.
  - Security guards and night watchmen monitor the building and surrounding area.
  - Doors and windows are strong. Existing locks are changed upon taking control of the building. When possible, doors and windows should have bars.
  - Employees should be hired from approved Embassy lists.
  - During a meeting, participants must not sit in direct line with the windows.

#### **GTA 41-01-001**

---

- Meeting outside of the workplace, CA Soldiers should ensure that—
  - The meeting place has at least two exits.
  - Whenever possible, a premeeting visit to the location is conducted to allow them to become familiar with the layout of the building and routes.
  - Appointments are not made in advance.
  - The interior is well lit.

FM 3-05.401 provides more detailed information on FP for CA forces.

### **RISK MANAGEMENT**

**Integrate Into Planning.** Leaders must ensure the risk management process is integrated into all planning phases of training and combat operations.

**Accept No Unnecessary Risk.** The leader who has the authority to accept a risk has the responsibility to protect his Soldiers from unnecessary risk. An unnecessary risk is one that, if eliminated, still allows mission accomplishment.

**Make Risk Decisions at the Proper Level.** The decision to accept or reject a risk must be made at the appropriate level of command. When resources to control a risk are not available, the risk issue must be elevated to the next-higher level of command until the commander with the resources and authority to eliminate the risk or control is reached.

**Accept Risk if the Benefits Outweigh the Cost.** Leaders must understand risk to accomplish their mission. At the same time they must understand the difference between a risk and a gamble.

Risk Management Process:

- *Identify Hazards.* Hazards are the potential sources of danger that could be encountered while performing the task or mission. Leaders must identify all hazards

before execution of the mission. A good risk assessment gives leaders a complete picture of all hazards associated with the mission.

- *Assess Hazards.* Assess the hazards to determine their cumulative effect on the mission or objective. Each hazard is analyzed to determine the probability of its causing a problem and the severity of the consequences should a problem occur. Exercising judgment on how to eliminate or reduce hazards to lessen the overall risk is part of the risk assessment process. This step concludes with a risk assessment that describes the impact of the combined hazards. The result is a statement that quantifies the risk associated with the operation. Use the risk assessment matrix to determine if the risk is extremely high, high, moderate, or low.
- *Make Risk Decisions.* Leaders are expected to weigh the risk against the benefits of performing an operation. Risk decisions are made at a level of command that corresponds to the degree of risk (IAW USASOC Regulation 385-1, *Accident Prevention and Reporting*). Know what your unit's guidance is for delegation of the risk acceptance levels. Table 1, page 90, provides an example of risk assessment levels.
- *Implement Controls.* The procedures to reduce or eliminate hazards must be integrated into plans, orders, SOPs, and training guidance. Doing so could be as simple as conducting a safety briefing. Implementation involves the entire chain of command, as a team, ensuring that the full range of approved operational risk controls are effective to accomplish the mission.

**GTA 41-01-001**

---

- *Supervise.* Supervision goes beyond ensuring that people do what is expected of them. It includes following up during and after an action to ensure that all went according to plan, making adjustments as required, and incorporating lessons learned.

**Living Document**

Risk assessments are living documents. They should accompany CA Soldiers during all phases of the mission. As the mission, environment, conditions, and tasks change, so should the risk assessment and the control measures. As the risk assessment changes, so may the residual risk level and risk acceptance level. CA Soldiers must know who has the authority to make these risk decisions as they arise (Table 1). Figure 29, page 91, is a risk assessment matrix. Figure 30, page 92, is a sample risk assessment work sheet.

**Table 1. Risk assessment levels**

LEVEL OF RISK	AUTHORITY TO ACCEPT RISK
Extremely High	First General Officer in Chain of Command
High	O6-Level Commanders
Moderate	As Delegated by O5/O6-Level Commanders
Low	

RISK ASSESSMENT MATRIX		HAZARD PROBABILITY				
		Frequent	Likely	Occasional	Seldom	Unlikely
HAZARD SEVERITY		A	B	C	D	E
Catastrophic	I	Extremely High Risk				
Critical	II		High Risk			
Marginal	III		Moderate Risk			
Negligible	IV		Low Risk			

**HAZARD SEVERITY**

**Catastrophic** Death or permanent total disability, system loss, major property damage. Loss of ability to accomplish the mission or mission failure.

**Critical** Permanent partial disability, temporary total disability in excess of 3 months, major system damage, significant property damage. Significant (severely) degraded mission capability or unit readiness.

**Marginal** Minor injury, lost workday accident, compensable injury or illness, minor system damage, minor property damage. Degraded mission capability or unit readiness.

**Negligible** First aid or minor supportive medical treatment, minor system impairment. Little or no adverse impact on mission capability, property, or environmental damage.

**HAZARD PROBABILITY (Individual soldier or item. All Soldiers exposed or item inventory.)**

**Frequent** Occurs often in career or equipment service life.  
Occurs frequently.

**Likely** Occurs several times in career or equipment service life.  
Occurs frequently.

**Occasional** Occurs sometime in career or equipment service life.  
Occurs sporadically or several times in inventory service life.

**Seldom** Possible to occur in career or equipment service life.  
Remote chance of occurrence; expected to occur sometime in inventory service life.

**Unlikely** Can assume will not occur in career or equipment service life.  
Possible but improbable. Occurs only very rarely.

**RISK LEVELS**

**Extremely High** Loss of ability to accomplish mission.

**High** Significantly degrades mission capabilities in terms of required mission standards.

**Moderate** Degrades mission capabilities in terms of required mission standards.

**Low** Little or no impact on mission accomplishments.

Figure 29. Risk assessment matrix

RISK ASSESSMENT WORKSHEET (USASOC Reg 385-1)							
Activity or Exercise Name:		Organization:			Date:	Prepared By:	Page 1 of
Hazards	Mishap – Prob	Effect	Risk Level	Controls Implemented	Implemented By	Residual – Prob	Residual – Effect
USASOC Form 1149-R-E NOV 02 (AOOS)							Previous editions are obsolete.

Figure 30. Risk assessment worksheet



## UNIFORM AND PERSONAL EQUIPMENT CONSIDERATIONS

Army Regulation (AR) 670-1, *Wear and Appearance of Army Uniforms and Insignia*, prescribes Department of the Army (DA) policy for proper wear and appearance of Army uniforms. The proponent for this regulation (Deputy Chief of Staff, G-1) has the authority to approve exceptions to the regulation that are consistent with controlling law and regulations. The proponent may delegate this authority in writing to an individual within the proponent agency who holds the grade of colonel or above. CA Soldiers operate worldwide across the range of military operations. The uniform worn and personal equipment carried are influenced by operational and environmental considerations, FP, civil-military relationship management, and credibility management. These factors do not always support one another and are often mutually exclusive. Table 2, pages 93 and 94, is a table outlining uniform considerations.

**Table 2. Uniform considerations**

UNIFORM	PROS	CONS
Army combat uniform (ACU) complete with combat equipment, to include Kevlar, load-bearing vest, individual weapons, and basic load.	Professional appearance. High level of combat readiness. Greatly reduces the possibility of fratricide. Aids in dealing with supported unit. Aids in dealing with foreign military.	Makes it difficult to work with NGOs, international organizations, and some civilian agencies. In some environments, can present a more visible target. Makes it difficult to present the local environment as "safe and secure" to the total populace.

**Table 2. Uniform considerations (continued)**

UNIFORM	PROS	CONS
ACU complete without combat equipment, with or without concealed weapons.	Professional appearance. Greatly reduces the possibility of fratricide. Aids in dealing with supported unit. Aids in dealing with foreign militaries.	Reduces level of combat readiness. Reduced level of force protection. Can make it difficult to work with NGOs, international organizations, and some civilian agencies.
ACU complete without specified badges and insignia, without combat equipment, and with or without concealed weapons	Aids in dealing with HN military and civilian population by addressing local stereotypes and taboos. Professional appearance. Greatly reduces the possibility of fratricide.	Reduces level of combat readiness. Reduced level of force protection. Can make it difficult to work with NGOs, international organizations, and some civilian agencies. In some environments, can present a more visible target.
Civilian clothes with or without concealed weapons. Modified grooming standards.	In some environments, can increase level of force protection. Creates a lower profile. Can make it easier to deal with NGOs, international organizations, and some civilian agencies.	Greatly increases the possibility of fratricide. Can reduce protection under the Geneva Convention. May present a decreased professional military appearance. Greatly reduced level of combat readiness. Can make it difficult to work with supported units. Can make it difficult to deal with foreign militaries.

## USE OF INTERPRETERS

Most U.S. military operations are conducted on foreign soil. Consequently, there are occasions when CA Soldiers will lack the linguistic ability to communicate effectively with the local populace in the AO. The use of interpreters is often the best or only option, but CA Soldiers must consider it a less satisfactory substitute for direct communication. Therefore, the proper use and supervision of interpreters can play a decisive role in the mission.

### Interpreter Selection

Whenever possible, interpreters should be U.S. military personnel or at least U.S. citizens. In some operational or training settings abroad, CA Soldiers will not need to select an interpreter; the chain of command or host government will assign one. In other cases, CA Soldiers choose interpreters from a pool provided by the host government. Finally, in many operational situations, CA Soldiers use interpreters hired from the general HN population. Whatever the case, the following guidelines are critical to mission accomplishment.

Interpreters should be selected according to the following criteria:

- *Native speaker.* Interpreters should be native speakers of the socially or geographically determined dialect. Their speech, background, and mannerisms should be completely acceptable to the target audience so that their audience pays no attention to the way the interpreter talks, only to what the interpreter says.
- *Social status.* In some situations and cultures, interpreters may be limited in their effectiveness with a target audience if their social standing is considerably lower than that of the audience. This may include significant differences in military rank, or membership in an ethnic or religious group. Regardless of the CA Soldier's personal feelings on social status, he should

**GTA 41-01-001**

---

remember the job is to accomplish the mission, not to act as an agent for social reform in a faraway land. The CA Soldier should accept local prejudices as a fact of life.

- *English fluency.* An often overlooked consideration is how well the interpreter speaks English. As a rule, if the interpreter understands the CA Soldier and the CA Soldier understands the interpreter, then the interpreter's command of English should be satisfactory. The CA Soldier can check that "understanding" by asking the interpreter to paraphrase, in English, something the CA Soldier said. The CA Soldier then restates the interpreter's comments to ensure that both persons are synchronized. Also, interpreting goes both ways. The interpreter must be able to convey the information expressed by the interviewee or target audience.
- *Intellectual intelligence.* The interpreter should be quick, alert, and responsive to changing conditions and situations. He must be able to grasp complex concepts and discuss them without confusion in a reasonably logical sequence. Although education does not equate to intelligence, generally speaking, the better educated the interpreter, the better he will perform because of increased exposure to diverse concepts.
- *Technical ability.* In certain situations, the CA Soldier may need an interpreter with technical training or experience in special subject areas to translate the "meaning" and the "words." For instance, if the subject is very technical or specialized, with terms such as nuclear physics, background knowledge will be useful.
- *Reliability.* The CA Soldier should beware the potential interpreter who arrives late for the interview. Throughout the world, the concept of time varies widely. In many less developed countries, time is relatively unimportant. The CA Soldier should make

sure that the interpreter understands the military's preoccupation with punctuality.

- *Loyalty.* If the interpreter used is a local national, it is safe to assume that his first loyalty is to the HN or subgroup, and not to the U.S. military. The security implications are clear. The CA Soldier must be very cautious in how he explains concepts to give interpreters a greater depth of understanding. Additionally, some interpreters, for political or personal reasons, may have ulterior motives or a hidden agenda when they apply for the interpreting job. If the CA Soldier detects or suspects such motives, he should tell his commander, S-2, or security manager. The CA Soldier should be aware of and monitor these motives with all interpreters.
- *Gender, age, and race.* Gender, age, and race have the potential to seriously affect the mission. One example is the status of females in Muslim society. In predominantly Muslim countries, cultural prohibitions may render a female interpreter ineffective under certain circumstances. Another example would be the Balkans, where the ethnic divisions may limit the effectiveness of an interpreter from outside the target audience's group. Since traditions, values, and biases vary from country to country, it is important to check with the in-country assets or area studies for specific taboos or favorable characteristics.
- *Compatibility.* The CA Soldier and the interpreter will work as a team. For the interpreter to be most effective, he should become a psychic extension of the CA Soldier. The target audience will be quick to recognize personality conflicts between the CA Soldier and the interpreter. These conflicts can undermine the effectiveness of the communication effort. If possible, when selecting an interpreter, the CA Soldier should look for compatible traits and strive for a harmonious working relationship.

**GTA 41-01-001**

---

If several qualified interpreters are available, the CA Soldier should select at least two. This practice is of particular importance if the interpreter works during long conferences or courses of instruction. The exhausting nature of these type jobs makes about four hours of active interpreting about the maximum for peak efficiency. Whatever the mission, with two or more interpreters, one can provide quality control and assistance to the active interpreter. Additionally, this technique can be useful when conducting coordination or negotiation meetings as one interpreter works in an active role and the other pays attention to the body language and side conversations of the others present. Many times, the CA Soldier will gain important side information that assists in negotiations from listening to what others are saying among themselves outside of the main discussion.

The CA Soldier must be cautious about what information he gives his interpreter. The CA Soldier must always keep in mind possible security issues. Certain tactical situations may require the use of uncleared indigenous personnel as "field expedient" interpreters. Commanders should be aware of the increased security risk involved in using such personnel and carefully weigh the risk versus the potential gain. If uncleared interpreters are used, the CA Soldier should keep any sensitive information to a minimum. The interpreters must be honest and free from unfavorable notoriety among the local inhabitants. Their reputation or standing in the community should be such that persons of higher rank and standing will not intimidate them.

Whether conducting an interview or presenting a lesson, the CA Soldier should avoid simultaneous translations; that is, both the Soldier and the interpreter talking at the same time. The Soldier should speak for a minute or less in a neutral, relaxed manner, directly to the individual or audience. The interpreter should watch the Soldier carefully and, during the translation, mimic the Soldier's body language as well as interpret his verbal meaning. The CA Soldier should observe the interpreter

closely to detect any inconsistencies between the interpreter's and CA Soldier's manners. The Soldier must be aware not to force the interpreter into literal translation by being too brief. The Soldier should present one major thought in its entirety and allow the interpreter to reconstruct it in his language.

Although the interpreter will be doing some editing as a function of the interpreting process, it is imperative that he transmit the exact meaning without additions or deletions. As previously mentioned, the CA Soldier should insist that the interpreter always ask for clarification, prior to interpreting, whenever not absolutely certain of the Soldier's meaning. However, the Soldier should be aware that a good interpreter, especially if he is local, can be invaluable in translating subtleties and hidden meanings.

During an interview or lesson, if the audience asks questions, the interpreter should immediately relay them to the CA Soldier for an answer. The interpreter should never try to answer a question, even though he may know the correct answer. Additionally, neither the Soldier nor interpreter should correct the other in front of an interviewee or class. They should settle all differences away from the subject or audience.

Just as establishing rapport with the interpreter is vitally important, establishing rapport with interview subjects or the target audience is equally important. The CA Soldier and the interpreter should concentrate on rapport. To establish critical rapport, the CA Soldier should treat the subjects or audiences as mature, important human beings that are capable and worthy.

#### **Communication Techniques**

An important first step for the CA Soldier in communicating in a foreign language is to polish his English language skills. This is true even if the CA Soldier does not try to learn the indigenous language. The clearer the Soldier speaks in English, including diction, the easier it is for the interpreter to translate. Other factors to consider include use of profanity, slang, and

#### **GTA 41-01-001**

---

colloquialisms. In many cases, translators cannot translate such expressions. Even those the translator can translate do not always retain the desired meaning. Military jargon and terms such as “gee whiz” or “golly” are hard to translate. In addition, if the interpreter must translate a technical term or expression, the CA Soldier must be sure the interpreter conveys the proper meaning in the target language. The Soldier should speak in low-context, simple sentences. For instance, he may want to add words or parts of words usually left off. (For example “air plane” rather than “plane”.) Doing so ensures the meaning will be obvious, and that he is not talking about the Great Plains or a wood plane.

When the Soldier is speaking extemporaneously, he must think about what he wants to say. He should break it down into logical bits. He should give it out a small piece at a time using short, simple words and sentences, and low context. The interpreter can then quickly and easily translate. As a rule of thumb, the CA Soldier should never say more in one sentence than he can easily repeat word for word immediately after saying it. Each sentence should contain a complete thought without verbiage.

#### **Transitional Phrases and Qualifiers**

Transitional phrases and qualifiers tend to confuse and waste valuable time. Examples are “for example,” “in most cases,” “maybe,” and “perhaps.” The Soldier should be cautious of using American humor. Cultural and language differences can lead to misinterpretations by foreigners. The Soldier should determine early on what the interpreter finds easiest to understand and translate meaningfully. In summary, the CA Soldier should—

- Keep the entire presentation as simple as possible.
- Use short sentences and simple words (low context).
- Avoid idiomatic English.



- Avoid flowery language.
- Avoid slang and colloquial expressions.

Whenever possible, the Soldier should identify any cultural restrictions before interviewing, instructing, or conferring with particular foreign nationals. For instance, when is it proper to stand, sit, or cross one's legs? Gestures, being learned behavior, vary from culture to culture. The interpreter should be able to relate a number of these cultural restrictions, which, whenever possible, the interpreter observes while working with the particular group or individual.

#### **Dos and Don'ts**

The following are some dos and don'ts for the CA Soldier to consider while working with an interpreter. The CA Soldier should—

- Position the interpreter by his side (or even a step back). This method will keep the subject or audience from shifting their attention, or fixating on the interpreter and not on the Soldier.
- Always look at and talk directly to the subject or audience; guard against the tendency to talk to the interpreter.
- Speak slowly and clearly; repeat information as often as necessary.
- Speak to the individual or group as if they understand English. The Soldier should be enthusiastic and employ the gestures, movements, and voice intonations and inflections that he would normally use before an English-speaking group. The Soldier can convey considerable nonverbal meaning through voice and body movements. The Soldier should encourage the interpreter to mimic the same delivery.
- Periodically check the interpreter's accuracy, consistency, and clarity. Another American, fluent enough in the language, should sit in on a lesson or

**GTA 41-01-001**

---

interview to ensure that the interpreter has not distorted, intentionally or unintentionally, the translation. Another way to be sure is for the Soldier to learn the target language so he can check the interpreter's loyalty and honesty.

- Check with the audience whenever he suspects misunderstandings and clarify them immediately. Using the interpreter, the Soldier should ask questions to elicit answers that will tell whether the point is clear. If it is not clear, he should rephrase the instruction differently and illustrate the point again. The Soldier should use repetition and examples whenever necessary to facilitate learning. If the class asks few questions, it may mean the instruction is "over the heads" of the audience, or the message is not clear to the audience.
- Make the interpreter feel like a valuable member of the team; give the interpreter recognition commensurate with the importance of his contribution.

The CA Soldier should not—

- Address the subject or audience in the third person through the interpreter. The Soldier should avoid saying "tell them I'm glad to be their instructor," but rather should say, "I'm glad to be your instructor." He should address the subject or audience directly.
- Make side comments to the interpreter, since the interpreter is not expected to translate them. This tends to create the wrong atmosphere for communication.
- Be a distraction while the interpreter is translating and the subject or audience is listening. The Soldier should not pace the floor, write on the blackboard, teeter on the lectern, drink beverages, or carry on any other distracting activity while the interpreter is actually translating.

FM 3-05.401 provides more in-depth information on the use of interpreters.

## SETTING UP A MEETING

It may be necessary to conduct periodic meetings with certain groups for specific recurring or sequential topics. Weekly meetings may be appropriate for planning operations, tracking progress, and managing projects. Monthly meetings provide a better chance to look at certain long-range or developmental subjects in greater depth. Every meeting should be assigned to a single meeting coordinator. The meeting coordinator is responsible for the planning, coordination, and execution of the meeting. Depending on the circumstances and level of the meeting, the meeting coordinator may or may not also serve as the moderator of the meeting.

Successful meetings require detailed planning, regardless of the location, circumstances, timing, or frequency. Successful planning requires the meeting coordinator to approach the task professionally and systematically. He must understand the purpose, expected outcome, and implications of the meeting.

The more care taken in preparing and structuring the meeting, the more likely that the outcome of the meeting will be favorable.

**Planning the Meeting.** The meeting coordinator should—

- Determine the purpose of the meeting, the desired results of the meeting, and implications of the meeting on ongoing operations and initiatives.
- Make a list of the desired attendees. Identify individual ranks, status, and protocol requirements. Identify potential agenda items among the attendees that may surface before, during, or after the meeting.

**GTA 41-01-001**

---

- Select an appropriate location. Consider the security of the site, the clearance of routes, and if needed, travel passes. Consider the neutrality of the location and the possible message it may send to participants and nonparticipants.
- Invite the attendees and, when appropriate, confirm their attendance.
- Determine appropriate seating arrangements. Consider the number of participants, the rank and status of the participants, the size and shape of the room, and local culture and customs.
- Consider local ceremonial customs, and ensure that the members of the U.S. or coalition party are aware of what will be expected of them in such ceremonies. (Ceremony may be an important part of some types of meetings.)
- Be familiar with other cultural idiosyncrasies, such as the exchanging of gifts before or after a meeting or how much small talk is acceptable before jumping into business.

**During the Meeting.** The meeting moderator should—

- Welcome all participants and allow for introductions.
- Orient the participants to the layout of the meeting area, including locations of break areas, rest rooms, telephones, fax machines, and other administrative support.
- Provide an overview of the purpose of the meeting and meeting objectives, relevant background information and assumptions, the time allotted for the meeting, and the expected outcome at the meeting's conclusion.
- Publish clear and concise ground rules for behavior. For example, participants must arrive on time, there should be no interruptions to take phone calls, topics

not on the agenda will be tabled for a follow-up meeting, and meeting organizers should always strive to finish the meeting on time. Other rules might include guidelines on sending proxies or on the need for confidentiality. Importantly, in a volatile environment, full constructive challenge, as opposed to destructive confrontation, should be encouraged.

- Propose and formalize an agenda that is agreeable to all parties. Designate an individual to enforce the agenda by keeping time or reminding participants when they are straying from the approved topics.
- Designate an individual to perform as the official recorder and note-taker, since it is almost impossible to effectively run a meeting and take thorough notes at the same time. Legal clerks from the Staff Judge Advocate (SJA) section, if available, may be helpful.
- Monitor the composition and skills of the attendees to confirm that the right people are attending.
- Provide the opportunity for people to be creative and spontaneous. Encouraging participation fosters a sense of common purpose and accomplishment. In some meetings, participants might not be vocal with their ideas. To obtain the feedback necessary to resolve issues, the meeting coordinator may have to extract the information by asking direct questions.
- If necessary, break large groups into smaller working groups (no more than 10 participants) to facilitate communication and participation.
- Use the last few minutes of a meeting to review the group's decisions, define the required next steps (if necessary), and assign due dates for each assignment. If follow-up action is necessary, it is important to be specific so that it is clearly understood which individual will handle each outstanding task.

**GTA 41-01-001**

---

- Be aware of certain skills or tactics that he, or another meeting participant, may try to employ to turn the meeting in their favor. The use of the following skills or tactics is situation dependent:
  - *Aggression.* There is no place for angry aggression in meetings. Often, a well-timed apology can put even the most abusive attacker off guard and bring a situation back under control.
  - *Conciliation.* Conciliation is a way to defuse aggression. Conciliation must be used sparingly.
  - *Enthusiasm.* Unlike aggression and conciliation, enthusiasm is encouraged. Enthusiasm fosters participation by reinforcing the feeling that each participant's idea counts. The meeting moderator should, however, be wary of giving the impression of false enthusiasm.
  - *Interrogation.* Interrogation in the context of meetings means interrogative statements rather than making speeches. Asking pointed and relevant questions is often a more effective means of promoting communication.
  - *Patience.* Patience allows one to listen to the arguments advanced by all sides with an open mind.
  - *Withdrawal.* Withdrawing from a meeting is a tactic of last resort and should be used most sparingly, if at all.

**After the Meeting.** The meeting coordinator or moderator should produce a complete report consisting, at a minimum, of the following:

- List of attendees.
- Copy of the agenda.
- A synopsis of all issues and discussions covered during the meeting, decisions made, agreements

drafted, topics tabled for future meetings, and further actions to be taken.

- The dates and subjects of future meetings.
- Debrief of the interpreter to get an overall feeling for the meeting and to clarify any questions there may be.

## NEGOTIATION TECHNIQUES

### Is It a Negotiation Situation?

Every Soldier understands “positional” negotiations. Soldiers are raised in the military understanding it. The strength of their position comes from their rank and from the military structure. This is a very effective and traditional process that allows the military to effectively function, especially in combat. The difficulty for a Soldier begins when he encounters a situation in which he needs to negotiate, but is used to dictating his will based on the more familiar military positional authority. The people he is encountering are outside the military and will not recognize the military *positional authority* that the Soldier is accustomed to. Soldiers can use their inherent combat power (M4, M249, close air support [CAS], and so on) to force cooperation, but the drawbacks can outweigh the long-term benefits. A Soldier needs to have the maturity to recognize a situation that requires him to place his inherent combat power aside to conduct principled negotiations. He must also keep his inherent power at the ready and bring it to bear if the threat warrants it. These relationship-based negotiations support the commander’s intent, especially with SOF missions. The commander’s mission success criteria may include developing a trusting relationship to help resolve local disputes. Incorporating solutions and resolutions from the disputants, and not just dictating them, is one way to achieve a more enduring and enforceable resolution. Lasting conflict resolutions incorporate a jointly arrived-at agreement. The principled negotiations process makes this possible.

### **Obstacles to Conducting Negotiations**

People have difficulty communicating and problem solving between people of their own culture speaking a common language. A negotiation situation is further complicated when the people to be negotiated with are from a foreign culture, speaking a different language, and using different body language. SOF imperative number 1: "Understand the operational environment," and all that that involves, can help Soldiers to better understand how to deal with foreign civilians. Even if Soldiers know the "right" answer, dictating the solution works less in the long run. It is important that parties take ownership of the resolution so they can be more durable, long-lasting and enforceable.

### **Best Alternative to Negotiated Agreement**

The CA Soldier must realize first if he has alternatives to accomplishing his mission and then deal directly with the individuals who clearly have an agenda. Knowing the best alternative to negotiated agreement (BATNA), or bottom line, is critical before entering into a negotiation situation. Knowing it will enable a Soldier to recognize whether or not he is being presented with a good deal. The BATNA is easier to determine when there is only one issue to negotiate; for example, price. In reality, when considering cultural, political, religious, and other subjective criteria, determining the BATNA will be much more difficult.

### **Zone of Possible Agreement**

After establishing his BATNA, the Soldier attempts to determine the BATNA of his negotiating partner. Through direct information, data calculated from other sources, experience, and so on, the Soldier can then calculate the existence or not of a zone of possible agreement (ZOPA).



**Claiming Value Versus Creating Value  
and Positions Versus Interests**

Claiming value is essentially a win/lose negotiation or zero-sum game. The Soldier is competing to get the biggest piece of a pie possible. He wins the piece he is satisfied with (or meets his success criteria) and he is satisfied with losing the remainder to his negotiation partner. The Soldier is in effect "staking his claim" in this style of negotiation. There is not much of an opportunity to develop a relationship. The win/lose style of negotiation can tend to be adversarial and confrontational. With "principled negotiation," the Soldier's goal is also to create value through relationship-based efforts. He negotiates to make the pie (and ultimately what he receives) bigger, because he and his partner are willing to do this. To create value, a Soldier needs to understand what is behind his negotiating partner's position. This is what win/win or positive-sum game negotiations are. What is being represented may not show what is motivating that person. Understanding the interests behind the position is what gives the Soldier a better understanding of what motivates that person. Personally attacking a person's position breaks down the negotiation. Rather the Soldier should look at what is behind the position to see what the interests or motivations are. Addressing these interests is a way to avoid the perception of *attacking* a viewpoint not understood because of cultural viewpoint or mind set.

**Structure of Negotiations and the Tensions  
of That Structure**

The structure of negotiations is complicated by all the interrelationships that exist. Generally, a Soldier will not operate as an individual in a negotiation situation. He will be a member or element of a team, and every team member's role needs to be identified with the objectives understood by all. Rehearsing and scrimmaging the teams' roles can alleviate "surprises" by team members who may not understand the overall mission or its objectives.

### **Defense Against “Hard” Bargaining**

A Soldier needs to defend himself against “guerrilla negotiations” or negotiations by intimidation. He may encounter individuals that are far more experienced in negotiating. Knowing what his BATNA is will be the single most effective tool he can use to help defend himself. No one can make a Soldier take a “bad deal,” unless by force—and at that point there is no longer a negotiation.

### **Don’t Lose the “War,” Fighting to Win One “Battle”**

It is essential for Soldiers today to understand that in the current operational environment, they are still conducting tactical missions and need to always address FP issues. But in an asymmetric warfare environment, they have to conduct negotiations with civilians. The significance of these actions, as with a lot of SOF missions, is strategic in nature. Understanding relationship-based negotiations may be more beneficial toward mission success than “squeezing” the local indigenous population for the best possible deal. Depending on the Soldiers’ long-term strategic and security objectives, it may be more important to gain trust and favor than to get the lowest possible “price,” especially if it leads to more comprehensive agreements. These *principled* negotiations are not the “used-car salesman” type of negotiation. Soldiers will, in some cases, establish relationships with these people, and it may be the Soldiers’ duty to nurture that relationship in order to help shape the battlespace. Understanding the natural competitive spirit and desire for winning, and realizing that the Soldier may have to keep that in check in order to achieve the strategic objective can possibly be one of the hardest things Soldiers are asked to do. But it may be what establishes a relationship between people that fosters a relationship between nations.

## ASSESSMENTS

Civil Affairs teams (CATs) and Soldiers conduct assessments upon receipt of a mission, upon arrival in a designated operational area, continuously during operations, and as directed for special or emergency cases. The purpose of each assessment is to determine current conditions, compare them to a defined norm and established standards, and identify needs or requirements that CMO or CAO can address. This includes the needs and requirements of the supported commander or organization associated with the mission, and the local populace.

The objectives of preliminary assessment are to—

- Analyze known information about the situation or conditions in the AO.
- Relate U.S. policy, goals, and objectives to the current situation.
- Determine the best use of assigned assets to meet the known requirements of the assigned mission.
- Identify threats to civil society that impact the commander's desired effects.
- Prioritize and target threats in order to achieve the supported commander's desired effects.

The objectives of deliberate assessment are to—

- Validate preliminary assessment.
- Update the CMO running estimate.
- Finalize or modify operations planned before deployment into the AO.

### **Preliminary Assessment**

The preliminary assessment is conducted upon receipt of every CA mission or tasking. It is an automatic first step of mission analysis and feeds into the civil IPB process. This assessment is characterized by an analysis of all information known about

**GTA 41-01-001**

---

the area or situation up to the moment of receipt of the mission or tasking. Much of this information may be old, secondhand, or incomplete. Consequently, CAO and CMO planners must make assumptions until they answer information shortfalls in a more detailed, deliberate assessment upon entry into the AO. The CMO running estimate includes information from the preliminary assessment.

During the preliminary assessment, the CAO and CMO planner consults previously prepared area studies and CIM-related products for the region that encompass the AO. The CAO and CMO planner also researches current data and statistics pertaining to the designated area. The CAO and CMO planner uses the CA area assessment format found in FM 3-05.401 and the principles of METT-TC for analyzing a situation. Sources of current information include INTSUMs, operational reports, magazine and newspaper articles, and the Internet. When using the Internet, the CAO and CMO planner seeks links to OGAs, IGOs, and NGOs on the ground, such as the United States Agency for International Development's (USAID's) OFDA or NGOs' ties to the UN Relief Web. The CAO and CMO planner considers accuracy, reliability, and timeliness of the sources during analysis, to include—

- Understanding the combatant commander's strategic intent and operational focus.
- Studying the primary planning document (campaign plan, OPLAN, concept plan [CONPLAN], functional plan [FUNCPLAN], or supporting plan).
- Studying all supporting annexes and appendixes to the primary planning document for CAO- and CMO-related assumptions and tasks, and validating the accuracy of these assumptions and tasks.
- Analyzing the geographic AO defined in the primary planning document according to METT-TC, focusing on the strategic-level civil considerations.
- Analyzing and archiving reports from the field.

- Cataloging resources and POCs that will be useful in updating future plans and conducting future operations.

The CAO and CMO planner also relates U.S. policy, goals, and objectives to the current situation, to include reviewing—

- The national security strategy (NSS) and national military strategy (NMS).
- The political-military (POLMIL) plan.
- The theater security cooperation plan (TSCP).
- UN, unilateral, bilateral, and multilateral treaties and agreements to which the United States is a signatory.
- Any additional guidance from the Chairman of the Joint Chiefs of Staff (CJCS).
- Alliance and coalition plans.

The CAO and CMO planner determines the best use of assigned assets to meet the known challenges of the assigned mission, to include—

- Identifying specified, implied, and the priority of CMO tasks for military forces.
- Identifying specified, implied, and the priority of CA tasks for CA forces.
- Apportioning CA forces against CA task requirements and ensuring the forces are included in time-phased force and deployment data (TPFDD).
- Incorporating CMO considerations into the primary planning document and supporting annexes and appendixes, as appropriate (for example, ROE, indirect fires, IO, logistics, interagency operations, and civil-engineering support).

### **Deliberate Assessments**

Deliberate assessments normally are conducted upon entry into the AO, continually throughout an operation, and as

---

**GTA 41-01-001**

---

directed for special or emergency cases. Firsthand observation, interviews, surveys, and other tools used to make more knowledgeable decisions are characteristics of the deliberate assessment. Elements may be task-organized for each deliberate assessment mission.

The deliberate assessment consists of two categories—the initial assessment (conducted upon entry into the designated AO) and the rapid assessment. When conducting initial and rapid assessments, CA Soldiers obtain information by conducting direct observation, using checklists, and interviewing civilians in various settings. Gathering information should not be a haphazard process. As with all military missions, this task must have a well-formed, practical plan. The basic steps of this plan include the following:

- Determine what information to gather.
- Determine the most likely source (such as a person, place, event, and reference) from which to obtain the information.
- Prepare a list of questions for the source that supports the information requirements.
- Engage the source (for example, research references, observe activities, and interview individuals).
- Compile the results obtained in step above.
- Report the results according to unit SOP.

Every assessment must contain well-defined geographical boundaries and time frames within which the assessment is valid. As mere “snapshots in time,” assessments and surveys must be updated as often as necessary to remain current. At a minimum, CA assessments and reports cover the five Ws—who, what, where, when, and why. To make this data and information easy to enter into a database, reports are quantified—such as the number of hospital beds in a hospital, the kilowatt output of a power plant, and so on. It is also crucially important to geo-reference what is reported; in other

words, a global positioning system latitude and longitude reading or military grid location. Names and official positions, if any, of the local people engaged together with an assessment of the general attitude of the populace are vital elements of the CIM process. Assessments quantify and identify civil-component information.

### **Initial Assessments**

CAO and CMO planners identify those information requirements necessary to satisfy information gaps and assumptions made during the conduct of the preliminary assessment. These information requirements result in tasks to subordinate CATs and units to conduct the initial CA assessment upon entry into the designated AO. The objectives or focus of the initial assessment should be broad, but not so broad that specific objectives cannot be assigned. For example, the CAT assesses general conditions of the AO in the areas of public health, public safety, public works and utilities, and civil information. CATs conducting initial assessments must be aware of the security situation at all times.

During the initial assessment, the CAT takes a cursory look at the conditions of the area as directed by the mission statement. Using the CA area assessment format found in FM 3-5.401, Appendix A, and the principles of METT-TC for analyzing a situation, the CAT visits locations that will most likely provide the information it has been directed to find. Sources of pertinent information include HN officials, municipal government and public safety offices, hospitals, medical clinics, food distribution centers, and IGO and NGO relief sites.

Products of the initial assessment include situation reports (SITREPs), spot reports, and requests for assistance. The findings of an initial assessment may lead to refined mission statements, updates to the CA area study, the CMO annex to the base order, and reallocation of forces and resources.

The assessment is common to all CA. CA personnel obtain, analyze, and record information in advance of need. The basic

---

**GTA 41-01-001**

---

assessment of an area is the CA area study that establishes baseline information relating to the civil components of the area in question. CA personnel update the information detailed in the study as required by conducting a preliminary assessment prior to the receipt of a mission. CA assessments that support other forces should supplement—not repeat—information in the basic CA area study.

Upon deployment to an AO, CA soldiers conduct an initial assessment of the area. This assessment updates, validates, and provides additional data to fill informational gaps within the previously assembled area study and preliminary assessment. To ensure coverage of all functional areas, an identical format is normally used to conduct the area study as well as preliminary and initial assessments. References should be made to the sample sequence of functions shown in FM 3-05.401, Appendix A, Figure A-1, pages A-1 through A-23.

**Rapid Assessments**

The rapid assessment is a determination of current conditions, capabilities, or attitudes of a specific village, facility, or population group. The objectives or focus of the rapid assessment should be well defined; for example, “assess the generating capacity of the XYZ power plant,” or “assess the needs of Town X to sustain the populace for the next 72 hours.” The CATs conducting rapid assessments must continuously be aware they have no authority to commit resources during the assessment process, and they must be able to maintain situational awareness of the security environment at all times.

Rapid assessments are normally tasked during the decide step to appropriate elements that will be in a position to satisfy information shortfalls. Rapid assessments can also be directed for emergencies, single issues, or special situations, such as a damage assessment incident to a claim or to determine the current conditions of a specific location. Formats may vary among CA units, supported elements, and interagency elements.



Products of the rapid assessment include updated SITREPs that portray actual conditions, project nominations, and interim or final reports validating the status of projects. The findings of a rapid assessment may lead to refined mission statements or reallocation of forces and resources.

The rapid assessment is a deliberate assessment conducted within an AO when time or other constraints do not allow for a more detailed collection of information. Rapid assessments can also be directed for emergencies, single issues, or special situations, such as a damage assessment incident to a claim or to determine the current conditions of a specific location. Figure 31, pages 117 through 124, provides a sample rapid local assessment format.

Rapid Local Assessment Format (Supplement data with digital photography when possible.)	
Current as of DD/MM/YYYY	
<b>1. GENERAL INFORMATION.</b>	<ul style="list-style-type: none"> <li>• Location name:</li> <li>• Location: <i>(Military grid reference system, latitude/longitude)</i></li> <li>• Total land area: <i>(Square miles, kilometers)</i></li> <li>• Topography: <i>(Basic type of terrain: desert, mountainous, forested, and so on.)</i></li> <li>• Climate and seasons: <i>(Basic description of the local climate and seasonal breakdowns.)</i></li> <li>• Language/dialect spoken:</li> <li>• Key landmarks:</li> <li>• Brief area history: <i>(Any pertinent recent or ancient history.)</i></li> </ul>
<b>2. KEY PERSONS.</b>	<p><i>(Brief biographies, to include gender, age, family, politics, associations, demeanor, habits, and influence.)</i></p> <ul style="list-style-type: none"> <li>• Mayor:</li> </ul>

**Figure 31. Format for rapid local assessment**

Rapid Local Assessment Format (continued)	
<ul style="list-style-type: none"><li>• Police chief:</li><li>• Religious leaders:</li><li>• Local military leaders:</li><li>• School leaders:</li><li>• Tribal leaders:</li><li>• Other leaders:</li><li>• IGOs/NGOs/OGAs in the area: <i>(Include all entities providing assistance. Include POC, type of assistance, quantity, and frequency.)</i></li></ul>	
<b>3. INDIGENOUS POPULATION.</b>	
<ul style="list-style-type: none"><li>• Population totals:<ul style="list-style-type: none"><li>▪ Families:</li><li>▪ Males:<ul style="list-style-type: none"><li>➢ Average Age:</li></ul></li><li>▪ Female:<ul style="list-style-type: none"><li>➢ Average Age:</li></ul></li><li>▪ Children:<ul style="list-style-type: none"><li>➢ Average Age:</li></ul></li></ul></li><li>• Mortality rates:<ul style="list-style-type: none"><li>▪ Male _____</li><li>▪ Female _____</li><li>▪ Children _____</li></ul></li><li>• Ethnic composition: <i>(List the basic ethnic breakdowns by percentage.)</i></li><li>• Religious makeup: <i>(List the basic religious breakdowns by percentage.)</i></li><li>• Social structure/hierarchy:</li><li>• Distribution of specific populations/groups: <i>(Intermixed or split by ethnicity/religion into areas. If split, describe.)</i></li><li>• General populace demeanor: <i>(Pro-U.S., neutral, anti-U.S.) (Pro-HN, neutral, anti-HN.)</i></li></ul>	

**Figure 31. Format for rapid local assessment (continued)**





Rapid Local Assessment Format (continued)	
<b>4. STANDARD OF LIVING.</b>	
•	Food: <i>(Sources, quantity, quality, average diet, reliability community-wide.)</i>
•	Water: <i>(Sources, quantity, quality, reliability community-wide.)</i>
•	Power: <i>(Sources, quantity, quality, reliability community-wide.)</i>
•	Sewage: <i>(Type, capacity, reliability community-wide.)</i>
•	Transportation:
▪	Public:
➤	Local: <i>(Basic systems used for travel within the community.)</i>
➤	Intercommunity: <i>(Basic systems used for travel between communities.)</i>
▪	Private:
➤	Local: <i>(Basic types used for travel within the community.)</i>
➤	Intercommunity: <i>(Basic types used for travel between communities.)</i>
•	Shelter:
▪	Types of dwellings: <i>(Huts, single story, multistory, high-rise.)</i>
▪	Standard construction material: <i>(Wood, brick, mud, steel, block, and so on.)</i>
▪	Number of dwellings: <i>(Total estimated number.)</i>
▪	Overall category:
➤	Category 1: <i>(By percentage using the Structural Evaluation Chart below.)</i>
➤	Category 2: <i>(By percentage using the Structural Evaluation Chart below.)</i>
➤	Category 3: <i>(By percentage using the Structural Evaluation Chart below.)</i>

**Figure 31. Format for rapid local assessment (continued)**

**Rapid Local Assessment Format (continued)**

➤ *Category 4: (By percentage using the Structural Evaluation Chart below.)*

**STRUCTURAL EVALUATION CHART**

<p><b>Category 1.</b></p>  <ul style="list-style-type: none"> <li>• Broken windows, door locks and hinges, and roof tiles</li> <li>• Cut off from electricity and water</li> <li>• Can be repaired</li> </ul>	<p><b>Category 3.</b></p>  <ul style="list-style-type: none"> <li>• Over 30% roof damage</li> <li>• Severe fire damage</li> <li>• Need for replacement of floors</li> <li>• Doors and windows destroyed</li> <li>• All piping and wiring destroyed</li> <li>• Can be repaired</li> </ul>
<p><b>Category 2.</b></p>  <ul style="list-style-type: none"> <li>• Up to 30% roof damage</li> <li>• Light shelling or bullet impact on walls</li> <li>• Partial fire damage</li> <li>• Can be repaired</li> </ul>	<p><b>Category 4.</b></p>  <ul style="list-style-type: none"> <li>• Destroyed</li> <li>• Needs reconstruction</li> <li>• Cannot be repaired</li> </ul>

- Heating: *(Percent of households, type, quality, reliability.)*
- Cooling: *(Percent of households, type, quality, reliability.)*
- Running water: *(Percent of households, type [private well or community source], quality, reliability.)*
- Sewage: *(Percent of households, type [outhouse/flush toilet], quality, reliability.)*
- Average dwelling occupancy: *(Average occupancy of households.)*
- Communications:
  - Telephone: *(Percent of households, reliability, service providers.)*
  - TV: *(Percent of households, reliability, service providers.)*
  - Radio: *(Percent of households, reliability, service providers.)*
  - Newspaper: *(Percent of households, number of printings weekly, views, reliability.)*
- Medical:

**Figure 31. Format for rapid local assessment (continued)**

Rapid Local Assessment Format (continued)	
<ul style="list-style-type: none"> <li>▪ Facilities: <ul style="list-style-type: none"> <li>➤ Hospitals: (<i>Size, location, capacity, capability, reliability.</i>)</li> <li>➤ Clinics: (<i>Size, location, capacity, capability, reliability.</i>)</li> <li>➤ Dental offices: (<i>Size, location, capacity, capability, reliability.</i>)</li> <li>➤ Veterinary offices: (<i>Size, location, capacity, capability, reliability.</i>)</li> <li>➤ Mortuaries: (<i>Size, location, capacity, capability, reliability.</i>)</li> </ul> </li> <li>▪ Professionals: <ul style="list-style-type: none"> <li>➤ Doctors: (<i>Location, capability, reliability.</i>)</li> <li>➤ Nurses: (<i>Location, capability, reliability.</i>)</li> <li>➤ Dentists: (<i>Location, capability, reliability.</i>)</li> <li>➤ Veterinarians: (<i>Location, capability, reliability.</i>)</li> <li>➤ Morticians: (<i>Location, capability, reliability.</i>)</li> </ul> </li> <li>▪ Traditional: (<i>Location, capability, reliability.</i>)</li> </ul>	
<ul style="list-style-type: none"> <li>• Education: <ul style="list-style-type: none"> <li>▪ Basic education level:</li> <li>▪ Facilities: <ul style="list-style-type: none"> <li>➤ Grade schools: (<i>POCs, locations, capacity [current and capable], schedule, shortfalls.</i>)</li> <li>➤ High schools (<i>POCs, locations, capacity [current and capable], schedule, shortfalls.</i>)</li> <li>➤ Universities: (<i>POCs, locations, capacity [current and capable], schedule, shortfalls.</i>)</li> <li>➤ Religious schools: (<i>POCs, locations, capacity [current and capable], schedule, shortfalls.</i>)</li> </ul> </li> </ul> </li> </ul>	
<ul style="list-style-type: none"> <li>• Crime: <ul style="list-style-type: none"> <li>▪ Rate:</li> <li>▪ Types: (<i>Predominate types of crime in the community.</i>)</li> </ul> </li> </ul>	

**Figure 31. Format for rapid local assessment (continued)**

### Rapid Local Assessment Format (continued)

- Areas: *(Locations of concentrations, bad areas.)*
  - Figures: *(Any identified crime figures. Include biographical information if available.)*
  - Penal institutions: *(Type, organization, structural information, capability, current capacity, locations)*
  - Unique problems and challenges: *(Miscellaneous information identified.)*
- 5. ECONOMIC CHARACTERISTICS.**
- Type of economy: *(Market, Agrarian, Industrial.)*
  - Currency: *(Include all currencies and any known exchange rates.)*
  - Unemployment rate: *(Percent of eligible work force that is unemployed.)*
  - Self employed: *(Percent of eligible work force that is self-employed.)*
    - Nature of self-employment: *(List professions if they constitute a major percentage of the self-employed.)*
  - Employed: *(Percent of eligible work force that is employed by others.)*
    - Nature of employment: *(List professions if they constitute a major percentage of the employed.)*
  - Trade/exchange with other locations: *(List major items/agreements/methods for trade with other population areas.)*
  - Natural resources: *(List all major natural resources for the community.)*
  - Main crops: *(List the main staple crops of the community, even if it is not an agrarian economy.)*
  - Livestock: *(List main livestock types, locations, and uses.)*
  - Industry type: *(List any major industries that support the community.)*
- 6. POLITICS.**
- Political system:

**Figure 31. Format for rapid local assessment  
(continued)**

Rapid Local Assessment Format (continued)	
<ul style="list-style-type: none"> <li>• Parties: <i>(Number and density.)</i></li> <li>• Representatives: <i>(Elected or selected.)</i> Political attitude toward the U.S./HN governments:</li> <li>• Biographies of key officials/leaders: <i>(If not covered in section 2.)</i></li> </ul>	
<b>7. EMERGENCY SERVICES.</b>	
<ul style="list-style-type: none"> <li>• Police: <i>(Organization, structure, strength, functions, equipment, enforcement methods, and locations.)</i></li> <li>• Fire: <i>(Organization, structure, strength, functions, equipment, locations.)</i></li> <li>• Rescue: <i>(Organization, structure, strength, functions, equipment, locations.)</i></li> <li>• Militia: <i>(Organization, structure, strength, equipment, product of national military policy or separatist organizations.)</i></li> <li>• Unique problems and challenges.</li> </ul>	
<b>8. SIGNIFICANT STRUCTURES.</b>	<i>(Include any major structures not already covered:)</i>
<ul style="list-style-type: none"> <li>• Dams.</li> <li>• Bridges.</li> <li>• Water/sewage treatment plants.</li> <li>• Water distribution facilities.</li> <li>• Religious structures.</li> <li>• Historic structures: <i>(Any items/locations of significant value to the local populace.)</i></li> <li>• Cultural structures: <i>(Any items/locations of significant value to the local populace, to include zoos, libraries, and so on.)</i></li> <li>• Power generation plants.</li> <li>• Power distribution nodes.</li> <li>• Rail lines/yards/switching stations.</li> <li>• Airports.</li> </ul>	

**Figure 31. Format for rapid local assessment  
(continued)**

Rapid Local Assessment Format (continued)	
<ul style="list-style-type: none"><li>• Port areas.</li><li>• Government buildings.</li></ul>	
<b>9. DISLOCATED CIVILIANS.</b>	
<ul style="list-style-type: none"><li>• Location: (Grids for all major concentrations.)</li><li>• Quantity: (<i>Numbers broken down by male/female/children.</i>)</li><li>• Composition:<ul style="list-style-type: none"><li>▪ Ethnicity:</li><li>▪ Religion:</li><li>▪ Categories: (By percentage if able to be determined.)<ul style="list-style-type: none"><li>➢ Displaced person.</li><li>➢ Refugee.</li><li>➢ Evacuee.</li><li>➢ Stateless person.</li><li>➢ War victim.</li><li>➢ Internally displaced person.</li><li>➢ Returnee.</li><li>➢ Resettler.</li></ul></li></ul></li><li>• Disposition: (<i>General status of the DC population; for example, self-sufficient, receiving assistance, sick, or starving.</i>)</li><li>• Leadership: (<i>POCs</i>)</li><li>• Unique problems and challenges with local community:</li></ul>	
<b>10. OBSERVATIONS.</b> General comments on traditions, customs, and taboos observed.	

**Figure 31. Format for rapid local assessment (continued)**



## **FINANCIAL, CONTRACT, AND PROJECT MANAGEMENT**

### **Overview**

The ability to commit, obligate and disburse funds is based on specific authority to do so. This section will not cover all the possible uses of money by the CA Soldier; rather the intent is to familiarize CA Soldiers with—

- Sources of funding.
- Funds execution authority.
- Terms, procedures, and forms used for acquisition and procurement.
- Roles of the various acquisition and procurement actors, to include—
  - Contracting officers.
  - Contracting officer's representative (COR).
  - Field ordering officer (FOO)/project purchase officer (PPO).
  - Class A or paying agent (PA).
  - Project manager.
  - Vendor or contractor.
  - Other agencies.
- Techniques for the management of money, contracts, and projects.

### **Sources of Funding**

The CA Soldier has access to a number of programs and organizations with funds available to finance many of the projects or needs identified by various CA assessments and the supported commander's CMO objectives. Funding may originate from within the DOD, the Department of State (DOS), or OGAs as appropriated by Congress through the enactment of public law. Even though the following discussion relates to

**GTA 41-01-001**

---

funding provided by USG sources, CA Soldiers should consider funding opportunities available by integrating IGO and NGO resources into the execution of the CMO plan.

**Title 10 United States Code Appropriations**

Appropriations to DOD fund programs identified in sections of Title 10, United States Code (USC), that provide the authority to commanders to conduct humanitarian operations. This authority includes Section 401, Title 10, United States Code (10 USC 401) authorizes the military to conduct humanitarian and civic assistance (HCA) activities. HCA activities are defined in the statute as the following:

- Medical, dental, and veterinary care provided in rural or underserved areas of a country.
- Construction of rudimentary surface transportation systems.
- Well drilling and construction of basic sanitation facilities.
- Rudimentary construction and repair of public facilities.

The typical sequence for the initiation and execution of HCA projects is as follows. The embassy, Country Teams, and the Service components of the GCCs' HCA provide lists of projects for their respective countries to the combatant commander having responsibility for that country. HCA funding comes directly from the Services to the combatant commanders. The money is Service operation and maintenance (O&M) funds that are fenced off by the Services specifically for HCA. Each Service is responsible for funding a particular combatant command (for example, Army: United States Southern Command [USSOUTHCOM] and United States European Command [USEUCOM]).

Congress imposed certain restrictions on the conduct of HCA. The DOS must approve all HCA projects. The security interests of the United States and the receiving nation must be promoted. The mission must serve the basic economic and

social needs of the people involved. HCA must complement but not duplicate any other form of social or economic assistance. The aid may not be provided to any individual, group, or organization engaged in military or paramilitary activity. HCA must be conducted in conjunction with an authorized military operation, which may be an exercise or a deployment for training (DFT). The HCA activity being conducted must promote specific operational-readiness skills of the individual Soldier.

HCA funds are used to pay for expenses incurred as a direct result of the HCA activity. These expenses include the following: consumable materials, equipment leasing, supplies, and necessary services. These expenses do not include costs associated with the military operations that likely would have been incurred whether or not the HCA was provided, such as transportation, military personnel, repair of USG equipment, and POL. HCA expenditures are reported each year to Congress by country, type, and amount.

Opportunities often arise during the course of an exercise or operation in a foreign country to perform minor HCA. For example, during the conduct of a combined exercise, a young boy near the exercise site may require minor medical attention to set a broken arm. 10 USC 401(c)(2) authorizes the military commander to permit the treatment of the child by the unit's assigned doctor or medic. The costs associated with this treatment would likely be minimal and would be paid from the unit's O&M funds. This kind of activity is referred to as de minimis HCA. Only HCA amounting to "minimal expenditures" may be provided. DOD Directive 2205.2, *Humanitarian and Civic Assistance (HCA) Provided in Conjunction with Military Operations*, provides guidance in determining what "minimal" means. De minimis HCA activities must be one of the four activities statutorily allowed as an HCA activity. In addition, all of the other restrictions for the conduct of HCA mentioned above apply to de minimis HCA.

**GTA 41-01-001**

---

Humanitarian Assistance, Section 2561, Title 10, United States Code (10 USC 2561) authorizes use of funds for transportation of humanitarian relief and for other humanitarian purposes worldwide. "Other humanitarian purposes worldwide" is not defined in the statute.

10 USC 2561 gives a much broader authority than 10 USC 401 and allows more flexibility in emergency situations, to include natural or man-made disasters. On the other hand, HCA generally requires preplanned activities and must promote operational readiness skills of the U.S. participants. Generally, if the contemplated activity falls within the parameters of HCA under 10 USC 401, then the more-specific HCA authority should be used.

10 USC 2561 does not require the promotion of operational readiness skills of the U.S. military participants and allows contracting for goods and services if necessary for mission execution. Also, unlike HCA, which must be conducted in conjunction with an exercise or ongoing military operation, HA can be conducted as a stand-alone project.

This authority is often used to transport USG-donated goods to a country in need. (Transportation of Privately-Owned Humanitarian Relief Supplies to Foreign Countries, Section 402, Title 10, United States Code [10 USC 402] applies when relief supplies are supplied by NGOs.)

10 USC 2561 has been amended to allow the SecDef to use this authority to transport supplies intended for use to respond to, or mitigate the effects of, an event or condition that threatens serious harm to the environment (such as an oil spill) if other sources of transportation are not readily available. CA Soldiers and their servicing judge advocates must obtain and review current DOD guidance for HA activities.

Excess and Nonlethal Supplies: Humanitarian Relief, Section 2557, Title 10, United States Code (10 USC 2557) allows DOD to provide excess and nonlethal supplies for humanitarian relief. Excess property may include any property except real

property, weapons, ammunition, and any other equipment or material that is designed to inflict bodily harm or death. Excess property is that property which is in the Defense Reutilization and Marketing Office (DRMO) channels. If the required property is in the excess property inventory, it is transferred to USAID, as agent for DOS, for distribution to the target nation. Military personnel may distribute these supplies. This statute does not contain the authority to transport the items, but they may be transported under authority of 10 USC 2561.

Transportation of Privately-Owned Humanitarian Relief Supplies to Foreign Countries, Section 402, Title 10, United States Code (10 USC 402) (commonly called the Denton Amendment) authorizes the transportation of nongovernmental, privately donated relief supplies. It is administered by DOS and defense support to civil authorities. The relief supplies are transported on a space-available basis under certain conditions:

- Supplies must be in usable condition.
- Supplies must be suitable for humanitarian purposes.
- Adequate arrangements must have been made for their distribution in-country. Once in-country, the supplies may be distributed by any USG agency, foreign government agency, HN government agency, IGO, NGO, private voluntary organization (PVO), or other private nonprofit organization.

DOD may not use this authority to supply a military or paramilitary group. Since the supplies are transported on a space-available basis, no separate funding is necessary. However, reports must be submitted to Congress.

10 USC 402 has been amended to allow the SecDef to use this authority to transport supplies intended for use to respond to, or mitigate the effects of, an event or condition that threatens serious harm to the environment if other sources of transportation are not readily available.

---

**GTA 41-01-001**

---

Foreign Disaster Assistance, Section 404, Title 10, United States Code (10 USC 404) in consultation with the Secretary of State, USAID is the lead agency for foreign disaster relief, with the primary source of funding being International Disaster Assistance Funds, Section 2292 through 2292k, Title 22, United States Code (22 USC 2292 through 2292k). DOD has limited authority to engage in disaster assistance. The President may direct DOD through the SecDef to respond to man-made or natural disasters. The President delegated disaster relief authority to the SecDef with concurrence of DOS (except in emergency situations). Executive Order 12966, 60 Federal Regulation 36949 (15 July 1995) provides additional information. DOD's participation must be necessary to "save lives." Assistance should take the form of support to the overall civilian effort and may include transportation, supplies, services, and equipment.

10 USC 404 is rarely used because there is no implementing guidance. As a result, DOD relies on the broad authority of 10 USC 2561 to conduct the foreign disaster assistance contemplated under 10 USC 404.

**Special Appropriations**

In some cases, the Congress authorizes and appropriates funds for humanitarian relief and related activities for a specific operation. An example is the Commander's Emergency Response Program (CERP).

The coalition provisional authority in Iraq developed CERP to enable commanders to respond to urgent humanitarian relief and reconstruction requirements within their AO. The program is now in use in Afghanistan. The rules governing the use of such funds are based on the Congressional restrictions in the legislation and are tailored to the needs of the particular operation.

Further guidance is available from the servicing judge advocate and from the current year's Operational Law Handbook, published by the Center for Law and Military Operations of the Judge Advocate General's Legal Center and School. CERP is discussed in detail beginning on page 138.

### **Financial Management Terminology**

The procedures required to execute appropriated funds consist of—

- *Commitment*: The act of certifying and recording, by an authorized official, a programmed expenditure of funds for the costs associated with the purchase or reimbursement of products and services. An authorized commitment certifies that funds are available and provides the purchasing authority with the accounting data necessary to obligate the government for payment.
- *Obligation*: Acts that legally bind the USG to make payments. Funds may be obligated only for the purposes for which they were appropriated and only to satisfy the bona fide needs of the fiscal year for which the appropriations are valid for obligation.
- *Disbursement*: The payment of funds to satisfy a legal obligation of the USG.
- *Reconcilability*: The process of accounting for the expenditure of funds by means of documenting the commitment, obligation, receipt, and payment for supplied goods and services.

### **Authority to Execute Department of Defense Funds**

Commanders have the authority to execute appropriated funds. Commanders are directly involved in the oversight of the process. This level of involvement ensures compliance with established financial management policies and procedures to prevent fraud, waste, and mismanagement of authorized funds. A commander's authority includes the ability to appoint subordinates to positions of responsibility specifically to manage and execute funds.

**GTA 41-01-001**

---

Contracting officers, uniformed and civilian, are professionally trained to negotiate and legally obligate the USG by means of contracts and purchase agreements. The amount of money a particular contracting officer is authorized to obligate is usually based on the contracting officer's formal training, experience, and duty position. A contracting officer's obligation authority is prescribed in a personal warrant that describes the types of contracts and funding limitations of the contracting officer's authority.

Commander-appointed positions to assist in the financial management of the unit's funds include the—

- *FOO*. The role of the unit FOO is to assist in the local purchase of supplies and equipment. The FOO is trained to legally obligate the USG in accordance with acquisition policies and regulations. The limitations of a FOO's obligation authority are detailed in the appointment orders that assign the duty. An appointed FOO cannot perform the duties of a Class A Agent or PA.
- *Class A Agent or PA*. Agents are appointed to perform specific disbursement duties. PAs are appointed to support the local procurement process. Class A Agents are appointed to provide support to individuals. Agents cannot perform both duties. The limitations of Agents' authority are detailed in the appointment orders that assign the duty. An appointed Agent cannot perform the duties of a FOO.

Dependent on the level of command, a commander's staff may include a Financial Management Officer, who is responsible for the commitment and reconciliation of the unit's funds. This officer would normally provide staff oversight of the unit's FOOs and PAs. The total amount of funds available for execution by a commander and the maximum value of a single transaction are normally dependent on the level of command. For example, a brigade commander may be authorized a total of \$200,000 in CERP funds per quarter and given authority to approve



projects valued at a maximum of \$10,000, whereas a battalion commander may only be authorized half those amounts.

### **Financial Management**

Documenting the commitment, obligation, disbursement, and reconciliation of funds at the unit level requires maintaining a number of financial documents that provide an audit trail detailing the execution of funds. Basic documentation that CA Soldiers should be familiar with include—

- Department of Defense (DD) Form 448, (Military Interdepartmental Purchase Request), also called MIPR, which financial management officials use to transfer funds between military agencies. A properly executed MIPR (Figure 32, page 134) allocates funds by specific accounting classifications. The MIPR is the receiving agency's authority to commit and obligate funds against requirements specified in the document.
- DA Form 3953, (Purchase Request and Commitment), which mainly financial management officials use to track the commitment and obligation of funds.
- Standard Form (SF) 44, (U.S. Government Purchase Order Invoice Voucher) (Figure 33, page 135), which FOOs use for ordering and verifying receipt of goods and services by the government. It is completed by the PA to verify the receipt of payment by the vendor.
- SF 1034, (Public Voucher for Purchases and Services Other Than Personal), which is used to authorize payment of a vendor invoice.
- DD Form 1081, (Statement of Agent Officer's Account) (Figure 34, page 136), which the PA and the disbursing officer of a finance office use to reconcile the funds entrusted to the PA for disbursement.
- DD Form 250, (Materiel Inspection and Receiving Report) (Figure 35, page 137), which a responsible authority such as a contracting officer's representative or project officer/manager uses to document the

**GTA 41-01-001**

receipt of goods, contract deliverables, or services. Completion of the DD 250 is normally necessary to authorize payment to a vendor.

MILITARY INTERDEPARTMENTAL PURCHASE REQUEST					1. PAGE 1 OF _____ PAGES	
2. FSC		3. CONTROL SYMBOL NO.		4. DATE PREPARED		5. MIPR NUMBER
7. TO:				8. FROM: (Agency, name, telephone number of originator)		
9. ITEMS <input type="checkbox"/> ARE <input type="checkbox"/> ARE NOT INCLUDED IN THE INTERSERVICE SUPPLY SUPPORT PROGRAM AND REQUIRED INTERSERVICE SCREENING <input type="checkbox"/> HAS <input type="checkbox"/> HAS NOT BEEN ACCOMPLISHED.						
ITEM NO.	DESCRIPTION <small>(Federal stock number, nomenclature, specification and/or drawing No., etc.)</small>	QTY	UNIT	ESTIMATED UNIT PRICE	ESTIMATED TOTAL PRICE	
a	b	c	d	e	f	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
					\$0.00	
10. SEE ATTACHED PAGES FOR DELIVERY SCHEDULES, PRESERVATION AND PACKAGING INSTRUCTIONS, SHIPPING INSTRUCTIONS AND INSTRUCTIONS FOR DISTRIBUTION OF CONTRACTS AND RELATED DOCUMENTS.					11. GRAND TOTAL	
12. TRANSPORTATION ALLOTMENT <small>(Used in POB Contractor's plant)</small>					13. MAIL INVOICES TO <small>(Payment will be made by)</small>	
PAY OFFICE DQDAAD						
14. FUNDS FOR PROCUREMENT ARE PROPERLY CHARGEABLE TO THE ALLOTMENTS SET FORTH BELOW, THE AVAILABLE BALANCES OF WHICH ARE SUFFICIENT TO COVER THE ESTIMATED TOTAL PRICE.						
ACRN	APPROPRIATION	LIMIT/SUBHEAD	SUPPLEMENTAL ACCOUNTING CLASSIFICATION		ACCTG STA DQDAAD	AMOUNT
15. AUTHORIZING OFFICER <small>(Type name and title)</small>				16. SIGNATURE		17. DATE

DD Form 448, JUN 72 (EG)      PREVIOUS EDITION IS OBSOLETE.

SAMPLE

Figure 32. Sample DD Form 448

U.S. GOVERNMENT																							
PURCHASE ORDER - INVOICE - VOUCHER																							
DATE OF ORDER <i>Date paid</i>	ORDER NO. <u>1</u>	← <i>Increment by one for each SF 44 (no voids)</i>																					
PRINT NAME AND ADDRESS OF SELLER (Number, Street, and State)*																							
<i>Seller's name and address</i>																							
Furnish Supplies or Services to (Name and address)																							
<table border="1"> <thead> <tr> <th>SUPPLIES OR SERVICES</th> <th>QTY</th> <th>UNIT PRICE</th> <th>AMOUNT</th> </tr> </thead> <tbody> <tr> <td colspan="4"><i>Items must be itemized or the itemized invoice must be attached.</i></td> </tr> <tr> <td>hammer</td> <td>2</td> <td>2</td> <td>\$4.00</td> </tr> <tr> <td>nails</td> <td>6</td> <td>0.1</td> <td>\$0.60</td> </tr> <tr> <td colspan="3"></td> <td>TOTAL \$4.60</td> </tr> </tbody> </table>				SUPPLIES OR SERVICES	QTY	UNIT PRICE	AMOUNT	<i>Items must be itemized or the itemized invoice must be attached.</i>				hammer	2	2	\$4.00	nails	6	0.1	\$0.60				TOTAL \$4.60
SUPPLIES OR SERVICES	QTY	UNIT PRICE	AMOUNT																				
<i>Items must be itemized or the itemized invoice must be attached.</i>																							
hammer	2	2	\$4.00																				
nails	6	0.1	\$0.60																				
			TOTAL \$4.60																				
			← <i>Amounts should be listed in the applicable currency terms (Foreign or U.S. currency)</i>																				
			← <i>Class A Agent ensures totals Foreign Currency or U.S.</i>																				
AGENCY NAME AND BILLING ADDRESS*																							
PURCHASER - <i>Please sign below for receipt - copy for delivery of items</i>																							
RECEIVED BY <u>X</u>	Authorized Receiver Signature																						
TITLE	DATE																						
SELLER - <i>Please read instructions on Copy 2</i>																							
<input type="checkbox"/> PAYMENT RECEIVED	<input type="checkbox"/> PAYMENT REQUESTED	Amount of payment																					
NO FURTHER INVOICE NEED BE SUBMITTED																							
SELLER Signature <u>X</u> <i>sellers signature</i>	DATE	DIFFERENCES																					
I certify that this account is correct and proper for payment in the amount of \$ _____		← <i>List the applicable value</i>																					
(Authorized certifying officer)		ACCOUNT VERIFIED CORRECT FOR																					
PAID BY <input type="checkbox"/> CASH	DATE PAID	VOUCHER NO.																					
OR _____ (Check No.)																							

Figure 33. Purchase order–invoice–voucher

GTA 41-01-001

STATEMENT OF AGENT OFFICER'S ACCOUNT				
DISBURSING OFFICER'S NAME, ADDRESS, DISBURSING STATION SYMBOL NO.		AGENT OFFICER'S NAME, GRADE, SSN, UNIT ADDRESS <small>(Include ZIP Code (APO number) and Telephone number)</small>		
<b>TRANSACTIONS AFFECTING AGENT OFFICER'S ACCOUNT</b>				
TRANSACTIONS	INCREASE <small>(Received by Agent)</small>	BEGINNING BALANCE <small>(In Agent's Account)</small>	DECREASE <small>(Turned in by Agent)</small>	ENDING BALANCE <small>(In Agent's Account)</small>
1. BALANCE FORWARD				
2. U.S. DOLLARS				
3. FOREIGN CURRENCY				
4. MILITARY PAYMENT CERTIFICATES				
5. COLLECTIONS				
6. DEPOSITS				
7. NEGOTIABLE INSTRUMENTS				
A. TREASURY CHECKS				
B. MILITARY PAYMENT ORDERS				
C. OTHER <small>(Specify)</small>				
8. PAID VOUCHERS				
9. INCORRECT VOUCHERS RETURNED				
10.				
11.				
12. TOTAL FUNDS IN HAND OF AGENT OFFICER				
DISBURSING OFFICER		AGENT OFFICER		
<input type="checkbox"/> <b>ON ADVANCE:</b> I HAVE INTRUSTED FUNDS AND/OR OTHER ITEMS AS INDICATED IN THIS STATEMENT TO THE ABOVE NAMED AS MY AGENT OFFICER.		<input type="checkbox"/> <b>ON ADVANCE:</b> I, AS AGENT OFFICER, HAVE FUNDS AND/OR OTHER ITEMS AS INDICATED ABOVE. I HAVE ASSUMED PECUNIARY RESPONSIBILITY THEREFOR. I WILL NOTIFY THE DISBURSING OFFICER IMMEDIATELY UPON DISCOVERY OF ANY LOSS OR SHORTAGE, AND I HAVE RECEIVED AND UNDERSTAND WRITTEN INSTRUCTIONS CONCERNING MY DUTIES AND RESPONSIBILITIES AS AN AGENT OFFICER.		
DATE	SIGNATURE OF DISBURSING OFFICER	DATE	SIGNATURE OF AGENT OFFICER	
<input type="checkbox"/> <b>ON RETURN:</b> I HAVE RECEIVED FUNDS AND/OR ITEMS AS INDICATED ON THIS STATEMENT FROM THE ABOVE NAMED AGENT OFFICER.		<input type="checkbox"/> <b>ON RETURN:</b> THE ABOVE STATEMENT OF ACCOUNT IS CORRECT.		
DATE	SIGNATURE OF DISBURSING OFFICER	DATE	SIGNATURE OF AGENT OFFICER	
<small>DD Form 1081, MAY 75 (EG)      PREVIOUS EDITION IS OBSOLETE.      Designed using Perform Pro, WHS/DIOR, Dec 94</small>				

Figure 34. Sample DD Form 1081

MATERIAL INSPECTION AND RECEIVING REPORT															Form Approved OMB No. 0704-0248															
<p>The public reporting burden for this collection of information is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Service, Directorate for Information Operations and Reports (0704-0248), 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.</p> <p>PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE ABOVE ADDRESS. SEND THIS FORM IN ACCORDANCE WITH THE INSTRUCTIONS CONTAINED IN THE DFARS, APPENDIX F-401.</p>																														
1. PROCUREMENT INSTRUMENT IDENTIFICATION (CONTRACT) NO.				ORDER NO.		6. INVOICE NO./DATE		7. PAGE OF		8. ACCEPTANCE POINT																				
2. SHIPMENT NO.		3. DATE SHIPPED		4. BIL TCN		5. DISCOUNT TERMS																								
9. PRIME CONTRACTOR CODE				10. ADMINISTERED BY CODE																										
11. SHIPPED FROM (if other than 9) CODE				FOB:		12. PAYMENT WILL BE MADE BY CODE																								
13. SHIPPED TO CODE				14. MAINTENANCE CODE																										
<table border="1"> <thead> <tr> <th>15. ITEM NO.</th> <th>16. STOCK/PART NO. (Indicate number of shipping containers or boxes, container codes, or markings)</th> <th>DESCRIPTION</th> <th>17. QUANTITY SHIPPED</th> <th>18. UNIT</th> <th>19. UNIT PRICE</th> <th>20. AMOUNT</th> </tr> </thead> <tbody> <tr> <td colspan="7" style="text-align: center; vertical-align: middle;">SAMPLE</td> </tr> </tbody> </table>																	15. ITEM NO.	16. STOCK/PART NO. (Indicate number of shipping containers or boxes, container codes, or markings)	DESCRIPTION	17. QUANTITY SHIPPED	18. UNIT	19. UNIT PRICE	20. AMOUNT	SAMPLE						
15. ITEM NO.	16. STOCK/PART NO. (Indicate number of shipping containers or boxes, container codes, or markings)	DESCRIPTION	17. QUANTITY SHIPPED	18. UNIT	19. UNIT PRICE	20. AMOUNT																								
SAMPLE																														
<p>21. CONTRACT QUALITY ASSURANCE</p> <p>a. ORIGIN  <input type="checkbox"/> COA    <input type="checkbox"/> ACCEPTANCE of listed items                  Has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.</p> <p>b. DESTINATION  <input type="checkbox"/> COA    <input type="checkbox"/> ACCEPTANCE of listed items has been made by me or under my supervision and they conform to contract, except as noted herein or on supporting documents.</p>										<p>22. RECEIVER'S USE</p> <p>Quantities shown in column 17 were received in apparent good condition except as noted.</p> <p>DATE RECEIVED: _____ SIGNATURE OF AUTHORIZED GOVERNMENT REPRESENTATIVE: _____</p> <p>TYPED NAME: _____</p> <p>TITLE: _____</p> <p>MAILING ADDRESS: _____</p> <p>COMMERCIAL TELEPHONE NUMBER: _____</p> <p>* If quantity received by the Government is the same as quantity shipped, indicate by (X) mark; if different, enter actual quantity received below quantity shipped and enclose.</p>																				
23. CONTRACTOR USE ONLY																														

DD FORM 250, AUG 2000

PREVIOUS EDITION IS OBSOLETE

Figure 35. Sample DD Form 250

### **Commander's Emergency Response Program**

The CERP provides commanders a means to respond to urgent humanitarian relief and construction requirements that can be implemented quickly and immediately to impact the local populace. Commanders establish procedures that ensure compliance with established policies and procedures to prevent fraud, waste, and mismanagement of CERP funds. Commanders establish proper management and fiscal controls to account for these funds by direct involvement in the expenditure approval process and oversight of the unit's overall program.

CERP expenditures and programs normally focus on labor-intensive and urgent humanitarian relief and reconstruction projects. Rapid implementation of projects enforces a positive perception within the local economy by providing employment opportunities to the local populace. CERP projects normally focus on—

- Reconstruction projects after combat operations to rapidly improve conditions.
- Emergency repairs of critical facilities.
- Critical infrastructure shortfalls that can be rapidly resolved.
- Reducing the risk of injury to the local populace.
- Procurement of critical equipment to replace lost, stolen, and nonrepairable items or to establish critical community-essential services.
- Projects to stimulate the local economy by providing employment opportunities to the populace.

Examples of permissible expenditures include, but are not limited to—

- Water generation and distribution infrastructure.
- Sanitation infrastructure repair.
- Civic or cultural facilities.

- Agriculture, to include irrigation systems.
- Electric power generation and distribution.
- Health care.
- Education.
- Telecommunication systems.
- Labor for civic cleaning.
- Purchase and repair of civil government vehicles.
- Food production and distribution.
- Projects in furtherance of economic, financial, and civil management improvements.
- Transportation infrastructure.
- Initiatives that further restore the rule of law and effective governance.

Congressional restrictions placed on appropriated CERP funding state that funds will not be used for—

- Benefiting coalition forces, either directly or indirectly.
- Entertaining the local population.
- Funding any type of weapons buy-back or rewards programs.
- Removing unexploded ordnance.
- Purchasing firearms or ammunition to equip police.
- Paying salaries or pensions to the civil work force.
- Augmenting available unit non-CERP and O&M funds, to include de minimis HCA.
- Providing support to individuals or businesses unless they were damaged by coalition forces.

**Common Commander's Emergency Response Program Management Procedures**

A commander's responsibility for the execution of CERP necessitates the establishment of proper management and fiscal controls to ensure accountability of appropriated funds. While not totally inclusive, the following discussion identifies a number of policies and procedures typically instituted to provide program oversight.

Units down to the battalion/squadron level nominate and train a dedicated primary and alternate PA PPO to help the commander execute the CERP program. An O-6 commander normally executes memorandum-format appointment orders of PAs and PPOs. The term "project purchase officer" differentiates officers responsible for CERP projects from those involved with projects funded by other O&M accounts. PPOs must also be trained and appointed on orders as a FOO by a warranted contracting officer.

PPOs execute CERP payment according to established FOO and PA procedures. PPOs must maintain a file copy of their appointment orders for both appointments. PPOs conduct operations following the same established policy and procedures as a FOO and are prohibited from combining CERP and other appropriated funds on any project. Reconciliation of CERP and other appropriated-fund projects must clearly define each as separate expenditures.

The following is an example of spending thresholds and policy guidance regarding the execution of CERP funds. Limitation of commitment authority may frequently change and is normally defined upon receipt of funds by the supported commander.

Brigade commanders normally have authorization to periodically draw a maximum of \$200,000 of CERP funding. Local funding restrictions usually set a single project limit of \$200,000. Individual projects that may exceed \$200,000 must be coordinated through the next-higher HQ (division) G-8 or comptroller. A brigade commander's approval authority for any



particular project is limited to a maximum value of \$10,000. The next-higher HQ must approve in advance projects valued at over \$10,000. PPOs are authorized to make purchases and to pay for projects costing up to \$10,000 with the SF 44 for this program only. A separate purchase request and commitment form (DA Form 3953) is required for each project exceeding a value of \$10,000. Projects exceeding \$100,000 require a warranted contacting officer's signature.

Projects whose expenses are estimated in excess of \$10,000 normally require additional procedures. For these projects, brigade commanders—

- Inform the next-higher HQ in advance.
- Obtain three separate bids for the project.
- Identify an individual to manage the project.
- Document the PPO's efforts to verify costs are reasonable.

Units may use CERP funds to repair collateral damage caused by combat operations, that is not otherwise compensable because of combat exclusions. Payments for battle damage cannot be identified as claims. However, commanders have the discretion to use CERP funds to repair individual homes and businesses. These repairs must not be made as compensation or in an attempt to make that individual whole.

Unit CERP may be used to make condolence payments not to exceed \$2,500 for death, serious injury, or property damage caused by coalition or anti-HN forces. Payments are meant to express sympathy and provide humanitarian relief, and are not an acknowledgement of fault or responsibility. These are not salacious payments (money paid for death or damage when USG admits fault). When commanders use CERP funds for condolence payments, no acknowledgement of any moral or legal responsibility for someone's death, injury, or damaged property is offered.

**GTA 41-01-001**

---

SJAs and financial management officers provide detailed guidance to their commanders on the implementation and management of this program within their commands. Reporting requirements of the program vary, but normally commanders report expenditures every 48 hours to the next-higher HQ.

**Project Purchase Officer and Paying Agent Procedures**

PPOs may request additional CERP funds, but must first clear all SF 44s with the unit comptroller and provide copies to the next-higher HQ G-8. Each SF 44 must have the vendor's invoice or bill attached. The vendor's invoice or bill may be written in Arabic or English. Each SF 44 must be completed, to include a detailed description of supplies and/or services received. The unit comptroller reviews each DD Form 1081 and SF 44 with vendor invoices for completeness. The unit comptroller then provides a clearance letter stating, "The following SF 44s are cleared, contractually sufficient, and within the scope of the appointed authority."

Project files must be kept on each CERP project and submitted to the next higher HQ on a periodic basis. Failure to maintain and submit adequate project files may jeopardize future CERP funding. At a minimum, project files must include the following:

- The PA's appointment letter.
- The PPO's appointment letter.
- DD Forms 1081.
- Three bids for contracts over \$10,000 (if three bids are not obtained, the commander must provide a written justification detailing the reasons why obtaining the necessary bids was not possible).
- The commander's clearance letter.
- Copies of SF 44s, and SF 1034, and a DD Form 250. A properly executed contract may be submitted in lieu of an SF 44.

### **Project and Contract Management**

CA Soldiers routinely manage humanitarian, military civic action (MCA), and reconstruction projects. Experience gained during the conduct of Operation ENDURING FREEDOM and Operation IRAQI FREEDOM has shown that projects assisting in legitimizing local government, stimulating the local economy, and improving the basic quality of life of the populace have a dramatic impact on the success of stability operations. Whether the project is valued at a few hundred dollars or involves significant contracting valued in the hundreds of thousands of dollars, the basic management practices of planning and initiation, execution, and closeout remain the same.

### **Project Initiation and Planning**

The initiation and planning phase begins by identification of a need or requirement that, when clearly defined, meets the criteria for funding and execution. A site visit or deliberate assessment may trigger the requirement. Figure 36, page 146, depicts the initiation and planning phase.

During the conduct of Operation IRAQI FREEDOM, a number of reconstruction projects were identified as "standardized scope projects," such as refurbishing public education facilities, local medical clinics, and public utility generation/distribution systems. These types of projects meet the requirements for funding under CERP and are easily adaptable to a predefined project scope. Projects not meeting this initial screening requirement must clearly be defined in terms of scope, cost, and impact, and meet the approval criteria of the command.

The statement of work (SOW) or statement of objectives, which is a detailed narrative statement, defines the scope of a project. The statement provides prospective contractors the information required to prepare a competitive bid for the proposed project. Statements must be as detailed as possible

---

**GTA 41-01-001**

---

to protect the government and the contractor. At a minimum, statements normally include—

- A description of the project upon completion.
- Material specifications.
- Key contractor manpower requirements to ensure successful completion.
- Government-furnished items and materials.
- Contractor-furnished items and materials.
- The government's project manager.
- The governments contracting officer and contracting officer's representative, if required.
- Overall project timelines.
- Penalties for failure to meet project requirements and specifications, if any.

The acceptance of contractor bid documents and the selection of a contractor (done only by contracting officers or their designated representatives, not by individual CA Soldiers) moves the project into the execution phase. Depending on the value of the proposed project, management may remain within the unit or be moved to another managing agency.

**Project Execution**

The execution phase begins with the formal funding of the project by an approval authority, proceeds through contract negotiation and the signing of a work agreement or contract by the government and contractor representatives. The completed agreement includes, as a minimum, the following—

- The SOW.
- The contractor's proposal.

- Details of contractor payment. For larger projects (over \$10,000) progress payments are normal when the contractor completes a significant project milestone. Agreements should refrain from “up-front” lump-sum payments.
- Definition of satisfactory contractor performance.
- The process for corrective action.
- The name of the government’s authority to modify the original agreement.

The execution phase concludes with acceptance of the completed project by a competent authority. Figure 37, page 147, depicts the execution phase.

The authority to add to, delete from, or modify an original project agreement rests solely with the government’s signatory to the agreement, whether it is a FOO, PPO, or warranted contracting officer. A project manager, COR, or other government employee involved with the project does not, without a formal modification have the authority to direct a change to the agreement if such a change would result in additional cost to the government. A directed change by an individual without authority, and acted on by the contractor, results in an unauthorized commitment.

The role of the project manager or COR is to act as the government’s acceptance authority for the work or products delivered during the course of the project. The project manager conducts inspections of the contractor’s work, materials, and products supplied to satisfy the specifications stated in the contract. Once satisfied the vendor has met the requirements, the project manager completes DD Form 250 or another prescribed completion document to initiate payment to the contractor. Contractor payment cannot be accomplished without the completion of a receiving report.

### Closeout

Projects initiated at the unit follow formal closeout procedures that determine either the completion of the project, transfer of the project to another management entity, retraction of the project from the bid process, or rejection of the project from further consideration. Figure 38, page 148, shows the steps taken during the closeout phase.



Figure 36. Project initiation and planning

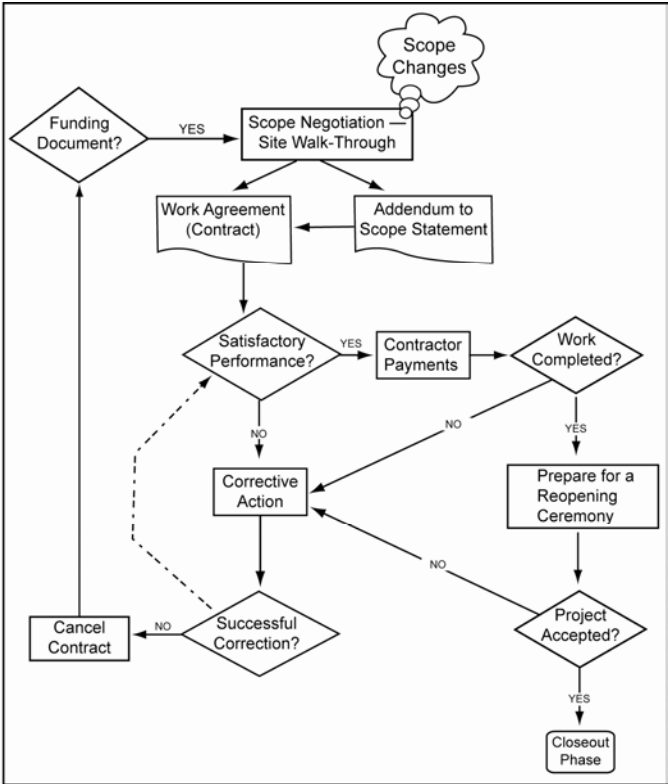
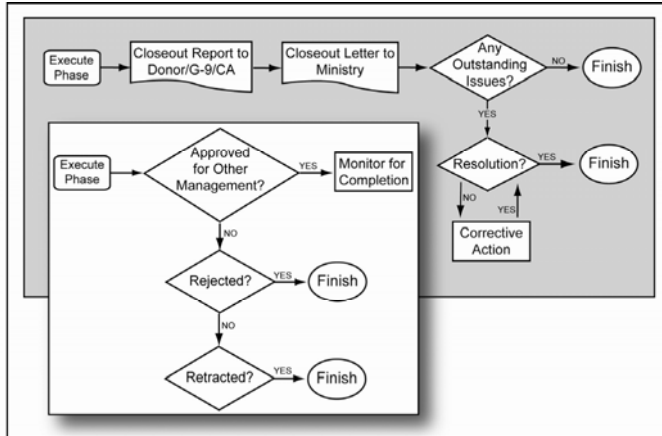


Figure 37. Project execution phase



**Figure 38. Project closeout**

Project closeout procedures include completing the project management file, which consists of contractor status reports, receiving reports, construction drawings, and like documentation as well as the financial management documentation that reconciles the funds expenditures. Key to the maintenance of a project file is to provide a complete audit trail of the project from initiation to transfer to civil authority.

### PROPERTY CONTROL

There are four basic categories of property subject to property control:

- Public movable.
- Public immovable.
- Private movable.
- Private immovable.

Public property refers to government-owned property versus that owned by private individuals. Immovable property consists



of real estate and land, and those structures and property permanently fixed to the land (also known as fixtures). Houses and other buildings qualify as immovable property. The powers a military commander may exercise over property in enemy territory may be broadly classified as—

- Destruction.
- Confiscation.
- Seizure.
- Requisition.
- Control.

#### **Destruction**

Destruction is the partial or total damage of property, with the exception of medical equipment and stores. Property of any type or ownership may be destroyed if the destruction is necessary to or results from military operations either during or preparing to combat. No payment is required. Destruction is forbidden except where there is some reasonable connection between the destruction of the property and overcoming enemy forces.

#### **Confiscation**

Confiscation is the taking of enemy public movable property without obligation to compensate the state to which it belongs. The term applies only to public property because the Hague Rules (Article 46) specifically forbid the confiscation of private property, and Article 55 only permits the occupant to act as a usufructuary for public immovable property. Private property taken on the field of battle that was used by the troops to further the fighting is also subject to confiscation on the theory that it has forfeited its right to be treated as private property. Otherwise, the confiscation of public movable property is generally limited to that property with direct or indirect military use.

#### **Seizure**

Seizure is the taking of certain types of enemy private movable property for use by the capturing state. Title does not pass to

#### **GTA 41-01-001**

---

the occupying power. Such use is limited to the needs of the occupying force, but may be employed outside as well as within the occupied territory. Payment or compensation is normally made at the time a peace treaty is signed or hostilities end.

#### **Requisition**

A requisition is the act of taking private enemy movable or immovable property for the needs of the army of occupation. It differs from seizure in three basic respects. First, the items taken may be used only in the occupied territory; second, private immovable and private movable property may be seized; and third, the owners are to be compensated as soon as possible (without having to wait for the occupation to end or for the restoration of peace).

#### **Control**

Property within occupied territory may be controlled by the occupant to the degree necessary to prevent its use by (or for the benefit of) hostile forces or in any manner harmful to the occupant. As a general principle of international law, the occupation commander is required to maintain public order. Included within this general mandate is the requirement for the occupation force to take control of and protect abandoned property, to safeguard banks, and ensure looting, black-marketing, and so on do not get out of hand.

The property control matrix (Figure 39, pages 151 through 153) is a tool for use by CA and CMO planners and military commanders. The matrix covers the rules governing public, municipal, and private movable and immovable property.

FM 27-10, *The Law of Land Warfare*, paragraph 394c, states property whose ownership is in question should be treated as public property until its ownership is ascertained. Religious buildings and shrines are to be respected and treated as private property. Similarly, hospitals enjoy a protected status under international law, but may be used in a manner consistent with their humanitarian purposes. The property of municipalities is afforded the same treatment as private property.

	Destruction	Confiscation	Seizure	Requisition	Control
Public movable property (Taken off the field of battle)	1	2	12	12	13
Public movable property (Susceptible to military use)	1	5	12	12	13
Public movable property (Not susceptible to military use)	1	9	9	9	13
Public immovable property	1	6	6	12	13
Municipal movable property	1	4	10	11	13
Municipal immovable property	1	14	8	11 14	13
Private movable property	1	7 3	10	11	13
Private immovable property	1	7 14	8	11 14	13

Figure 39. Property control matrix

**RULES**

1. Property may be destroyed under the rules of military necessity. (See FM 27-10, *The Law of Land Warfare*, paragraph 56.) It may be destroyed for sanitary or safety reasons, even after the battle. Any enemy military facilities or equipment can be destroyed to prevent future misuse.
2. FM 27-10, paragraph 59a, states, "All enemy public movable property captured or found on a battlefield becomes the property of the capturing State."
3. Private property taken on the field of battle believed to have been used by enemy troops to further the fighting is subject to confiscation as booty of war—it has forfeited its right to be treated as private property.
4. City-owned movable (municipal) property is treated like private property and may not be confiscated unless found on the battlefield after its use by the enemy.
5. Paragraph 1, Article 53, of the 1907 Hague Conventions, allows confiscation of public movable property which is susceptible to direct or indirect military use. Reasoned judgment dictates that the occupying forces should confiscate only those items necessary for military operations.
6. Article 55 of the Hague Conventions allows the occupant only a usufruct over public immovable property. The right to receive the benefits from and the use of the property means no payment is due for the usufruct, but the property must be maintained by the user. For example, a university dormitory may be taken over by occupying forces for use as quarters.
7. Article 46 of the Hague Conventions prohibits confiscation of private property not taken on the field of battle.
8. FM 27-10, paragraph 407, prohibits seizure of private immovable property; however, if the immovable property is an essential part of the movable property (for example, telegraph and telephone offices and equipment, or transportation maintenance areas), then seizure of even the immovable property is allowed. (See Note 9.)

**Figure 39. Property control matrix (continued)**

**RULES (continued)**

9. This is a very limited class of property and is sometimes not mentioned. It would include such things as court, property, banking, and other valuable records; museum or cultural property; and zoo animals. There is no possible military use; thus, there is no reason to confiscate or seize it. It may be requisitioned under limited circumstances and certainly must be controlled to prevent its damage.
10. Seizure of private movable property is generally limited to any means used to transmit news (for example, citizens' band [CB] radio, telephone, telegraph, radio or television stations, and printing plants), means of transportation (including draft animals, weapons, and materiel-handling equipment), and items directly usable by the military, such as arms, ammunition, explosives, binoculars, armored vests, and gas masks. Other types of private movable property are not subject to seizure. (See Article 53 of the Hague Conventions.)
11. Almost anything needed for the occupation forces may be requisitioned. (See FM 27-10, paragraph 412.)
12. Because these categories of property are subject to confiscation or a usufruct, it would be impractical to apply lesser forms of control that would require some form of compensation for use of the property.
13. All property is subject to some form of control by the commander to prevent its use by, or for the benefit of, the hostile forces or in a manner harmful to the occupant forces. It can also be controlled for preservation and returned to the owner.
14. Real estate or other private immovable property cannot be confiscated by occupying forces, since confiscation implies that full title to the property has passed to the confiscating power without any compensation being required. It may, however, be requisitioned or controlled.

**Figure 39. Property control matrix (continued)**

## REFERENCE MATERIAL

Figures 40 through 44 and Tables 3 through 6, pages 154 through 165, provide additional reference materials CA Soldiers will find useful in completing their mission.

- **Should we do it?**
  - Is there already a system in place to handle the request?
  - Does it support MOE?
  - Does it support transition?
  - Does it support lines of operations?
  - Does it support civil decisive points?
  - Will the population support it?
  - Will it have a positive impact on civil-military relationships?
  - Does it support the legitimacy of the HN government?
- **Can we do it?**
  - Is it legal?
  - Does it comply with the commander's guidance?
  - Do we have the assets?
  - Do we have the time?
- **How will we do it?**
  - Who has the capability to do it (military, international organization, indigenous)?
  - Are outside resources available?
  - Can it be a joint venture?
  - Can it be started immediately?
  - Can or will the HN government support it?

**Figure 40. Request for assistance checklist**

	EXECUTIVE DEPARTMENTS AND AGENCIES	ARMED FORCES OF THE UNITED STATES	STATE AND LOCAL GOVERNMENT	Regional and International		
				NORTH ATLANTIC TREATY ORGANIZATION (NATO)	UN	NGOs
STRATEGIC	<ul style="list-style-type: none"> <li>Department Secretaries</li> <li>Agency Directors</li> <li>U.S. Agency for International Development (USAID)</li> <li>Federal Emergency Management Agency (FEMA)</li> </ul>	<ul style="list-style-type: none"> <li>Secretary of Defense</li> <li>Chairman, Joint Chiefs of Staff</li> <li>Geographic Combatant Commander (1)</li> </ul>	<ul style="list-style-type: none"> <li>Governor</li> <li>State Adjutant General</li> </ul>	<ul style="list-style-type: none"> <li>NATO Headquarters</li> <li>Supreme Allied Commander, Europe (SACEUR)</li> </ul>	<ul style="list-style-type: none"> <li>UN Headquarters</li> <li>Functional Headquarters (for example, UNHCR)</li> </ul>	<ul style="list-style-type: none"> <li>National Headquarters</li> <li>President/Chief Executive Officer</li> </ul>
OPERATIONAL	<ul style="list-style-type: none"> <li>Ambassador/Embassy Staff (2)</li> <li>Liaisons (3)</li> <li>Federal Coordinating Officer (FCO) (4)</li> <li>USAID OFDA</li> </ul>	<ul style="list-style-type: none"> <li>Commander, Joint Task Force (CJTF) (5)</li> <li>Defense Coordinating Officer (DCO) (4)</li> </ul>	<ul style="list-style-type: none"> <li>State Coordinating Officer (SCO) (4)</li> <li>Office of Emergency Management (OEM)</li> <li>Department/Agency</li> </ul>	<ul style="list-style-type: none"> <li>Major Subordinate Commands (for example, Allied Forces Southern Europe)</li> </ul>	<ul style="list-style-type: none"> <li>Special Representative to the UN Secretary General (6)</li> </ul> <p><b>Note:</b> UN Command Korea when activated, is the only UN organization at the operational level.</p>	<ul style="list-style-type: none"> <li>Regional Offices</li> <li>Field Offices</li> </ul>
TACTICAL	<ul style="list-style-type: none"> <li>Ambassador/Embassy Staff</li> <li>Consul/Consulate Staff</li> <li>OFDA Disaster Assistance Response Team (DART) (7)</li> </ul>	<ul style="list-style-type: none"> <li>JTF Service Components</li> </ul>	<ul style="list-style-type: none"> <li>National Guard Unit Commanders</li> <li>County Commissioner</li> <li>City Mayor/Manager</li> <li>County/City Services (for example, Police, Emergency Medical Services)</li> </ul>	<ul style="list-style-type: none"> <li>Principal Subordinate Commands (for example, Allied Land Forces Southern Europe)</li> <li>Commander, Combined Joint Task Force</li> <li>Task Element/Unit</li> </ul>	<ul style="list-style-type: none"> <li>Special Representative to the UN Secretary General</li> <li>Military Force Commander</li> <li>Teams</li> <li>Observers</li> </ul>	<ul style="list-style-type: none"> <li>Field Office in Program Country</li> <li>Relief Workers</li> </ul>

1. The geographic combatant commander, within the context of unified action, may function at both the strategic and operational levels in synchronizing the application of all instruments of national power in time, space, and purpose with the actions of other military forces, United States Government Agencies (USG) agencies, NGOs, regional and international organizations, and corporations toward theater strategic objectives.

2. The Ambassador and Embassy staff, which includes the Country Team, function at both the operational and tactical levels by supporting joint operation planning conducted by a geographic combatant commander or CJTF.

3. Liaisons at the operational level may include the foreign policy advisor (FPA) or political advisor (POLAD) assigned to the geographic combatant commander by the Department of State, the CIA liaison officer, or any specifically assigned person. Other USG agencies do not have a similar counterpart to the geographic combatant commander.

4. The FCO, DCO, and SCO and their staffs are the primary coordinators for domestic support operations.

5. The CJTF coordinates the actions of other military forces, USG agencies, NGOs, regional and international organizations, and corporations toward theater operational objectives.

6. The Special Representative to the UN Secretary General may function at both the operational and tactical levels.

7. USAID's OFDA provides its rapidly deployable DART in response to international disasters. A DART provides specialists, trained in a variety of disaster relief skills, to assist U.S. Embassies and USAID missions with the management of USG response to disasters.

Figure 41. Comparison of agency organizational structures

**GTA 41-01-001**

<b>LINE</b>	<b>ITEM</b>	<b>EXPLANATION</b>	<b>WHERE/ HOW OBTAINED</b>
1	Location of pickup site.	Encrypt the grid coordinates of the pickup site. When using the DRYAD Numeral Cipher, the same "SET" line will be used to encrypt the grid zone letters and the coordinates. To preclude misunderstanding, a statement is made that grid zone letters are included in the message. (Unless unit SOP specifies, it is used at all times.)	From map.
2	Radio frequency, call sign with suffix.	Encrypt the frequency of the radio at the pickup site and not a relay frequency. The call sign (and suffix, if used) of the person to be contacted at the pickup site may be transmitted in the clear.	From SOI.
3	Number of patients by precedence.	Report only applicable information and encrypt the codes. A – Urgent. B – Urgent-surgery. C – Priority. D – Routine. E – Convenience. If two or more categories must be reported in the same request, insert the word "BREAK" between each category.	From evaluation of patients.

**Figure 42. Nine-line medical evacuation (MEDEVAC) format**



LINE	ITEM	EXPLANATION	WHERE/ HOW OBTAINED
4	Special equipment required.	Encrypt the appropriate brevity codes(s): A – None. B – Hoist. C – Extraction equipment. D – Ventilator.	From evaluation of patients/situation.
5	Number of patients by type.	Report only applicable information and encrypt the brevity code. If requesting MEDEVAC for both types, insert the word "BREAK" between the litter entry and ambulatory entry. L + # of Patient – Litter. A + # of Patient – Ambulatory (sitting).	From evaluation of patients.
6	Security of pickup site ( <i>wartime</i> ).	N – No enemy troops in area. P – Possibly enemy troops in area (approach with caution). E – Enemy troops in area (approach with caution). X – Enemy troops in area (armed escort required).	From evaluation of situation.
6	Number and type of wound, injury, or illness ( <i>peacetime</i> ).	Report information regarding patient wounds by type (gunshot or shrapnel). Report serious bleeding, along with patient blood type, if known.	From evaluation of patients.

**Figure 42. Nine-line medical evacuation (MEDEVAC) format (continued)**

GTA 41-01-001

LINE	ITEM	EXPLANATION	WHERE/ HOW OBTAINED
7	Method of marking pickup site.	Encrypt the appropriate code(s): A – Panels. B – Pyrotechnic signal. C – Smoke signal. D – None. E – Other.	Based on situation and availability of materials.
8	Patient's nationality and status.	The number of patients in each category need not be transmitted. Encrypt only the appropriate brevity codes: A – U.S. military. B – U.S. civilian. C – Non-U.S. military. D – Non-U.S. civilian. E – Enemy prisoner of war.	From evaluation of patients.
9	Chemical, biological, radiological, or nuclear (CBRN) contamination ( <i>wartime</i> ).	Include this line only when applicable. Encrypt the appropriate brevity codes: C – Chemical. B – Biological. R – Radiological. N – Nuclear.	From situation.
9	Terrain description ( <i>peacetime</i> ).	Include details of terrain features in and around the proposed landing site. If possible, describe the relationship of the site to prominent terrain features (lake, mountain, or tower).	From area survey.

Figure 42. Nine-line medical evacuation (MEDEVAC) format (continued)

<b>Crude Mortality Rate (CMR)</b>	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
<b>Mortality Rate Among Children Under 5 Years Old</b>	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
<b>Clean Water</b>	Minimum survival allocation Minimum maintenance allocation	7 liters/person/day 15–20 liters/person/day
<b>Food</b>	Minimum food requirement for a population totally dependent on food aid	2,100 kilocalories/person/day
<b>Nutrition</b>	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
<b>Measles</b>	Any reported cases 10% or more not immunized among ages 6 months to 5 years	
<b>Respiratory Infections</b>	Any pattern of severe cases	
<b>Diarrhea</b>	Protection from wind, rain, freezing temperatures, and direct sunlight are minimum requirements	
<b>Appropriate Shelter</b>	Minimum shelter area Minimum total site area	3.5 square meters/person 30.0 square meters/person
<b>Sanitation</b>	Lack of organized excreta and waste disposal. Less than 1 latrine cubicle per 100 persons	
<p><b>Calculating the Mortality Rate</b> The chief indicator of an actual emergency is an accelerated mortality. In all cases, deaths should be reported as total number and as a rate since population sizes will vary considerably depending on the nature of the emergency. The presentation of the number of deaths as rate will make comparison to existing norms possible regardless of the number of people considered in the group. An example of how to calculate the death rate follows:</p> $\frac{\text{Number of Deaths} \times 10,000}{\text{Days Counted} \times \text{Total Population}} = \text{Deaths}/10,000$ <p>For example, if 21 people have died in one week in a total population of 5,000, then the death rate for that situation would be:</p> $\frac{21 \text{ (Deaths)} \times 10,000}{7 \text{ Days} \times 5,000 \text{ (Total Population)}} = 6/10,000/\text{Day}$		

Figure 43. Key emergency indicators

**GTA 41-01-001**

TOPIC AREA/ISSUE	SPHERE	UNHCR
<b>WATER</b>		
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	
<b>HYGIENE - SANITATION</b>		
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
<b>CAMP SITE PLANNING</b>		
Gross Area	45 square meters per person (inclusive of all uses except agriculture or garden space)	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

**Figure 44. Comparison of Sphere and UNHCR standards and indicators**

TOPIC AREA/ISSUE	SPHERE	UNHCR
<b>CAMP SITE PLANNING (Continued)</b>		
Elevation/Drainage	3 meters above high water table 2-4% gradient (ideal) and not more than 7% without extensive site engineering	
<b>SHELTER</b>		
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 by 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
<b>FOOD/NUTRITION</b>		
Calories	2,100 kilocalories per day initial planning figure to be modified based on thorough 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
<b>HEALTH</b>		
Excessive Mortality	1 per 10,000 per day CMR	Normal rate among a settled population Emergency program under control
CMR	1 per 10,000 per day CMR	Emergency program in serious trouble Emergency out of control Major catastrophe
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
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.

**Figure 44. Comparison of Sphere and UNHCR standards and indicators (continued)**

**GTA 41-01-001**

TOPIC AREA/ISSUE	SPHERE	UNHCR
<b>HEALTH (Continued)</b>		
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: • 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
<b>NONFOOD ITEMS (Domestic needs)</b>		
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	
<b>PROTECTION AND SECURITY</b>		
Location	50 kilometers from threat (border?)	A reasonable distance

**Figure 44. Comparison of Sphere and UNHCR standards and indicators (continued)**

**Table 3. Temperature**

Conversion	Formula
Fahrenheit to Celsius	Subtract 32, multiply by 5, and divide by 9
Celsius to Fahrenheit	Multiply by 9, divide by 5, and add 32

**Table 4. Approximate conversion factors**

To Change	To	Multiply By	To Change	To	Multiply By
Inches	Centimeters	2.540	Ounce-inches	Newton-meters	.007062
Feet	Meters	.305	Centimeters	Inches	3.94
Yards	Meters	.914	Meters	Feet	3.280
Miles	Kilometers	1.609	Meters	Yards	1.094
Square inches	Square centimeters	6.451	Kilometers	Miles	.621
Square feet	Square meters	.093	Square centimeters	Square inches	.155
Square yards	Square meters	.836	Square meters	Square feet	10.76
Square miles	Square kilometers	2.590	Square meters	Square yards	1.196
Acres	Square hectometers	.405	Square kilometers	Square miles	0.386
Cubic feet	Cubic meters	.028	Square hectometers	Acres	2.471
Cubic yards	Cubic meters	.765	Cubic meters	Cubic feet	35.315
Fluid ounces	Millimeters	29.573	Cubic meters	Cubic yards	1.308
Pints	Liters	.473	Millimeters	Fluid ounces	0.034

**Table 4. Approximate conversion factors  
(continued)**

To Change	To	Multiply By	To Change	To	Multiply By
Quarts	Liters	.946	Liters	Pints	2.113
Gallons	Liters	3.785	Liters	Quarts	1.057
Ounces	Grams	28.349	Liters	Gallons	.264
Pounds	Kilograms	.454	Grams	Ounces	.035
Short tons	Metric tons	.907	Kilograms	Pounds	2.205
Pounds -feet	Newton-meters	1.356	Metric tons	Short tons	1.102
Pounds -inches	Newton meters	.11296	Nautical miles	Kilometers	1.852

**Table 5. Statute miles to kilometers and nautical miles**

Statute Miles	Kilometers	Nautical Miles	Statute Miles	Kilometers	Nautical Miles
1	1.61	0.86	60	96.60	52.14
2	3.22	1.74	70	112.70	60.83
3	4.83	2.61	80	128.80	69.52
4	6.44	3.48	90	144.90	78.21
5	8.05	4.35	100	161.00	86.92
6	9.66	5.21	200	322.00	173.80
7	11.27	6.08	300	483.00	260.70
8	12.88	6.95	400	644.00	347.60
9	14.49	7.82	500	805.00	434.50



**Table 5. Statute miles to kilometers and nautical miles  
(continued)**

Statute Miles	Kilometers	Nautical Miles	Statute Miles	Kilometers	Nautical Miles
10	16.10	8.69	600	966.00	521.40
20	32.20	17.38	700	1127.00	608.30
30	48.30	26.07	800	1288.00	695.20
40	64.40	34.76	900	1449.00	782.10
50	80.50	43.45	1000	1610.00	869.00

**Table 6. Kilometers to statute and nautical miles**

Kilometers	Statute Miles	Nautical Miles	Kilometers	Statute Miles	Nautical Miles
1	0.62	0.54	60	37.28	32.38
2	1.24	1.08	70	43.50	37.77
3	1.86	1.62	80	49.71	43.17
4	2.49	2.16	90	55.93	48.56
5	3.11	2.70	100	62.14	53.96
6	3.73	3.24	200	124.28	107.92
7	4.35	3.78	300	186.42	161.88
8	4.97	4.32	400	248.56	215.84
9	5.59	4.86	500	310.70	269.80
10	6.21	5.40	600	372.84	323.76
20	12.43	10.79	700	434.98	377.72
30	18.64	16.19	800	497.12	431.68
40	24.86	21.58	900	559.26	485.64
50	31.07	26.98	1000	621.40	539.60

### International Protective Symbols

International protective symbols are used to indicate medical facilities, protected buildings, and civil defense and bio-hazardous installations. Protective symbols, their meanings, and references discussing the symbols are shown in Figure 45, pages 166 through 168.








Symbol	Description	Meaning	References
	A red cross on a white background, formed by reversing the flag of Switzerland	These are the symbols of protected medical facilities and personnel. The symbol may be used on buildings, on armbands, on vehicles and aircraft, and on ID cards. The Red Cross is used by most of the world's armed forces. A red crescent is used by Muslim nations. Persons and places marked with a medical symbol are protected from attack as long as they are used solely for medical purposes.	<ul style="list-style-type: none"> <li>• FM 27-10, Paragraph 238, page 95.</li> <li>• DA Pam 27-1, <i>Treaties Governing Land Warfare</i>, Chapter 4, Article 38, page 37.</li> </ul>
	A red crescent moon with the horns facing right. The horns may or may not touch.		<ul style="list-style-type: none"> <li>• DA Pam 27-161-2, <i>International Law, Volume II</i>, Chapter 4, Section I, paragraph E, page 111.</li> </ul>
	A red star of David (Magen David), formed by interlocking two red triangles.		<ul style="list-style-type: none"> <li>• Training Circular 27-10-1; <i>Selective Problems in the Law of War</i>, Section II, Problem I, page 7.</li> </ul>

Figure 45. International protective symbols

Symbol	Description	Meaning	References
	Square or rectangle sign, the upper triangle black, the lower triangle white.	The marking for protected cultural, historic, educational, and religious buildings. The protection is from coastal naval bombardment.	FM 27-10, Chapter 2, Section II, Article 46a, page 21.
	Three shields of royal blue and white, set two above and one below.	The marking for protected cultural, historic, educational, and religious buildings. One shield may be on an armband or ID card.	Training Circular 27-10-1, Section II, Problem 35, page 54.
	A royal blue triangle on a bright orange background.	Civil Defense facilities and Civil Defense personnel. The symbol may mark civilian bomb shelters and may be on armbands and ID cards.	GP I/Protocol I, additional to The Geneva Convention of 1945 (not ratified by the United States).

**Figure 45. International protective symbols  
(continued)**

**GTA 41-01-001**

<b>Symbol</b>	<b>Description</b>	<b>Meaning</b>	<b>References</b>
	Three bright orange circles of equal size, on line, and spaced one radius apart.	Works or installations containing dangerous forces. Used to mark reactors, chemical plants, dams, and so on. Not a protective symbol.	GP I/Protocol I, additional to The Geneva Convention of 1945 (not ratified by United States).

**Figure 45. International protective symbols  
(continued)**



